



UNITED STATES CAPITOL POLICE OFFICE OF INSPECTOR GENERAL

Assessment of the United States Capitol Police Leadership Training Program

Report Number OIG-2020-07

March 2020

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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 OIG prepares 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. Our work was based on interviews with employees and officials of relevant agencies and institutions, direct observation, and a review of applicable documents.

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

I express my appreciation to those contributing to the preparation of this report.

Michael A. Bolton,
Inspector General

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Abbreviations and Acronyms

Fiscal Year	FY
Office of Inspector General	OIG
Performance Evaluation and Communication System	PECS
Supervisory Leadership Training Program	SLTP
Training Services Bureau	TSB
United States Capitol Police	USCP or the Department

EXECUTIVE SUMMARY

In accordance with our *Annual Performance Plan Fiscal Year 2020*, dated October 2019, the Office of Inspector General (OIG) conducted an assessment of the United States Capitol Police (USCP or the Department) Leadership Training Program.

Our objectives were to determine whether (1) sworn supervisors received leadership training prior to and after promotion, and (2) that training aligned with policies, procedures, laws, regulations, and best practices. Our scope of the assessment included training received as of September 30, 2019.

The Training Services Bureau (TSB) is responsible for planning, developing, and implementing Department-wide training programs. The Department's primary leadership and supervisory training is part of its Supervisory Leadership Training Program (SLTP). The training is 3 weeks long and includes a 1-week West Point Leadership Program course and 2 weeks of USCP specific leadership training.

The Department also had other programs allowing certain supervisors to receive additional leadership training. For example, in prior years, some employees could participate in executive leadership training programs through Johns Hopkins University. The Department routinely had opportunities to send sworn supervisors to the Federal Bureau of Investigation's National Academy where they would receive training in Leadership Development. Beginning in 2020, the Department can recommend sworn employees at the ranks of Inspectors and above for the Master's Degree Program at the Naval Postgraduate School's Center for Homeland Defense and Security.

One critical role that Department leaders and supervisors engage in is the annual Performance Evaluation and Communication System (PECS). During fiscal year 2019, the Department required its supervisors to take the PECS Toolkit Training course. The course trained supervisors on administering annual performance evaluations and the best methods for communicating performance weaknesses with employees they supervise.

While it had a program providing new Sergeants and Lieutenants with leadership training, the Department did not offer formalized leadership refresher training to Supervisors. The Department also did not offer leadership training to develop future potential leaders. Without appropriate supervisory and leadership training, Department leaders may have lacked the leadership skills necessary to perform their jobs.

OIG made two recommendations as shown in Appendix A. On March 3, 2020, OIG provided a draft report to Department officials for comment. We incorporated the Department's comments and attached the response to the report in its entirety in Appendix B.

BACKGROUND

The Training Services Bureau (TSB) is responsible for planning, developing, and implementing Department-wide training programs. It is also responsible for preparing Department employees to act decisively and correctly in a broad spectrum of situations, for improving overall productivity and effectiveness, and for fostering cooperation and unity of purpose.

The Department's Supervisory Leadership Training Program (SLTP) is a 3-week training course that new Sergeants and Lieutenants attend. The course consists of 1 week of a West Point Leadership Program training course and 2 weeks of USCP specific leadership training. A former Department official teaches the course.

The Department also provides other training opportunities designed to help develop leadership and supervisory skills. For example, annual in-service training is provided to sworn and civilian employees, supervisors, mid-level managers, and command staff and includes leadership and supervisory elements.

Some supervisors had an opportunity to participate in several other leadership training programs. For example, in prior years, some employees participated in executive leadership training programs through Johns Hopkins University. Additionally, USCP routinely sent sworn supervisors to the Federal Bureau of Investigation's National Academy where they received training in Leadership Development. Beginning in 2020, the Department can recommend sworn employees at the ranks of Inspectors and above for the Master's Degree Program at the Naval Postgraduate School's Center for Homeland Defense and Security.

One critical role that Department leaders and supervisors engage in is the annual Performance Evaluation and Communication System (PECS). During fiscal year (FY) 2019, the Department required that supervisors take the PECS Toolkit Training course designed to educate supervisors on administering annual performance evaluations and the best methods for communicating performance weaknesses with employees they supervise.

OBJECTIVES, SCOPE, AND METHODOLOGY

Our objectives were to determine whether (1) sworn supervisors received leadership training prior to and after promotion, and (2) training aligned with policies, procedures, laws, regulations, and best practices. Our scope of the review included training received as of September 30, 2019.

To accomplish our objectives, we interviewed USCP officials to gain an understanding of the TSB and USCP leadership training. We also reviewed the following laws, guidance, and industry best practices:

- Commission on Accreditation for Law Enforcement Agencies, *Standards on Training and Career Development*, dated July 2006
- Government Accountability Office *Standards for the Internal Controls in the Federal Government*, GAO-14-704G, dated September 2014
- USCP Bulletin [REDACTED], dated October 10, 2018
- USCP Directive [REDACTED], dated October 15, 2018
- USCP Bulletin [REDACTED], dated April 1, 2019
- USCP Bulletin [REDACTED], dated April 9, 2019
- 5 CFR § 412.202, *Systematic Training and Development of Supervisors, Managers, and Executives*

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.

In order to assess the Department's compliance with laws, regulations, and guidance, we interviewed an official from TSB to gain a better understanding of leadership training offered to Sergeants and Lieutenants. We also requested the training records of Sergeants and Lieutenants as of September 30, 2019.

OIG conducted this assessment in Washington, D.C., from December 2019 through February 2020. We did not conduct an audit, the objective of which would be the expression of an opinion on Department programs. Accordingly, we did not express such an opinion. OIG did not conduct this assessment in accordance with generally accepted government auditing standards. Had we conducted an audit and followed such standards, other matters might have come to our attention.

On March 3, 2020, we provided a draft copy of this report to Department officials for comment. A list of recommendations is detailed in Appendix A. We incorporated Department comments as applicable and attached the response to the report in its entirety as Appendix B.

RESULTS

Although it had a program providing new Sergeants and Lieutenants with leadership training, the Department lacked policies addressing the frequency of leadership training. The Department also did not offer Sergeants and Lieutenants leadership training prior to promotion.

Leadership Training Received by Department Leaders

The Department's Supervisory Leadership Training Program (SLTP) is a 3-week training course that new Sergeants and Lieutenants take. The course contains 1 week of a West Point Leadership Program training course and 2 weeks of USCP specific leadership training. A former Department official teaches the course.

The Department also provided other training opportunities that help develop leadership and supervisory skills. For example, annual in-service training is provided to sworn and civilian employees, supervisors, mid-level managers, and command staff and includes leadership and supervisory elements.

Some supervisors had an opportunity to participate in several other leadership training opportunities. For example, in prior years, some employees participated in executive leadership training programs through Johns Hopkins University. Additionally, the Department routinely sent sworn supervisors to the Federal Bureau of Investigation's National Academy where they received training in Leadership Development. Beginning in 2020, the Department can recommend sworn employees at the ranks of Inspectors and above for the Master's Degree Program at the Naval Postgraduate School's Center for Homeland Defense and Security.

One critical role that Department leaders and supervisors engage in is the annual PECS. During FY 2019, the Department required that supervisors take the PECS Toolkit Training course designed to educate supervisors on administering annual performance evaluations and the best methods for communicating performance weaknesses with employees they supervise.

Non-compliance with Best Practices

The Department did not offer formalized leadership refresher training to supervisors. In addition, the Department did not offer Sergeants and Lieutenants leadership training prior to promotion.

Lack of Refresher Training

The Department did not offer formalized leadership refresher training to supervisors. Section 412.202, title 5 of the Code of Federal Regulations (5 CFR § 412.202) requires that agencies provide follow-up training for supervisors, managers, and executives at least once each 3 years. Although USCP is not required to follow executive branch regulations, the regulations often serve as best practices in the Federal Government.

The Department did not establish a requirement for supervisors to obtain refresher leadership or supervisory training. Without up-to-date training, leaders may have lacked proper training to be effective supervisors.

Lack of Training Prior to Promotion

The Department did not offer Sergeants and Lieutenants leadership training prior to promotion. 5 CFR § 412.202 states that agencies should develop a training program “for the development of individuals in supervisory, managerial and executive positions, as well as individuals whom the agency identifies as potential candidates for those positions.” Although USCP is not required to follow executive branch regulations, the regulations often serve as best practices in the Federal Government. An official from TSB stated that except in rare instances USCP provides new Sergeants and Lieutenants leadership training only after promotion.

The Department did not have a program in place for training future leaders prior to promotion. New Sergeants and Lieutenants may lack the training needed to be effective supervisors. Although USCP is not required to follow executive branch regulations, the regulations often serve as best practices in the Federal Government.

Conclusions

While it developed a leadership training program for new Sergeants and Lieutenants, the Department did not comply with best practices and policies such as providing refresher leadership training or creating a training program to develop future leaders, therefore, OIG makes the following recommendations:

Recommendation 1: We recommend that the United States Capitol Police consider implementing a policy requiring that supervisors obtain refresher leadership training. The policy should include controls for ensuring that the Department actively monitors dates of completion for required personnel.

Recommendation 2: We recommend that the United States Capitol Police consider implementing a program that provides leadership training to Sergeants and Lieutenants prior to promotion.

APPENDICES

List of Recommendations

Recommendation 1: We recommend that the United States Capitol Police consider implementing a policy requiring that supervisors obtain refresher leadership training. The policy should include controls for ensuring that the Department actively monitors dates of completion for required personnel.

Recommendation 2: We recommend that the United States Capitol Police consider implementing a program that provides leadership training to Sergeants and Lieutenants prior to promotion.

DEPARTMENT COMMENTS



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UNITED STATES CAPITOL POLICE

OFFICE OF THE CHIEF
119 D STREET, NE
WASHINGTON, DC 20510-7218
March 13, 2020

COP 191468

MEMORANDUM

TO: Michael A. Bolton
Inspector General

FROM: Steven A. Sund
Chief of Police

SUBJECT: Response to Office of Inspector General draft report *Assessment of the United States Capitol Police Leadership Training Program* (OIG-2020-07)

The purpose of this memorandum is to provide the United States Capitol Police response to the recommendations contained within the Office of Inspector General's (OIG) draft report *Assessment of the United States Capitol Police Leadership Training Program* (OIG-2020-07).

The Department generally agrees with the recommendations and appreciates the opportunity to work with the OIG to further improve upon the policies and procedures in place for the Leadership Training Program. The Department will assign Action Plans to appropriate personnel regarding each recommendation in effect in order 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 women and men of the United States Capitol Police is appreciated.

Very respectfully,

A handwritten signature in blue ink, appearing to read "S. A. Sund".

Steven A. Sund
Chief of Police

cc: Assistant Chief Chad B. Thomas, Uniformed Operations
Assistant Chief Yogananda D. Pittman, Protective and Intelligence Operations
Richard L. Braddock, Chief Administrative Officer
[REDACTED] USCP Audit Liaison

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Washington, DC 20003*



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Washington, DC 20003*



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