



United States Capitol Police Office of Inspector General

ANNUAL PERFORMANCE PLAN Fiscal Year 2023

OIG-2023-01

November 2022



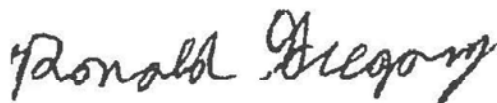
Message from the Inspector General

In the aftermath of the tragic events surrounding the January 6, 2021, attempted takeover of the U.S. Capitol, the Office of Inspector General (OIG) was able to produce eight flash reports and 103 recommendations in an 11-month period, which provided a roadmap for improving the Department. OIG's first flash report was issued only 44 days after January 6. As of October 31, 2022, the United States Capitol Police (USCP or the Department) has closed 68 of the 103 recommendations made in the 8 flash reports. OIG was able to refocus its mission of helping the Department move forward in Fiscal Year (FY) 2022. I am, therefore, pleased to present the USCP OIG *Annual Performance Plan for Fiscal Year (FY) 2023*. 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 for FY 2023, OIG aligned this *Annual Performance Plan* with both the *OIG Strategic Plan for FY 2021-2025* and the *USCP Strategic Plan for FY 2021-2025*. This performance plan reflects the work OIG believes is a priority as well as necessary for providing effective oversight of USCP programs and activities. 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 will accomplish during FY 2023. 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 safely return Congress to 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 for FY 2023*. 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.



Ronald Gregory
Acting Inspector General

Table of Contents

	<u>Page</u>
Introduction	3
Resources and Organization	3
FY 2023 Performance Plan	4
Strategic Goals and Objectives	6
USCP	6
OIG	6
Organizational Charts	7
Areas of Responsibility	9
FY 2022 Performance Summary and Results	10
Conclusions	11
Related Materials and Information	11

Introduction

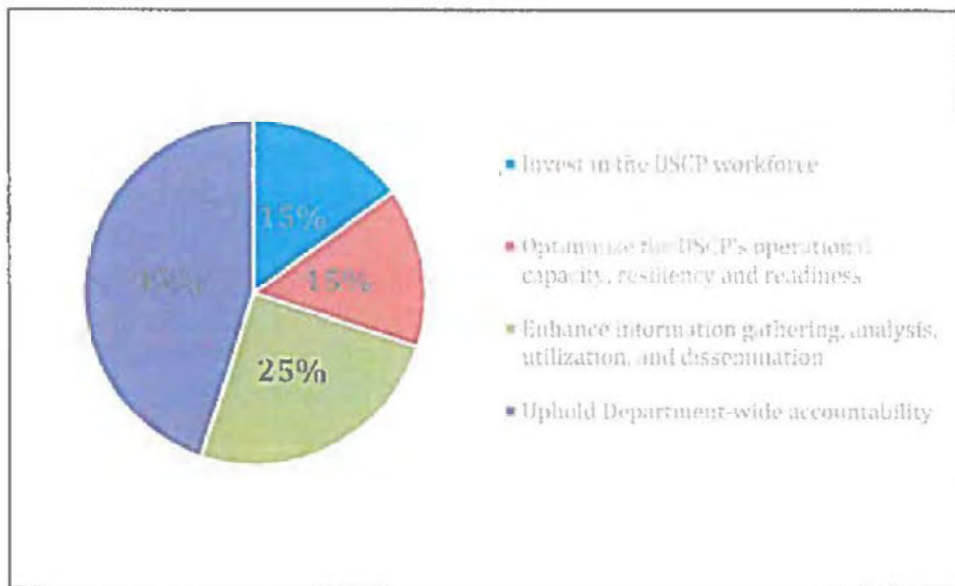
The United States Capitol Police (USCP) *Office of Inspector General (OIG) Strategic Plan for FY 2021-2025* sets forth our mission, vision, and goals for 5 years. OIG plans to provide positive return on U.S. taxpayer investments by asking the following critical questions of work we plan to undertake: Are we addressing the most important matters? Are we adding value, achieving positive change, or getting significant results? And, are we making USCP programs and operations more efficient and effective?

OIG presents in this annual performance plan projects it intends to undertake during FY 2023 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 2023 to the following USCP strategic goals.

**FY 2023 Office of Inspector General
Resource Alignment to USCP Strategic Goals**



Source: OIG FY 2023 Annual Performance Plan.

FY 2023 Performance Plan

Planned priority work that supports the strategic performance goals and management challenges for FY 2023 follows. We include expected benefits or results as well as the origin of the project, including carryover work from previous years.

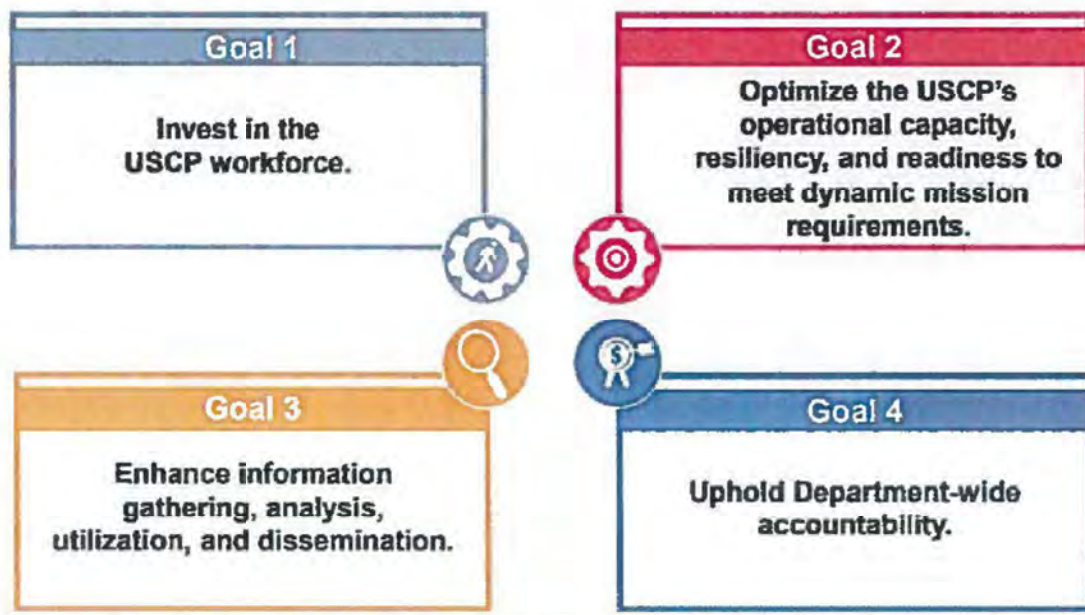
Project Title	USCP Strategic Performance Goal	Management Challenge	Expected Benefits or Results	Origin
Audit of FY 2022 Financial Statements	Uphold Department-wide accountability	Financial Management	Improved Financial Performance	Mandate Carryover
Management Letter Related to the Audit of FY 2022 Financial Statements	Uphold Department-wide accountability	Financial Management	Improved Financial Performance	Mandate Carryover
January 6, 2021, Follow-Up	Invest in the USCP workforce	Various Challenges	Improved Security and Operational Performance	Oversight
Insider Threat Detection Program	Uphold Department-wide accountability	Security	Improved Security and Operational Performance	Oversight
Analysis of Security Services Bureau	Optimize the USCP's operational capacity, resiliency and readiness	Security	Improved Security and Operational Performance	Board Request
Survey of Field Offices	Enhance information gathering, analysis, utilization and dissemination	Various Challenges	Improved Security and Operational Performance	Oversight
Analysis of Mental Health and Wellness Program	Optimize the USCP's operational capacity, resiliency and readiness	Various Challenges	Improve Security and Operational Performance	Oversight
Assessment of Outside Employment	Uphold Department-wide accountability	Various Challenges	Improved Management of Human Capital	Discretionary
Assessment of USCP Relationships with Law Enforcement Partners	Enhance information gathering, analysis, utilization and dissemination	Security	Improved Security and Operational Performance	Board Request
Survey of After-Action Report Process	Enhance information gathering, analysis, utilization and dissemination	Various Challenges	Improved Security and Operational Performance	Oversight
Analysis of Outdated Standard Operating Procedures and Directives	Uphold Department-wide accountability	Various Challenges	Improved Operational Performance	Discretionary
Assessment of USCP Task Force Participation	Enhance information gathering, analysis, utilization and dissemination	Security	Improved Security and Operational Performance	Oversight

Project Title	USCP Strategic Performance Goal	Management Challenge	Expected Benefits or Results	Origin
Performance Audit of Sworn Resource Allocation	Optimize the USCP's operational capacity, resiliency and readiness	Human Capital	Improved Management of Human Capital	Oversight
Audit of 2023 Financial Statement	Uphold Department-wide Accountability	Financial Management	Improved Financial Performance	Mandate
Management Letter Related to the Audit of FY 2023 Financial Statement	Uphold Department-wide Accountability	Financial Management	Improved Financial Performance	Mandate
Threat Assessment Section Follow-up	Enhance information gathering, analysis, utilization and dissemination	Security	Improved Security and Operational Performance	Oversight
Assessment of the Virtua Training System	Invest in the Workforce	Security	Improved Security and Operational Performance	Oversight
Assessment of Active Shooter Training Program.	Invest in the Workforce	Security	Improved Security and Operational Performance	Discretionary
Hotline—receive, review, and investigate complaints	Uphold Department-wide Accountability	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.	Uphold Department-wide Accountability	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



Source: USCP Strategic Plan for FY 2021-2025.

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 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.

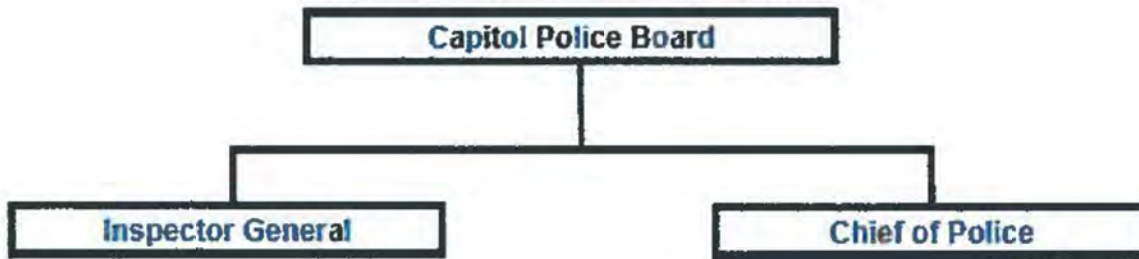
Goal 4: Qualified Diverse Workforce

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.

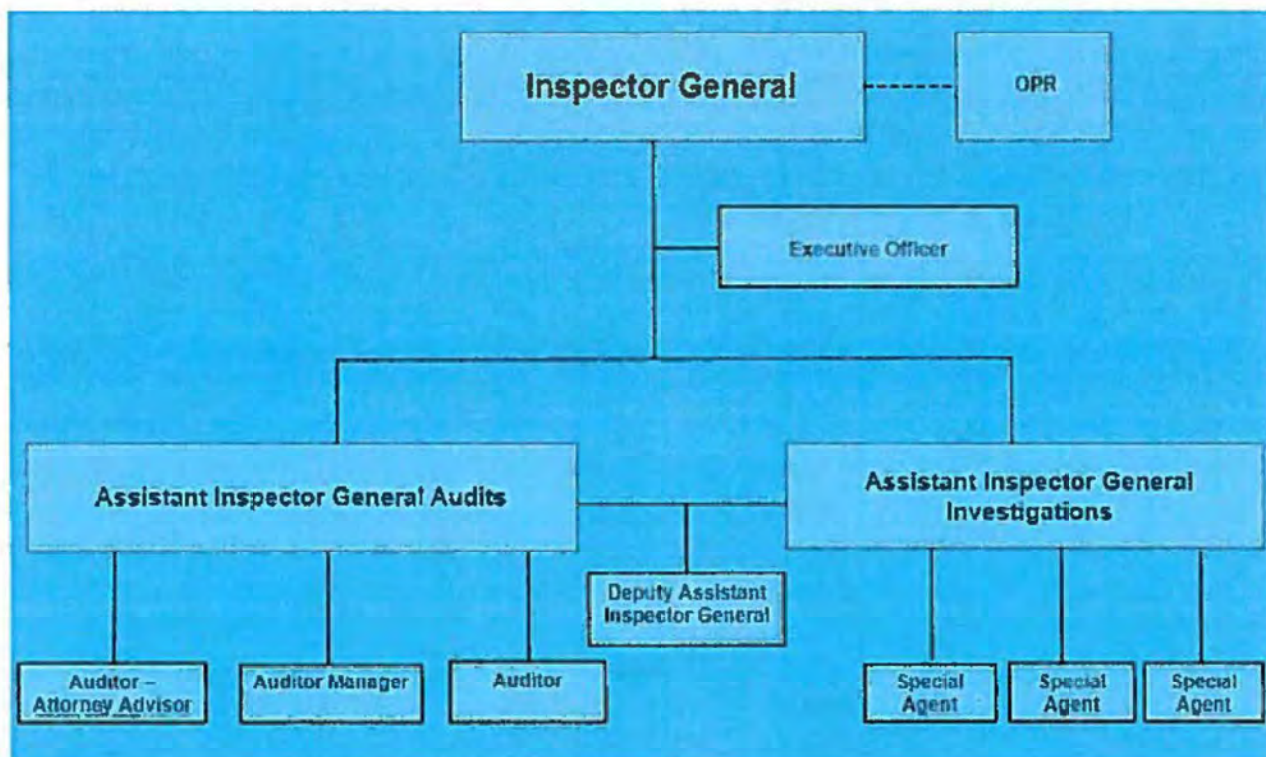


Organizational Charts

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 two administrative staff members. Our mission and staffing is

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

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.



Source: Senate Photo Gallery.

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 and (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 2022 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 2023 as FY 2022. The following table illustrates our FY 2022 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 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 22 Target	FY 22 Actual	FY 23 Target
(1) Percentage of OIG completed jobs demonstrating a link to critical, high-risk, or USCP's management challenges. (OIG Goals 1 and 2)	90%	100%	90%
(2) Percentage of recommendations accepted by management. (OIG Goals 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 Goals 2 and 3)	90%	100%*	90%
(4) Percentage of projects accomplished set in our annual plans. (OIG Goals 2 and 3)	90%	100%	90%
(5) Percentage of professional staff possessing degrees; seeking relevant higher education; maintaining relevant, professional certification and education. (OIG Goal 4)	90%	100%*	100%

Source: OIG generated

*All OIG staff members hold professional degrees and 70 percent of the staff possess advanced degrees or certifications such as Certified Public Accountant (CPA), Certified Fraud Examiner (CFE), Certified Information System Auditor (CISA), Certified Internal Controls Auditor (CICA), Juris Doctor (JD), and Masters in Leadership, which will assist in conducting more complex projects such as the annual financial statements and cybersecurity audits. In addition, 60 percent of the investigative staff are trained in audits and investigations and 25 percent of the audit staff also are trained in investigations.

Conclusions

Throughout the FY 2023 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 2023.

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 2022

OIG Strategic Plan for Fiscal Years 2021-2025 (October 2020)

USCP Strategic Plan, FY 2021-2025 (November 2020)

Policenet

