



United States Capitol Police Office of Inspector General

ANNUAL PERFORMANCE PLAN Fiscal Year 2020

OIG-2020-01

October 2019



Message from the Inspector General



I am pleased to present the United States Capitol Police (USCP or the Department) Office of Inspector General (OIG) *Annual Performance Plan Fiscal Year (FY) 2020*. This document describes how OIG will achieve its mission of promoting economy, efficiency, effectiveness, and integrity while monitoring Department operations and programs. In setting goals and objectives, OIG develops its Annual Performance Plan with the *OIG Strategic Plan* for the next 5 fiscal years, along with the Department's Strategic Plan for the next 5 fiscal years. The Department's Strategic Plan for FY 2020 – 2024 is currently under review and revision. OIG aligned this Annual Performance Plan with the current *OIG Strategic Plan for FY 2014 – 2019* and the *USCP Strategic Plan for FY 2015 – 2019*. This performance plan reflects the work OIG believes is a priority as well as necessary for providing effective oversight of USCP programs and activities. As our Nation addresses its fiscal challenges, OIG anticipates that fewer resources will be available for carrying out its mission in FY 2020. To ensure that we direct our resources to areas of highest risk and vulnerability, adjustments to the plan may be necessary throughout the year.

As the *Quality Standards for Federal Offices of Inspector General* and our protocols require, OIG surveyed stakeholders in assessing the nature, scope, and inherent risks of Department programs and operations. That assessment formed the basis for establishing our strategic and annual performance plans, including objectives, and the scope of work that OIG plans to accomplish during FY 2020. We developed and published this annual plan based on OIG's continuing commitment to our strategic goals:

- Strengthening USCP's ability to implement security protocols and measures to respond promptly and to safely return Congress to its normal operations
- Reducing program vulnerabilities and strengthening program integrity and stewardship over its resources
- Supporting USCP in implementing management improvement initiatives
- Striving for a highly qualified and diverse workforce with the tools and training necessary to continuously enhance OIG's ability to fulfill its mission and communicate its accomplishments

Based on OIG's continuing commitment to strategic goals—adapted to respond to key developments and carry out new and ongoing responsibilities—we present this *Annual Performance Plan FY 2020*. We look forward to working productively with Congress, the USCP Board, and the Department to promote accountability, integrity, and effective delivery of USCP operations and programs.

A handwritten signature in black ink, which appears to read "Michael A. Bolton". The signature is written in a cursive, slightly stylized font.

Michael A. Bolton
Inspector General

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Introduction

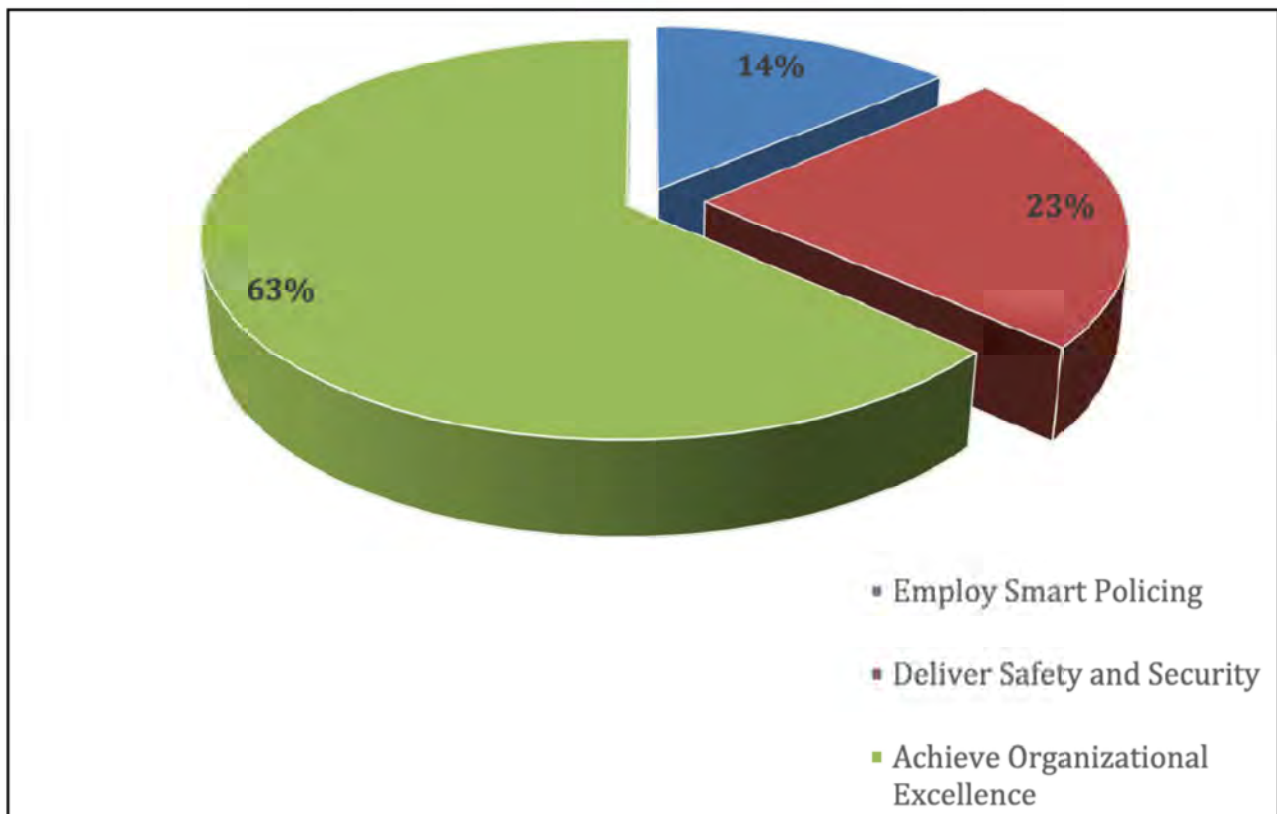
The United States Capitol Police (USCP) Office of Inspector General (OIG) Strategic Plan for FY 2020 – 2024, which is under revision, pending receipt of the Department’s Strategic Plan for FY 2020 – 2024, sets forth our mission, vision, and goals for 5 years. OIG plans to provide positive return on U.S. taxpayer investments by asking the following critical questions of work we plan to undertake: Are we addressing the most important matters? Are we adding value, achieving positive change, or significant results? And, are we making USCP programs and operations more efficient and effective?

OIG presents in this annual performance plan for projects it intends to undertake during FY 2020 in support of our current strategic plan.

Resources and Organization

OIG assessed projects proposed for this annual plan in terms of the availability of the required resources to accomplish this work. As shown in the chart below, OIG plans to allocate organizational resources during FY 2020 to the following USCP strategic goals.

**FY 2020 Office of Inspector General
Resource Alignment to Current USCP Strategic Goals**



Source: OIG Annual Performance Plan Fiscal Year 2020.

FY 2020 Performance Plan

Planned priority work that supports the strategic performance goals and management challenges for FY 2020 follows. We include expected benefits or results as well as the origin of the project, including carryover work from previous years.

Project Title	USCP Strategic Performance Goal	Management Challenge	Expected Benefits or Results	Origin
Audit of FY 2019 Financial Statements	Achieve Organizational Excellence	Financial Management	Improved Financial Performance	Mandate Carryover
Management Letter Related to the Audit of FY 2019 Financial Statements	Achieve Organizational Excellence	Financial Management	Improved Financial Performance	Mandate Carryover
[REDACTED]	Deliver Safety and Security	Security	Improved Security and Operational Performance	Board Request
[REDACTED]	Deliver Safety and Security	Security	Improved Security and Operational Performance	Board Request
Review of Office of Professional Responsibility	Achieve Organizational Excellence	Security	Improved Security and Operational Performance	Oversight
Review of Member District Office Security Program	Deliver Safety and Security	Security	Improved Security and Operational Performance	Discretionary
Review Wellness Program	Achieve Organizational Excellence	Security	Improved Security and Operational Performance	Congressional Interest
[REDACTED]	Employ Smart Policing	Security	Improved Security and Operational Performance	Discretionary
Performance Audit of Student Loan Repayment Program	Achieve Organizational Excellence	Financial and Program Management	Improved Financial and Program Performance	Carryover
[REDACTED]	Achieve Organizational Excellence	Security	Improved Operational Performance	Carryover
Review of Discipline Policy and Procedures	Achieve Organizational Excellence	Security	Improved Security and Operational Performance	Congressional Interest
Review First Responders Unit	Deliver Safety and Security	Security	Improved Security and Operational Performance	Discretionary
Audit of FY 2020 Financial Statements	Achieve Organizational Excellence	Financial Management	Improved Financial Performance	Mandate
Management Letter Related to FY 2020 Financial Statements	Achieve Organizational Excellence	Financial Management	Improved Financial Performance	Mandate
Assessment of the USCP, Protective Services Bureau, Division of Intelligence, and Information Analysis Threats Section	Deliver Safety and Security	Security	Improved Security and Operational Performance	Board Request
Performance Audit Transit Subsidies	Achieve Organizational Excellence	Financial and Program Management	Improved Administration and Operations	Discretionary
Review of Occupational Safety Health and Safety	Achieve Organizational Excellence	Various Challenges	Improved Administration and Operations	Discretionary

Project Title	USCP Strategic Performance Goal	Management Challenge	Expected Benefits or Results	Origin
Follow-up Audit of Records Management Program*	Achieve Organizational Excellence	Various Challenges	Improved Administration and Operations	Congressional Interest
Assessment of Police Training Leadership Program	Employ Smart Policing	Various Challenges	Improved Administration and Operations	Congressional Interest
Assessment of Counter-Surveillance Program	Employ Smart Policing	Security	Improved Security and Operational Performance	Congressional Interest
Hotline—receive, review, and investigate complaints	Achieve Organizational Excellence	Various Challenges	Detect and Deter Fraud, Waste, Mismanagement	IG Act Continuous
Fraud Awareness/Integrity Training. OIG training for Department employees and contractors, and others to alert them to fraudulent schemes and practices.	Achieve Organizational Excellence	Financial Management / Human Capital	Minimize Fraud, Waste, Mismanagement Through Training	IG Act Continuous

Source: OIG generated.

*Projects are subject to change based on available resources as well as emerging priorities and needs.

USCP Strategic Goals and Objectives

Strategic Outcomes

Goal 1: Employ Smart Policing

Employ a results-oriented, data-driven approach that effectively meets current and future threats and challenges.

Goal 2: Deliver Safety and Security

Provide safety and security by deploying effective law enforcement services through collaboration, adaptability, and innovation.

Goal 3: Achieve Organizational Excellence

Maximize efficiency and effectiveness through best practices and promote accountability through employee engagement and a positive work environment.



Source: *USCP Strategic Plan for FY 2015 – 2019.*

OIG Strategic Goals and Objectives

Goal 1: Security

Strengthen USCP's ability to implement security protocols and measures to respond promptly and with the right resources to threats, disruptions, or other unlawful activities and to quickly and safely return Congress to its normal operations.

Goal 2: Stewardship Over Resources

Increase the efficiency and effectiveness with which USCP manages internal business processes in support of mission responsibilities and exercises stewardship over its resources.

Goal 3: Management Improvement Initiatives

Support USCP in implementing its management improvement initiatives.

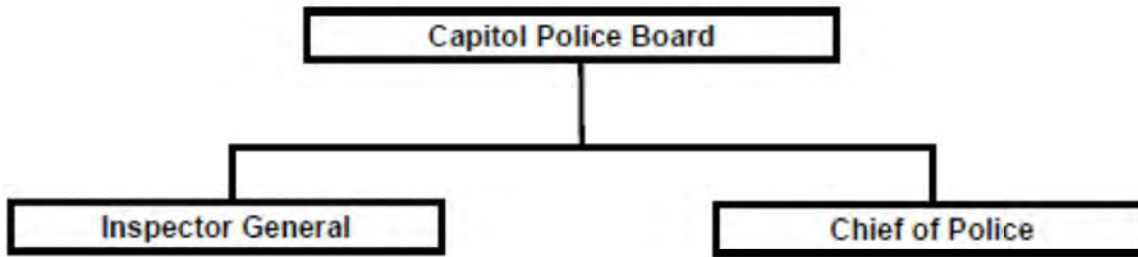
Goal 4: Qualified Diverse Workforce

Strive for a highly qualified, diverse workforce with the tools and training necessary to continuously enhance OIG's ability to fulfill its mission and communicate its accomplishments.

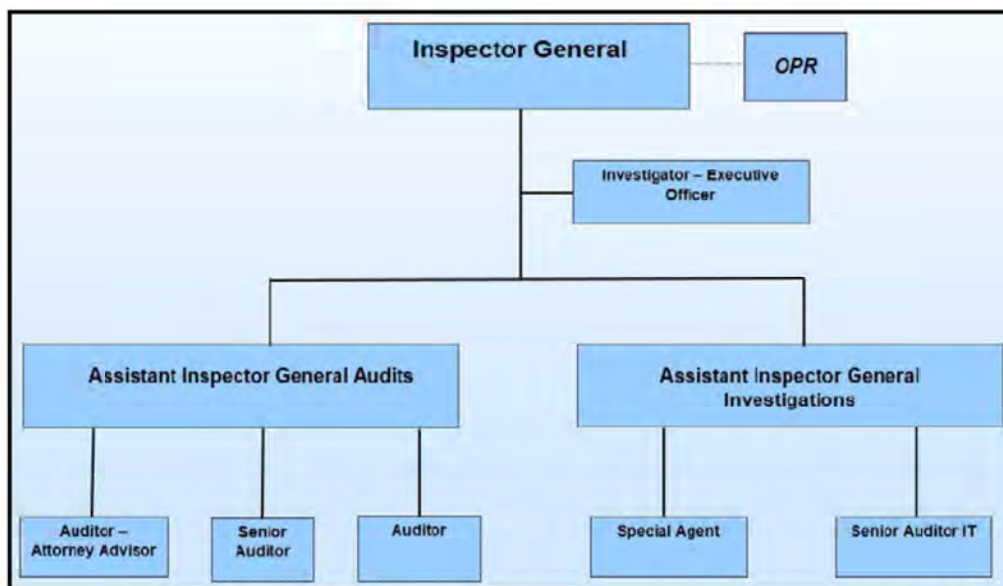


Organizational Charts

Inspector General Chain of Command



OIG Organization Chart



The IG has oversight of the USCP Office of Professional Responsibility (OPR),¹ which has two supervisors, six investigators, and one administrative staff member. Our mission and staffing is such that OIG personnel must be multifaceted in auditing and investigations as well as management. Thus, OIG has emphasized its hiring strategy on staff trained in those disciplines and stressing expertise within security, intelligence, and law enforcement organizations. Position descriptions include audit and investigation as well as management responsibilities.

¹ Section 1909(A), title 2, United States Code [2 USC 1909 (A)] Authority.

The Inspector General may receive and investigate complaints or information from an employee or member of the Capitol Police concerning the possible existence of an activity constituting a violation of law, rules, or regulations, or mismanagement, gross waste of funds, abuse of authority, or a substantial and specific danger to the public health and safety, including complaints or information the investigation of which is under the jurisdiction of the Internal Affairs Division of the Capitol Police as of August 2, 2005.

e. Transfer of functions.

(1) Transfer - To the extent that any office or entity in the Capitol Police prior to the appointment of the first Inspector General under this section carried out any of the duties and responsibilities assigned to the Inspector General under this section, the functions of such office or entity shall be transferred to the Office upon the appointment of the first Inspector General under this section. (2) No reduction in pay or benefits. The transfer of the functions of an office or entity to the Office under paragraph (1) may not result in a reduction in the pay or benefits of any employee of the office or entity, except to the extent required under subsection (d)(2)(A) of this section.

Areas of Responsibility

Audits

Audits is committed to improving the management and conduct of programs and activities by providing its stakeholders with timely, balanced, and credible independent evaluations and financial audits that identify systemic problems and recommend constructive solutions, as well as report best practices.

Audits examines the economy and efficiency of USCP programs and operations, including program results, compliance with applicable laws and regulations, and fair presentation of financial reports. While certified public accountants conduct some audit work under contract to OIG, we oversee the quality of work done by those auditors. OIG also conducts in-house audits in accordance with *Government Auditing Standards* published by the U.S. Government Accountability Office.

Investigations

Investigations is committed to addressing allegations in an independent, objective manner, conducting criminal, civil, and administrative investigations of programs and operations, encouraging professional development, and assisting the Department and agencies in preventing, as well as detecting fraud.

Investigations uses specific law enforcement authorities, tools, and techniques to conduct investigations and prevent fraud, waste, and abuse in the programs and operations of USCP. OIG intends investigative work to result in appropriate actions and resolve allegations and to prevent and deter future instances of illegal or fraudulent acts or misconduct. In addition, Investigations conducts systematic and independent evaluations, inspections, and investigations of operations. Investigations also maintains the OIG Hotline, which is a confidential channel for complaints about violations of law or regulation, gross waste of funds, abuse of authority, or mismanagement.

Administration

Administration is committed to providing the infrastructure to ensure that OIG is able to achieve its mission goals.

Administration ensures that the people, money, technology and equipment, and policies are in place so that OIG can function efficiently and effectively. Responsibilities include asset management, budget formulation and execution, human resources, cross-OIG workplace training, information technology, and policy preparation for OIG. Administration also facilitates OIG's planning and reporting activities and prepares crosscutting documents on OIG accomplishments.

FY 2019 Performance Summary and Results

Our Strategic Plan establishes a life-cycle approach to our outputs that tracks individual actions or critical milestones for identifying the results of our work. OIG met or exceeded performance targets for all five of the performance measures. OIG will keep the same measures in FY 2020 as in FY 2019. The following table illustrates our FY 2019 results in comparison to our performance targets.

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

Performance Measures	FY 19 Target	FY 19 Actual	FY 20 Target
(1) Percentage of OIG completed jobs demonstrating a link to critical, high-risk, or USCP's management challenges. (OIG Goal 1 and 2)	90%	100%	90%
(2) Percentage of recommendations accepted by management. (OIG Goal 1, 2, and 3)	90%	100%	90%
(3) Percentage of projects initiated where OIG presents the findings and recommendations to the Department within established timeframes (for all work projects 6 months from the notification memorandum to issuance of the final report). (OIG Goal 2 and 3)	90%	100%	90%
(4) Percentage of projects accomplished set in our annual plans. (OIG Goal 2 and 3)	90%	92%*	90%
(5) Percentage of professional staff possessing degrees; seeking relevant higher education; maintaining relevant, professional certification and education. (OIG Goal 4)	90%	100%**	100%

Source: OIG generated.

*During FY 2019, OIG adjusted its annual plan to complete an *Analysis of the United States Capitol Police Email Security*, Report Number OIG-2019-06 and a *Management Advisory Report: Pre-employment Psychological Evaluation Contract Issues*, Report Number OIG-2019-11, resulting from our *Analysis of the United States Capitol Police Recruiting Program*, Report Number OIG-2019-09. OIG completed these two additional projects, resulting in OIG carrying over two projects from the FY 2019 Annual Plan. Due to unforeseen OIG workforce limitations and turnover in critical key personnel, OIG was unable to fully complete some jobs during FY 2019, however, OIG started those jobs prior to the end of FY 2019, thus accomplishing OIG's goals of projects in FY 2019.

**All OIG staff members have professional degrees and 55 percent of the staff possess advanced degrees or certifications such as Certified Public Accountant (CPA), Certified Fraud Examiner (CFE), Certified Information System Auditor (CISA), and Juris Doctorate (JD), which will assist in conducting more complex projects such as the annual financial statements and cybersecurity audits. In addition, 67 percent of the investigative staff are also trained in audits and 25 percent of the audit staff are also trained in investigations.

Conclusions

Throughout the FY 2020 performance year, periodic reporting will measure progress toward the performance goals identified for work under this annual plan. OIG may make adjustments that could reflect shifting priorities, increased or reduced resources, or other circumstances that may arise.

OIG made every effort in developing this annual plan to ensure a realistic assessment of the strategic alignment and importance of planned work, anticipated outcomes, and resource requirements. We believe the plan represents a balanced and achievable set of performance objectives for FY 2020.

We will report on our results against this plan in our semiannual reports to Congress.

Related Materials and Information

Top Management Challenges Facing the United States Capitol Police for Fiscal Year 2019

OIG Strategic Plan for Fiscal Years 2014-2019 (October 2014)

USCP Strategic Plan, FY 2015-2019 (June 2015)

Policenet

