

# UNITED STATES CAPITOL POLICE OFFICE OF INSPECTOR GENERAL

# Performance Audit USCP Canine (K-9) Program

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# UNITED STATES CAPITOL POLICE



WASHINGTON, DC 20003

#### INSPECTOR GENERAL

### PREFACE

The Office of Inspector General (OIG) prepared this report pursuant to the Inspector General Act of 1978, as amended. It is one of a series of audits, reviews, and investigative and special reports prepared by OIG periodically as part of its oversight responsibility with respect to the United States Capitol Police (USCP) to identify and prevent fraud, waste, abuse, and mismanagement.

This report is the result of an assessment of the strengths and weaknesses of the office or function under review. It is based on interviews with employees and officials of relevant agencies and institutions, direct observation, and a review of applicable documents.

We developed our recommendations on the basis of the best knowledge available to the OIG and discussed in draft with those responsible for implementation. It is my hope that these recommendations will result in more effective, efficient, and/or economical operations.

I express my appreciation to all of those who contributed to the preparation of this report.

Fay F. Ropella

Tray F. Ropella

Acting Inspector General

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# **Abbreviations and Acronyms**

Canine Unit	K-9
Chief of Police	Chief
Computer Automated Dispatch System	CAD
Fiscal Year	FY
Force Development Process	FDP
Government Accountability Office	GAO
Metropolitan Police Department	MPD
Office of Human Resources	OHR
Office of Inspector General	OIG
Office of Policy and Management Systems	OPOL
Patrol Mobile Response Division	PMRD
Person Borne Improvised Explosive Detection	PBIED
Scientific Working Group on Dog and Orthogonal Detector Guidelines	SWGDOG
Standard Operating Procedures	SOP
United States Capitol Police	USCP or Department
Vehicle Borne Improvised Explosive Device	VBIED

### **EXECUTIVE SUMMARY**

The United States Capitol Police (USCP or Department) Canine Explosive Detection and Conventional and Person-Borne Improvised Explosive Detection (PBIED) teams contribute to the Department's strategic goal of preventing, detecting, and deterring criminal and terrorist activity from reaching their intended target with improvised explosive devices.

As a result of an anonymous allegation, the Office of Inspector General (OIG) conducted a performance audit of the Department's Canine (K-9) Program. The objectives of the performance audit were to determine if USCP's K-9 Unit (1) established adequate internal controls and processes for ensuring the integrity of the K-9 Program and (2) complied with applicable laws, regulations, and guidance pertaining to management and operation of the K-9 Program. Our scope included controls, processes, and operations during fiscal years (FYs) 2010, 2011, and 2012.

Well-written, up-to-date policies and procedures guide managers and supervisors in making decisions, ensuring the effectiveness of K-9 team proficiency, and determining that taxpayer funds are properly used. However, the K-9 Unit at USCP did not establish adequate internal controls and processes that would adequately ensure the integrity of the K-9 Program. While K-9 followed a set of practices and processes, the majority of those practices and processes were not documented. For example, K-9 did not have a written manual or internal control guide related to safeguarding inventory, equipment, and supplies.

Most importantly, the K-9 Unit's written standard operating procedures (SOPs) were vague and not specific about controls, training, best practice requirements, and how program effectiveness should be measured. Although K-9 officials stated that they strive to comply with the Scientific Working Group on Dog and Orthogonal Detector Guidelines (SWGDOG) as best practices, they did not always follow them. SWGDOG SC-2, *General Guidelines*, requires recordkeeping and document management. SWGDOG SC-2 also requires that handler/department/organization document training, certification, proficiency assessments, and discipline-related data. Yet, K-9 did not maintain training or recertification plans.

SWGDOG SC-2 states that the handler and certifying official should maintain certification records and "a canine team shall complete a minimum of sixteen (16) hours of training each month to maintain and improve the proficiency level of the team." The OIG analysis of canine team training data from October 2009 through October 2012 showed that canine teams were repeatedly not in compliance with the monthly 16 hours best practice training requirement, which ensures that canine teams remain proficient in explosives and odor on person detection. In fact, K-9 did not certify any teams throughout FY 2011. According to K-9 officials, teams were not always available for training because of higher priority operations. As of February 2013, the Department's SOP for PBIED—canines trained to detect explosives being carried or worn on a person—was in draft. As a result, K-9 did not have any policies and procedures related to its PBIED program.

K-9 also did not always comply or have documentation supporting that it complied with SOPs.

USCP SOP defines K-9

The SOP requires that each shift perform daily explosive detection sweeps. The SOP also requires that supervisors prepare weekly K-9 ATLAS activation schedules. K-9 also did not, however, comply with the SOP and could not provide documentation that each Section in K-9 conducted daily sweeps of specified areas around the Capitol Complex.

Additionally, supervisors in K-9 did not prepare the required weekly K-9 ATLAS activation schedule for each Section. Some sweeps were, however, recorded on the *Daily Activity Report*. K-9 also did not comply with its weekly magazine inspection as SOP No.

requires. For example, for the weeks of January 16, 2012, February 20, 2012, March 12, 2012, April 16, 2012, June 25, 2012, and July 9, 2012, K-9 did not have any documentation supporting completion of an inspection. The K-9 Training Supervisor stated that inspections were not always completed in a timely manner because of a lack of resources.

Moreover, USCP requires that personnel meet requirements established in the SWGDOG Guidelines before applying for a K-9 position. According to the 2013 Force Development Business Process, Evaluation of Existing Programs or Projects; however, the Department does not consider periodic recertification against best practices or competition among officers before issuing an existing handler another canine when their assigned canine becomes eligible for retirement. We contacted four Federal agencies regarding their K-9 programs. At least one Federal agency had established a rotational assignment for its K-9 Unit. According to the agency official, rotational assignments provide officers with opportunities that will enhance careers and assist in succession planning and team performance.

K-9 is an important program and has numerous opportunities for using its limited resources in a more efficient and effective manner. For example, the K-9 Unit (1) provides retired canines lifetime benefits, which are not necessary and may be considered personal expenses as well as a violation of appropriation law; (2) did not have written guidance pertaining to its donated canine activities and did not conduct an analysis to determine if the program was efficient and effective; and (3) did not utilize all active canines, during our scope, to their full extent. Additionally, the restriction of mileage for home-to-work vehicles and K-9 officers earning technician pay for overtime worked while in a non-K-9 capacity could result in additional cost savings resulting in funds available for enhanced security.

To develop a more efficient and effective K-9 Program that ensures the integrity of the program and supports the business processes and mission of USCP, we are making a recommendation that the Department immediately establish written internal controls and processes, which should ensure compliance with applicable guidance, use of resources in the most cost-effective manner, and measuring program effectiveness. See Appendix A for the complete list of recommendations.

K-9 officials were very cooperative and receptive to our findings and recommendations. In fact, K-9 proposed corrective actions during the audit. For example, K-9 developed a log for dog food

and equipment and in December 2012 advised technicians of the requirement to sign for supplies. Additionally, K-9 proposed updating SOPs incorporating required training hours and certifications.

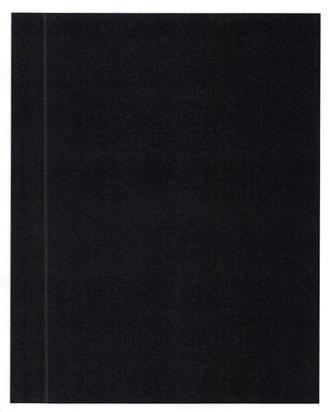
On March 15, 2013, OIG conducted an exit conference with Department officials and provided a draft report for comment. We incorporated the Department's comments as applicable and attached their response to the report in its entirety in Appendix B.

## BACKGROUND

United States Capitol Police (USCP or Department) is the law enforcement agency within the legislative branch of the U.S Government tasked with protecting the Capitol Complex and the Members of Congress, both domestic and abroad. In support of the Department's mission, USCP has several Canine Explosive Detection and Conventional and Person-Borne Improvised Explosive Detection (PBIED) teams, which contribute to the Department's strategic goal of preventing, detecting, and deterring criminal and terrorist activity from reaching their desired target with improvised explosive devices.



Congress first authorized the use of canines by USCP in 1964 when it appropriated funds to reimburse the Metropolitan Police Department (MPD) for a detail of additional



MPD officers to the USCP.<sup>1</sup> This additional detail included six Canine corps specialists (three for each house of Congress) to patrol the Capitol Grounds during the evening hours.<sup>2</sup> The cognizant Senate committee recommended this additional reimbursement due to "the increasing number of assaults in the area, and the importance of maintaining for visitors, for the citizens of Washington, and for employees the privileges of the Capitol Grounds in safety at any hour."

The arrangement with MPD detailing canines and their handlers to USCP continued until 1971. That year, apparently in response to the explosion of a bomb in the U.S. Capitol

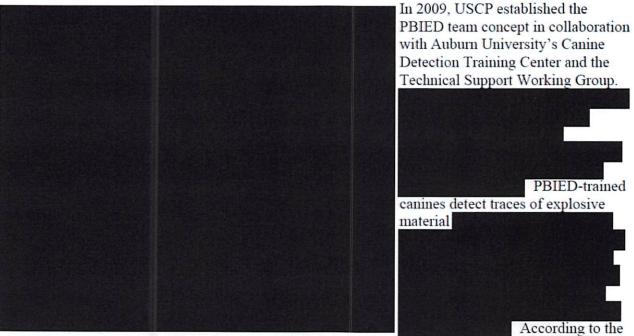
3 110 Cong. Rec.17, 191(1964).

Legislative Branch Appropriations Act of 1965, Pub. L. No. 88-454, 78 Stat. 535, 543-44 (1964).

<sup>&</sup>lt;sup>2</sup> H.R. Rep. 88-1711, at 3 (1964 (Conf. Rep.); S. Rep. No. 88-1239, (1964).

building on March 1, 1971, Congress separately approved the provision of internal canine officers (that is, not detailed from MPD) to protect both houses.

On June 2, 1971, the House authorized, based on unanimous recommendations from the Capitol Police Board, 214 new positions in the USCP on the House side, including, as described by the Representative introducing the resolution, "small six-man canine corps, to be used for sniffing of explosives and other duties." Later that month, in testimony to a Senate subcommittee, the Chief of USCP (Chief) explained that although MPD had previously supplied dog handlers, "[d]ue to the pressing needs of the city it is deemed advisable that we should develop some of our own officers as dog handlers with the assistance of the [MPD] Canine Training facilities" and that USCP "would train some of the dogs for use in bomb searches." Soon thereafter, Congress enacted appropriations for the legislative branch for FY 1972 that authorized six canine (K-9) officers in the USCP on the Senate side, effective July 1, 1971. The original 12 K-9 teams—a canine paired with a technician handler—were trained in street patrol duties. Of the original 12 teams, 6 were cross-trained for explosive detection. In 1995, K-9 transitioned to single-purpose dogs: either explosive detection or street patrol. In 2004, Congress approved three police service K-9s that Sergeants would handle.



K-9 Training Supervisor, a PBIED team comprises a handler and canine team and
In 2011, USCP increased its PBIED teams from 5 to 7. As of
August 29, 2012, K-9 had 47 active canines, 7 unassigned canines, and 15 retired canines. Table 1

<sup>&</sup>lt;sup>4</sup> H. Res. 449, 92nd Cong., 110 Cong. Rec. 17,497-17,504 (1971); H.R. Rep. No. 92-244 (1971).

<sup>&</sup>lt;sup>5</sup> Legislative Branch Appropriations for Fiscal Year 1972: Hearings before a Subcommittee of the 5. Committee on Appropriations, 92nd Cong. 625-629 (1971) (statement of James M. Powell, Chief, USCP).

<sup>6</sup> Legislative Appropriations Act of 1972, Pub. L. No. 92-51, 85 Stat. 125, 127 (1971); see S. Rep. 92-224 (1971).

shows the number of canine teams by type as well as describes their roles, responsibilities, and costs to the Department.

Type of K-9 Team	Number of teams	Description of Roles and Responsibilities	USCP Start-up Costs	USCP Annual Costs
Standard Explosive Detection	40		\$133,000	\$101,000
PBIED	7	Canines trained to detect explosives being carried or worn on a person.	\$179,000	\$146,000
Total	47			

Source: OIG using USCP data.

Number of teams as of August 29, 2012.

FY 2012 cost data rounded to the nearest thousand. Startup costs reflect the costs incurred by USCP during the first year the K-9 team is deployed. Annual costs include the operations and maintenance costs incurred by USCP to keep a canine teams deployed after their first year in the program.

The USCP Patrol Mobile Response Division (PMRD) K-9 Section among other duties is responsible for detecting trained explosive odors of materials that could be used in improvised explosive devices. The K-9 Unit has a Unit Commander and 5 Sergeants (1 Canine Training Supervisor and 4 Operational), 39 K-9 technician handlers, 5 K-9 technician instructors, a civilian kennel master, and a civilian administrative assistant. The K-9 training facility and administrative offices are located at

The facility has classrooms, training fields, veterinary office and equipment, officers' locker room and break area, fitness center and storage areas. The K-9 Unit obtains dogs from animal shelters, rescue leagues, public donations, other Federal agencies, and vendors such as Auburn University.

# OBJECTIVE, SCOPE, AND METHODOLOGY

Based on an anonymous allegation, OIG conducted a performance audit of the Department's K-9 program. The objectives of the performance audit were to determine if USCP's K-9 Unit: (1) established adequate internal controls and processes that would ensure the integrity of USCP's K-9 program, and (2) complied with applicable laws, regulations, and guidance pertaining to the management and operation of the K-9 program. Our scope included controls, processes, and operations during FY 2010 through 2012.

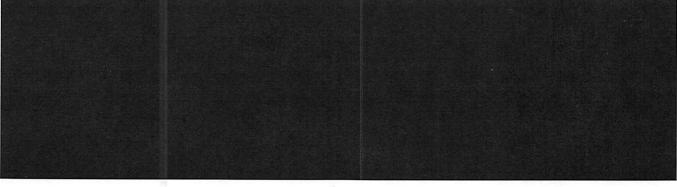
To accomplish the objectives, we interviewed appropriate K-9 officials to gain an understanding of the following areas:

- Current K-9 structure, strategy, and how the Unit supports the USCP mission
- Current K-9 efforts underway
- K-9 policies and procedures
- Resources dedicated to K-9
- Budgeting process and the Unit's involvement in the Force Development Process (FDP)

Based on the results of those interviews, we conducted additional interviews with Office Directors aligned under the Chief Administrative Officer and the Bureau Commanders aligned under the Assistant Chief of Police. Offices under the Chief Administrative Officer provide the Department with the necessary administrative functions that support its mission, including the Office of Human Resources (OHR), the Office of Financial Management, the Office of Facilities and Logistics, and the Office of Policy and Management Systems (OPOL). Areas under the Assistant Chief of Police are the operational law enforcement resources that accomplish the USCP mission, including the Operational Services Bureau, which is responsible for the K-9 Unit.

We also reviewed documentation related to the K-9 organizational structure, internal controls, training and canine records, and inventories maintained by K-9. Furthermore, we reviewed Department and office budgets, relevant policies and procedures, conference reports and laws establishing K-9, and documentation created as part of FDP.

To determine compliance, we reviewed the following guidance located on Policenet:



We also reviewed guidance from SWGDOG, General Services Administration, Government Accountability Office (GAO), and Auburn University to determine the industry best practices.

As a legislative branch entity, many laws and regulations that apply to executive branch agencies do not apply to USCP. We believe, however, that those laws and regulations represent appropriate guidance and industry best practices for USCP. We contacted four Federal K-9 Units

to determine industry practices as well as economy and efficiencies for maximizing mission capability.

We conducted this performance audit in Washington, D.C., from September 2012 through February 2013, in accordance with *Government Auditing Standards*, issued by the Comptroller General of the United States, 2011 revision, referred to as generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives. We discussed our observations and conclusions with management officials on March 15, 2013, and included their comments where appropriate.

# RESULTS

Overall, USCP's K-9 Unit did not establish adequate internal controls and processes that would ensure the integrity of the program. The K-9 Unit did not always comply with or have documentation supporting compliance with guidance or best practice requirements. During this time of budget constraints, K-9 has opportunities to use its limited resources in a more efficient and effective manner.

# Lack of Internal Controls

GAO, Standards for Internal Control in the Federal Government; Appropriate Documentation of Transactions and Internal Control (AIMD-00-21.3.1, November 1, 1999), states:

...that internal control and all transactions and other significant events need to be clearly documented, and the documentation should be readily available for examination. The documentation should appear in management directives, administrative policies, or operating manuals and may be in paper or electronic form. All documentation and records should be properly managed and maintained.

However, the K-9 Unit did not establish adequate internal controls and processes that would ensure the integrity of the K-9 program. For example, K-9 did not maintain an internal control manual or written internal control procedures. While it used practices for such areas as inventory management and training, K-9 did not document the practices. As a result, its practices were not readily available for review nor had K-9 documented a repeatable business process.

Without official and written guidance, practices may lead to misunderstandings and noncompliance with practices. For example, K-9's practice was to distribute dog food to each handler, who would sign for the amount issued. Our review of the K-9 Unit's *Dog Food Issue Log* for FY 2012 showed that that only one individual initialed for dog food issued. According to the K-9 Training Supervisor, "handlers may pick up numerous bags of dog food and deliver to other K-9 handlers because some handlers do not always have time to come by and pick up food for their canine." In addition, K-9 did not reconcile records for dog food purchased, distributed, and on-hand. As a result, K-9 did not have an on-going inventory and did not have specific points for reordering, which are common best practices for inventory control. In fact, one-half the cedar chips ordered over 2 years ago remained as inventory. Effective inventory management requires maintaining accurate records that include knowing what supplies were purchased, where those supplies were used, and how much was on-hand. Nevertheless, K-9 needs vast improvement in the area of recordkeeping and analysis of performance data.

The Department's SOPs are not specific as to internal controls, practices, or requirements for best practices. However, canine officials indicated that K-9 attempted to comply with SWGDOG Guidelines as best practices. SWGDOG SC-2 requires recordkeeping and document management. Specifically, the guidance requires that the handler/department/organization document training, certification, proficiency assessments, and discipline-related data. However, K-9 did not maintain training or recertification plans. We observed that the Unit had a monthly training plan on a white board. However, the Unit did not maintain that information, and it was discarded after each month's training. According to the K-9 Training Supervisor, the training staff provides remedial training as needed and tries to recertify teams annually, but there is no specific time period or number of training hours required.

SWGDOG SC-2 states that the handler and certifying official should maintain certification records and each canine team "shall complete a minimum of 16 hours of training per month to maintain and improve the proficiency level of the team." According to Training Tracker—the Department's official training records—there was little evidence of K-9 teams' training supporting the required hours of training. Review of K-9's training database for FYs 2011 and 2012 revealed that none of the K-9 handlers consistently received 16 hours of training each month. According to the K-9 Training Supervisor, K-9 did not recertify any of the handlers during FY 2011 because of higher priorities.

Program management appears to have several areas of challenge. For example, K-9 did not establish a life-cycle program for canines. OIG asked several officials about the life cycle of canines and received different answers. Eventually, the K-9 Training Supervisor stated that the useful life of a canine was between 7 to 10 years. That was not, however, written in policy or procedure. We also requested a complete listing of canines with vital information such as birth date, training date, purchased date, adoption date, and assignment of handler. The information K-9 provided was inconsistent. The training supervisor stated, "If a canine is dropped before the beginning of a class, they are not listed." K-9 also could not provide timely information related to which canines it adopted or purchased during our audit period.

Furthermore, PBIED SOP was in draft form. The February 2009, 1828 Newsletter of the USCP, reports that

K-9 partnered with the Auburn University Canine & Detection Research Institute to evaluate and enhance K-9 protocols, resulting in a favorable review of current K-9 operations and training, but also yielding suggestions to increase effectiveness in both areas. The proposal for the establishment of a PBIED program has been approved in concept and steps are being taken to provide for implementation of this enhancement to K-9 explosive detection, including coordination with the Technical Security Working Group (TSWG).

The proposed effective date of the SOP was June 1, 2009. As of February 1, 2013, however, the Department had not finalized the PBIED SOP.

Well-written and up-to-date policies and procedures help guide managers and supervisors in making decisions, training, and handling employment issues that relate to operations, safety, and health. A policy manual also offers other less obvious benefits such as:

- Communications
- Training resource for training newly hired or promoted supervisors in conducting daily activities
- Written documentation of organizational commitment to employee safety and health
- Saving time; managers and supervisors will not waste time coming up with decisions that others have made before
- Managing complex operations

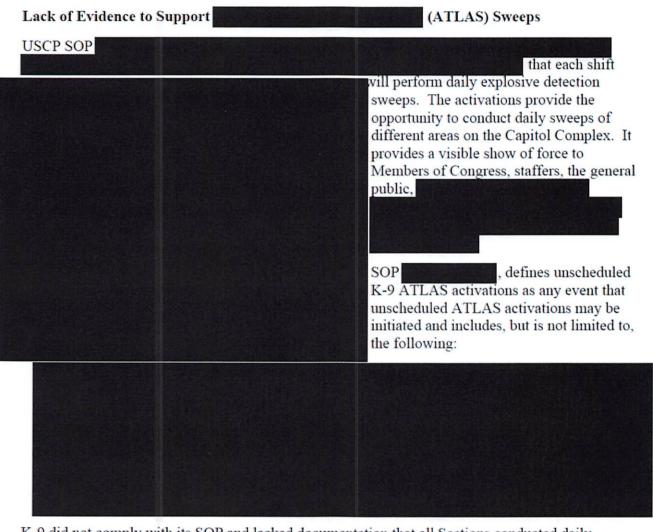
### **Conclusions**

Although K-9 had practices, it also had program management challenges and lacked adequate internal controls and processes that would ensure the integrity of the K-9 Program. K-9 did not maintain an internal control manual or written internal control procedures. In addition, the K-9 training staff did not document annual training or recertification requirements and did not finalize the PBIED guidance. Thus, OIG makes the following recommendation.

Recommendation 1: We recommend the United States Capitol Police, Canine Unit, immediately develop and document cognizant repeatable business processes that include best practices and written internal control policies and procedures addressing program management, inventory management, training, and recertification, and clearly document and communicate those controls to all personnel. In addition, the Canine Unit should finalize and fully implement the Person Borne Improvised Explosive Detection standard operating procedures.

# **Inadequate Evidence to Support Compliance**

K-9 did not always comply with or have adequate documentation that it complied with guidance related to ATLAS sweeps. Supervisors in K-9 also did not prepare required weekly schedules for ATLAS sweeps. Furthermore, according to K-9 officials, USCP requires that personnel meet requirements established in SWGDOG guidelines before applying for the position. However, USCP did not evaluate handlers to the industry best practices once assigned to the K-9.



We compared the Computer Automated Dispatch System (CAD) and PMRD operational databases between October 2 through October 4, 2011, to determine if each Section (1, 2, and 3)10 conducted an ATLAS sweep. The data recorded in the two systems were not consistent. For example, on October 2, 2011, CAD showed Section 1 did not complete an ATLAS sweep, while PMRD showed Section 1 completed two sweeps as shown in Table 2.

Date	Section	ATLAS Sweep (CAD)	ATLAS Sweep (PMRD)
October 2, 2011	1	0	2
	2	0	0
	3	1	1
October 3, 2011	1	0	2
	2	8	143
	3	0	0
October 4, 2011	1	0	2
	2	6	15
	3	0	0

Source: OIG generated from USCP CAD and PMRD data for the period October 2 through October 4, 2011.

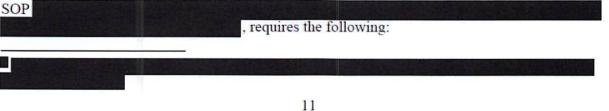
According to the K-9 Unit Commander and Administrative Assistant, all ATLAS sweeps collected are recorded in the PMRD database. The Administrative Assistant stated that all K-9 officers do not have computers in the car; thus, not all of the ATLAS sweeps are recorded in CAD. Other reasons provided for lack of evidence to support all Sections completing ATLAS sweeps was a lack of manpower and human error, and officers not recording the sweep. As a result, we could not determine if each Section complied with the SOP.

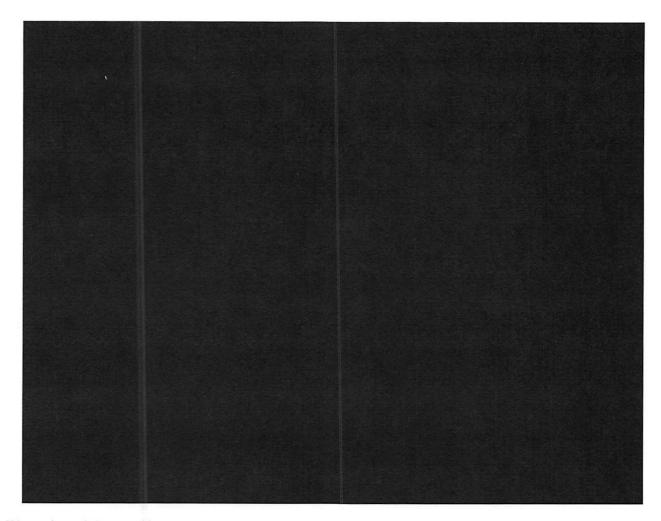
# Lack of Activation Schedules



of compliance and accountability with Department policies and processes over K-9 operations contribute to inefficiencies and consumption of limited resources.

# Weekly Magazine Inspection and Semi-Annual Explosive Inventory





We reviewed the *Weekly Magazine Inspection Checklists* from January 1, 2012, through September 3, 2012, and noted:

- For the weeks beginning January 16, 2012, February 20, 2012, March 12, 2012, April 16, 2012, June 25, 2012, and July 9, 2012, K-9 did not have evidence to support completion of an inspection.
- For the weeks beginning January 2, 2012, February 6, 2012, February 13, 2012, May 28, 2012, August 6, 2012, and September 3, 2012, K-9 completed the weekly inspection 1 day late.
- For the weeks beginning February 13, 2012 and March 26, 2012, only one of the inspectors signed the checklist/log.

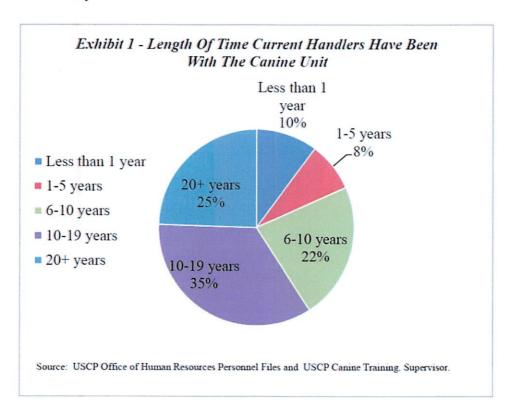
The K-9 Training Supervisor stated that inspections were not always completed in a timely manner because of a lack of resources. According to the Training Supervisor, K-9 has two inspectors assigned to conduct weekly inspections.

The K-9 Unit did not comply with its SOP for weekly magazine inspections. As a result, discrepancies with explosive magazines may not be detected in a timely manner.

### Lack of Handler Reevaluation

SWGDOG SC-5, Selection of Handlers, establishes the requirements to select the best canine handlers. The requirements are outlined in the Department's vacancy announcements for K-9 Technician. SOP requires that each canine team participate in an annual certification process. However, according to the Department's FY 2013 Force Development Business Process, Evaluation of Existing Programs or Projects, "Personnel in the K-9 Unit are not evaluated to the industry best practices while assigned to the K-9 Unit." According to the K-9 Unit's FY 2013 Force Development Business Process, the Department does not consider periodic certification or even re-competition against these best practices before issuing an existing handler another canine when their assigned canine becomes eligible for retirement.

As shown in Exhibit 1, more than 60 percent of the handlers have been with K-9 for more than 10 years, which exceeds the useful life of a canine. <sup>11</sup> In fact, 25 percent have been with K-9 more than 20 years.



Most officers consider K-9 a promotion and career assignment instead of a rotational assignment with specialty pay for serving as a K-9 technician. The most recent K-9 vacancy announcement (May 17,

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<sup>11</sup> USCP determines the useful of a canine as 7 to 10 years.

through June 7, 2011) did show promotion potential and permanent: "no time limit assignment." However, the same announcement also states:

While assigned to Patrol Mobile Response Division as a Canine Handler the incumbent will serve at the rank of Canine Technician upon successful completion of canine training. The incumbent must also successfully complete PMRD Field Training Program. Upon separation (whether voluntarily or involuntarily) from the Canine Unit, the incumbent will be reassigned to his or her prior rank.

As evidenced by the number of applicants for the limited number of vacancies, we concluded that K-9 is a highly sought after assignment. According to Department officials, during that most recent K-9 vacancy announcement, more than 300 applicants applied for "many" positions. OHR qualified 128 officers as eligible for 5 positions. K-9 positions are limited because once assigned to the K-9, the Department does not re-compete handlers to the industry best practices.

According to the K-9 vacancy announcement, "Candidate must have no sustained disciplinary action(s) within the last 18 months for Time/Pay; no warning actions within the last 12 months and no within the past three years of the closing date of this announcement." However, some K-9 technicians received . According to a K-9 official, with the assistance of OHR, K-9 requested removal of at least one technician. The Department did not, however, remove the individual from K-9 and as a result, has no assurance that the Unit is maintaining the best-qualified candidates.

One external review of the USCP K-9 Program identified handler complacency as a problem. An Auburn University Site Visit Report, dated June 2008, states:

The explosives detection canine teams appeared to be very complacent during routine searches. This was extremely bothersome to observe given the importance of each search and the consequences if something is not detected...It appeared the handlers working entry control points were just walking their canines around vehicles and were not ensuring the canine actively sniffed all areas. When searching areas in the Capitol we observed the same behavior.

To determine best practices, OIG contacted K-9 Units of other Federal agencies
. Of those four agencies, three———————————————————————————————————
not have a time limit requirement that a handler could remain in K-9. However, the K-9 Program
for which is more aligned with the K-9 mission of USCP, set a time limit for K-9 handlers.
In a December 3, 2012, interview, a K-9 Sergeant stated that "considers K-9 a
rotational assignment, which is limited to about 8 years, the useful life of an active canine. This
allows to ensure it maintains the best qualified personnel for its K-9 program. This also
permits to provide officers rotational opportunities to enhance their careers and interest in
becoming a K-9 handler."

As previously stated, K-9 technicians did not always comply with established requirements, which we believe indicates a level of complacency. The lack of handler evaluation and annual re-certifications against best practices allow for complacent and under-performing handlers and canines to continue without corrective action and may not be the most efficient and effective manner for achieving the intended purpose of the program and to contribute to the USCP mission. Establishing open competition or a rotational time requirement could boost Department-wide morale, increase cross-training, and offer more opportunities for other officers to join the K-9 program. But most importantly, open competition or a rotation policy would assist in succession planning and team performance.

#### Conclusions

The K-9 Unit did not have adequate documentation supporting that each Section conducted ATLAS sweeps in accordance with SOP as well as weekly magazines inspections. Additionally, K-9 supervisors did not prepare required K-9 ATLAS activation schedules for each Section. More than half of USCP K-9 handlers have been with K-9 for more than 10 years. However, a K-9 official stated that it considered periodic certification or even re-competition against SWGDOG guidelines or best practices before issuing an existing handler another canine when their assigned canine becomes eligible for retirement.

We believe that complacency contributes to a lack of accountability and inefficiencies. Open competition or a rotation policy could assist in developing staff knowledge in all operations/programs and more effective use of staff, which could enhance succession planning, team performance, and overall security of the Capitol Complex. Thus, OIG makes the following recommendations.

Recommendation 2: We reco	ommend that the United States Capitol Police Canine Unit
prepare, document, and reta	in weekly
schedules as well as ensure th	hat supervisors are held accountable for verifying that
data are accurate and that ea	ach Section performs the required daily
sweeps.	

Recommendation 3: We recommend that the United States Capitol Police Canine Unit immediately enforce compliance of Standard Operating Procedure

and ensure that Canine Unit personnel are accountable for noncompliance with the Standard Operating Procedure.

Recommendation 4: The United States Capitol Police should consider periodic recertification or even re-competition against Scientific Working Group on Dog and Orthogonal Detector Guidelines best practices before issuing an existing handler another canine. In addition, open competition or a rotational policy for Canine could enhance team performance and overall security for Capitol Complex; thereby, ensuring the integrity, efficiency, and effectiveness of the Canine Program. In addition, the Department should align the Canine Technician announcement narrative with the announcement heading and include any changes to the Canine Program.

# Opportunities to Use Resources in a More Efficient and Effective Manner

GAO's Standards for Internal Control in the Federal Government<sup>14</sup> requires that agencies monitor on a continual basis during the course of normal operations to help evaluate program effectiveness. Although, K-9 reported performance outputs such as number of sweeps, K-9 did not establish criteria for evaluating its program effectiveness. In fact, the assessment of K-9 during the FY 2014 Force Development Business Process, Operational Services Bureau, K-9 Program Assessment identified the following weaknesses:

- Budget requests are not always explicitly tied to accomplishment of performance goals.
- Program could benefit from efficiency measures to determine the effects of increased workloads and decreases in budget.
- K-9 Program resources may not be protected against waste and inefficiency in the canine donation process.
- K-9 Program may not be maximizing efficiencies in vehicle mileage, fuel consumption and maintenance costs.

K-9 does, however, have numerous opportunities to use its limited resources more efficiently and effectively. For example, K-9 (1) provides retired canines life-time benefits, which are not necessary and may be considered personal expenses, potentially in violation of appropriation law; (2) did not have written guidance about its donated canine program and did not conduct an analysis to determine if the program was efficient and effective or even saved money; and (3) did not use its active canines to their full extent. Additionally, the restriction of mileage for HTW vehicles and K-9 officers earning technician pay for overtime work outside of K-9 would result in additional cost savings and provide an enhanced security benefit.

# Benefits for Retired Canines May Violate Appropriation Law

According to SOP

, canines that "have successfully completed all phases of training...[and have] served the

Department with duty time on the street, but for some reason [were] forced to retire from active duty
on the force," may become the property of active and retired USCP employees who have canine
handling training and/or experience. Under SOP

kenneling privileges, and annual veterinarian examinations, while their owners are permitted to use a
USCP HTW vehicle and administrative leave to transport the retired canine to annual examinations.
In addition, USCP purchases an urn (usually \$250.00) and allows owners to use administrative leave
in connection with a retired canine's care and internment.

<sup>&</sup>lt;sup>14</sup> GAO/AIMD-00-21.3.1, dated November 1999.

Benefits are paid for with USCP appropriated funds. A fundamental principle of Federal appropriations law is that appropriated funds must only be used in accordance with the purposes outlined by Congress in appropriations acts and organic statutes, unless otherwise provided by law. The FY 2012 appropriation for USCP does not discuss those particular types of expenses. Without specific statutory guidance, determining whether expenditures are permitted under appropriations law must then be analyzed under the so-called "necessary expense" doctrine. GAO has typically not allowed the use of appropriated funds under this doctrine for personal expenses, "unless the expenditure primarily benefits the government and the benefit to the employee is incidental." As shown in Table 3, as of August 29, 2012, K-9 had a total of 15 retired canines receiving benefits.

Tal	Table 3 – USCP Retired Canines Receiving Benefits						
#	Name	DOB	Age at Retirement	Retirement Date	Who Adopted?	Reason for Retirement	
1	Chad	October 15, 2002	9.85	August 20, 2012	Handler	Medical	
2	Zepp	April 28, 2004	7.88	March 15, 2012	Handler	Retired with Handler/Aggression	
3	Tag	May 1, 2000	11.40	September 21, 2011	Handler	Retired with Handler	
4	Layne	May 18, 2008	3.31	September 9, 2011	Handler	Regressed Performance	
5	Garritt	July 24, 2005	6.10	August 30, 2011	Handler	Regressed Performance	
6	Eddy	January 1, 2002	9.56	July 21, 2011	Handler	Age/Proficiency	
7	Hawk	November 24, 2001	9.66	July 21, 2011	Handler	Age/Proficiency	
8	Adam	June 15, 2003	8.10	July 21, 2011	Handler	Medical Spine Fusion	
9	Anouk	January 12, 2004	6.66	September 7, 2010	Handler	Retired with Handler	
10	Buffy	October 21, 2001	8.79	August 2, 2010	Handler	Medical Hips and Eyes	
11	Scooby	January 25, 2000	9.96	January 8, 2010	Handler	Age/Hips	
12	Giuli	May 1, 2001	8.70	January 8, 2010	Handler	Program Discontinued*	
13	Ingrid	Canine Retired Prior To Audit Scope, File Not Reviewed					
14	Jammer	Canine Retired Prior To Audit Scope, File Not Reviewed					
15	Niko Canine Retired Prior To Audit Scope, File Not Reviewed						

Source: USCP K-9, Retired Canines Records as of October 31, 2012.

Our review of K-9 expenditures for FYs 2010 through 2012 showed that K-9 did not maintain any detailed costs for either active or retired canines. As a result, we were unable to determine the actual cost for retired canines.

The purchase of dog food, kenneling privileges, veterinarian examinations, transportation, and an urn with appropriated funds for retired canines appears to be personal expenses that would typically be borne by the individual handlers who own the retired canines, and not the Government. In addition, USCP may be at risk for liability for any injuries caused by a retired canine if it is perceived that USCP still owns the canine by providing administrative leave and transportation to the canine and owner. The costs are questionable and potentially funds put to better use.

<sup>\*</sup>Urban Search and Rescue Program.

<sup>15 31</sup> U.S.C. § 1301; see 1 GAO, Principles of Federal Appropriations Law 4-6 (3d ed. 2004) (GAO Redbook).

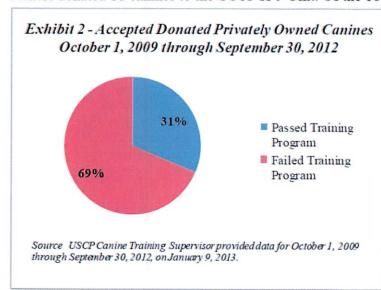
# Data Analysis Needed to Determine the Effectiveness of Donated Canines

K-9 did not analyze data to determine the effectiveness of donated canines. For example, K-9 did not track the costs of donated canine or time spent by training staff researching or responding to evaluate potential canines. K-9 could not provide any written guidance pertaining to donated canines' recruitment, training, and deployment.

The Department receives donations of dogs from private citizens and other Federal agencies. It also purchases dogs from vendors and as well as other Federal agencies. The *Legislative Branch Appropriations Act of 2005* authorized USCP to accept donations of animals to be used in the canine units beginning with FY 2005 and each fiscal year thereafter. According to the K-9 Training Supervisor, the purpose of the donated canine program was to save money. However, since enactment, K-9 has not conducted an analysis to determine if the program was efficient and effective.

# Private Donations

Based on information compiled by the K-9 Training Supervisor, between 2010 and 2012, private owners donated 16 canines to the USCP K-9 Unit. Of the 16 donated canines, or about 31 percent, 5



passed the training program and became active canines as shown in Exhibit 2

K-9 placed the other 11 donated canines up for adoption. During that same period, K-9 retired two canines adopted from private owners prior to 2010 as a result of performance regression.

According to the K-9 Training Supervisor, there is no set time limit that a donated canine can spend in the training program. When K-9 determines that a donated canine will not

successfully complete the program, the dog is removed from training. Some dogs are removed in a few days but the average time is 30 to 60 days before failing canines are placed on the adoption request list. The Training Supervisor estimated that it cost about \$35,000 annually to train and keep a donated canine. Costs include:

- labor plus fuel costs to evaluate a canine away from the Canine Training Facility
- labor to evaluate a canine at the Canine Training Facility
- labor researching the internet for canines for donation

- · labor costs for 60 days of training
- kenneling/boarding, food, and medical care costs

We contacted four other Federal agencies' K-9 Units to determine best practices. None of the other agencies K-9 Units accepted private donations of dogs from the public.

#### Government Donations

As shown in Table 4, other Government entities donated 12 canines to USCP K-9 between 2010 and 2012.

Table 4 - Donated Canines from Government Entities				
Entity that Donated Canine to USCP	Number of Canines Donated			
	5			
	6			
	1			
Total	12			

Source: USCP K-9 Training Supervisor as of December 31, 2012.

#### Purchases from Vendors

K-9 contracts state that the Department is authorized to purchase a canine from Auburn University Canine Detection Training Center for \$6,000. Further, the Department can purchase a PBIED dog plus canine/handler detection team training for \$20,000 plus lodging, food, and transportation costs. Canines purchased from Auburn are covered by an 18-month replacement guarantee for genetically linked conditions and a 12-month replacement guarantee for performance.

K-9 did not track costs or maintain adequate records related to the canine donation program. Because of the low success rate of privately donated canines in the training program, we believe that K-9 resources could be put to better use purchasing and training canines with a replacement guarantee.

#### More Efficient and Effective Use of Active Canines

K-9 has opportunities to use its canines in a more efficient and effective manner. According to the 2013 Force Development Business Process, Evaluation of Existing Programs or Projects, K-9 does not consider five active canines assigned to Sergeants in its daily operational manpower obligations. In addition, K-9 retired an active canine without adequate evidence to support such a decision. We further identified trained canines not used in PBIED operations. Review of the

records showed that K-9 left one dog in its kennel for more than 16 months before assigning the canine to a handler.

K-9 Sergeants are required to perform administrative duties, manage operations, and supervise subordinates. Thus, canines assigned to Sergeants are not always used in daily operations. We believe that assigning the five active canines to technicians rather than Sergeants would provide additional manpower on posts and more canines available for out-of-town deployments.

According to K-9's New Business Case, PBIED Canine Program Study, PBIED is cutting-edge technology and not pursuing it now will put the Department at a disadvantage later. As of December 31, 2012, K-9 had seven PBIED canines. However, K-9 deployed only two PBIED canines daily. K-9 has assigned four canines to trainers and moved one canine to another shift. Thus, those canines are not always available for PBIED operations. Further, the K-9 Training Supervisor stated that are not always available to run the PBIED program. If K-9 deployed all of the PBIED canines to technicians rather than trainers, not only would additional security be provided to the Capitol Complex but also more efficient use of resources.

As an example of inefficient use of resources, K-9 acquired Canine Bessie from Auburn University's Canine Detection Training Center on September 23, 2011, at a cost of about \$20,000 (dog and training). The team completed the USCP Basic Canine Explosive Detection PBIED Training Course from September 26, 2009, to November 18, 2011. However, since November 1, 2012, operation schedules showed the team was not working during PBIED hours. Most surprising, according to the Canine Training Supervisor, the team was moved to a different shift and is no longer considered part of the PBIED program.

Our review of canine records showed K-9 retired Canine Layne without evidence to support such a decision. The K-9 Training Supervisor stated that the canine had regressed. However, we found no evidence of regression. In fact, K-9 did not justify or seek permission to retire Layne until 4 days after the handler adopted the dog. Our review of Layne's training records showed no indication of regression.

According to statistics from the Canine Unit's training database, from June to August 2011, the 3 months leading up to the canine's retirement, Layne and the handler had a team average of 100 percent and received 1.5 hours of training. Layne and the handler had an overall team average of 96 percent for FY 2011. According to the adoption papers, Layne was retired and adopted by its handler on September 9, 2011. K-9 did not inform or request approval of Layne's retirement until September 13, 2011, in an email exchange. In that same email exchange, K-9 informed management that Layne had regressed in training and the handler was available for PBIED training. At least one official stated it appeared that K-9 retired Canine Layne so the handler could attend advanced training. See Appendix C for a detailed timeline of Canine Layne.

We also noted another example of unproductive use of resources. The kennel card showed Canine Dutch had been in the kennel since July 6, 2011, which as of October 1, 2012, was a period of 16 months. According to the K-9 Training Supervisor, Dutch was difficult to handle and some technicians feared the dog. K-9 assigned Dutch to a handler in December 2012. All of these examples are an inefficient use of resources and potentially wasteful spending.

#### Home-To-Work Vehicles

According to USCP's draft SOP the use of a HTW Department vehicle to transport a Department canine will increase the efficiency and economy of the Department; such use is not for the purpose of personal comfort and convenience. Yet, according to the FY 2013 Force Development Business Process Self-Assessment, K-9 issued canines to five supervisory Sergeants, which entitles them to a HTW vehicle to transport the canine. However, as stated before, these canines are not included in the daily manpower obligations.
The draft SOP states that "assignment to the Canine Unit will require, as a condition of the assignment that new handlers selected to the unit reside within 50 miles of the United States Capitol "However, our analysis revealed that of 50 handler technicians, or 16 percent, 8 of the K-9 technicians as of October 1, 2012, with HTW vehicles lived more than 50 miles from the Canine Training Facility".
According to OPOL, work started on the draft SOP  The draft document was revived in either 2007 or 2008, but again was never authorized. In 2010, there was an effort to develop an entire policy (versus an SOP), which was 90-percent completed.
We contacted four other Federal agencies' K-9 Units to determine best practices. Three of the four agencies did not have any mileage restriction. The other agency recently established a 50-mile requirement for its HTW vehicles in an effort to use its resources in a more efficient and effective manner.

# K-9 Officers Work Overtime Hours Outside of K-9 Capacity, But Earn Technician Rate of Pay

OIG identified another potential cost-saving measure during our K-9 audit. We noted that K-9 officers are permitted to work overtime hours outside of the K-9 capacity while still earning technician pay. There is a difference in pay between a K-9 technician and a non-technician officer. For example, a non-technician officer earns an average of about \$46 an hour for overtime, while K-9 technicians earn about an average of \$70 an hour for overtime a difference of \$24 an hour.

We requested that three offices (Budget, OHR, and PMRD) identify overtime hours worked by K-9 technicians while in a non-K-9 capacity. None the offices could provide accurate and complete data for that type of overtime. The condition existed because the Department has not assigned a method or code in its time and attendance system to identify this type of overtime.

PMRD's Administrative Assistant estimated that during FYs 2010 through 2012, K-9 officers worked about 6,800 hours outside of K-9 (not utilized as K-9 technician). The Administrative Assistant emphasized, however, that the number of hours could be a low number because the Department does not specifically identify overtime earned by a K-9 technician in a non-technician status. Based on the number of hours identified and an average rate of pay for non-technician officers and K-9 technicians, our analysis showed a potential cost avoidance or savings of about \$160,000 during October 1, 2009, through September 30, 2012, as shown in Table 5.

Table 5 – Overtime Hours Worked by K-9 Officers in non K-9 Capacity    Non-						
Fiscal Year	Capacity	Rate	Value	Rate	Value	Savings
2010	3,271	\$46	\$150,466	\$70	\$228,970	\$78,504
2011	2,564	\$46	\$117,944	\$70	\$179,480	\$61,536
2012	917	\$46	\$42,182	\$70	\$ 64,190	\$22,008
Total	6,752		\$310,592		\$472,640	\$162,048

Source: PRMD Administrative Assistant provided overtime hours in a non-technician status for the period October 1, 2009 through

September 30, 2012.

OHR provided rate of pay.

Numbers rounded to nearest dollar.

K-9 officers charged the majority of the overtime hours identified as in a non-technician status to "FTE [full-time equivalent] Shortage-Detailed to Capitol," "FTE Shortage-Detailed to House," and "FTE Shortage-Detailed to Senate." According to the PMRD Administrative Assistant, if a K-9 officer picked up overtime within PMRD it would not show differently from K-9 overtime in the payroll system. Therefore, the reports may not include all of the overtime K-9 technicians worked in a non-technician status between FY 2010 and FY 2012.

#### Conclusions

The USCP provision of dog food, kenneling privileges, veterinarian examinations, transportation, and an urn for active or retired USCP employees who own retired canines may violate appropriations law. A formal opinion from GAO may be necessary to unquestionably establish whether the expenditures are personal expenses that should be borne by the Government.

K-9 did not track costs or maintain adequate records. However, as a result of the low success rate of privately donated canines in the training program, it appears K-9 resources could be put to better use purchasing and training canines with a replacement guarantee. Furthermore, K-9 was unable to provide policies and procedures specific to the donated canine program.

The Department has opportunities to use its resources in a more efficient and effective manner. K-9 issued canines to five supervisory Sergeants, which entitles them to a HTW vehicle to transport the canine, but their canines are not included in the daily manpower obligations. In addition, K-9 did not fully use PBIED canines in daily operations. Further, the Department has not finalized it PBIED or HTW guidance. As a result, 16 percent of the K-9 technicians with HTW vehicles live more than 50 miles from the Capitol K-9 officers work overtime hours outside of the K-9 capacity while still earning technician pay. There is a difference in pay between a K-9 technician and a nontechnician officer. In addition, the Department did not track or code the overtime in its time and attendance system. The Department could potentially realize a cost saving by reducing or restricting overtime for K-9 technicians in a non-technician capacity. To ensure that USCP maximizes its

mission capability and uses its scarce resources in the most efficient and effective manner, OIG recommends the following.

<u>Recommendation 5</u>: We recommend that the United States Capitol Police establish performance criteria for evaluating its Canine Program's effectiveness.

<u>Recommendation 6</u>: We recommend that the United States Capitol Police stop using appropriated funds to provide benefits and privileges to United States Capitol Police employees who own retired canines until a Government Accountability Office decision is requested and rendered.

<u>Recommendation 7</u>: We recommend that the United States Capitol Police Canine Unit immediately establish written policies and procedures for the donated canine program and evaluate the cost-effectiveness of accepting privately donated canines for its canine training program.

Recommendation 8: We recommend the United States Capitol Police Canine Unit protect against waste and inefficiency in use of its canines. Specifically, (1) include Sergeants' canines in the daily operational manpower obligations by assigning the active canines to K-9 technicians, (2) use all Person Borne Improvised Explosive Detection canines in Person Borne Improvised Explosive Detection operations, (3) establish protocols and document authorization for canine retirement, and (4) develop a timeframe that a canine can remain kenneled until assigned to a handler/technician or placed on the adoption list.

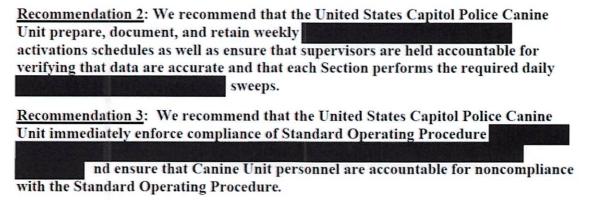
Recommendation 9:	We recommend that the	ne United Sta	ates Capito	l Police	finalize its
draft Standard Oper	ating Procedure				
	thereby, use its scar	ce resources	in a more e	efficient	and
effective manner.	<del></del>				

Recommendation 10: We recommend that the United States Capitol Police establish a code in its time and attendance system to capture overtime for Canine Unit technicians worked in a non-Canine Unit capacity while earning technician pay. The Department also should seek a legal opinion as to whether Canine Unit technicians should be paid at the higher rate while working overtime in a non-Canine Unit capacity. Additionally, the Department should consider reducing or restricting overtime for Canine Unit technicians in a non-Canine Unit capacity, which could result in a potential cost savings.

# **APPENDICES**

# Listing of Recommendations

Recommendation 1: We recommend the United States Capitol Police, Canine Unit, immediately develop and document cognizant repeatable business processes that include best practices and written internal control policies and procedures addressing program management, inventory management, training, and recertification, and clearly document and communicate those controls to all personnel. In addition, the Canine Unit should finalize and fully implement the Person Borne Improvised Explosive Detection standard operating procedures.



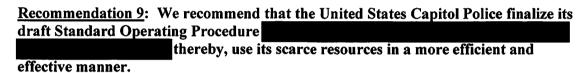
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# DEPARTMENT COMMENTS



UNITED STATES CAPITOL POLICE

119 D STREET, NE WASHINGTON, DC 20510-7218

March 15, 2013

**MEMORANDUM** 

COP 130216

TO:

Ms. Fay Ropella

Acting Inspector General

FROM:

Kim C. Dine

Chief of Police

SUBJECT: Response to Office of Inspector General (OIG) draft report on its Performance

Audit USCP Canine (K-9) Program (Report No. 0IG-2013-04)

The purpose of this memorandum is to provide the United States Capitol Police response to the recommendations contained within the Office of the Inspector General's (OIG's) draft report Performance Audit USCP Canine (K-9) Program (Report No. OIG-2013-04).

The Department agrees with all of the recommendations and appreciates the opportunity to work with the OIG to further improve upon current policies and procedures currently in place within the Department's K-9 Program. The Department will assign Action Plans to appropriate personnel regarding each recommendation in effect to achieve long term resolution of these matters.

Thank you for the opportunity to respond to the OIG's draft report. Your continued support of the men and women of the United States Capitol Police is appreciated.

Very respectfully,

Kim C. Dine Chief of Police

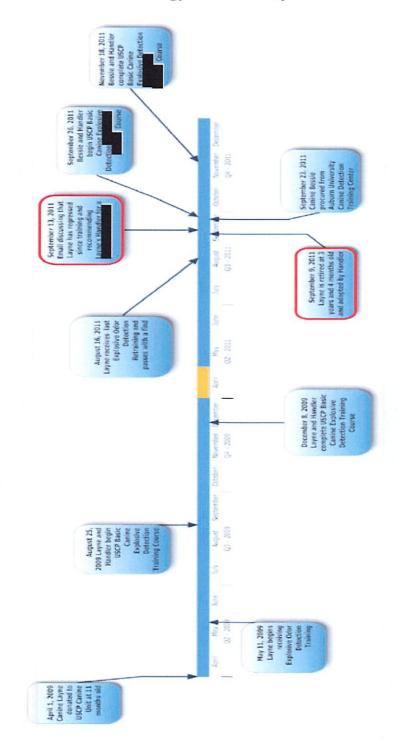
Richard L. Braddock, Chief Administrative Officer

Thomas P. Reynolds, Assistant Chief of Police

USCP Audit Liaison

Nationally Accredited by the Commission on Accreditation for Law Enforcement Agencies, Inc.

# Chronology - Canine Layne



# FRAUD, WASTE, ABUSE AND MISMANAGEMENT

of Federal programs and resources hurts everyone.

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HOTLINE 1 (866) 906-2446

or email OIG@uscp.gov to report illegal or wasteful activities.

You may also write to: Office of Inspector General United States Capitol Police 499 S. Capitol St., S.W. Suite 345 Washington D.C. 20510

Please visit our website at http://www.uscapitolpolice.gov/oig.php