

**HEARING ON THE ADMINISTRATION AND MAN-
AGEMENT OF THE UNITED STATES CAPITOL
POLICE**

HEARING
BEFORE THE
SUBCOMMITTEE ON CAPITOL SECURITY
COMMITTEE ON HOUSE
ADMINISTRATION
HOUSE OF REPRESENTATIVES
ONE HUNDRED TENTH CONGRESS
SECOND SESSION

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ADMINISTRATION AND MANAGEMENT OF THE UNITED STATES CAPITOL POLICE

THURSDAY, MAY 1, 2008

HOUSE OF REPRESENTATIVES,
SUBCOMMITTEE ON CAPITOL SECURITY,
COMMITTEE ON HOUSE ADMINISTRATION,
Washington, DC.

The subcommittee met, pursuant to call, at 11:39 a.m., in room 1310, Longworth House Office Building, Hon. Michael E. Capuano (chairman of the subcommittee) Presiding.

Present: Representatives Capuano, Brady and Lungren.

Staff Present: Liz Birnbaum, Staff Director; Darrell O'Conner, Professional Staff; Michael Harrison, Professional Staff; Matt Pinkus, Professional Staff/Parliamentarian; Kyle Anderson, Press Director; Kristin McCowan, Chief Legislative Clerk; Gregory Abbott, Policy Analyst; Fred Hay, Minority General Counsel; Alec Hoppes, Minority Professional Staff; and Bryan T. Dorsey, Minority Professional Staff.

Mr. CAPUANO. Basically, I want to thank everybody for coming today. I have an opening statement I will not read, but I will put in for future posterity if anybody wants to read it. We have two panels today. Our first panel is with Chief Morse. He is accompanied by Assistant Chief Nichols and Ms. Jarmon, who is the chief administrative officer of the Capitol Police. Our second panel will be Mr. Stana from the GAO and Mr. Tighe from the U.S. Capitol Police Officers Labor Committee.

We are here today to kind of catch up on certain aspects particularly with relation to the GAO report. But whatever else comes up is fine. I want to make it clear to everybody that we are having a public meeting today, but I believe firmly that Capitol security matters are best handled in a nonpublic forum on a regular basis. So I wouldn't expect that we have a whole lot of public hearings on this particular matter. I know some people don't like that, but I think that security is more important than anything else, and it is important to have it in a forum where people can speak openly and honestly.

Today we have certain issues that can be spoken about in a public manner, and I think they are appropriate for it. And with that, I will stop and ask Mr. Brady for his lengthy opening statement. And when Mr. Lungren gets here if he wants to do one, he is more than welcome to.

With that, I am just going to turn it over to you, Chief, and feel free to say whatever you want.

[The statement of Mr. Capuano follows:]

**Committee on House Administration
Subcommittee on Capitol Security
Administration and Management of the United States Capitol Police
Thursday May 1, 2008
Chairman Michael E. Capuano
Opening Statement**

Good morning and welcome to the Subcommittee on Capitol Security's hearing on the Administration and Management of the United States Capitol Police.

Today is my first hearing as Chairman of the Subcommittee on Capitol Security. It was scheduled by Chairman Brady before I was named to head this Subcommittee and I am very happy to continue his efforts on these matters. Although some hearings may be open to the public like this one, there are a whole host of issues relating to the security of the Capitol Complex that are not appropriate to review in a public setting. Recognizing this reality, I also expect that the Subcommittee will hold a fair number of confidential meetings.

This morning we will receive an administrative update from the Capitol Police, who will share with us how they have responded to recent recommendations made by the Government Accountability Office. It's my understanding that they have been working diligently over the past year to assess and revamp internal policies and procedures, as well as bring the Department's technical capabilities in line with the 21st century demands put on the force. I look forward to hearing about the progress they have made and learning more about their efforts to address any outstanding issues raised by the GAO.

Today we will also learn more about the status of the merger of the Library of Congress Police and the Capitol Police Force, as well as steps being taken to incorporate other new elements in our overall approach to security.

Much has been asked of the Capitol Police in recent years, as we all get a sense of the expanding nature of security threats and the necessity of having capable men and women serve in uniform. They must align management, policies, and procedures to better protect and secure Congress in a post-September 11th world. Their ability to recruit, train, and retain the very best personnel is essential to the safety of everyone visiting the Capitol and those working in Congress. The Capitol Police should be given the encouragement and tools necessary to make this a reality.

I am pleased that the Subcommittee will have the opportunity to hear the Capitol Police address all of these issues, as well as to receive feedback from the GAO and the United States Capitol Police Labor Committee. We all strive for a truly secure Capitol complex, and I believe that this cooperation on a large scale can help achieve that end goal.

In closing, I would like to thank Ranking Member Lungren and everyone in the audience for joining us today, and I look forward to hearing from our witnesses.

STATEMENT OF CHIEF PHILLIP D. MORSE, UNITED STATES CAPITOL POLICE; ACCOMPANIED BY DANIEL NICHOLS, ASSISTANT CHIEF OF POLICE; AND GLORIA L. JARMON, CHIEF ADMINISTRATIVE OFFICER

Chief MORSE. Thank you, Mr. Chairman, and members of the subcommittee. I would like to thank you for the opportunity to be here today. We are going to discuss with you a lot of things about the Capitol Police and what we have done in the last 15 months. I am pleased to be joined here to my right by my assistant chief, Dan Nichols, and my chief administrative officer, Gloria Jarmon, here to my left.

As you know, Ms. Jarmon recently joined the Capitol Police from the Government Accountability Office. And her background and expertise provide the department with well-rounded leadership and completes our team that is necessary for our efforts to become a premiere organization, both operationally and administratively.

I would also like to thank the subcommittee for its interest and support for the men and women of the United States Capitol Police. Your support, as well as the support from our oversight and appropriations committees, is crucial to the successful execution of our mission.

It has been a little over a year since I was selected to be the chief of police. During this time, the department has undergone many cultural, operational, and management changes. These changes are a larger process to modernize the department for mission capability and efficiency, while enhancing our ability to protect Congress. I welcome this opportunity to provide you with an update on our successes thus far and the challenges that remain before us, as well as a vision for shaping the future.

As in any organization, teamwork and leadership are essential qualities of a well-managed security and law enforcement operation. It is through this teamwork and leadership that the Capitol Police has been able to achieve many successes over the last year. I would like to recognize the hard work of all the sworn and civilian staff of the United States Capitol Police, who exhibit their leadership and dedication to teamwork in meeting our mission every single day. Every day of the year, without exception, these dedicated individuals, with the support of the Capitol Police Board and the Congress, ensure the safety of Members, staff, and millions of visitors from across the globe who come to see democracy at work.

In addition, I would like to recognize the department's unions, the Fraternal Order of Police and the Teamsters, for their contributions to our overall success as well.

It is through this teamwork that the department has been able to progress over the last year.

I would like to talk a little bit about our progress. To ensure our success, we have established several tiers of management communication in order to keep all employees better informed on the workings of the department and the expectation of leaders and stakeholders. The Executive Management Team, the Senior Management Team, and our Frontline Management Team have been effective in developing accountability down through all levels of management so that the senior leaders can count on the frontline su-

pervisors to run day-to-day operations while we make a concerted effort to map out the strategic path for the department.

Here are some of our progress highlights. We have handled multiple special events to include the State of the Union, Capitol concert series, large demonstrations, and congressional events. We have adopted a concept, similar to community policing, which provides direct outreach by our Capitol Police officers and officials to the committees and Members' offices with the congressional community. We use this program to visit every office in the House Office Building to inform them of emergency evacuation procedures for their specific building. We implemented new security screening guidelines throughout the Capitol complex. We planned, coordinated, and evaluated a number of exercises within the Capitol related to air evacuations, lock downs, and active shooter response. We finalized our

continuity-of-operations plan and implemented a process for review and enhancement of the plan to meet evolving threats and requirements. We conducted multiple training exercises across the Capitol campus to improve readiness for sworn personnel in the field.

There have been expressed interest and concern related to the department's effort to address the GAO's recommendations, and today I am happy to report that, since October 2007, we have closed 33 percent of the GAO recommendations, and we are actively working to address the rest of them. We have developed a full set of financial statements for FY 2007 and are actively working on statements for 2008. We have completed a full inventory of our capital assets and assigned values to these assets. We have re-designed our budget planning and execution process to include formalizing the department's Investment Review Board.

At the direction of the committees of jurisdiction, we completed the operational and administrative requirements to the merger of the Library of Congress Police, and this resulted in the passage of legislation. We have revised the uniform and equipment policy of the Capitol Police that will result in uniformity of appearance and overall cost.

And in closing, I would like to say that I am looking forward to continuing my efforts as chief to make the U.S. Capitol Police a best practices organization. I would like to thank you once again for allowing us to appear before you. And my colleagues and myself would be happy to answer any questions that you may have.

[The statement of Chief Morse follows:]

**Statement of
Phillip D. Morse, Sr.
Chief of Police, United States Capitol Police
Before the
Committee on Administration
Subcommittee on Capitol Security
United States House of Representatives**

May 1, 2008

Mr. Chairman and Members of the Committee, thank you for the opportunity to appear before you today to discuss the state of the United States Capitol Police. I am pleased to be joined here by my Assistant Chief of Police, Daniel Nichols, and my Chief Administrative Officer, Gloria Jarmon. As you know, Ms. Jarmon recently joined the Capitol Police from the Government Accountability Office. Her background and expertise provides the Department with the well-rounded leadership team necessary to complete our efforts to become a premiere organization, both operationally and administratively.

I would also like to thank the Committee for its continued support for the men and women of the United States Capitol Police. Your support, as well as the support from our other oversight committees, is crucial to the successful execution of our mission. I would especially like to thank the Committee for working so closely with the Department and the Library of Congress to finalize the Library of Congress Police and USCP merger.

It has been a little over a year since I was selected to be the Chief of the United States Capitol Police. During this time the Department has undergone many cultural, operational and management changes. These changes are part of a larger process to modernize the Department for

mission capability and efficiency, while enhancing our ability to protect the Congress. I welcome this opportunity to provide you with an update on our successes thus far and the challenges that remain before us, as well as the vision for shaping our future.

As in any organization, teamwork and leadership are essential qualities of a well-managed security and law enforcement operation. It is through this teamwork and leadership that the USCP has been able to achieve many successes over the last year. I would like to recognize the hard work of all of the sworn and civilian staff of the United States Capitol Police who exhibit their leadership and dedication to teamwork in meeting our mission everyday. Every day of the year without exception, these dedicated individuals, with the support of the Capitol Police Board and the Congress, ensure the safety of the Members, staff, and millions of visitors from across the globe who come to see democracy at work. In addition, I would like to recognize the Department's unions, the Fraternal Order of Police and the Teamsters, for their contributions to our overall success as well. It is through this teamwork that the Department has been able to progress over the last year.

The USCP accomplishes its mission through a variety of functions to provide round the clock protection to the Congress and the legislative process. In an effort to leverage and maximize technology as well as maintain efficiency and effectiveness in security operations, the USCP has made significant investment in our human capital and infrastructure. We also provide high-quality training to our recruits, officers and staff. To manage our infrastructure requirements, we have augmented our physical security as well as counter surveillance capabilities, automated antiquated security and administrative support systems, enhanced our detection and response capabilities for explosive and hazardous materials, maintained a state-of-the-art command center and sustained

continued, uninterrupted operations of our incident command and emergency notification and response systems.

The complexity of these operations and infrastructure requires the USCP to take a realistic approach towards identifying risks, and resource requirements to meet them, while eliminating lower priority operations and investment proposals to insure the prudent use of critical resources.

During my tenure, the Department has focused on institutionalizing my vision of "Rising to the Challenge," and we have set the bar very high for our officials and staff in an effort to make the USCP better able to meet our mission and enable every sworn and civilian employee to take more pride in the organization.

We began instituting the "Rising to the Challenge" vision by tackling goals that are as simple as officers' consistently looking professional and alert on post; or as complex as developing a repeatable planning process for the Department that utilizes a comprehensive series of assessments and investment decisions. We have also worked to instill the common values of consistent practices, goal setting and commitment to the overall mission throughout every level of the Department.

To ensure our success, we have established several tiers of management communication, in order to keep all employees better informed on the workings of the Department, and the expectations of leaders and stakeholders. The Executive Management Team (EMT), Senior Management Team (SMT) and Frontline Management Team (FMT) have been effective in devolving accountability down through all levels of management, so that the senior leaders can

count on the front line supervisors to run the day-to-day operations, while we make a concerted effort to map out the strategic path for the Department.

Some key outcomes of my vision in 2007 were the successful completion of the Department's Force Development Process for the Fiscal Year (FY) 2009 budget development and submission, as well as the development of a formal process to track and address recommendations from the OIG and GAO.

Force Development incorporates the principles of threat based planning into our Concept of Operations (ConOps), investment decisions and resource requests and allocations. This standardized approach is based on the concepts of consistent planning, budget formulation, execution and performance evaluation, in the spirit of the Government Performance and Results Act (GPRA.) Force Development sets standard timetables and accountability for planning resource requirements, based on security risks and threats, as well as a higher level of accountability.

Many of the components of the Force Development Process were already in place at the Department. We have simply designed a process flow that sets a consistent time table, integrates risk and other assessments into the formal process, links activities into one consistent and unified process, and adds a new level of performance tracking and reporting.

I am especially proud of the intensive analysis that we have conducted in order to develop a small number of specific investment proposals for the upcoming budget using a five-step process. Lead Agents, which were members of our Senior Management Team and program managers, developed detailed multi-year business cases for specific investment proposals that were designed to meet the most critical needs identified by the environmental assessment. We utilized an internal

costing group made up of representatives from the operational bureaus and administrative support areas of the Department, to define accurate resource requirements for each investment. We incorporated analysis panels of Senior Management Team members to meet with the Lead Agents to challenge their business cases and more clearly define the needs of USCP and develop recommendations for the Investment Review Board, comprised of members of the Department's Executive Management Team.

Finally, the Investment Review Board (IRB) met to discuss each business case proposal and ask questions of the Lead Agents to further validate the requirement. Following the IRB meetings, we conducted an online rating and ranking process which delivered to me a comprehensive analysis of the IRB rating, ranking and comments for each investment. This analysis allowed me to make my final decision for inclusion in the budget.

The second outcome from my vision is the Department's efforts to address its management challenges. As you know, the Department struggled for several years to address the recommendations of the Government Accountability Office (GAO) and the Department's independent auditors. One of my first directives to the Executive Management Team was to embrace and implement the recommendations provided by the GAO and the USCP's Office of the Inspector General, which included the recommendations of our auditors.

My goal was to use these recommendations as a roadmap for the Department's overall organizational improvement. The recommendations have provided the Department with an opportunity to implement a myriad of administrative and operational changes to create a well managed organization, prevent the risk of waste, fraud and abuse, and insure the successful execution of our mission.

As a first step toward meeting this goal, we established an Audit Liaison to coordinate the tracking and reporting of all open recommendations with the Executive Management Team. The first task of the Audit Liaison was to develop a Directive to cover the resolution of recommendations and audit findings. This Directive establishes a formal audit resolution process, and is based on the examples provided through policies and best practices followed in other government agencies. In addition, the Directive established a process of developing action plans to deal with each open recommendation and ensure accountability from all levels of USCP employees responsible for their resolution and closure.

As you will hear today from my colleagues with the GAO, the Department has made significant progress over the last year in addressing and resolving many of these recommendations for improvement.

Today, I am pleased to report that the Department has made significant progress in addressing these recommendations and findings since October 2007. Since the beginning of the fiscal year, we have closed over 30 of the 118 remaining recommendations and findings, leaving open a total of 80 recommendations and findings to resolve. Of those closed, 8 recommendations were in the financial management area. The remaining closed items were in the human capital, asset management, information systems, strategic management, operations and overall management and internal controls areas.

Over the last year, we have:

- Developed and submitted for audit a full set of financial statements.

- Developed and implemented a standardized and repeatable process to ensure compliance with reprogramming requirements concerning appropriated funds.
- Implemented actions to monitor our purchase, travel and fleet card programs and the expenditures made under these programs.
- Implemented a standardized process for addressing procurement workloads to avoid backlogs.
- Formalized the Department's Investment Review Board process and provided training for its members.
- Established a formalized process for responding to and resolving recommendations and audit findings.
- Institutionalized our semi-annual reporting to the Capitol Police Board and our oversight committees.
- Finalized our Continuity of Operations Plan and implemented a process for review and enhancement of the plan to meet evolving threats and requirements.
- Finalized, submitted, and received approval for the USCP's organizational chart.
- Revised and implemented the processes and protocols for the use of blocking vehicles.
- Revised and implemented protocols for the usage of radio frequencies during operational activities, and.
- Developed and implemented a formalized process for the review and approval of information technology procurements.

We have also taken steps to identify and address critical staffing requirements within our Office of Financial Management, to include the areas of management, budget, procurement and accounting. Without filling these key positions, I am concerned that we will not be able meet our goals to correct the recommendations and findings in this area. I am pleased to report that over the

last eight weeks, the Department has advertised all current vacancies within OFM, and we have selected a Director for the Office of Financial Management, a Procurement Officer, a Budget Officer and a Procurement Analyst, as well as finalized the hiring of an accountant and a contracting officer, who have both already started working for us. We hope to have selections made and the requests for appointment forwarded to the Capitol Police Board and authorizing committees soon for the Deputy Director for the Office of Financial Management and the Budget Analyst.

Additionally, we have begun in earnest the implementation of a strategic human capital plan, to include linkages to the Department's strategic plan and vision. This plan will assist the Department in addressing the gaps in the number, deployment and alignment of human capital approaches to enable and sustain the contributions of critical skills and competencies. We believe this plan is critical to our ability to hire and retain a professional workforce necessary to support the mission of the Department.

Further, we have taken steps to overhaul existing programs to ensure that they are operating within the intent of Congress and to operate under effective internal controls.

Some examples of these are:

- Suspension of the Student Loan Repayment Program in order to revise the overarching directive and procedures governing the program to ensure that the program is being utilized as a recruiting and retention tool, as intended
- Suspension of the Specialty Assignment Pay, Fitness Proficiency Pay and Firearms Proficiency Pay in order to review these discretionary programs for prudent management and oversight.

- Enhancement of our internal controls program. These efforts have provided a framework upon which we have been able to address and resolve audit findings and recommendations.
- Review of our uniform and weapon inventories. This review resulted in my decision to implement changes to our uniform policy, to include the number and types of uniforms utilized by the Department. My intent is to streamline the uniforms used by the Department and reduce our inventory and long-term uniform expenditures.
- Review of other support areas such as training, procurement, travel processes, and fleet management to continue progress in addressing management and controls issues.

In addition to addressing the management recommendations and audit findings, the Department has also implemented and enhanced a number of operational and administrative initiatives designed to strengthen the foundation of the Department.

In FY 2007, the Department concentrated heavily on the efficient utilization of our overtime allocation. The current number of on-board sworn personnel is not sufficient to meet all of these identified mission requirements. Therefore, USCP sworn personnel must be utilized to work overtime to meet these requirements. Last year, through a process of load leveling sworn personnel across the Department, constant analysis, and the reduction of low risk posts, we were able to reduce our projected overtime usage by close to three million dollars. Yet, we still had to utilize over \$22 Million in order to meet our basic mission requirement. With the upcoming openings of new areas of the Library of Congress, the Capitol Visitor Center, the implementation of the Library of Congress Police merger and the anticipated presence of special events and protests in and around the Capitol, we know that we must continue the use of overtime to meet the Department's mission. However, we believe that by continuing to utilize our established overtime allocation and tracking process, we will be able to ensure that we are utilizing overtime in an efficient and effective

manner, balanced against the Department's request for additional sworn personnel to fill identified mission requirements.

In the last few months, the Department received the final report from its contractor, Enlightened Leadership Solutions, which provided a detailed analysis of operational processes and the required manpower necessary to carry out each component of these processes. This Manpower Study, along with the Department's Strategic Plan, the Force Development Process, the annual Environmental Assessment Process, and our soon to be published Strategic Human Capital Plan, will be utilized by the Department to develop a single long-term vision and goal. Our wish is for this vision and goal to be a guide for us in everything we do from this point forward, as well as provide an indicator to you of our plan, process and progress. The goal of this entire effort is to create a set of clear targets to define our plan, budget and performance measurement for the next 10 years.

Previously, the USCP Concept of Operations (ConOps) dealt mostly with security at the entrances of Congressional buildings and the Capitol grounds. The current situation in the world posed by terrorism and other threats has required us to develop a ConOps that stretches our capabilities beyond stopping a threat before it can get through the door. We utilize intelligence provided by our partners throughout the federal government to remain constantly vigilant of threats, so we can stop them long before they come within striking distance of the Capitol Complex and Members of Congress. Through the Manpower Study analysis, we have determined an immediate need to further develop this capability in FY 2008 through some staffing realignments and in FY 2009-2010 through a request for an increase in authorized sworn and civilian FTE to support this effort.

With an aging infrastructure, the limitation of current facilities and the quickly changing technology surrounding law enforcement, the Department is faced with a communications challenge. This challenge will require us to invest in a new radio system. We are grateful for the resources and support we have been given by Congress in this area to date, and will be sharing the results of our requirements study and an analysis of our resource needs in the near future. However, the development of a radio system will never be successful if the entire system of command, control and communications are not sufficient, modern and adequately staffed. Regardless of the approach we take in the future, our facilities are not designed and built to handle a modern operation, and may not be capable of handling the necessary infrastructure. We are working with the Architect of the Capitol to develop a comprehensive facilities requirement, which will accompany our radio system resource requirements request to the Congress.

In order to ensure that the Department had credible and supportable costing data before requesting additional support from the Congress, we did not include a request for funding for the new radio system in our FY 2009 budget submission, as this supportable data was not available at the time of the submission deadline. Now that this data is available, the Department would like to initiate discussions with the Congress regarding the most appropriate venue to pursue this critical funding.

During FY 2007, the Department affected over 1100 arrests, which range from robbery to driving while intoxicated to disorderly conduct to traffic offenses. In the first five months of FY 2008, the Department affected over three hundred and forty arrests ranging from larceny to driving while intoxicated to traffic offenses. In addition, the Department conducted over 65,000 K-9 sweeps during the same five month period.

In an effort to better engage our stakeholders in the mission of the Department, we have adopted a concept similar to “Community Policing”, which provides direct outreach by USCP officers and officials to Committees and member offices within the Congressional community. Over the last year, the Department has focused on this effort with positive response from our stakeholders. Through this proactive communication process, the Department is better able to keep the Congressional community abreast of security and safety issues of importance.

To better plan and execute security for special events and demonstrations, the Department has focused its efforts to ensure a holistic event plan is developed, to include staffing and resource requirements, as well as roles and responsibilities. Additionally, the Department has implemented an after action reporting process to capture issues and achievements from each event to be used for future planning and training purposes.

Additionally, the Department has recently finalized its initial plan for continuity of operations to ensure its readiness to support the Congress in the event that the legislative process must be relocated. This will serve as a living document for the Department, upon which we will continue to enhance our preparedness and readiness efforts. Further, the Department has focused efforts to ensure the readiness of our personnel to address short-term limited evacuations from buildings or the interruption of activities, so the Department has the ability to perform its mission.

These are just a few of the operational activities that the Department has undertaken in an effort to enhance its management infrastructure. But, just as critical are the mission support functions in our administrative area.

As we develop these synchronized systems and improve the overall planning and mission capability of the Department, we are also working toward developing and implementing best financial management and internal controls practices within our organizational elements. We have taken on several positive steps in this area, and most recently have worked towards the ability to produce a full set of auditable federal financial statements.

I am pleased to report that we have shown progress in meeting this goal. The Department has completed a full inventory of our capital assets, and has assigned values to these assets. This effort led to the completion of a full set of federal financial statements for the fiscal year that ended on September 30, 2007. Not only have we completed the first full and integrated inventory in the Department's history, but we have also managed to capitalize all of our assets and report on them. Although we know that our financial statements will need further refinement and improvement, we have made considerable progress in only one year. I am very proud of the effort of our team in this area.

I am also pleased with our efforts to redesign our budget planning and execution process as a part of our Force Development Process. We have provided for the first time a budget submission, which we believe demonstrates the resource requirements of the Department, defines our methodology for making these resource requests and demonstrates how the Department is utilizing the resources provided to it by the Congress.

In addition to our focus on these operational and administrative management activities, we have also been focused on planning for and initial implementation of several large-scale initiatives, which will be impacting the Department within the upcoming year.

With the recent legislation sponsored by this committee and enacted in January 2008, Congress has expressed a timeline for the complete merger of the Library of Congress Police into the USCP. We have developed a very successful relationship with the Library of Congress (LOC) Police over the past few years and have integrated our sworn employees into their operations as we have backfilled their attrition. In FY 2009, we will be integrating the remaining LOC sworn personnel into the Department and will be training, equipping and employing them. Likewise, we will be welcoming their civilian employees into our ranks as well.

The Department is also making plans to provide security to the upcoming Democratic and Republican Conventions in August and September 2008. We are currently engaged in various planning efforts and site visits leading up to the events.

As the completion of the Capitol Visitor Center nears, we are gearing up for the opening of this facility and to welcome the American public with courteous, efficient and safe security. We are grateful for the authorization of an additional 21 sworn FTE in FY 2008 to support the USCP's CVC operational plan. As you know, we are requesting an additional 10 sworn FTE in order to support staff led tours in the congressional office building tunnels. With these resources, we will have the tools to implement our operational plan consistent with current operating assumptions for the facility.

In addition, with the recent legislation enacted in January 2008, Congress has expressed a timeline for the complete merger of the Library of Congress Police into the USCP. We have developed a very successful relationship with the Library of Congress (LOC) Police over the past few years and have integrated our sworn employees into their operations. In FY 2009, we will be

integrating the remaining LOC sworn personnel into the Department and will be training, equipping and employing them as members of the USCP. Likewise, we will be welcoming their civilian employees into our ranks.

While these are just a few examples of the serious efforts we have undertaken to enhance the management and internal controls of the United States Capitol Police, as well as implement long-term planning, I believe they represent our commitment to meet the challenges raised by the Congress and the successful execution of our mission to protect and defend the legislative process. Although much work remains to be done at the Department in the areas of management, we believe that significant progress has been made in implementing systems and processes that improve the administrative functions and our ability to perform our mission.

In closing, I would like to say that I am looking forward to continuing my efforts as Chief of Police to make the Capitol Police as best practices organization. The progress we have made in the last year demonstrates the commitment and hard work of the employees of the Department. I want to recognize the fact that in many ways we are addressing and correcting processes, programs and a culture that has been present for a long time. We will not see results immediately or all at once. However, we will continue to see gradual results and a constant evolution into the premier organization I believe USCP should be. I will continue to keep you and our other stakeholders informed, and will insist on continued transparency and openness, both internally and with our external customers and stakeholders.

We at the Capitol Police look forward to working collaboratively with the Congress to continue to safeguard the legislative process, Members, staff and visitors to the Capitol Complex.

Through this collaborative partnership, I believe we will realize our collective goal of transforming the United States Capitol Police into a premiere law enforcement organization.

Thank you for the opportunity to appear before you today and the Committee's continued support of the men and women of the United States Capitol Police.

I am ready to address any questions you may have.

Mr. CAPUANO. Thank you, Chief.

I don't know if Chief Nichols or Ms. Jarmon had an opening statement, but even if they do, I would like to offer Mr. Lungren an opportunity to make an opening statement.

Mr. LUNGREN. Thank you very much, Mr. Chairman, and I am sorry that I was late. I had to be a ranking member at two other subcommittees so far this morning, and it isn't even noon yet. So thank you.

One of the reasons I returned to the Congress was my desire to keep our country safe and secure from future terrorist attack. And because we cherish freedom and the democratic process in our Nation, obviously we want to keep our legislative process, our Capitol buildings and our lawmakers to be accessible and therefore accountable to those they serve. But the very openness with which we operate this legislative body also produces unique security challenges when considering the vigor with which some want to inflict terror and harm on our country.

So I am pleased today this subcommittee is taking the opportunity to have a hearing on this important subject. Since being selected to serve on this subcommittee, I have made it a point to visit the Capitol Police Command Center and the K-9 training facility. I have even visited the Capitol Power Plant to see firsthand some of the more unusual challenges that come with securing the Capitol complex.

So, Mr. Chairman, the topic of Capitol security is a bipartisan issue, and I look forward to working with you in the days ahead. And the administrative functions of the department are important and ultimately allow the force to more ably and efficiently meet its security requirements.

However, I believe it is important for the subcommittee to be more fully informed and engaged in the present threats—on the present threats facing the Congress and the actions that the Capitol Police are taking to address these threats. I would hope that we could have a classified briefing on the actual security matters as soon as possible and that we could include a discussion on recent troubling incidents and the steps that have been taken in response.

And I just have to say this, since this is the first meeting of our subcommittee, I find it very troubling to see the manner in which a recent incident was handled in the Capitol complex where an unknown was allowed to exist for 3 weeks. And the procedures that were followed at that time seemed to contradict every bit of training and every bit of information that I had received up to that time as to how we handle security threats here at the Nation's Capitol. So I hope that we can get involved with the hearings, not to make headlines, but behind closed doors perhaps as quickly as possible.

Mr. CAPUANO. That is what I said at the beginning before you got here, Mr. Lungren, is I plan to have many more meetings privately, because I think that is where we need to talk about certain things.

Mr. LUNGREN. Thank you.

Mr. CAPUANO. Chief, I am not sure if you wanted either Chief Nichols or Ms. Jarmon to make a statement, then that is fine. Whether you do or you don't, whatever you want, is fine by me.

Mr. NICHOLS. No, sir. I am here to support the chief and answer any questions you may have.

Ms. JARMON. No.

Mr. CAPUANO. All right.

In that case, I have several questions. First of all, I know the GAO report was just about a year ago, a little over a year ago, I am just curious, do you have a general idea of the time frame of completion of adoption? I know you are in the midst of them. I know you have done some; you are doing others. Do you have an idea how long it will take to adopt all of them, or goal, I should say, or a target?

Chief MORSE. Every single day, we are certainly working toward actively closing them. We have, made certain things a priority in doing so. One is certainly the hiring and staffing of employees in certain areas like financial management, in which many recommendations came. Ensuring that the financial statements, that we get a clean audit on them. And the chief administrative officer is responsible for that. And perhaps she can talk a little more to that in a second. And then we have policies and procedures that need to be adopted or drafted and put into place. And then protection of our information and systems. So we've identified a methodology in which to do that. And I think within the last fiscal year closing 33 percent of those shows that we are very actively working on that.

Mr. CAPUANO. Do you think that if we have a hearing next year you will be able to tell me you closed a hundred percent of them or 90 percent of them?

Chief MORSE. I would think that next year we would probably be able to match what we have done this year. And I look forward to next year, because I think that we will have significant, significant progress in all areas, as we have shown in the past year.

Mr. CAPUANO. I am specifically interested in human capital, if you want the truth. And there are two areas that have concerned me a little bit—well, two areas with one subset area. One is the financial services end of it. Honestly, it makes it almost impossible for us to really kind of oversee anything unless we have an idea of the numbers. And the numbers have to be—I have to have confidence in those numbers, and we can't do it without an auditing company saying that those numbers are fair and reasonable and appropriate. That can't be done unless you can attract and maintain appropriate financial services people. I am just wondering—I know you have hired somebody in the last recent weeks—what is the problem? Why are we having so much difficulty attracting and retaining them?

Chief MORSE. Well, first, the appointment of Gloria Jarmon is one step toward improvement of that overall process. And her expertise, knowledge, skills and abilities really are about financial management.

With regard to the office itself, there were several factors involved in the hiring and turnover. One of them was the fact of all the recommendations not being accomplished there, the lack of policy and procedure and direction, which created sort of a chaotic atmosphere, if you will, which led to overworked employees. So that was one thing that we had to address. The second thing was there

were some losses to the private industry, which are very highly paid.

And then we worked under a CR for some time where we couldn't hire. But what we did during that time was we reviewed positions. We took a look at what we needed to close those recommendations, the knowledge, skills, and abilities of those employees we were going to hire, and we upgraded those. And I am happy to report that, on May 12th, our new director of financial management will be joining us, Mr. Steve Haughton. And also we are in the process of hiring a budget and procurement analyst.

Ms. JARMON. Right. Just to add a little more to that, I have been here almost 3 months, and I have been focused on trying to make sure we can hire and retain competent financial management people. Because of the GAO recommendations, three of those recommendations that were not closed or are considered little progress completely related to the ability to hire and retain people so we have been focused on that. And I think we made good progress. We have had some very competent applicants for the positions. And I think if we are back here next year, you will see we have made significant progress in that area.

Mr. CAPUANO. That is good, because, again, it makes it difficult for us to do our oversight unless we have numbers that we feel comfortable with.

If you need assistance, Chief, whether it is with a CR or anything else, attracting and retaining personnel, obviously, I think we would like to hear about it so we can be helpful.

It also relates to my last question really, at the moment, is relative to the same thing, relative to officers. I know you have a relatively high rate of turnover. And I am just curious, what are we trying to do in general to address those issues?

Chief MORSE. This all really goes back to really gaining control of how the office is operated, providing a vision and direction for where we are wanting to go. And right now, we have an Executive Management Team that is in place that is very highly skilled. These are some of the positions that a year ago, a year-and-a-half ago, were not filled. For instance, our information technology, human resources, our office of homeland security and planning, just to name a few. And now with a new CAO, a new director of finance, we have a complete team and a very talented team. And with that, we expect to have great things happen.

The other side is the recommendations themselves. I mean, they are the guidance to our success, along with those things that we also developed of our own. And we work with the GAO, and we work with our Inspector General in order to find the best path to success. We have also adopted the Government's Performance Act. We have methodology for closing our GAO recommendations. And we have a plan. And I don't know that with lacking the GAO recommendations and having those in place, that we really had a plan for any success. So, with all those things combined, we are looking forward to the coming years and really professionalizing and making it a best practices organization.

Mr. CAPUANO. In the year that both you have been here and this report has come out, have you seen a change in retaining young officers, or has it stayed steady, or have you gotten worse?

Chief MORSE. With regard to officers, I think that we have a very good retention rate. And I spoke to an officer yesterday who told me that he saw a change, and positive change, and he was excited about that. And I think that with change and the significant change that we have had over the course of the 15 months, you are going to have some resistance. But that resistance is overcome when they see the result of that. And the result of that is that the organization is going in the right direction. We are making significant progress, both administratively and operationally. Some of the things that we have done over the past year are just extraordinary, and as a result of the committees of jurisdiction allowing us to use our facilities here to train our personnel. We were able to train all our personnel on lockdown procedures, evacuations, and active shooter response. That is something that has never been done before, especially right here on campus. And that was a significant, not only a morale booster but also from the standpoint of being prepared and being prepared for the things that occur or can occur here on the campus was significant. So, you know, retention is where it should be. We would always want it to be lower. And I think that a lot of that has to do with the progress that we are making.

Mr. CAPUANO. Thanks, Chief.

Mr. Lungren.

Mr. LUNGREN. Thank you very much, Mr. Chairman. Chief, can you tell me what's the total number of personnel for your agency?

Chief MORSE. The authorized strength is 1,702, and I think we are currently at 1,611. That would be sworn personnel.

Mr. LUNGREN. Sworn.

Chief MORSE. The authorized strength for civilian is 414, and I believe we are currently at 59 below that. I don't have the exact—

Mr. LUNGREN. How does that compare with other metropolitan departments, that is civilian to sworn?

Chief MORSE. With respect to the ones in this area, I would believe that the metropolitan police has a larger sworn force than us, as well as civilian. I would say we are probably average.

Mr. LUNGREN. I am not talking about total size. I am talking about percentage of civilian versus sworn. You say you are average?

Chief MORSE. I think that would be average.

Mr. LUNGREN. That would be average around the country, or do you know?

Chief MORSE. I think the numbers, the numbers of supporting civilians for supporting the number of sworn officers and programs, initiatives that come with that, I think that our authorized numbers are pretty much where they should be.

Mr. LUNGREN. As I understand it, an officer at appointment receives \$49,631, and after they successfully complete training, they are bumped up to \$51,370 annual pay. And after their first 30 months on the job, they become private first class at a salary of \$57,601. At least that is the latest information I have. How does that compare with other law enforcement agencies in this area?

Chief MORSE. That is much higher than most municipal or State law enforcement agencies in the metropolitan area, and it is very

competitive with the Federal agencies here in the District of Columbia and the United States.

Mr. LUNGREN. Chief, let me ask you this about your statement that you have followed a threat-based staffing model as you explained your efforts to tie resources to risks. Could you give us some examples of changes that we would see in a transition to a threat-based staffing model and how far along you are on that?

Chief MORSE. Well, the concept of operations for a threat-based model is concentric rings of security, which we have; prevent, detect, respond, and mitigate as a part of that. We would like to be able to address the threat as far away from the Capitol complex as we possibly can. Some of the changes that you might see and some that we are currently actively doing are in relation to, for instance, our truck interdiction and monitoring program. Where we are able to establish 75 new camera systems that focus on possible threats approaching the campus well before they get here. Giving the officers the time to react to that and apply the prevention and/or mitigation of that threat before it reaches the campus. And that is really what our truck interdiction and monitoring program is. And you see that here on the four corners of the campus. And we are expanding upon that daily using technology to do so. That would be an example.

Another example would be the bollard systems that you see, Delta barriers for access into secure locations. All our screening methodology addresses all the most current threats, to include, you know, obviously weapons and chemicals, biological, nuclear, et cetera.

Mr. LUNGREN. You pronounced that last word the same way the President does. That is very interesting. In designing training plans, Chief, to meet the human capital requirements for the force—and the reason I ask that is there are different cultures in different departments. And I saw that as the Attorney General of California looking at various departments throughout California, saw that as I was able to compare them with others across the country. And some departments have a culture where physical fitness is very, very important. Others don't seem to have that. I happen to be one that happens to believe that that's important, particularly here at the Capitol, because not only do you want people to be able to physically respond to any emergency, and we could have any type of emergency here, but it also has to do with, it is the Nation's Capitol, and we ought to look our best so to speak. So I wonder whether you would be considering mandatory physical fitness standards for sworn personnel, not only as they come out of the training program and as they are first employed but on a regular basis.

Chief MORSE. Yes, that is something that we are looking at.

Mr. LUNGREN. You are looking at it, but I mean what does that mean?

Chief MORSE. We are analyzing it. There is a lot of things that go with putting a physical fitness program in place, from a legal standpoint and then from a validation standpoint. We would want it to be right for what we do. And we would want it to be something that was achievable. And we would want it to be something that our current employees could also achieve. So I do agree with

you that physical fitness and appearance are not only important for people to see, but it is also important for the health of our officers, and it serves as a great deterrent.

Mr. LUNGREN. So, as I take it, that is something you would like to achieve, but you are looking at how it is achievable as opposed to whether or not you think it is a good idea to do.

Chief MORSE. That is correct. I think it is a great idea, and it is something that we are hopefully going to be able to achieve.

Mr. LUNGREN. Thank you.

Mr. Chairman, I have some other questions, but are we going to have a second round?

Mr. CAPUANO. Yes.

Mr. LUNGREN. Okay.

Mr. CAPUANO. Mr. Brady.

The CHAIRMAN. Yes.

Thank you, Chief, for being here. As you know, my father was a police officer, so I feel some type of bond here. And I was a sergeant at arms, so I feel some type of bond with our sergeant at arms, Mr. Livingood. I know both of you work together, and I do appreciate and want to thank you for the cooperation that you have always given me. And I appreciate that. You know, when these bells and whistles go off, and when we hear airplanes flying above us, you know, we are all being escorted out of the building and you all are running into the building. So you certainly have my respect simply because you deserve it. In any way I can be cooperative and help you, please feel free to call me. And thank you again for your appearance today and also for your men. Thank you.

Mr. CAPUANO. Chief, I just have one other question. It relates to overtime. I have no problem with overtime. I think overtime is actually a good thing for most of the rank-and-file. I think it helps encourage morale and gets the most out of your employees.

Of course, there is always a balance. I am just curious, do you have any operating procedures or whatever, limitations in place as to how much overtime an individual can get or—I am not worried about the dollar amounts. I am more interested in making sure there is not somebody on duty who has been on duty constantly for 36 hours unless absolutely necessary.

Mr. NICHOLS. Yes, sir, that is one of our ongoing concerns. We do have a current cap in place for our officers. They can work up to 56 hours a pay period, which is a 2-week period of additional duty. And it is for the same reasons that you just articulated. We want to make sure that our officers are sharp and are able to respond to an emergency situation. If they are overworked, working too much overtime, it degrades that readiness and capabilities. So we have those policies and procedures in place for that very reason.

Mr. CAPUANO. Thank you.

Mr. Lungren.

Mr. LUNGREN. Thank you, Mr. Chairman.

Chief, one of the concerns I think outlined by the GAO report, or at least it has come to my attention, was that there appeared to be a significant number of employment-related lawsuits in the past. As you have reformed human resource practices, have we seen a reduction in lawsuits or complaints?

Chief MORSE. I don't know the answer to that question right now. I can get statistics for you——

Mr. LUNGREN. Can you get that back to me, please?

Chief MORSE [continuing]. And get that for the record.
[The information follows:]

STATISTICS FOR LITIGATION

FY YEAR	MEDIATIONS	OOCH HEARING	DISTRICT COURT	COURT OF APPEALS	FEDERAL CIRCUIT
2001	278	0	255	0	0
2002	34	0	3	0	0
2003	39	0	9	0	0
2004	12	1	14	2	0
2005	15	1	1	2	0
2006	7	1	2	0	0
2007	16	3	2	1	1
2008	10	2	1	0	1
TOTAL	411	8	287	5	2

Mr. LUNGREN. Thank you. Last year I had the chance, with Assistant Chief Nichols, to meet at the Command Center. And at that time, I asked you, you know, what resources did you think you needed? You didn't ask me to give you that; I asked you that. You responded with two letters, including one that outlined the costs involved. It is not insubstantial, nor did I think it would be insubstantial.

And I wonder, Mr. Chairman, if in the future, at some point in the time in the future we could off line sit down with the chief and the assistant chief about that list. And again, I say they didn't ask me to do it, I asked them, what do you need in terms of additional capital investments so that we could be informed and take a look at it. And I think some of them it would be better for us to probably discuss it behind closed doors just because of the nature of the equipment and what it would be used for. And I think maybe, at least for me, it would be helpful and perhaps for the subcommittee.

Mr. CAPUANO. Just one final question, Chief, and I apologize I didn't ask earlier. I am also interested in diversity, particularly in the higher ranks, not as much in the entry level ranks. I mean, from what I see, I don't know the numbers, but it looks like a diverse workforce. But when it gets up there, it doesn't look like a diverse workforce. I am just curious, are you taking positive steps to address—first of all, is my perception correct? And second, if it is, are you taking steps to address that?

Chief MORSE. Well, first of all, I am very proud of our posture regarding diversity in the workplace. And we are obviously committed to moving forward to an increased representation of both women and minorities in the police department, both sworn and civilian, as well as in the sworn ranks. What we do is, to ensure that we have the highest qualified people and that the promotional process is not one that is biased or discriminatory, is that we use an outside contractor. And we also use subject matter experts from within the police department. We are inclusive of everyone from the top down. So that makes for a process that everyone feels comfortable in being a part of. And I think that increases the number of people who enlist to become officials.

Also of our 21 SES-equivalent positions, 6 are represented by women and 3 are represented by minorities, which is over 43 percent of our Executive Management Team that we spoke of earlier. And most recently, in the last 6 months, four women and minority sworn employees have been promoted to the official ranks. And in addition, we recently promoted two internal minority females to manager positions in our financial management and human resources offices. So these are done through a competitive process. They are done in an open and fair way, which I think attracts the most qualified people for the position but also is a process that is transparent and people want to be a part of.

Mr. CAPUANO. Chief, I respect all that, but I have done a fair amount of hiring in my life, and I have almost never found a job for which one person is solely and uniquely qualified. That includes my job. That includes your job. I mean, for my job I got 635,000 constituents, and my expectation is there are 634,000 that are more qualified than me, but I got it. And that being the case, I totally understand and absolutely agree. I am not looking for quotas.

I am not looking for some alleged neutral review of the whole thing. I would never suggest that the best qualified person shouldn't get it. But it is awfully hard, I can never believe—not never, but seldom believe that there is any job for which one person, regardless of anything, where one person is the only person who is qualified for that job. I have almost always found I could get 10 people for any one job, and then you get down to, of those 10 people, any one of them are qualified for it, which one do I pick. And my hope and expectation is that a goal of diversity is part of that judgment process once you get down to those qualified people.

Chief MORSE. One of the things that we requested in our 2009 budget that will address the type of situation that you are talking about where we get direction is for a diversity officer. And specifically, that person, we are an organization that does not have that, and that particular position would allow direction, best practices and so forth in relation to diversity and promotion and hiring and recruiting and such. So that is one positive step that we have made to diversity within our organization. And we hope that we would be able to bring that person on in 2009 to help us.

Mr. CAPUANO. That is fair enough, Chief.

But you know, the city I ran had more people than you have, and we didn't have a diversity officer. We didn't need one. Not a problem having one, but the commitment has to come from people who do the hiring. The commitment has to come from the people who do the promotions. In the final analysis, a diversity officer is only just somebody there whose only job really is to make sure that you do the right thing. And if you want to do the right thing, you don't really need somebody who is standing there telling you to do the right thing, though my staff does that to me on a regular basis, and my wife in particular. I need it. My hope is that the people who are making the decisions don't really need that. And if they do, they won't need it for long.

Chief MORSE. I just wanted to add that we do want to do the right thing. And hopefully, this will help us make it so it is transparent. But I am committed to doing the right thing. And I support what you are saying.

Mr. LUNGREN. I just have one last question. Chief, you mentioned that you have authorized 1,702 sworn, and you have 1,611. Do you need 1,702, or do you need 1,611? And if you need 1,702, why aren't we closer to that? And if you don't, should we reduce the authorization down to 1,611?

Chief MORSE. We actually need more than that, which is evident by the amount of overtime that we expend.

Mr. LUNGREN. Why are we missing 91 then?

Chief MORSE. Well, several factors there. One, our new mission sets. For instance, the CVC, 10 sworn were requested in 2009 to fill that position and 11 sworn to support the new Visitors Experience at the Library of Congress. And also we have attrition. And I believe, in 2009, we are asking for classes to train 264 personnel.

Mr. LUNGREN. What about your civilian? You say you are down 59. Do you need those people or not need those people?

Chief MORSE. We absolutely do need those people. But in the budget, sometimes the budget is prioritized in a way that we have to prioritize hiring. And we absolutely need those people, which is

why we requested it. And in the 2009 budget, we have re-requested civilian personnel from previous budgets that were not appropriated for.

Mr. LUNGREN. Okay. Thank you.

Mr. CAPUANO. Thank you, Chief. I appreciate it. Asst. Chief Nichols, Ms. Jarmon, I appreciate your coming and your openness and candor. And I look forward to working with you on a regular basis and more often on a more private basis.

Chief MORSE. Thank you, Chairman.

Mr. NICHOLS. Thank you very much.

STATEMENTS OF RICHARD M. STANA, DIRECTOR, HOMELAND SECURITY AND JUSTICE, U.S. GOVERNMENT ACCOUNTABILITY OFFICE; AND U.S. CAPITOL POLICE OFFICER MATTHEW TIGHE, CHAIRMAN, U.S. CAPITOL POLICE LABOR COMMITTEE

Mr. CAPUANO. On the second panel we have Mr. Stana, who is a director of homeland security and justice issues at the U.S. GAO, and Mr. Tighe, who is a U.S. Capitol Police Officer and chairman of the Fraternal Order of Police at the U.S. Capitol Police Labor Committee. And I believe we will start with Mr. Stana.

STATEMENT OF RICHARD M. STANA

Mr. STANA. Thank you, Chairman Capuano, Mr. Lungren, for the invitation to testify on our work on the U.S. Capitol Police.

As you know, USCP performs many essential functions that are key to the efficient and effective workings of the congressional branch. It is responsible for securing the 276-acre Capitol complex, for protecting Members of Congress, their staffs, visitors, 19 buildings, and national treasures, and for regulating traffic within the Capitol grounds. Having efficient and effective operations and related administrative and management functions are important if USCP is to achieve its overall mission to protect the United States Capitol complex and the on-site public.

Over the years, in response to various requests of legislative mandates, we identified and reported on management control problems in a range of operations, financial management, human capital management, and information technology, and made 46 recommendations for improvement in these areas. In response to our work, USCP recently created a framework to help them, us, and interested congressional committees to track progress in implementing our recommendations. Our recent review showed that USCP has completed actions on 15 recommendations and is making progress toward addressing 28 recommendations but has not made progress on 3 recommendations. My prepared statement discusses in detail the nature and importance of these recommendations and the status of USCP's efforts to address them.

In my oral statement, I would like to highlight just a few main points. First, we reported that USCP needed a system to link its resource requests and allocations to identified risks, threats, and vulnerabilities. In response, USCP has completed risk assessments for 18 of 19 congressional facilities it currently protects and is scheduled to complete all assessments in this fiscal year. It also plans to complete additional assessments after it assumes responsi-

bility for the Library of Congress facilities in just a few months. Additional actions will be required to adequately test and review its overall risk management approach. And until this process is completed, it will not be in the best position to justify resource requests and mitigate potential threats to Members, staff, visitors and facilities.

Second, USCP faces major challenges in its financial management. We reported in the past on a high level of staff turnover and open vacancies, weaknesses in financial reporting, problems with the implementation of a new financial management system, and the need to follow through with plans to develop and implement an internal control problem. In the past year, USCP assessed its staffing needs and procurement processes and issued its first full set of financial statements in accordance with generally accepted accounting principles. USCP is also making progress in the areas of financial management training, policies, procedures, and internal controls. On the other hand, it had not made significant progress in filling vacancies that are critical to stabilizing its financial management workforce. Until our recommendations are fully implemented, its ability to sustain improvements and meet long-term financial management goals will be limited.

Third, in the area of human capital management, USCP has adopted a hiring policy and is making progress on other recommendations related to workforce planning and training. Work still remains to be done to complete a strategic workforce plan and master training plan, which should include long-term strategies for acquiring, developing, retaining a workforce with the critical skills and competencies needed to accomplish the department's mission.

And lastly, USCP has made progress in the information technology management area by establishing important IT management capabilities, such as those used—as the use of a disciplined system acquisition management practice. However, more work remains to be done in the area of enterprise architecture, investment management, information security, and continuity-of-operations planning.

In closing, USCP has made significant progress in addressing operational and administrative weaknesses, but there still remains a substantial amount of work to be done. Until these weaknesses are completely addressed and our recommendations are fully implemented, USCP will not be in the best position to achieve its overall mission in the most efficient and effective manner. This underscores Congress's need to stay closely attuned to USCP's progress toward addressing the administrative and management challenges we identified. I would be happy to answer any questions you may have.

[The statement of Mr. Stana follows:]

United States Government Accountability Office

GAO

Testimony
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U.S. CAPITOL POLICE

**Status of Efforts to Address
Prior GAO Recommendations
on Administrative and
Management Operations**

Statement of:

Richard M. Stana, Director
Homeland Security and Justice

Kay L. Daly, Director
Financial Management and Assurance

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May 1, 2008

U.S. CAPITOL POLICE

Status of Efforts to Address Prior GAO Recommendations on Administrative and Management Operations

What GAO Found

USCP has made significant progress in addressing the 46 recommendations GAO made since 2004. As shown in the table below, USCP has completed actions on 15 recommendations, is making progress toward addressing 28 recommendations, and has not made progress on 3 recommendations. With respect to the five areas, the status of USCP's efforts to address GAO's recommendations is as follows:

- Accountability Framework for Monitoring Recommendations.** USCP has completed actions on creating a framework to monitor progress on addressing GAO's recommendations and on reporting this progress to appropriate congressional committees and the USCP Police Board.
- Linking Resources to Risks, Threats, and Vulnerabilities.** USCP has taken steps to complete risk assessments for 18 of the 19 congressional facilities. However, additional actions will be required to adequately test and review its overall risk management approach.
- Financial Management.** USCP has completed actions on 8 GAO recommendations, including preparing its first full set of financial statements. USCP is making progress in addressing another 13 recommendations related to training, policies, procedures, and internal controls, but did not make progress toward addressing ongoing staff shortages and work imbalances.
- Human Capital Management.** USCP has implemented one recommendation by adopting a hiring policy and is making progress on seven other recommendations related to workforce planning and training. USCP has not yet addressed a ninth recommendation to monitor and evaluate the results of its strategic workforce plan because this plan is still being developed.
- Information Technology.** USCP has implemented four recommendations related to IT management capabilities and is making progress toward implementing the remaining five recommendations related to enterprise architecture, IT investment management, information security, and continuity of operations planning.

Status of USCP Progress in Addressing GAO's Recommendations

Issue area	GAO recommendations since 2004	Status of recommendations		
		Completed	In progress	No progress
Accountability framework for monitoring recommendations	2	2	0	0
Linking resources to risks, threats, and vulnerabilities	3	0	3	0
Financial management	23	8	13	2
Human capital management	9	1	7	1
Information technology	9	4	5	0
Total	46	15	28	3

Source: GAO analysis of USCP data.

Chairman Capuano, Mr. Lungren, and Members of the Subcommittee:

We appreciate the opportunity to be here today to discuss the United States Capitol Police's (USCP) progress in implementing our prior recommendations on administrative and management operations. The USCP is responsible for securing the 276-acre Capitol Complex; protecting members of Congress, their staff, visitors, 19 buildings, national treasures; and regulating traffic within the Capitol grounds. Having efficient and effective administrative and management operations is important in the USCP's overall mission to protect the United States Capitol Complex and the on-site public.

Over the years, in response to various requests and legislative mandates, we have reported on USCP's efforts to address a range of (1) operational, (2) financial management, (3) human capital management, and (4) information technology (IT) management issues. Our reviews have disclosed management control problems in these areas. As a result of these reviews, we have made a number of recommendations that we believe the USCP should implement to achieve its strategic goals and operate in an efficient and effective manner.

In our March 2007 report, we noted that USCP's progress in implementing many of our past recommendations in the four aforementioned areas had been slow for reasons that included an absence of goals, time frames, and accountability; a lack of continuity in leadership and staff; and a tendency to focus on near-term operational demands to the exclusion of longer-term challenges. To ensure greater accountability and transparency, we recommended that the Chief of Police set goals and timetables to track prior recommendations and to report semiannually to the Capitol Police Board and congressional stakeholders on progress towards addressing open recommendations (that is, recommendations not yet fully implemented).

My remarks today are based on our recent review of USCP's progress toward addressing recommendations we have made from January 2004 through March 2007 in the following areas: (1) creating an accountability framework for monitoring recommendations; (2) effectively linking USCP's resource requirements and allocations to risks, threats, and vulnerabilities; (3) ensuring adequate accountability for its assets and resources and meeting its long-term goal of becoming a sound, fully functional financial management operation; (4) ensuring strategic management of its workforce; and (5) effectively leveraging information technology to meet its strategic mission, goals, and outcomes.

To evaluate USCP's efforts in these areas, we reviewed documentation, such as risk matrices, budget documents, financial reports, and strategic plans in support of the current status of USCP actions to improve management controls and close outstanding recommendations; analyzed USCP operational, strategic and human capital planning, and IT management information; reviewed USCP management and administrative processes and written policies, procedures, plans, and directives; and interviewed members of the USCP leadership team, contractors, and other key USCP staff. In determining the status of financial management recommendations we also supplemented our assessment with the agency auditor's report findings. Prior experience with the auditors and our review of their reports provided the basis for determining the sufficiency and relevance of evidence provided in these documents. We conducted our performance audit from October 2007 through April 2008 in accordance with 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 that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

Summary

Since our March 2007 report, USCP has made significant progress toward addressing 46 recommendations we made since 2004. As shown in table 1, of the 46 recommendations we made, USCP has completed actions on 15 recommendations, is making progress toward addressing 28 recommendations, and has not made progress on 3 recommendations.

Table 1: USCP's Progress toward Addressing GAO's Recommendations

Issue area	GAO recommendations since 2004	Status of recommendations		
		Completed	In progress	No progress
Accountability framework for monitoring recommendations	2	2	0	0
Linking resources to risks, threats, and vulnerabilities	3	0	3	0
Financial management	23	8	13	2
Human capital management	9	1	7	1
Information technology (IT)	9	4	5	0
Total	46	15	28	3

Source: GAO analysis of USCP data.

The following describes the actions taken and the work remaining to address the recommendations in the five areas shown in table 1:

Accountability Framework for Monitoring Recommendations. USCP has completed actions on both of our recommendations relating to creating a framework for monitoring recommendations and holding management accountable. USCP set goals and timetables for implementing each of our 46 recommendations, assigned responsibility to an appropriate USCP official for ensuring that actions are taken to implement the recommendations, and created a tracking system to monitor progress. In addition, USCP now reports semiannually to the USCP Board, Senate and House Appropriations Committees, the Senate Committee on Rules and Administration, and the Committee on House Administration on progress made in implementing our prior recommendations.

Linking Resources to Risks, Threats, and Vulnerabilities. USCP is making progress toward implementing our three recommendations relating to more effectively linking USCP's staffing and other resource needs to the risks, threats, and vulnerabilities that the Capitol Complex faces. USCP has taken steps to complete and apply a risk matrix that assesses the security environment at 18 of the 19 Capitol Complex facilities, and plans to apply it to six Library of Congress buildings when USCP assumes responsibility for their security at the end of the fiscal year.

Moreover, initial steps have been taken to conduct both external peer reviews and periodic testing of USCP's overall risk management approach. While USCP has plans to periodically test and evaluate the risk matrix, the process has yet to be formalized as a Standard Operating Procedure (SOP).

Financial Management. Of our 23 recommendations relating to financial management, USCP has completed actions on 8 recommendations, in areas such as assessing its staffing needs and procurement process and issuing its first full set of financial statements in accordance with generally accepted accounting principles in December 2007. USCP is also making progress towards addressing 13 recommendations related to training, policies, procedures, and internal controls. However, USCP has not made progress on 2 recommendations to fill vacancies that are critical in helping its Office of Financial Management stabilize its workforce.

Human Capital Management. Of our nine recommendations relating to human capital management, USCP has implemented one recommendation by adopting a hiring policy and is making progress on seven other recommendations related to workforce planning and training. USCP has not yet addressed a ninth recommendation to monitor and evaluate the results of its strategic workforce plan because this plan is still being developed and it is still too soon for USCP Office of Human Resources (OHR) officials to monitor and evaluate any progress on achieving the human capital goals of the plan.

Information Technology (IT). Of our nine recommendations relating to IT, USCP has implemented four recommendations and is making progress toward implementing the remaining five. Specifically, USCP has made progress towards establishing important IT management capabilities, such as the use of disciplined system acquisition management practices. However, more work remains to be done in the areas of enterprise architecture, IT investment management, information security, and continuity of operations planning.

I will briefly discuss each of the major areas where we have made recommendations and USCP's progress to date in implementing those recommendations. More detailed information on our recommendations and USCP's efforts to implement them is included as an appendix to this statement.

**Creating an
Accountability
Framework for
Monitoring
Recommendations:
USCP Has
Established a
Framework**

USCP's progress in implementing many of our past recommendations had been slow for reasons that included an absence of goals, time frames, and accountability; a lack of continuity in leadership and staff; and a tendency to focus on near-term operational demands to the exclusion of longer-term challenges. To help ensure that actions were taken to implement our recommendations, in March 2007, we recommended that the USCP Chief of Police (1) set goals and timetables, and establish accountability for implementing the recommendations, and (2) report semiannually to the USCP Board, Senate and House Appropriations Committees, the Senate Committee on Rules and Administration, and the House Committee on House Administration on progress made in implementing our recommendations.

To address our first recommendation, USCP appointed an Audit Liaison to coordinate the tracking, reporting, and resolution of recommendations made by us and the USCP Office of the Inspector General (OIG). In this regard, USCP created a formal recommendation resolution process with several components. Each recommendation is assigned to a designated official who is responsible for establishing an action plan to outline the actions needed to implement the recommendation, identify staff responsible for taking the needed actions, establish a target completion date, and track the status of related actions until completion. In a larger sense, during the last year, USCP has taken additional steps to strengthen management accountability and address both our and OIG recommendations. For example, USCP has created a formal process known as the Force Development Planning Process aimed at ensuring that all organizationwide decision-making, planning, and resource allocation processes incorporate elements of threat-based planning. According to USCP, the process links seven previously separate activities related to planning, investments, budget formulation, execution, and performance evaluation into a single process that integrates risk and operational and administrative assessments. By linking these activities, USCP endeavors to establish timetables and better accountability for planning and resource requirements while ensuring that the overall department employs a more strategic and results-oriented approach.

With respect to the second recommendation, USCP submitted two semiannual reports during 2007 to stakeholders to provide an update on progress made to implement both our and the OIG prior recommendations. In these reports, the Chief of Police also linked USCP's progress toward implementing the recommendations and improving overall USCP management and operations to the steps necessary to realize the goals in the USCP strategic plan and Concept of Operations (ConOps).

Linking Resources to Risks, Threats, and Vulnerabilities: Progress Made in Implementing a Risk Management Approach

Over the years, we have supported the use of a risk management approach to help implement and assess responses to various national security and terrorism concerns. We have concluded that without an approach that provides insights about the present threat and vulnerabilities as well as the organizational and technical requirements necessary to achieve a program's goals, there is little assurance that programs are properly prioritized and focused.

In the past, we have reported that to improve operations and better support resource requirements, USCP would have to more effectively link threats and vulnerabilities to its staffing and other resource needs. In our 2005 report, we noted that according to USCP, continued increases in its operational requirements were not being met with necessary increases in its number of uniformed officers. We also noted that USCP's ability to assess risk levels—relative to the vulnerabilities of and threats to USCP security posts—would provide USCP with information needed to more effectively allocate limited resources to the areas of greatest need. In that regard, we worked with USCP to develop a risk analytical management matrix that could be used to assess risk relative to the threats and vulnerabilities of the Capitol Complex. Moreover, we issued three recommendations to help USCP develop a risk management framework that links threats and vulnerabilities to allocation of resources.

In our March 2007 report, we noted that while USCP had taken several steps to develop a risk management framework to address our recommendations, its progress was slow. Since we issued that report, USCP has made significant progress in addressing our recommendations regarding the implementation of a risk management approach, although further actions are needed.

Progress Has Been Made in Applying the Risk Matrix, but It Is Not Fully Implemented

USCP has made significant progress in applying the risk management framework. Using the risk matrix and other tools, USCP has completed risk assessments for 18 of 19 congressional facilities and is scheduled to complete all assessments this fiscal year. According to USCP officials, they will be required to complete a total of 25 assessments after the department assumes responsibility for six additional facilities from the Library of Congress at the end of the fiscal year. USCP will need to complete the risk assessments of all the facilities under its responsibility to fully address our recommendations. Moreover, to ensure that USCP's resource requirements are better linked to threats and vulnerabilities, USCP contracted with Enlightened Leadership Solutions (ELS) to assess the department's manpower configuration, law enforcement operations, and

overall staffing resources. According to USCP officials, the findings from the ELS Manpower Study are currently being evaluated and integrated into its Force Development Planning Process. Agency officials told us that upon integration, the USCP will be able to more effectively link resource requirements to threats and vulnerabilities.

Initial Steps Taken to Review and Test the Effectiveness of the Matrix; However, Additional Actions Are Necessary

While USCP has taken initial steps to review and test the effectiveness of its risk management framework, further action is necessary to fully implement our recommendation. For example, ELS examined the risk management frameworks employed by comparable federal law enforcement agencies to identify best practices and potential benchmarks. To do this work, ELS conducted best practices research and interviewed high-level officials in the Central Intelligence Agency (CIA), the Federal Bureau of Investigation (FBI), the U.S. Department of State's Bureau of Diplomatic Security, and the Department of Defense. Moreover, USCP sought the assistance of three additional agencies—the General Services Administration (GSA), the Transportation Security Administration (TSA), and the U.S. Secret Service (USSS)—to conduct peer reviews by reviewing USCP's risk management framework. According to USCP, the agencies listed above share protective missions similar to the USCP as well as conduct large physical security surveys. According to USCP, regarding the risk management framework, these agencies all concur with USCP's methodologies, processes, and reporting structures. Although we did not validate the initial findings of the external peer reviews, we believe that USCP is taking steps in the right direction to review the effectiveness of its risk management framework.

To test the effectiveness of the risk matrix, according to USCP officials, the department's Safety and Security Bureau (SSB) plans to conduct an annual internal review and assessment of the risk matrix after all risk assessments have been completed for all congressional facilities. As a part of the review, SSB proposed to evaluate the thoroughness and accuracy of each risk assessment; review whether or not all existing vulnerabilities and mitigation options were correctly identified; and suggest changes or updates to the risk matrix as a result of the review. Agency officials told us that this plan is to be formalized into their SOPs when all physical assessments of the congressional facilities have been completed.

When fully integrated, the combination of these efforts should fulfill our remaining recommendations regarding the linkage between risk management and the necessary resource requirements to address those risks in the most efficient and effective manner.

Financial Management: Progress Noted in Certain Areas, but Major Financial Management Challenges Remain

In our March 2007 report, we found that USCP continued to face major challenges and had not made significant progress toward improving its financial management operations. Major challenges reported included a high level of staff turnover and open vacancies, which have continued into fiscal year 2008 and prevented USCP's Office of Financial Management (OFM) from stabilizing its financial management operations. As you know, a stable and skilled workforce is needed to build a strong foundation for financial management, internal control, and accountability. Our March 2007 report also highlighted continuing challenges related to financial reporting and the performance of related physical inventories of assets, the implementation of a new financial management system, and the need to follow through with plans to develop and implement an internal control program. Further, we reported that 23 previously issued financial management recommendations covering general financial management and reporting, internal control policies and training development, procurement, and staffing identified during our reviews since 2004 had not been addressed.

During the past year, OFM has made important progress toward addressing long-standing financial management issues in each of these areas, including the issuance of its first full set of financial statements in accordance with generally accepted accounting principles in December 2007. In addition to achieving this important milestone, USCP completed actions in areas such as assessing its staffing needs and procurement process that effectively addressed 8 of our 23 recommendations. However, despite these efforts, USCP did not make progress toward addressing ongoing staff shortages and work imbalances, which significantly limit its ability to sustain improvement efforts and meet long-term financial management goals and prevented us from noting progress in 2 recommendations. In addition, although USCP has made important progress toward addressing the remaining 13 recommendations related to training, policies and procedures, internal controls, and other financial management activities, continued efforts are needed to ensure that USCP's financial management operations meet their objectives and stakeholder needs.

Addressing Staffing Shortages Is Critical for Sustained Improvements

USCP effectively addressed two of our prior recommendations related to evaluating its financial management staffing needs by conducting internal assessments of current and future needs that included assessing the need for additional staff or contractors to meet ongoing needs and high-priority demands. However, USCP has not made progress in addressing two recommendations to fill vacancies that are critical in helping OFM stabilize

its workforce, reduce risk associated with workload and staffing imbalances, improve its financial operations and meet its long-term goals. For example, eight OFM positions, including the Chief Financial Officer (CFO), Deputy CFO, Budget Officer, and Procurement Officer, remained vacant as of April 4, 2008, due to recurring turnovers and other factors. As a result of these shortages, USCP financial statement auditors reported significant weaknesses related to OFM's ability to effectively monitor its financial management operations.

Additional Efforts Needed to Build on Progress Made in Procurement Activities and Credit Card Programs

Collectively, USCP efforts effectively addressed three of our prior recommendations related to procurement activities and credit card programs; however, additional efforts are needed to address nine other recommendations in these areas. For example, efforts to realign procurement staff and implement workload efficiencies have enabled OFM to eliminate previously reported backlogs and provided an effective framework for meeting future activity. In addition, USCP monitored purchase card activity to identify potential fraudulent activity, improper usage, or abuses of these cards and initiated efforts to monitor fleet and travel card activities. USCP has also made progress toward providing training and guidance for staff involved in procurement activities and credit card programs. However, continued efforts are needed to further assess credit card program risks and enhance existing guidance, training, and monitoring activities to ensure consistent application of policies and procedures.

Financial Reporting and Internal Control Have Improved, but Challenges Remain

USCP effectively addressed three of our seven recommendations related to financial reporting and general internal control by issuing its first full set of financial statements, formalizing procedures related to reprogramming transactions, and establishing electronic approval paths in its new financial management system. By the end of fiscal year 2007, USCP had also issued or revised about 30 policies and procedures covering a wide range of financial activities including payroll, capitalized assets, and access to its financial management reporting system. Although USCP has made substantial progress in formalizing its policies and procedures, additional efforts are needed to address issues identified in the four remaining recommendations. For example, the USCP financial statement auditor noted in its 2007 audit report instances where the lack of staff and improper implementation of USCP's policies and procedures created

deficiencies that ultimately contributed to two material weaknesses¹ and the auditor's inability to issue an opinion on the financial statements.

Recognizing that annual financial statements audits provide a valuable assessment of USCP's financial management operations and that auditors reported significant deficiencies in December 2007, we encourage USCP to continue to work with its auditors to address (1) the deficiencies that prevented its auditors from expressing an unqualified opinion on its financial statements, (2) significant internal control deficiencies reported by the auditors including those considered to represent material weaknesses related to payroll processing and financial management, and (3) any instances of noncompliance with laws and regulations reported by the auditors. Correcting these deficiencies will not only permit USCP to obtain an unqualified opinion in the future, but will also help in achieving its long-term goal of becoming a fully functional financial management operation with a solid foundation of internal control and accountability.

Human Capital Management: USCP Has Adopted Hiring Policy and Initiated Efforts to Address Long-standing Workforce Planning and Training Issues

Since our prior review in March 2007, USCP has successfully implemented our August 2004 recommendation to adopt a civilian hiring policy. USCP has addressed this recommendation by issuing a policy that describes the department's process for hiring both sworn and civilian staff and outlines the responsibilities of managers and selecting officials in this process. Additionally, USCP has made some initial steps to develop a strategic workforce plan and a master training plan. Our past work has identified the need for USCP to develop these plans to address several long-standing human capital challenges, such as updating human resource management policies and procedures, improving workforce planning, and addressing employees' training needs. In January 2004, we issued six recommendations proposing that USCP develop and implement a strategic workforce planning process containing specific human capital strategies addressing such areas as recruitment and training. We made two additional recommendations regarding the implementation of this process in our reports issued in 2005. Of these eight recommendations, USCP has

¹A material weakness is a significant deficiency, or a combination of significant deficiencies, that result in more than a remote likelihood that a material misstatement of the financial statements will not be prevented or detected. A significant deficiency is a control deficiency, or combination of control deficiencies, that adversely affects the entity's ability to initiate, authorize, record, process, or report financial data reliably in accordance with generally accepted accounting principles such that there is more than a remote likelihood that a misstatement of the entity's financial statements that is more than inconsequential will not be prevented or detected.

made progress on all but one recommendation—to monitor and evaluate the results of its strategic workforce plan. Because USCP has not yet fully developed its strategic workforce plan, it is still too soon for officials from USCP's Office of Human Resources (OHR) to monitor and evaluate the results of this plan.

USCP Has Adopted a Civilian Hiring Policy

In our August 2004 report, we determined that USCP needed to adopt clear, up-to-date policies and procedures for hiring individuals into civilian positions. Specifically, both USCP's SOP that discusses the roles and responsibilities managers have in the civilian hiring process and the supplemental memorandum on the process for making job offers were out-of-date and not consistently implemented by USCP officials. In October 2007, USCP successfully implemented this recommendation by issuing its Employment and Promotion Policy Plan that provides a standardized hiring process for both sworn and civilian positions within USCP. In addition to including a description of the department's hiring process, this plan also outlines the responsibilities that managers and selecting officials have in the hiring process, such as determining whether vacant positions still need to be filled and consulting with OHR officials on any changes in the position's duties, responsibilities, or organizational placement. This plan was approved by USCP's Chief of Police and applies to all personnel actions related to filling USCP positions.

USCP Has Taken Initial Steps to Develop a Strategic Workforce Plan

Our prior work examining the practices of leading organizations has highlighted the importance of developing human capital strategies—the programs, policies, and processes that organizations use to hire and train staff; develop succession plans; administer a performance management system; and use human capital flexibilities.² These strategies can assist an agency in addressing skill gaps within its current workforce as well as acquiring skills needed in the future to achieve an agency's mission and goals.

To address our eight recommendations relating to the development and implementation of a strategic workforce planning process, USCP's Office of Human Resources has completed an initial draft of a strategic

²GAO, *Human Capital: Agencies Need Leadership and the Supporting Infrastructure to Take Advantage of New Flexibilities*, GAO-05-616T (Washington, D.C.: Apr. 21, 2005); and GAO, *Human Capital: Effective Use of Flexibilities Can Assist Agencies in Managing Their Workforces*, GAO-03-2 (Washington, D.C.: Dec. 6, 2002).

workforce plan, which discusses the importance of workforce planning, demographic information on USCP's workforce, as well as a listing of action items needed to develop a set of human capital strategies. Although creating this initial draft plan is an important first step, OHR officials acknowledge that the plan will need further refinement. Specifically, as the draft plan is further developed, the action items should be more fully developed and include such details as specific tasks to complete, defined roles and responsibilities, milestones, and resource requirements. Finally, because USCP has not yet fully developed its strategic workforce plan, it is too soon for OHR officials to monitor and evaluate their progress on achieving the human capital goals of their plan—one of the eight recommendations we made related to strategic planning.

**Further Collaboration
Needed to Complete
Master Training Plan**

In our March 2007 report, we discussed USCP's efforts to establish a well-designed training program that addresses the needs of both sworn and civilian staff. Effective training and development programs are an integral part of an agency's ability to ensure that its employees have the information, skills, and competencies to work effectively. These training programs can also enhance an agency's ability to attract and retain employees with needed skills and competencies.

To address three of the recommendations related to developing USCP's strategic workforce plan, USCP's Training Services Bureau (TSB) officials have been working on a four-phase process to develop a master training plan, which is to define and prioritize staff training needs and requirements. TSB has completed the process' first phase by issuing a training catalog containing all training courses available to USCP staff through TSB as well as external training providers and facilities. Currently, TSB is in the second phase of this process—validating the competencies of USCP's position descriptions—which will require further collaboration with OHR. According to OHR officials, they have finished identifying the competencies for USCP's civilian positions and are currently reviewing and revising competencies for the sworn positions. Upon completion of this phase, TSB officials, working with OHR and other stakeholders, plan to then identify appropriate professional development and training curriculum for all USCP staff based on the set of validated competencies. To complete the development of the master training plan, TSB officials plan to develop specific training strategies and procedures, such as formulating future training needs.

Information Technology: USCP Has Made Progress toward Establishing IT Management Capabilities, but Further Actions Are Needed to Address Remaining Weaknesses

USCP relies on information technology (IT) to support the achievement of its mission. For example, USCP depends on IT systems to schedule and dispatch police officers, manage the maintenance of vehicles and equipment, and perform numerous administrative functions, such as preparing financial reports and paying employees. To effectively leverage IT in achieving strategic mission goals and outcomes, an organization such as USCP needs to institutionalize certain management disciplines and capabilities. Accordingly, we have advised the agency on the importance of (1) following disciplined system acquisition management practices, (2) developing and implementing an enterprise architecture, (3) establishing and implementing investment management structures and processes, and (4) developing and implementing an effective information security program and continuity of operations plan. Our research of leading private and public sector organizations shows that success in managing and leveraging IT can be linked to these strategic IT management disciplines and capabilities.

USCP has made progress in addressing our recommendations related to each of these IT management disciplines and capabilities, including the use of disciplined system acquisition management practices. Nevertheless, weaknesses remain in the areas of enterprise architecture, investment management, information security, and continuity of operations planning. Of nine recommendations we made in January and August 2004 to improve USCP's IT management capabilities, the department has completed actions on four of the recommendations and has made progress toward completing the remaining five recommendations.

System Acquisition Policies and Procedures Have Been Developed and Implemented

USCP has completed the development and implementation of system acquisition policies and procedures that are essential to reducing the risk of acquiring systems that do not perform as intended, are delivered late, and cost more than planned. Specifically, the agency's policies and procedures provide for, among other things, developing acquisition plans and maintaining them throughout the acquisition life-cycle. Additionally, USCP has taken steps to ensure that system acquisitions are conducted in accordance with the policies and procedures. For example, as part of its acquisition of a new case management system, USCP developed a project management plan, defined requirements, and monitored project development costs. According to USCP officials, the agency's policies and procedures are followed for ongoing and planned system acquisitions. As a result of improving its system acquisition management, USCP has reduced the risk of systems not performing as intended, not being delivered on time, and not meeting cost and schedule expectations.

Further Actions Needed to Develop and Implement Enterprise Architecture

USCP has a long-standing enterprise architecture program and, according to agency officials, all but one of the agency's existing applications are in compliance with the current architecture version. However, progress within the last year toward effectively managing the program in accordance with relevant guidance, such as our enterprise architecture management maturity framework, has been limited. Further, the agency's architecture products do not include the full breadth of necessary content, particularly regarding descriptions of how security will be achieved. Additionally, USCP officials have identified the need to update their transition plan and for the revised plan to include a current schedule for legacy systems replacement and the resource needs for accomplishing this replacement. According to the officials, the agency has not had sufficient staff resources to support its architecture program, and thus, has requested funding for two full-time architecture staff in its fiscal year 2009 budget request. Until USCP addresses these weaknesses in its enterprise architecture program, the agency will be challenged in its ability to implement systems that optimally support mission operations.

IT Investment Management Process Has Been Developed, but Implementation Has Limitations

USCP has developed, but not yet fully implemented, a comprehensive IT investment management process. The agency's IT Capital Planning and Investment Control Guide defines a comprehensive process that includes selection, control, and evaluation of proposed and ongoing investments. While the agency has made progress toward implementing a process consistent with its guide, the existing process is largely limited to the selection of proposed investments, with little emphasis on controlling and evaluating ongoing investments. For example, the process does not yet require documentation of key decisions or include assignment of responsibility for executing decisions during the control and evaluation stages of the investment life cycle. In speaking to these activities, USCP officials said they chose to focus their initial investment management efforts on increasing discipline in the selection of all (i.e., IT and non-IT) investments across the agency; however they recognized the need to extend such discipline to the control and evaluation of the agency's investments. Until USCP implements an investment management process that includes control and evaluation of investments, in addition to the already established selection process, the agency will not be effectively positioned to provide the management oversight and informed decision making that is necessary to ensure that investments are performing as planned and delivering promised value.

Further Actions Needed to Fully Implement Information Security Program and Continuity of Operations Plan

USCP has implemented an information security program and performed continuity of operations planning. The agency reported that it has implemented 70 of 108 information security program activities that it had identified as necessary. For example, it has completed the execution of vulnerability assessments and network scans. Additionally, according to agency officials, certification and accreditation of major applications has been completed and information security plans have been developed for major applications. Regarding continuity of operations planning, USCP has revised its continuity of operations plan and begun activities to implement the plan throughout the agency. Specifically, in January 2008, the Chief of Police adopted the revised plan and directed follow-on activities to be completed that include a timeline for ensuring the integration of the plan with agency operations. Nevertheless, USCP officials assert that the agency needs additional staff resources to fully implement its remaining security program activities and maintain an effective security program. To this end, the agency has requested funding for two full-time IT security staff in its fiscal year 2009 budget request. Until USCP completes its security program activities, it will not be positioned to protect its systems and critical information.

Concluding Remarks

Over the years, we have recommended that USCP take actions to correct deficiencies we identified in the areas of operations, financial management, strategic and human capital planning, and IT management. Since the issuance of our last report and as noted in this statement, USCP has made significant progress in addressing our prior recommendations. Notwithstanding the progress that has been made, there is still substantial work that remains to be done. For example, in the areas of linking resources to threats and vulnerabilities, USCP has yet to fully integrate its risk management framework. Until this process is completed, USCP will not be in the best position to effectively link resource needs to threats and vulnerabilities. In the areas of financial management, USCP has yet to fully address the challenges of ongoing staff shortages and work imbalances. Until these recommendations are implemented, USCP's ability to sustain improvement efforts and meet long-term financial management goals will be limited. In the area of human capital management, work still remains to complete its strategic workforce plan and master training plan, which should include long-term strategies for acquiring, developing, and retaining a workforce with the critical skills and competencies needed to accomplish the department's mission. In the area of information technology, despite the progress made in addressing management concerns, weaknesses remain in enterprise architecture, investment management, and information security. Until these management and

operational issues are fully addressed and implemented, USCP will not be in the best position to achieve its strategic goals and mission in the most efficient and effective manner. This underscores Congress's need to stay closely attuned to USCP's progress toward addressing the administrative and management challenges we identified.

Mr. Chairman, this concludes our prepared statement. We would be happy to respond to questions you or other members of the subcommittee may have at this time.

For questions regarding this testimony, please contact Richard M. Stana at (202) 512-8777 or stanar@gao.gov. Contact points for our offices of Congressional Relations and Public Affairs may be found on the last page of this statement.

Appendix I: Status of United States Capitol Police (USCP) Recommendations

This appendix provides a status summary of the progress made and remaining actions by USCP in addressing prior GAO recommendations.

GAO recommendation and date of recommendation	Status	Progress and remaining action
Framework for Recommendation Accountability		
1. Set goals, timetables, and establish accountability for implementing outstanding GAO recommendations. March 2007	Completed	<p>Progress</p> <p>USCP has fulfilled this recommendation, through the creation of the Force Development Process—which is an organizational effort to incorporate risk management into its planning, operations, investment decisions and resource requests and the establishment of an audit liaison to handle the coordination, tracking, and reporting of all open recommendations (that is, recommendations not yet fully implemented) from both GAO and USCP's Office of the Inspector General (OIG).</p> <p>In July 2007, USCP issued Directive 2032.001 that established a framework tool to track the progress made on outstanding GAO and OIG recommendations. The primary objectives of the directive are to: (1) specify the roles of USCP officials involved with follow-up and resolution of outstanding recommendations, (2) strengthen the procedures utilized by the department, (3) assure that corrective actions committed by the department are actually taken in a timely manner, and (4) improve overall internal controls over audit follow-up and ensure continuous organizational evaluation and improvement.</p> <p>Moreover, USCP developed a planning process and tracking system that utilizes action plans to document the assignment of recommendations to specific owners, establish timetables, and track the resolution of recommendations.</p> <p>Remaining action</p> <p>None required.</p>
2. Report semiannually to the USCP Board, Senate and House Appropriations Committees, the Senate Committee on Rules and Administration, and the House Committee on House Administration on progress made in implementing our prior recommendations. March 2007	Completed	<p>Progress</p> <p>USCP has completed this recommendation by reporting semiannually to the designated stakeholders. Specifically, USCP has issued two semiannual reports to the designated stakeholders to provide a progress update regarding prior GAO recommendations. This is a part of the department's framework to increase organizational accountability and its response to stakeholder concerns.</p> <p>Remaining action</p> <p>None required.</p>

GAO recommendation and date of recommendation	Status	Progress and remaining action
Linking Resources to Risks, Threats, and Vulnerabilities		
1. Apply the risk matrix to all 19 congressional buildings. November 2005	In progress	<p>Progress</p> <p>Since our March 2007 report, USCP has made good progress in completing risk assessments for almost all congressional facilities. Over the past year, the department has applied the risk matrix— which is based on threat level and criticality—to 18 of 19 facilities and plans to apply it to six Library of Congress buildings when USCP assumes responsibility for their security. USCP is scheduled to complete assessments on any remaining facilities in fiscal year 2008.</p> <p>A critical aspect of this work includes linking threats and vulnerabilities to staffing resources. In October 2006, USCP contracted with Enlightened Leadership Solutions (ELS) to conduct an assessment of how well USCP responds to the threats and risks unique to the Capitol Complex and to determine the most effective way to allocate staffing resources throughout the department. According to agency officials, ELS completed the Manpower study in October of 2007. However, the study's recommendations are under review and have yet to be applied to USCP's risk management approach and overall operations and strategic planning. Agency officials told us that once the recommendations from the study are applied to the risk management framework and its operations, the department will be in a better position to determine how best to strategically place its officers throughout the Capitol Complex to mitigate threats and vulnerabilities.</p> <p>Remaining action</p> <p>Although ELS delivered its recommendations on how USCP should allocate its staffing resources throughout the Capitol Complex in October 2007, USCP has yet to fully implement them into its risk management approach. While progress has been made in linking threats and vulnerabilities to staffing and resource allocation, according to agency officials, integrating the findings from the ELS report into USCP's overall operations and strategic planning processes is an ongoing task that requires oversight and feedback. Moreover, USCP senior management indicated that achieving buy-in from the department's uniformed officers and staff will also take additional time.</p>

GAO recommendation and date of recommendation	Status	Progress and remaining action
2. Conduct an external peer review of the risk matrix and make revisions as appropriate. November 2005	In progress	<p>Progress</p> <p>USCP has taken steps to address this recommendation by conducting best practices research from comparable federal law enforcement agencies. USCP contracted with ELS to determine how best to link staffing resources with threats and vulnerabilities. During the course of the review, ELS contacted several federal law enforcement agencies that shared similar missions with USCP. ELS interviewed security officials from the Uniformed and Protective Division of the Federal Bureau of Investigation (FBI), the Central Intelligence Agency (CIA), the Department of Defense, and the Department of State (Bureau of Diplomatic Security). ELS concluded that the factors considered in their risk management approach aligned with the current practices of their peer federal law enforcement agencies.</p> <p>In January 2008, USCP sought the assistance of three additional agencies to review its risk matrix. These agencies included the United States Secret Service (USSS), the Transportation Security Administration (TSA), and the General Services Administration (GSA). According to USCP officials, these federal agencies were chosen because they share protective missions similar to USCP and therefore conduct similar physical security assessments. According to USCP, regarding the risk management framework, these agencies all concur with USCP's methodologies, processes, and reporting structures. Although GAO did not validate the findings of the external peer review, we believe that USCP is taking steps in the right direction.</p> <p>Remaining action</p> <p>USCP needs to complete risk assessments of the remaining congressional facilities as well as the six facilities it will assume responsibility for from the Library of Congress and incorporate the findings from the ELS manpower study into the risk matrix.</p>
3. Conduct periodic testing and evaluation of the risk matrix to help ensure its continued effectiveness as a risk assessment/resource allocation tool. November 2005	In progress	<p>Progress</p> <p>The Security Services Bureau (SSB) has developed a plan to conduct periodic assessments of the risk matrix. The proposed plan includes an annual review of all the assessments conducted for congressional assets, quarterly reviews of technology concerns related to the risk matrix, and a formal process to report recommendations and modifications to the risk matrix to the Chief Operating Officer (COO).</p> <p>Remaining action</p> <p>While the USCP has plans to periodically test and evaluate the risk matrix, the process has yet to be formalized as a Standard Operating Procedure (SOP).</p>

GAO recommendation and date of recommendation	Status	Progress and remaining action
Financial Management		
Financial Reporting and General Internal Controls		
<p>1. Consult with congressional stakeholders to determine the format of audited financial statements that would be useful to those stakeholders and explore interim steps, such as preparing a statement of budgetary resources, to be completed prior to developing a full set of financial statements in accordance with generally accepted accounting principles (GAAP) for federal entities, so that congressional and other stakeholders are provided with audited information that meets their needs.</p> <p>January 2004</p>	Completed	<p>Progress</p> <p>USCP has fulfilled this recommendation by issuing its first Statement of Budgetary Resources in fiscal year 2004 and its first full set of financial statements in accordance with GAAP in fiscal year 2007.</p> <p>Although USCP's efforts satisfied the intent of this recommendation, financial statement auditors disclaimed their opinion on the USCP financial statements because they were unable to obtain sufficient, competent evidential matter to determine if the financial statements were fairly presented in accordance with generally accepted accounting principles. These deficiencies prevented the auditors from validating amounts at which property, plant, and equipment were recorded, as well as other items such as the amount of write-offs, depreciation expense, and operating expenses.</p> <p>The USCP financial auditor also identified two material weaknesses in the areas of payroll processing and financial management which included several deficiencies that USCP needs to address.</p>
<p>2. Provide training and other guidance to Office of Financial Management (OFM) staff to ensure consistent application of the applicable policies and procedures relating to financial management operations.</p> <p>January 2004</p>	In progress	<p>Progress</p> <p>USCP has made significant progress in providing guidance to OFM staff through financial management training sessions and through the development and implementation of numerous financial management policies and procedures since this recommendation was reported.</p> <ul style="list-style-type: none"> • During fiscal years 2006 and 2007, USCP issued or revised over 30 SOPs related to its budget activities, payroll processing, reconciliations, year-end procedures, capitalized asset processing, and other financial management activities. Financial statement auditors also reported progress in their December 2007 report, noting that USCP implemented many recommended policies and procedures for managing its financial operations. • During fiscal year 2007, OFM held numerous training sessions relating to its financial management system including budget, financial reporting, financial systems, internal controls, and other areas. These included sessions developed for Directors, Financial Liaison Officers, and administrative staff with financial management functions. • To further improve its guidance and documentation on internal control processes, USCP hired a contractor to perform an overall review of USCP's internal control program, including an evaluation of policies and procedures over financial reporting. The contractor is to assist USCP in identifying required policies and procedures necessary to ensure compliance with OMB Circular No. A-123* and support financial statement development.

GAO recommendation and date of recommendation	Status	Progress and remaining action
		<p>However, despite ongoing efforts by USCP to provide training and other guidance such as policies and procedures to its staff, financial statement auditors reported in USCP's 2007 audit report that policies and procedures were not consistently applied due to the lack of manpower resulting in continuing financial management deficiencies. Auditors also reported the need for additional policies in several areas to address internal control deficiencies identified during the audit. For example, auditors reported that USCP has inadequate quality assurance procedures for year-end closing and financial statement preparation activities. They also reported that lack of policies and procedures to ensure coordination between OFM and the Office of General Counsel and among OFM divisions contributed to inadequate communication required for timely and accurate financial reporting.</p> <p>Remaining actions</p> <ul style="list-style-type: none"> • Continue efforts to develop and implement additional policies and procedures to address deficiencies noted by financial statement auditors as well as those identified through other internal and external reviews. • Ensure staff continue to receive training in key financial management areas and in new and existing policies. • Assess the cause of deficiencies noted by financial auditors to determine if weaknesses relate to deficiencies in the SOPs, implementation of procedures, or lack of monitoring. • Monitor the implementation of policies and procedures to ensure consistent application of the policies and eliminate deficiencies related to this area.
<p>3. Assess whether adequate segregation of duties exists over financial management activities to ensure that proper control procedures are in place over USCP resources to reduce the risk of erroneous or fraudulent transactions. August 2004</p>	<p>In progress</p>	<p>Progress</p> <ul style="list-style-type: none"> • In our February 2005 report, we noted that OFM had taken actions to correct the segregation of duties issues identified and developed an OFM-wide policy on internal controls to ensure proper segregation of duties. • In 2006, USCP hired a contractor to perform an overall review and assessment of its internal control program, including assessing segregation of duties. In September 2007, the contractor provided an assessment of USCP's internal control environment related to financial reporting policies and procedures, which included numerous recommendations for improvement. In addition, as of February 2008, this contractor had reviewed six of USCP's financial assessable-units and, according to an OFM official, completion of the remaining financial reviews is expected by June 2008. • In May 2007, USCP developed and established an SOP that provided guidance on requirements for granting access to its Momentum and Maximo financial systems. This SOP also included provisions for periodic reviews to ensure adequate segregation of duties. Before this SOP was finalized, a review of Momentum access was completed in December 2006, and USCP reported that as of January 2008 it had initiated efforts to conduct its 2008 review.

GAO recommendation and date of recommendation	Status	Progress and remaining action
		<p>However, despite these efforts, the fiscal year 2007 financial statement audit report issued in December 2007 disclosed significant internal control deficiencies related to financial management and other areas, which may be caused in part by improper segregation of duties. For example, the auditor cited several instances where transactions were not properly supervised and monitored creating misstatements, transaction errors, incomplete transactions, and inaccurate documentation. Until USCP addresses these deficiencies and underlying causes, it cannot adequately ensure that the risks of erroneous or fraudulent transactions are mitigated by appropriate internal controls.</p> <p>Remaining action</p> <p>USCP needs to continue implementing actions to address deficiencies and issues identified through its internal and external internal control review efforts.</p>
<p>4. Continue to develop and implement all necessary policies and procedures covering financial management operations, and adequately train all staff involved in financial management activities to ensure consistent application of the applicable policies and procedures, and to reduce risk in financial management operations.</p> <p>February 2005</p>	In progress	<p>Progress</p> <p>USCP has made significant progress in providing guidance to OFM staff through financial management training sessions and through the development and implementation of numerous financial management policies and procedures since this recommendation was made.</p> <p>For additional information on progress made and remaining actions, refer to those described in Recommendation 2.</p>
<p>5. Increase efforts to develop and implement all necessary policies and procedures covering financial management operations, and adequately train staff involved in financial management activities to help ensure consistent application of the applicable policies and procedures, and to reduce risk in financial management operations.</p> <p>November 2005</p>	In progress	<p>Progress</p> <p>USCP has made significant progress in providing guidance to OFM staff through financial management training sessions and through the development and implementation of numerous financial management policies and procedures since this recommendation was made.</p> <p>For additional information on progress made and remaining actions, refer to those described in Recommendation 2.</p>
<p>6. Establish, document, and formalize specific policies and procedures for year-end reprogramming transactions.</p> <p>November 2005</p>	Completed	<p>Progress</p> <p>In August 2006, USCP issued a Budget Modifications and Reprogramming Standard Operating Procedure (SOP) which fulfilled the intent of this recommendation. The USCP SOP outlined procedures for processing year-end reprogramming and other transactions, which included provisions for</p> <ul style="list-style-type: none"> • establishment of deadlines for bureau and office staff to approve requisitions, and travel and training authorizations in USCP's financial system; • Budget Office authority to withdraw remaining annual funds to fund other priority needs;

GAO recommendation and date of recommendation	Status	Progress and remaining action
<p>7. Establish electronic approval paths that are properly designed and implemented in the new financial management system to help ensure that adequate segregation of duties is in place and that only approved reprogramming transactions are processed in the system.</p> <p>November 2005</p>	Completed	<ul style="list-style-type: none"> • provision to officially request any reprogramming or notification actions from oversight committees, if necessary; and • Budget Office authority to initiate and process reprogramming documents for any bureau or office in order to effect year-end spending reallocations and priorities and committee-approved transactions in USCP's financial system. <p>Although USCP satisfied this recommendation with the issuance of its SOP, additional efforts are needed to address issues identified by financial statement auditors and our review related to monitoring contracts and expenditures, and processing-related reprogramming transactions. Refer to Recommendations 7 and 21 for additional information.</p> <p>Progress</p> <p>In connection with the implementation of its new financial system, electronic approval paths have been established, segregating the ability to create and approve reprogramming transactions and to help ensure that only approved transactions are processed in the system.</p> <p>Although USCP efforts to implement electronic approval paths in its new financial system satisfy the intent of this recommendation, the USCP financial statement auditors noted in its audit report that 2 of the 87 reprogramming transactions were entered after the fiscal year ended. For example, one of these reprogramming issues resulted from travel expenditures by the Dignitary Protection Division (DPD) exceeding year-end budgeted amounts. According to an OFM official, DPD travel expenditures are difficult to estimate and track since DPD uses group travel authorizations as opposed to individual authorizations. To cover for the DPD-related travel vouchers, approximately \$63,000 of additional funds had to be reprogrammed after year-end. According to an OFM official, USCP encountered another reprogramming transaction after year-end related to a contractor's late submission of outstanding invoices for 2007 expenditures resulting in a reprogramming transaction involving approximately \$115,000 of fiscal year 2007 funds.</p> <p>Because of these type of situations, it is important that USCP monitors its transactions to identify and process all reprogramming transactions by fiscal year-end.</p>

GAO recommendation and date of recommendation	Status	Progress and remaining action
<p>Staffing</p> <p>8. Hire additional staff to fill vacant positions and maintain authorized staffing levels to meet USCP financial management goals.</p> <p>August 2004</p>	No progress	<p>Progress</p> <p>USCP has made no progress in filling vacant positions and maintaining authorized staffing levels to meet its financial management goals and avoid workload imbalances as evidenced by the following findings:</p> <ul style="list-style-type: none"> • Eight vacancies continue to exist in its Office of Financial Management (OFM) as of April 4, 2008, indicating no overall progress toward reaching authorized staffing levels. • Seven key financial staff left OFM during 2007, including the Chief Financial Officer (CFO), Deputy CFO, Procurement Officer, and a Budget Officer. <p>In addition, the USCP financial statement auditor cited in its fiscal 2007 audit report that severe loss of human capital resources had a significant effect on USCP's financial reporting capability for fiscal year 2006, and additional human capital loss during fiscal year 2007 exacerbated the existing finding. The auditor also stated that the combination of existing and new staff shortages, additional financial statements, and the accelerated deadline, along with the identified internal control weaknesses, taxed OFM beyond its capacity.</p> <p>According to USCP officials, only two positions have been filled in OFM since the GAO March 2007 report, and selections have been made to fill three additional OFM positions, but no confirmations have been made. Although OFM has made attempts to address the large number of vacancies and staff imbalance issues, no actual progress has been made due to the high rate of turnover and other factors.</p> <p>Remaining action</p> <p>USCP must fill existing OFM vacancies and hire needed staff with sufficient skills to meet its financial management goals.</p>

GAO recommendation and date of recommendation	Status	Progress and remaining action
<p>9. Continually evaluate its financial management staffing needs to determine whether staffing levels are sufficient to address current and future operational demands and meet long-term financial management goals.</p> <p>February 2005</p>	Completed	<p>USCP has fulfilled this recommendation by continually evaluating its staffing needs to meet operational demands and long-term financial management goals. Since our March 2007 report, the USCP did the following:</p> <ul style="list-style-type: none"> • Evaluated its staffing needs and, based in part on a staffing analysis performed by an independent contractor, continued to request funding for additional OFM positions in its annual budget request. This request includes a description of the purpose for the requested position and the effect on financial management operations if not funded. For example, USCP's fiscal year 2009 budget request includes two new accountant positions, noting that if these positions are not filled, OFM will have difficulties in meeting financial management goals and will struggle to produce financial statements, conduct timely quarterly closings, implement cost accounting, and address internal control deficiencies. • Posted announcements for several vacant positions in OFM using recently updated job descriptions. • Updated job descriptions to reflect USCP's assessment of the specific competencies required for the vacancies. • Evaluated the need to restructure OFM resources and utilize services of contractors to fill short-term and ongoing needs in areas such as financial reporting, analysis, and travel voucher processing.
<p>10. Evaluate its financial management staffing needs to (1) determine the proper mix of contractor and staff support needed during the current period of high demand and in the future, (2) determine whether staffing levels are sufficient to address future workload demands, and (3) meet its long-term financial management goals.</p> <p>November 2005</p>	Completed	<p>Progress</p> <p>USCP has fulfilled this recommendation by continually evaluating its staffing needs to meet operational demands and long term financial management goals.</p> <p>For additional information on progress made, refer to actions described in Recommendation 9.</p>
<p>11. Immediately address high-priority staffing and contractor needs and fill vacancies to reduce risk associated with any workload and staffing imbalance.</p> <p>November 2005</p>	No progress	<p>Progress</p> <p>USCP has made no progress in filling key vacant positions and maintaining authorized staffing levels to meet its financial management goals and avoid workload imbalances.</p> <p>For additional information refer to Recommendation 8.</p>

GAO recommendation and date of recommendation	Status	Progress and remaining action
Procurement and Credit Card Programs		
12. Develop and implement detailed policies and procedures covering USCP's procurement activities and provide training to the appropriate staff. January 2004	In progress	<p>Progress</p> <p>USCP has made significant improvements in addressing its detailed policies and procedures covering its procurement activities and has provided training to applicable staff.</p> <ul style="list-style-type: none"> • In our February 2005 and November 2005 reports, we noted ongoing progress related to developing, finalizing, and implementing policies, procedures, and controls related to procurement, including the development of numerous policies and procedures and other guidance related to its purchase card, travel card, and fleet card programs. • During 2006 and 2007, USCP issued or revised numerous procurement-related policies, including USCP's procurement policy; travel card administration and monitoring policy; and policies related to contracting officer responsibilities, procurement thresholds, payment approvals, purchase order processing, file documentation, and acquisitions of office supplies. • In August 2007, USCP issued interim guidance related to its travel and fleet card policies. • According to an OFM official, credit card holders are required to receive training regarding the proper use of USCP credit cards to ensure purchases of goods and services are made in accordance with existing policies. • Purchase card holders are required to sign that they have taken training before they are issued a purchase card. <p>However, although OFM efforts to draft a purchase card policy were noted in an earlier report, this important procurement-related policy has not yet been finalized. In addition, USCP's financial statement auditors reported in December 2007 that USCP does not have procedures in place to implement its new policy for monitoring fuel purchase transactions related to its fleet card program.</p> <p>Remaining actions</p> <ul style="list-style-type: none"> • Continue efforts to provide training and other guidance to address issues identified in the audit report and through internal reviews to monitor consistent application of policies and procedures. • Complete comprehensive purchase card policy. • Complete detailed procedures for performing reviews of fleet card transactions. • Implement procedures that conform with stated policies.

GAO recommendation and date of recommendation	Status	Progress and remaining action
<p>13. Provide training and other guidance to USCP operations staff who procure goods and services or oversee contracts to help ensure consistent application of the applicable policies and procedures relating to financial management operations.</p> <p>August 2004</p>	In progress	<p>Progress</p> <p>USCP has made significant improvements in developing its detailed policies and procedures covering its procurement activities and has provided training to applicable staff.</p> <ul style="list-style-type: none"> • Refer to Recommendation 12 describing progress made by USCP in providing training and other guidance to staff who procure goods and services. • In addition to procurement guidance, USCP implemented the following steps to help ensure consistent application of contract management: <ul style="list-style-type: none"> • created contract and interagency agreement listings that, according to OFM officials, list all active contracts and interagency agreements; • dedicated teams to provide support to internal customers on procurement issues (see details and progress described in Recommendation 15); and • implemented policy related to monitoring contractor performance and the role of Contracting Officer Representatives (COR). <p>However, despite these efforts, USCP continues to be hampered by the lack of sufficient training and guidance and inconsistent application of policies and procedures related to procuring goods. For example</p> <ul style="list-style-type: none"> • USCP experienced problems in monitoring contracts involving procurement-related activities to ensure contractor invoice submissions; • certain purchase card guidance and desk procedures have not been finalized; and • the financial statement auditor and subsequently USCP found problems with travel reimbursement processing, which resulted in several duplicate travel reimbursements. <p>Remaining action</p> <p>Refer to remaining actions described in Recommendation 12.</p>
<p>14. Finalize detailed policies, procedures, and internal controls covering USCP's procurement and purchasing activities and provide training to the appropriate staff.</p> <p>August 2004</p>	In progress	<p>Refer to progress and remaining action described in Recommendation 12.</p>
<p>15. Assess the procurement workload to identify the current backlog of procurement transactions and identify any additional staffing needed to address the backlog and projected future procurement activity.</p> <p>August 2004</p>	Completed	<p>Progress</p> <p>USCP efforts have collectively addressed the procurement backlog and provided a framework for meeting future activity. These efforts include</p> <ul style="list-style-type: none"> • adoption of a team approach involving assignment of procurement staff to work with specific bureaus in March 2006 to improve operations and better manage the overall procurement workload,

GAO recommendation and date of recommendation	Status	Progress and remaining action
		<ul style="list-style-type: none"> • restructuring of procurement staff among bureaus in March 2007 to more evenly balance procurement staff workload, and • routine use of procurement-related status and activity reports to monitor workload such as outstanding requisitions and requisitions received each month. <p>As of December 2007 and January 2008, USCP had 58 and 110 outstanding requisitions, respectively. This increase, according to an OFM procurement official, was expected due to increased procurement activity related to USCP's receipt of USCP's fiscal year 2008 annual appropriations. Also, according to reports used to monitor procurement workload, at least 97 percent of outstanding requisitions as of January 2, 2008, were initiated since October 1, 2007, indicating USCP's ability to process procurement activity on a timely basis.</p>
<p>16. Systematically monitor the purchase card program to identify potential fraudulent, improper, and abusive uses of the purchase cards, as well as any patterns of improper cardholder transactions.</p> <p>August 2004</p>	Completed	<p>Progress</p> <p>USCP has implemented actions to monitor the use of purchase cards that fulfill this recommendation:</p> <ul style="list-style-type: none"> • In our February 2005 report, GAO noted that OFM established monitoring activities to reduce the risk of fraudulent purchase card transactions including training sessions, reviews of buying logs, surprise reviews of files supporting transactions, and the use of a consultant to review credit card history of each purchase card holder. • During our current review, we confirmed that USCP continued to monitor purchase card activity in 2007 through the use of buying logs and surprise reviews. • USCP requires purchase card holders to take applicable training to help ensure compliance with policies and procedures. <p>In addition, an external contractor hired to review key financial internal control activities reported no findings based on its review of process flows and tests of key controls related to purchase cards.</p>
<p>17. Continue to assess the risks associated with the management of all credit card programs, including fleet and travel, and take appropriate action where necessary to strengthen controls and to minimize the risks of fraudulent, improper, and abusive credit card transactions.</p> <p>August 2004</p>	In progress	<p>Progress</p> <p>As noted in Recommendations 12 and 16, USCP has continued to provide training and additional guidance associated with the management of its credit card programs.</p> <p>USCP has also implemented various actions to strengthen controls related to the use of travel cards. For example</p> <ul style="list-style-type: none"> • OFM staff review quarterly reports noting unusual or questionable activity based on numerous predefined parameters,

GAO recommendation and date of recommendation	Status	Progress and remaining action
18. Continue efforts to finalize detailed policies, procedures, and internal controls covering USCP's procurement and purchasing activities, and adequately train staff to reduce risk in the procurement area. February 2005	In progress	<ul style="list-style-type: none"> • bureau Commanders or office Directors are notified of questionable travel card transactions and corrective action is taken, as necessary, and • according to OFM officials, staff responsible for monitoring travel card activities coordinates with staff that process travel vouchers to minimize specifically identified risks associated with individual travel card holders. <p>Additional controls implemented by USCP related to fleet cards include the following:</p> <ul style="list-style-type: none"> • OFM staff scans monthly reports of detailed fleet card transactions for unusual or questionable activity. Activity is organized on these reports by card holder enabling OFM staff to more easily identify unusually high usage. • Fleet card holders must input specific personal identification numbers and odometer readings to obtain authorization for each fleet card transaction. <p>Although several activities have been established to strengthen controls over the use of purchase cards, detailed policies and procedures for performing these reviews have not been formalized. In addition, USCP continues to have deficiencies related to the use of credit cards. For example, USCP policy requires the monthly reconciliation of travel cards maintained in the Accounting Section safe. However, we noted that as of February 2008, only one reconciliation had been completed and certified since June 2007. OFM officials also stated that questionable activity was noted during the last quarter of 2007 requiring additional follow-up.</p> <p>Remaining actions</p> <ul style="list-style-type: none"> • Complete detailed procedures for performing reviews of fleet card transactions. • Complete comprehensive purchase card policy. • Continue efforts to provide training and other guidance to address issues identified in the audit report and through internal reviews to monitor consistent application of policies and procedures (see recommendation 12). • Consider the results of the external contractor's assessment of internal controls related to all credit card programs reviewed and implement additional controls as appropriate (see recommendation 3). <p>Progress</p> <p>Refer to Recommendation 12 describing progress and actions related to developing, finalizing, and implementing policies and procedures and training. See also Recommendations 14 and 17 for progress and remaining actions related to implementing internal controls related to procurement and purchasing activities associated with USCP's credit card programs.</p>

GAO recommendation and date of recommendation	Status	Progress and remaining action
19. Evaluate the process for procurements that require multiple actions, approvals from higher levels, and additional follow-up, to determine what additional resources are needed to efficiently complete the procurement request and to reduce the procurement workload. February 2005	Completed	Progress USCP efforts have collectively addressed the procurement backlog and provided a framework for meeting future activity. USCP has fulfilled this recommendation. For additional information on progress made refer to Recommendation 15.
20. Continue to implement proper internal control, such as monitoring, over all credit card programs to minimize the risks of fraudulent, improper, and abusive credit card transactions. February 2005	In progress	Progress USCP has continued to provide training and additional guidance associated with the management of its credit card programs. For additional information on progress made and remaining actions, refer to those described in Recommendation 17.
21. Monitor the effectiveness of recently implemented reporting requirements and procedures established to improve accountability over large-dollar contracts. February 2005	In progress	Progress USCP has implemented the following steps to improve accountability over large dollar contracts: <ul style="list-style-type: none"> • the creation of contract and interagency agreement listings which, according to OFM officials, include all active contracts and interagency agreements; • the implementation of dedicated teams to provide support to internal customers on procurement issues; and • the implementation of policy related to monitoring contractor performance and the role of Contracting Officer Representatives (COR). <p>Despite these efforts, USCP continues to experience challenges with monitoring large-dollar contracts, especially related to monitoring contractor invoice submissions. For example, according to an OFM official, a contractor did not submit invoices for several months and USCP underestimated the amount of outstanding invoices at year-end, which resulted in a 15 percent overrun of expenditures on this contract and the need to reprogram unobligated fiscal year 2007 funds to satisfy \$115,000 in expenditures.</p> Remaining action Clarify responsibilities for monitoring activities related to contract invoice submissions and expenditures and implement appropriate measures to ensure accountability and timely and thorough performance of required monitoring activities.
22. Finalize detailed policies, procedures, and internal controls covering USCP's procurement and purchase activities, and adequately train staff to reduce risk in the procurement area. November 2005	In progress	Progress USCP has made significant improvements in addressing its detailed policies and procedures covering its procurement activities and has provided training to applicable staff. For additional information on progress made and remaining actions, refer to those described in Recommendation 12.

GAO recommendation and date of recommendation	Status	Progress and remaining action
23. Evaluate alternatives for contract administration over large-dollar contracts to determine which would be cost beneficial and effective to help ensure that contract requirements are met and deliverables are received.	In progress	<p>Progress</p> <p>USCP has implemented steps to improve accountability and contract administration over large-dollar contracts. However, additional procedures are needed.</p> <p>For additional information on progress made and remaining actions, refer to those described in Recommendation 21.</p>
November 2005		
Human Capital Management		
1. Chief of Police should direct the Chief Administrative Officer (CAO) and the Director of Human Resources to implement a workforce planning process that clearly establishes and assigns roles and responsibilities to link planning of resource requirements to the USCP strategic plan and achieve operating efficiencies.	In progress	<p>Progress</p> <p>USCP has made progress by gathering input from USCP's leaders and managers on the human capital goals and challenges facing the organization. Leading organizations developing workforce planning strategies have involved their employees and other stakeholders in identifying ways to streamline processes and improve human capital strategies. USCP has taken initial steps by surveying through e-mail all sworn employees from the rank of Lieutenant and higher, and higher-level civilian employees, seeking their opinions regarding USCP's most significant human capital challenges and goals. USCP officials view this survey as the first of several steps to gather information from its workforce to refine the strategic direction of its workforce planning.</p> <p>Remaining actions</p> <p>USCP needs to continue with its process of gathering input from not only its leadership and managers, but from its other employees and employee union. By involving the entire workforce, USCP will help ensure that the entire organization understands the need for and benefits of changes described in the strategic workforce plan, allowing USCP to develop clear and transparent policies and procedures to implement the plan's human capital strategies. In addition, USCP will need to take steps to involve its stakeholders in this process of gathering input and seeking an understanding of the plan's human capital strategies.</p>
February 2005		
2. Chief of Police direct the Director of Human Resources to develop and implement a USCP strategic workforce planning process that includes: Building capabilities to address administrative, education, and other requirements important to support workforce strategies.	In progress	<p>Progress</p> <p>USCP is making progress through drafting appropriate human capital policies, a strategic workforce plan, and a master training plan. We reported in our January 2004 report that USCP needs to make updating its leave policy a high priority because previous guidance on the use of leave was fragmented among a number of documents and needed to be integrated to provide greater consistency. In addition, we recommended USCP develop and implement a strategic workforce planning process that included strategies for hiring and training staff to address workforce gaps and sustain the needed critical skills and competencies. As part of this plan, USCP should identify currently available human capital flexibilities—policies and practices that an agency has the authority to implement in managing its workforce. These flexibilities can include policies and practices such as alternative work schedules, monetary recruitment and retention incentives, and special hiring authorities. Since our 2004 report, USCP's Office of Human Resources (OHR) has revised its leave policy,</p>
January 2004		

GAO recommendation and date of recommendation	Status	Progress and remaining action
		<p>which is currently under internal review. In addition, OHR has made progress by creating an initial draft of its strategic workforce plan. USCP's Training Services Bureau (TSB) has initiated a four-phased process for developing a master training plan. TSB has completed its first phase by producing a training catalog containing all training courses available to USCP staff through TSB as well as through 15 other training providers and facilities, such as the Federal Law Enforcement Training Center operated by the Department of Homeland Security in Glynco, Georgia. TSB officials are currently in the second phase of this process in which they are collaborating with the OHR to validate the competencies of USCP's sworn and civilian positions to ensure that the training provided addresses the competencies required for staff to perform their duties.</p> <p>Remaining actions</p> <p>USCP officials need to continue with developing, finalizing, and implementing appropriate human capital policies, their strategic workforce plan, and master training plan. USCP officials should use the development of the strategic workforce plan as an opportunity to identify available and new human capital flexibilities for managing its workforce and accomplishing its mission and goals. Furthermore, USCP will need to ensure that using any human capital flexibilities is part of an overall human capital strategy as well as ensure that stakeholder input is considered as part of the process for developing any flexibilities-related policies and procedures.</p>
<p>3. Chief of Police direct the Director of Human Resources to develop and implement a USCP strategic workforce planning process that includes: Defines organizational roles for establishing a more integrated approach to civilian training.</p> <p>January 2004</p>	<p>In progress</p>	<p>Progress</p> <p>USCP has been making progress by completing its review and revision of all USCP's civilian position descriptions. Through this process, USCP's OHR has identified the appropriate competencies associated with each civilian position description, which will enable OHR and USCP's TSB to identify the appropriate training curriculum addressing the competencies of these positions. In addition, USCP has established a departmentwide 14-member training working group to discuss and begin addressing training issues throughout the department.</p> <p>Remaining actions</p> <p>USCP's revision of its civilian position descriptions is an important first step in adopting a more strategic approach to training its civilian employees. In addition, civilian training issues should be addressed as part of TSB's master training plan. Without a more strategic approach, USCP cannot ensure optimum use of its training funds.</p>
<p>4. Chief of Police direct the Director of Human Resources to develop and implement a USCP strategic workforce planning process that includes: Determining critical skills and competencies that are needed to achieve future programmatic results.</p> <p>January 2004</p>	<p>In progress</p>	<p>Progress</p> <p>USCP has been making progress on this recommendation through its review and revision of all USCP's civilian position descriptions. To complete this process, USCP's OHR held focus groups with supervisors of USCP's civilian staff to identify the appropriate competencies and critical skills associated with each position description. OHR revised these position descriptions based on this input. Furthermore, OHR has entered these civilian position descriptions into an automated human resource management system (supported by AVUE Technologies Corporation), which can be a useful tool for identifying skill gaps within the department as well as for identifying the training needs of employees.</p>

GAO recommendation and date of recommendation	Status	Progress and remaining action
<p>5. Chief of Police direct the Director of Human Resources to develop and implement a USCP strategic workforce planning process that includes: Devising strategies (e.g., hiring, outsourcing, or training) to address gaps in the number, deployment, and alignment of human capital resources to enable and sustain the contributions of critical skills and competencies.</p> <p>January 2004</p>	<p>In progress</p>	<p>Remaining actions</p> <p>Having completed a revision of all the civilian position descriptions, USCP will need to complete a similar process for its sworn staff, which OHR officials have reportedly begun. As USCP continues this process, OHR officials should ensure that the critical skills and competencies of the sworn position descriptions are aligned with USCP's strategic goals, as they have done with the civilian position descriptions.</p> <p>Progress</p> <p>USCP is making progress through its development of a draft strategic workforce plan and the establishment of a process for developing a master training plan. Our March 2002 strategic human capital model stressed the importance of agencies developing human capital strategies—the programs, policies, and processes that agencies use to hire and train staff; develop succession plans; administer a performance management system; and use human capital flexibilities. In addition, we found that agencies need to consider how these strategies can eliminate skill gaps within their current workforces and to plan for acquiring skills needed in the future to achieve the agencies' mission and goals. USCP's draft strategic workforce plan is a significant first step in addressing this recommendation by listing specific actions needed to develop these human capital strategies. Additionally, USCP officials reported that they plan to include within the master training plan an examination of the possible professional development courses for various positions as well as an organizationwide succession plan to ensure the continuity of USCP's leadership.</p> <p>A recent development in establishing a human capital strategy is the OHR's implementation of an "Officer Voluntary Reassignment Program." Through accessing OHR's automated resource management system (supported by AVUE Technologies Corporation), sworn personnel can request reassignments from their current unit to another USCP unit, within the constraints of the organization's needs and staff seniority.</p>

GAO recommendation and date of recommendation	Status	Progress and remaining action
		<p>Remaining actions</p> <p>USCP officials need to continue developing their strategic workforce plan and master training plan. In particular, the strategic workforce plan will need to be further refined. Although it contains an appendix listing action items for implementing human capital strategies, these action items lack sufficient details on specific steps needed to establish potential human capital strategies. TSB will need to continue its four-phase process to develop the master training. Currently, TSB is in the second phase of this process—validating the competencies of USCP’s position descriptions—a process that will require further collaboration with USCP’s OHR. Upon completion of this phase, TSB officials, working with OHR and other stakeholders, plan to then identify appropriate professional development and training curriculum for all USCP staff based on the set of validated competencies. Finally, to complete the master training plan, TSB officials plan to develop specific training strategies and procedures, such as identifying future training needs.</p> <p>Once these plans have been developed, USCP leadership will be in a position to better communicate—to all its employees—the specific strategies being implemented. To further implement this recommendation, USCP leaders should consider developing a communication strategy when issuing these plans to create a shared set for expectations among staff and promote transparency during the implementation of these human capital strategies.</p>
<p>6. Chief of Police direct the Director of Human Resources to develop and implement a USCP strategic workforce planning process that includes: involving top management and employees in developing, communicating, and implementing a strategic workforce plan. January 2004</p>	<p>In progress</p>	<p>Progress</p> <p>USCP has taken the initial steps to address this recommendation by surveying via e-mail all high-ranking sworn officers and all higher-level civilian employees seeking their opinions on USCP’s most significant human capital challenges and goals. An official from USCP’s Office of Human Resources (OHR) explained that this survey is the first of several steps to gather information from its workforce in order to refine the direction of its workforce planning. OHR has also taken the initiative to discuss the need for a strategic workforce planning process with USCP’s senior management team, which consists of middle-level managers from management offices as well as captains within the operational bureaus. Recently established by USCP, the senior management team meets on a monthly basis to discuss various management and operational issues.</p> <p>Remaining actions</p> <p>USCP officials will need to continue seeking ways to involve top management and employees in the development, communication, and implementation of the strategic workforce plan. Our work reviewing the experience of leading organizations has shown that top management that is personally involved in the strategic workforce planning process can provide an organizational vision that is important in times of change; can help provide stability as the workforce plan is being developed and implemented; and help ensure that human capital strategies are thoroughly implemented and sustained over time.</p>

GAO recommendation and date of recommendation	Status	Progress and remaining action
<p>7. Chief of Police direct the Director of Human Resources to develop and implement a USCP strategic workforce planning process that includes: Monitoring and evaluating progress toward the organization's human capital goals and the contribution that human capital results have made toward achieving programmatic goals.</p> <p>January 2004</p>	No progress	<p>Remaining actions</p> <p>Because the strategic workforce plan is still being developed, USCP officials acknowledged that it is still too early to evaluate the progress of its planned human capital strategies. In the future, it will be important for USCP to measure both the outcomes of its human capital strategies and how these outcomes have helped USCP accomplish its mission and strategic goals. Periodic measurement of an agency's progress towards its human capital goals and the extent that human capital strategies contribute to achieving agency goals provides information for effective oversight by identifying performance shortfalls and appropriate corrective actions.</p>
<p>8. Chief of Police make completing the strategic workforce plan a priority for USCP and be involved in developing, communicating, and implementing the workforce plan. In this regard, the workforce analyses assigned to the OHR workforce planner should be evaluated to help ensure that progress on the strategic workforce plan can also go forward. As we recommended in our February 2005 report, the Chief should direct the CAO and the Director of OHR to implement a workforce planning process that clearly establishes and assigns roles and responsibilities to link planning of resource requirements to the USCP strategic plan.</p> <p>November 2005</p>	In progress	<p>Progress</p> <p>USCP has addressed a portion of this recommendation by ensuring that the Office of Human Resources' (OHR) strategic workforce planner is assigned primarily to the development of the strategic workforce plan rather than performing other workforce analyses. By focusing his effort on the workforce plan, OHR's strategic workforce planner has made significant progress by creating an initial draft of the strategic workforce plan.</p> <p>Remaining actions</p> <p>While USCP has made some progress on this recommendation, a substantial amount of work is still required to develop and implement the strategic workforce plan. Although the plan contains useful background material and demographics of USCP workforce, it lacks sufficient details on how USCP will establish its potential human capital strategies.</p>

GAO recommendation and date of recommendation	Status	Progress and remaining action
<p>9. Human Capital, Civilian Hiring. In addition, to provide increased assurance that USCP is consistently implementing clear, up-to-date policies and procedures for civilian hiring and a strategic approach for training civilian employees, we recommend that the Chief of Police monitor the development and implementation of USCP's civilian handbook and its analysis of the competencies that employees will need to meet its performance goals.</p> <p>August 2004</p>	Completed	<p>Progress</p> <p>In October 2007, USCP implemented this recommendation by issuing its Employment and Promotion Policy Plan. In our August 2004 report, we determined that both USCP's SOP that discusses the roles and responsibilities of managers in the civilian hiring process and the supplemental memorandum outlining information to be reviewed before making a job offer to applicants were out-of-date and not consistently implemented by USCP officials. We concluded that USCP needed to adopt clear, up-to-date policies and procedures for its civilian hiring process. To address this recommendation, USCP's OHR developed and issued a plan that provides a standardized hiring process for both sworn and civilian positions within USCP. In addition to including a description of the department's hiring process, the plan outlines the responsibilities that managers and selecting officials have in the hiring process, such as determining whether vacant positions still need to be filled and consulting with OHR officials on any changes in the position's duties, responsibilities, or organizational placement. This plan was approved by USCP's Chief of Police and applies to all personnel actions related to filling USCP positions. Furthermore, OHR officials have reviewed and revised all the department's civilian position descriptions, which include the applicable competencies for these positions. By using these position descriptions as part of the hiring process, USCP will be able to identify, recruit, and hire individuals based on whether the applicant has the requisite competencies for the position.</p>
Information Technology		
<p>1. Manage development, maintenance, and implementation of USCP's enterprise architecture (EA) in accordance with relevant guidance.</p> <p>January 2004</p>	In progress	<p>Progress</p> <p>USCP has made limited progress in managing, developing, maintaining, and implementing its enterprise architecture since March 2007. According to agency officials, USCP has completed additional content to enhance its existing architecture products.</p> <p>Remaining action</p> <p>USCP has not yet instituted several important architecture management practices. For example, it has yet to establish a committee to guide, direct, and approve the architecture. In addition, USCP has not yet fully developed and implemented architecture products or implemented an independent verification and validation function. It also has not measured and reported architecture product quality. Furthermore, the agency still needs to ensure the sufficiency of the staff resources it applies to developing, maintaining, and implementing its architecture.</p>

GAO recommendation and date of recommendation	Status	Progress and remaining action
<p>2. Ensure that EA products are sufficiently complete to include (1) the business operation description to address the business strategy and business rules governing how agency strategic goals and objectives will be achieved, including a description of key business processes and how they are to support the agency's mission, and identify opportunities to re-engineer, unify, and simplify systems and processes across the agency;</p> <p>(2) the technology architecture description identifying the physical components of the IT infrastructure and the policies, procedures, and processes for, among other things, system development, acquisition, and integration activities, and (3) all descriptions addressing how security will be achieved.</p> <p>January 2004</p>	In progress	<p>Progress</p> <p>USCP developed architecture products, including a business operation description and a technology architecture description. However, these descriptions do not address how security will be achieved. Further, the agency has taken steps to ensure that it has sufficient staff resources to maintain and support its architecture program. Thus, USCP has identified the need for two full-time architecture staff and has requested funding for these positions in its fiscal year 2009 budget request.</p> <p>Remaining action</p> <p>USCP needs to include information on how security will be achieved in its architecture descriptions. Additionally, the agency needs to ensure the sufficiency of the staff resources it applies to maintaining and implementing its architecture.</p>
<p>3. Ensure that the modernization program management plan (or transition plan) includes a governance and control structure for aligning the organization's business transformation with systems modernization, including a schedule that shows legacy system replacement and resource needs for accomplishing this replacement.</p> <p>January 2004</p>	In progress	<p>Progress</p> <p>In September 2006, USCP updated its transition plan as part of the most recent version of the agency's enterprise architecture. Although the transition plan includes references to the architecture governance and control policies and included a legacy systems replacement schedule, agency officials stated that this schedule needs to be updated.</p> <p>Remaining action</p> <p>USCP needs to revise its enterprise architecture transition plan to include a current schedule for legacy systems replacement and the resource needs for accomplishing this replacement.</p>
<p>4. Manage IT investments in accordance with relevant guidance, to include defining and implementing (1) policies and procedures for measuring IT project progress, (2) a process for Investment Review Board (IRB) oversight of implemented IT projects, and (3) a process for collecting and maintaining information in its catalog of IT systems and using that information to make investment decisions.</p> <p>January 2004</p>	In progress	<p>Progress</p> <p>The agency has developed an IT Capital Planning and Investment Control Guide that includes policies and processes for measuring IT project progress, IRB oversight of ongoing projects, and maintaining information on IT systems for use in making investment decisions. In addition, USCP's investment management approach includes top management involvement in the review, approval, and monitoring of IT investments.</p> <p>Remaining action</p> <p>USCP's investment management approach largely focuses on the selection of investments, but does not address the control and evaluation of investments. According to agency officials, USCP plans to enhance the current process with respect to the control and evaluation of investments.</p>

GAO recommendation and date of recommendation	Status	Progress and remaining action
5. Limit future IT investments to small, low-risk projects until the appropriate controls have been implemented. January 2004	Completed	Progress Following our recommendation, USCP limited its IT investments to small, low-risk projects until it had established its <i>IT Capital Planning and Investment Control Guide</i> .
6. Ensure that the members of USCP's IRB are adequately trained on how to carry out the IRB's IT investment responsibilities. January 2004	Completed	Progress USCP has conducted training for its IRB members on how to carry out its investment management responsibilities.
7. Develop and implement an appropriate set of system acquisition policies and procedures, based on relevant Software Engineering Institute (SEI) guidance, that at a minimum (1) addresses relevant key processes and practices identified in SEI guidance, including acquisition planning, solicitation, and transition to support; (2) ensures that reliable project cost estimates are prepared; and (3) addresses how to handle questions from potential bidders. January 2004	Completed	Progress USCP has developed and implemented system acquisition policies and procedures that address best practice guidance, require cost estimate development, and address how to handle questions from potential bidders. Further, the agency has taken steps to ensure that system acquisitions are conducted in accordance with these policies and procedures. For example, USCP developed a project management plan, developed requirements, and monitored project costs for its Case Management System acquisition as prescribed by the agency's policies and procedures.
8. Ensure that adequate resources to implement planned and ongoing information security activities and continuity of operations planning efforts are provided. August 2004	In progress	Progress USCP has continued to implement planned and ongoing activities related to information security and continuity of operations. For example, the agency has implemented information security program activities such as the certification and accreditation of major IT systems. In addition, its 2008 continuity of operations plan was reviewed and adopted by the Chief of Police. Further, USCP officials have asserted that the agency lacks adequate staff resources to address all the information security activities it has identified and to effectively maintain the agency's information security program. Accordingly, the agency has identified the need for two full-time information security staff in its fiscal year 2009 budget request. Remaining action The agency needs to ensure the sufficiency of the staff resources it applies to implementing planned and ongoing IT security activities such as ensuring data integrity and maintaining continuity of operations.
9. Assess USCP's near-term exposure to the risk posed by not having a continuity of operations plan for all essential administrative functions, and take appropriate steps to mitigate this risk. August 2004	Completed	Progress USCP assessed the risks posed by not having a continuity of operations plan in 2005. The agency has since developed such a plan and, in doing so, has mitigated the risks posed by not having one.

*OMB Circular No. A-123, Management's Responsibilities for Internal Control (revised Dec. 2004).

Appendix II: GAO Contact and Staff Acknowledgments

GAO Contact

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Acknowledgments

Individuals making key contributions to this statement were Bernice Steinhardt, Director; Valerie Melvin, Director; Kay Daly, Acting Director; Bill Crocker, Assistant Director; Elizabeth Martinez, Assistant Director; Mark Bird, Assistant Director; Steven Lozano, Assistant Director; John Mortin, Assistant Director; Josh A. Diosomito; Heather Dunahoo; James Kernen; Teresa M. Neven; Kenrick Isaac; Lerone Reid; Katherine Davis; Geoffrey Hamilton; Jacquelyn Hamilton; Franklin Jackson; and Mike Volpe.

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Mr. CAPUANO. Thank you, Mr. Stana.

Mr. Tighe, I think we are going to have to go to a vote soon. Okay, I just want people to know we are going to have to go off to a vote. And I apologize, we have a series of votes, but Mr. Tighe, we will be more than happy to take your testimony.

STATEMENT OF U.S. CAPITOL POLICE OFFICER MATTHEW A. TIGHE

Mr. TIGHE. Thank you, sir. First time I have ever done anything like this, so bear with me.

Mr. CAPUANO. Don't worry, we are easy.

Mr. TIGHE. Thanks a lot.

Honorable Chairman and members of the committee, I would like to thank you for the opportunity to testify before you today. I am here not only to speak to you as chairman of the Capitol Police Labor Committee, but as a police officer as well.

As chairman of the Fraternal Order of Police Labor Committee for the United States Capitol Police, I represent more than 1,000 sworn Members of our department. We meet regularly to discuss our experiences on the job. While much of what we discuss relates to traditional workplace issues that face union memberships in a variety of work settings represented by organized labor, we also hear constant constructive criticism regarding how well we protect those we are sworn to serve. I am proud of my fellow officers' interest in supporting the goals our oath of office sets for us. They are professionals who want to contribute more.

The men and women of the United States Capitol Police take great pride in being given the responsibility to protect Members of Congress, the congressional community, and the millions who visit here. Those who are recruited and trained to carry out our vital mission are among the best educated and motivated people I have encountered anywhere in the law enforcement community. They bring intellect and on-the-ground experience to the myriad tasks associated with securing and protecting everyone within the Capitol complex. I believe we are a well of underutilized insights and ideas that could support further improvements in securing the Capitol.

The Capitol complex faces a constant threat that is not always easy to detect or identify. To deter and combat threats, the department must be given adequate and appropriate resources to fulfill our mission. We believe a longer view of the technology and equipment that can significantly enhance our mission must be taken. Further, that the integration and scalability existing in future systems must be given more weight in order to maximize the effectiveness of tax dollars spent while projecting future needs in a manner that will make improvements more affordable and compatible.

In addition to the obvious need for training, equipment and adequate funding to carry out our mission for the Congress and the Nation, we need you to understand our mission and your cooperation in the performance of our mission. We recognize that often our duties may be viewed as an inconvenience, but they are essential for maintaining the security throughout the Capitol complex. An officer needs to stay focused on the possible threat without fear from reprisal for properly carrying out their duties. Due to this ever-

changing threat, officers cannot passively monitor activity, but must be able to take a proactive approach to investigate suspicious activity. The effectiveness of the individual officers at each post, each of the patrol vehicles, and various support positions around the department is most affected by their personal motivation. It is dangerous for everyone who relies upon us if we are reluctant to do what is difficult but required.

The human factor in our profession is unusually critical because a blind eye or turned head can allow the person intent on harm to bring arms, toxins or other dangerous commodities to the halls and offices of the Capitol Complex. Your police officers must feel that they will be supported by their supervisors, their chief, the Police Board, and Members when they make good faith efforts to do their job. If they come to a common sense, that good efforts are punished by the powers that be because they feel inconvenienced, then more damage is done to our security than you may understand.

I urge this committee and the Congress to regularly publish its support for its police officers who diligently perform their duties as individuals and as an agency. When inconvenience meets security, we must encourage the responsible officers and officials to support security and to recognize those who work to secure those who we protect. I have devoted a lot of my time to our mission to protect you.

Now I wish to raise a serious issue that is a more traditional union concern. I would like to highlight our retirement. The law enforcement profession is more competitive now than ever. It is critical to the Capitol Police to not only recruit the most qualified personnel possible but also to retain them for the length of their career. One of the greatest deciding factors that an applicant considers when making a decision for employment in law enforcement is the compensation package offered by each agency. Our goal is to enhance our retirement benefits to be more competitive with other agencies, thus more appealing to potential applicants. In doing so, we will not only be able to attract the best applicants but retain the officers that are currently in the field.

The costs associated with training a new officer just to have them leave for another agency is wasting the resources provided by Congress and the taxpayers. In too many instances, the U.S. Capitol Police department is the recruiting arm for competing local and Federal law enforcement agencies. Many young men and women who become U.S. Capitol Police officers begin to look elsewhere after completing a few years in our department. This very issue faced the Metropolitan Police Department in the early 1970s when the Congress approved an expansion of its authorized strength. Even with the unprecedented step of authorizing early outs for military personnel who joined the Metropolitan Police Department, the MPD was unable to reach the new authorized strength because too many new recruits left for law enforcement careers elsewhere after securing a few years of experience. It is a matter of record that the only thing that stabilized MPD's workforce was the adaptation of a 20-year retirement system by the Congress. Subsequent to home rule for the District, the city abandoned the 20-year retirement. They are now in the process of passing legislation that will

restore 20-year retirement as they work to increase the size of their police department and stabilize their police force again.

We look forward to working with all the relevant committees to accomplish this goal in the future. That concludes my statement. I will be happy to answer any questions.

[The statement of Mr. Tighe follows:]

Testimony of
US Capitol Police Officer Matthew A. Tighe
Chairman of the United States Capitol Police Labor Committee
Before the Committee on House Administration

Honorable Chairman and members of the Committee, I would like to thank you for the opportunity to testify before you today. I'm here not only to speak to you as the Chairman of the Capitol Police Labor Committee but as a police officer as well. As Chairman of the Fraternal Order of Police Labor Committee for the United States Capitol Police, I represent more than one thousand sworn members of our Department. We meet regularly to discuss our experiences on the job. While much of what we discuss relates to traditional workplace issues that face union memberships in the variety of work settings represented by organized labor, we also hear consistent constructive criticism regarding how well we protect those we are sworn to serve. I am proud of my fellow officers' interest in supporting the goals our oath of office sets out for us. They are professionals who want to contribute more.

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The effectiveness of the individual officers at each of the posts, each of the patrol vehicles and the various support positions around the Department is most affected by their personal motivation. It is dangerous for everyone who relies upon us if we are reluctant to do what is difficult but required. The human factor in our profession is unusually critical because a blind eye or turned head can allow the person intent on harm to bring arms, toxins or other dangerous commodities to the halls and offices of the Capitol campus.

Your police officers must feel that they will be supported by their supervisors, their Chief, the Police Board and the Members when they make good faith efforts to do their job. If they come to a common sense that good efforts are punished by the powers that be, because they feel inconvenienced then more damage is done to our security that you may understand. I urge this Committee and the Congress to regularly publish its support for its police officers who diligently perform their duties as

individuals and as an agency. Where inconvenience meets security we must encourage the responsible officers and officials to support security and to recognize those who work to secure those we protect.

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Our goal is to enhance our retirement benefits to be more competitive with other agencies, thus more appealing to potential applicants. In doing so we will not only be able to attract the best applicants but retain the officers that are currently in the field. The cost associated with training a new officer just to have them leave for another agency is wasting the resources provided by Congress and the taxpayer.

In too many instances, the U.S. Capitol Police Department is the recruiting arm for competing local and federal law enforcement agencies. Many young men and women who become U.S. Capitol Police Officers begin to look elsewhere after completing a few years on our Department. This very issue faced the D.C. Metropolitan Police Department in the early 1970's when the Congress approved an expansion of its authorized strength. Even with the unprecedented step of authorizing early outs for military personnel who joined the Metropolitan Police Department (during the Viet Nam war), the MPD was unable to reach the new authorized strength because too many new recruits left for law enforcement careers elsewhere after securing a few years of experience. It is a matter of record that the only thing that stabilized the MPD's workforce was the adoption of a 20 year retirement system by the Congress.

Subsequent to Home Rule for the District, the City abandoned the 20 year retirement. They are now in the process of passing legislation that will restore 20 year retirement as they work to increase the size of their police department and stabilize their police force again.

We look forward to working with all the relevant committees to accomplish this goal in the future.

That concludes my statement. I'd be happy to answer any questions.

Mr. CAPUANO. Again, as I said, I apologize, but we have a roll call vote over which, as you all know, we have no control. I expect, I am told there are four votes, guessing 45 minutes or so. When we return, I will understand if you can't stay, but if you can stay, obviously we would like you to stay. And I apologize again.

Mr. CAPUANO. First of all, thank you for sticking around. I apologize, but this is what we do. I have also been informed that my colleagues will not be able to make it back. And they have asked and I think it is perfectly fine to let the record show that we will be allowing written questions. Hopefully you will be able to answer at a later time.

Oh, you are here. You can still do written questions.

For myself, I have a few questions. I would like to start with you, Mr. Stana. I heard you use some very carefully selected words, and that's a good thing. I tend not to do that the way I should. But I know that there has been progress made, and I know there are things left to do. We all know that.

In your opinion, has satisfactory progress been made? Nobody expects any of these things to be done overnight. Do you think there has been satisfactory progress on the report, on adopting recommendations in the report? And do you think that what you heard earlier about the general time frame of potential completion, understanding it is just a time frame, do you think that is a reasonable response?

Mr. STANA. Let me put my answer into a context. These deficiencies that we have identified, we have identified them again and again over the years. So we were a bit disappointed and in March 2007 we reported that many of these existing and persistent deficiencies had really not been addressed. And that was because of a couple of reasons. One is there is quite a bit of turnover at the highest levels. The other, they were focused a lot on the day-to-day as opposed to the strategic.

So when the Chief came in and took to heart the recommendations that we made and created a framework for addressing them, we were heartened. So what he listed as some of the recommendations that were closed, we were glad to see that.

I also would like to say that where we are still looking for policies and procedures to be put in place, it is not the case that none currently exist. The issue is they are not particularly robust in some cases. In other cases, they have to be more attuned to the current circumstances and situations, and so on.

With respect to how long it is going to take to close the recommendations I wish I could say it is going to take 5 months, 10 months, 2 years, 5 years. Some of these things are living and breathing, like enterprise architecture, which is a blueprint for the organization, where they are today, where they want to get to tomorrow or in 5 years, 10 years, and what kind of technology they need to get there. Those efforts are never ending. Some they could do relatively quickly.

There are two things that I think are particularly important to get done. One is to get on top of the staff turnover and churning. Get the already authorized positions filled, get the people on board. Get the people trained so they have the right knowledge, skills and

abilities to get the job done. Then we're going to see how many people we need, to answer Mr. Lungren's question.

The second thing is they will need a top management commitment to see that these new policies and procedures are actually implemented and that people are held to account for the results, and that this isn't just another set of recommendations that we answer for today and tomorrow it is a different story.

Mr. CAPUANO. I appreciate it, Mr. Stana. I can only tell you that as long as I am here we are going to do that. I understand fully well where there are differences of opinions on certain things. I didn't hear them today and maybe we will hear them later on. That I respect. But when everybody is on the same page as to what should be done, I can promise you we will be holding everybody to account.

Mr. STANA. I appreciate your concern, Mr. Chairman, about some of the sensitive items, particularly with our set of recommendations dealing with threat assessment, and vulnerability assessment, and the way you right size an organization, and where you place the people, allocate the resources to respond to threats. We really shouldn't discuss those kinds of things in this forum, but I can say that they have applied a threat matrix that we worked with them on to the buildings and to the grounds. That was encouraging, too. It is not quite finished yet, but at least they are on the road to being able to say this is the right number or this is the right capability, this is the right equipment because we have a systematic way of assessing that.

Mr. CAPUANO. I think those are fair comments. I see the Chief shaking his head a little bit and I think he accepts it.

Mr. Tighe, relative to your testimony, the thing that I am most interested in, I understand fully well that there are changes going on in the Capitol Police ranks all across the board, new leadership and new procedures. I am particularly interested in morale, which I know is a difficult thing to assess, a difficult thing to put your finger on.

I heard you say concerns about retirement benefits. Retirement benefits obviously is subject to financial limitations and negotiations and the like. Are there other things in particular that you think would improve the morale? Well, I shouldn't say improve too much. I would like your assessment on the general level of morale, not specifically on a specific point. And then I would also like your opinion on one or two items other than retirement. I have heard the retirement thing, I accept it. We might be able to do it in the short term to be able to improve that if you think it needs improving.

Mr. TIGHE. Morale has really increased, I would say, in the last couple of months. The Chief has made a great effort to get out there and get his message out to the officers. I think when the Chief first came on board the message wasn't getting out there. Since the message is really filtering down to the officers I think morale has made a huge turn around in the last few months. It is really increasing.

Mr. CAPUANO. That is great to hear. Again, having done this in my past life, I have always thought you will have differences of opinion, but communication—

Mr. TIGHE. If I could add one thing, I am not used to doing this. I think a lot of times you are so accessible to Members of Congress and we really appreciate, the officers appreciate that there is always an ear that we can speak to. Sometimes what happens is the squeaky wheel will come up and talk to you. I don't think you get to talk to the 90 percent of these guys that are out here, and are getting the message, and are happy with the way the department is going.

Mr. CAPUANO. I understand the squeaky wheel. As a matter of fact, most Members of Congress' lives are built around the squeaky wheel. If I heard from all 635,000 constituents in one day the world would come to a halt. We understand that. Most of us are pretty adept at recognizing that. At the same time I also know that oftentimes when we get a comment or complaint or a suggestion, it is not just that one person. Sometimes it is broad based, and that is why you, in your representative capacity, I thought it was important to ask you as well.

Thank you.

Mr. Lungren.

Mr. LUNGREN. Well, let me be the squeaky wheel to ask some questions here.

Mr. Stana, you talked about disappointment year after year after year, although you have seen improvement in the last year. Can you venture an opinion as to whether or not the difficulty in making some of these changes is as a result of the fact that you have got a police department that responds to a Capitol Police Board? It responds to authorization committees both in the House and Senate and responds to appropriations subcommittees in both Houses? Does that have anything to do with the difficulty in making some of these changes?

Mr. STANA. Well, the kinds of changes that we are interested in pursuing I don't think would be particularly sensitive to that. We are talking about bread and butter management issues. We are talking about having policies in place. We are talking about having position descriptions that adequately describe the work that is supposed to be done and the training that is supposed to be received. We are talking about an enterprise architecture that any organization of any size should have. We are talking about financial management to produce documents that you can rely on with numbers that are reliable. We are talking about a police force that should be able to have a rational way of assigning staff and knowing what the right number is to perform its mission.

So no, I wouldn't say that there would be any difficulty there.

Mr. LUNGREN. You gave us some reasons or at least you articulated the frustration with not seeing changes year after year after year, but you have seen some changes in the last year. Can you venture an opinion as to why the department's been able to achieve some of these changes in this last year but were unable to in the previous years?

Mr. STANA. Well, I would say this. For years and years and years these problems persisted because there was preoccupation with other issues. And perhaps you would have to ask the former regime whether they figured that that was as important as some of the security missions. But when the Chief took over he was responsive

to our recommendations. He set up a framework of assigning responsibility and accountability, checking quarterly on progress and reporting to you semiannually on progress there.

Now, I am not saying that there is a difference between night and day. What I am saying, it is midnight and maybe 9 a.m. There is a ways to go here, but the signs are all pointing in the right direction.

Mr. LUNGREN. Have you had to identify any major remaining risks from the standpoint of how you would see the greatest risks or failures to improve in the administrative operations of the department? What would those risks be as you would see them, and do you have a sense that they are being viewed by the administration with a sense of urgency?

Mr. STANA. I pointed out that there are many policies and procedures and plans that have to be put in place, and many can soon be put in place. But I think the two greatest risks are first, they can't get on top of the churning of staff, can't stabilize that staff. This is extremely important, particularly in two areas, the financial management and information technology.

Mr. LUNGREN. You are talking primarily administrative staff?

Mr. STANA. Yes, yes. I think that is key.

The other is I just hope that we don't declare victory by having all these policies and procedures put in place and sort of putting them on the shelf and worrying about the next thing. You have to sustain the interest in accountability, in getting this job done right day after day, and putting controls in place to recognize when circumstances are requiring a different way of doing things.

Mr. LUNGREN. Thank you.

Officer Tighe, would you individually and the organization that you represent support the idea of mandatory physical fitness standards for Capitol Hill Police officers?

Mr. TIGHE. We would have to see how it would be put into place, how it would affect the officers that are on the job right now. I think physical fitness for any officer is a good idea. I think encouraging even voluntary, giving officers time to work out while they are on duty is a good idea, but I imagine it would be very costly to be able to do that.

Mr. LUNGREN. So you don't have an already formed position against the idea? It is the question of how it would apply and how we would make it work, is that correct?

Mr. TIGHE. No, sir. I believe every officer on this department should be physically fit, and be able to go out there and effectively do their job. And I think it would be another tool that you put in your tool belt to help the officers.

Mr. LUNGREN. Let me ask you this, it seems to me that one of the difficulties in the job of being a Capitol Hill Police officer is that as opposed to many other departments where you are out on patrol, most of the officers out on patrol are detectives doing their work. We have, because of what the role is here of the department, the obligation to have permanent stations. They are physical stations where officers are basically standing there, trying to look out for any potential problem that might exist and also being officer friendly to the people who are there.

It seems to me you could run the risk of getting stale at that. How do we do in terms of the department's either rotating of positions or keeping your people fresh? How is that done and how successfully is that done right now? Because it seems to me if I were part of this department and I am manning my station day after day after day after day, I might look at another department and say I could be in a patrol car out there on a regular basis or I could be moving around, and that would attract me as long as you have equivalent wages and retirement, and so forth.

Mr. TIGHE. No. The officers for the most part know what the job is when they come here. They are prepared to stand post. They are made fully aware when they come here they are going to be more of a security force than proactive police force of what you associate with a traditional police department. I guess is what I'm trying to say.

I think making more career paths available to the officers, giving them more training and making them feel they are part of the system, making them know that we are backing them up and when they are doing their job that they will have the full backing of the department and the community. The officers that are here take great pride in what they protect. It is not the same when you go to a local department. I mean, you are protecting the Nation's Capitol. That is something to go home and be proud of. I think our officers take great pride in that, and that is why we are here to do our job. We are here because we want to be here.

Mr. LUNGREN. In your testimony you mentioned the dichotomy between creating the security against a potential attack on the one hand. An inconvenience I think is the word you used, but it's probably more than inconvenience. It is a sense of hospitality. It is a sense of welcoming people.

From the standpoint of the officers and the training they receive, how is that dealt with? How is that dealt with so that the officer can be officer friendly and at the same time be the officer that is on the lookout for suspicious activity given the fact that you are there for hours and hours?

Mr. TIGHE. I think it is the training we are given in the academy. It is to be engaging to the people coming through the doors. Believe it or not, that is a great way of finding out. If people are not receptive to your friendliness and engaging them in conversation, that is a great way to get a clue right there.

The training, the security training we have been given right now is a lot more comprehensive than when I went through the academy. You are trained to look for a lot more threats than just a simple knife or a gun coming through the doors. Now there are a lot of different items that we are looking for, and it is a lot more training than was initially given to guys who have been in the department 10, 15 years ago.

Mr. LUNGREN. Mr. Stana, from the standpoint of the GAO report, was there any inquiry made of how the department is organized to ensure that you have supervisory personnel on a regular basis checking the performance of officers?

Mr. STANA. No, that was outside the scope of our review. We have done a number of reviews of the U.S. Capitol Police over the

years. I don't think we have gone into the area much beyond staffing ratios.

Mr. LUNGREN. Okay, thank you very, very much. Thank you, Mr. Chairman.

Mr. CAPUANO. I just have one last question, Mr. Stana. It is my understanding that the department has engaged the services of an outside company to look at best practices, and I am just wondering if they are working with you or are you aware of their efforts?

Mr. STANA. We worked with the Capitol Police on a risk matrix to identify potential threats, vulnerabilities and potential responses. I believe they have engaged with Enlightened Leadership Solutions, ELS, to take that threat assessment further. We have not reviewed that study. We would be happy to do so if you would like us to.

Mr. CAPUANO. I would like that. Not because I have any questions about it, but because I think every view you get, every thoughtful, insightful view you get of anything always adds to it.

Mr. STANA. Yes, I know they've engaged with that firm to do a number of things, not the least of which was in some sense a peer review, to call around to the different agencies in town to see if the way the Capitol Police is structuring its risk management framework is similar to what the FBI would do or the CIA or Homeland Security would do. And ELS got back pretty high marks for the Capitol Police effort, but then they did their own assessment, and we haven't reviewed that.

Mr. CAPUANO. Okay.

Mr. STANA. We have been briefed on it, but we haven't reviewed it.

Mr. CAPUANO. Whenever you feel it is appropriate. I don't feel these things have to be done right this minute. When you get a moment, I think it would be helpful to get another set of eyes on it. Not because I have any questions about it, it is just an independent review of the matter.

I have no further questions. Again, gentlemen, thank you very much. I appreciate it, I apologize for the delay, but it is what we do here. I know you know that. I want to thank everybody.

I also want to repeat what Mr. Brady said earlier. I can't tell you how high a regard we hold the Capitol Police here. We think you do a great job for us. I feel like every member of the force is very friendly, very open, yet very professional, and I think I can speak for every Member that we really appreciate what you do for us. And we really appreciate how you balance security with the desire to have an open, friendly environment to the best of your ability. I want to thank you and praise you for what you have done, and I look forward to working with you as you go forward to improve it even more.

Thank you.

[Whereupon, at 1:38 p.m., the subcommittee was adjourned.]