



UNITED STATES GOVERNMENT PRINTING OFFICE
OFFICE OF THE INSPECTOR GENERAL

memorandum

DATE: September 30, 2003

REPLY TO

ATTN OF: Joseph Verch, Supervisory Auditor

SUBJECT: Report on Preparing Uniformed Police Branch's Incident Reports in a Timely Manner for GPO's Corrective Action Program

To: Assistant Chief of Staff for Security

During the performance audit of GPO's Corrective Action and Other Employee Programs of the Employee Relations Branch (ERB), the Office of Inspector General (OIG) auditors found that incident reports prepared by GPO's Uniformed Police Branch (UPB) personnel were not always received by ERB specialists in a timely manner. On February 5, 2003, OIG auditors notified the Director, Office of Administrative Support (OA), that the scope of the subject audit was expanded to determine whether UPB personnel were preparing incident reports in a timely manner for GPO's Corrective Action Program for Fiscal Year 2002 and through January 6, 2003.

We found that GPO's UPB and the Physical Support Group (PSG) personnel did not have any management controls developed or written to ensure that incident reports were completed, reviewed, and approved in a timely manner before forwarding them to the ERB.

This report contains three recommendations to ensure that management controls are developed and written for UPB and PSG personnel to improve submissions for future incident reports. The Assistant Chief of Staff for Security agreed to implement the three OIG recommendations within 30 days of the final report.

Mr. Joseph Verch, Supervisory Auditor, and Ms. Patricia Mitchell, Auditor, conducted this audit.

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I appreciate the cooperation and courtesies extended during the audit by UPB officials.

MARC A. NICHOLS
INSPECTOR GENERAL

By: _____
Joseph J. Verch Jr., Supervisory Auditor

**REPORT ON PREPARING UNIFORMED POLICE BRANCH'S INCIDENT REPORTS
IN A TIMELY MANNER FOR GPO'S CORRECTIVE ACTION PROGRAM**

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**U.S. Government Printing Office
Office of the Inspector General
Office of Audits**

**REPORT ON PREPARING UNIFORMED POLICE BRANCH'S INCIDENT REPORTS
IN A TIMELY MANNER FOR GPO'S CORRECTIVE ACTION PROGRAM**

RESULTS IN BRIEF

The Government Printing Office (GPO) Office of Inspector General (OIG) has completed a performance audit to determine whether GPO's Uniformed Police Branch (UPB) personnel were preparing incident reports in a timely manner for GPO's Corrective Action Program for Fiscal Year 2002 and through January 6, 2003. The OIG conducted the performance audit during February 2003 and found that GPO's UPB and the Physical Security Group (PSG) personnel did not have any management controls developed or written to ensure that incident reports were completed, reviewed, and approved in a timely manner before forwarding them to the Employee Relations Branch (ERB).

This report contains three recommendations for the Assistant Chief of Staff for Security to ensure that management controls are developed and written for:

1. GPO's UPB to determine a reasonable timeframe to complete incident reports in a timely manner;
2. GPO's UPB to log and track incident reports to ensure future incident reports are prepared and approved in a timely manner before forwarding them to the PSG; and
3. GPO's PSG to review and approve future incident reports in a timely manner before forwarding them to GPO's ERB.

BACKGROUND

GPO's Office of Administrative Support (OA), under the supervision of the Director, provides personnel and physical security. Within OA, the Chief, PSG, and the Commander, Protective Services Group, are responsible for the investigation of employee misconduct and violations of law or regulation in GPO's Corrective Action Program.

UPB personnel, under the supervision of the Commander, prepare an incident report, GPO Form 2892, for GPO employees who have violated GPO Instructions and/or rules and regulations governing buildings and grounds. The incident report identifies the date and time of the incident, the charges/descriptions of the incident, and the list of witnesses and statements that were made. The UPB police officer dates and signs the incident report and forwards it to UPB officials and the Commander for review and approval.

UPB officials date and sign the incident report and assign a UPB case number for every incident report processed. A copy is forwarded to PSG officials and to the Director for review and approval. After approval, the incident report is forwarded to GPO's ERB for specialists to perform an internal investigation.

The Director retired effective July 13, 2003, resulting in a change in the management and organization of OA. Presently, a representative from the Office of the Chief of Staff oversees the PSG and the UPB.

OBJECTIVES, SCOPE, AND METHODOLOGY

The primary objective of this OIG performance audit was to determine whether UPB personnel were preparing incident reports in a timely manner for GPO's Corrective Action Program. Audit fieldwork was conducted during February 2003 in accordance with generally accepted Government auditing standards.

To meet the objectives of the audit, the OIG audit team:

- Interviewed ERB personnel regarding the receipt and processing UPB incident reports;
- Reviewed GPO's ERB's Incident Report Logs for Fiscal Year 2002 and through January 6, 2003;
- Interviewed GPO's UPB personnel regarding their completing, reviewing, and approving incident reports in a timely manner; and
- Reviewed the system of controls in place against fraud, waste, abuse, and mismanagement.

In the course of our work, we reviewed the following publications and instructions that contained procedures and policies that UPB personnel are required to follow:

1. GPO Instruction 105.1B, Ch-10 *Organization and Functions of the Government Printing Office* to identify the Protective Services' Group policies governing employee misconduct and violations of law or regulation not involving fraud, waste, mismanagement, or abuse (e.g., incident, administrative, and vehicular accident investigations); and
2. GPO Instruction 825.18A *Internal Control Program* to identify policies, standards, and responsibilities for conducting internal control reviews of GPO programs.

FINDINGS AND RECOMMENDATIONS

1. INCIDENT REPORTS

BACKGROUND

GPO's UPB personnel prepare an incident report, GPO Form 2892, for GPO employees who have violated GPO Instructions and/or rules and regulations governing buildings and grounds. The incident report identifies the date and time of the incident, the charges/descriptions of the incident, and the list of witnesses and statements that were made. The UPB police officer dates and signs the incident report and forwards it to UPB officials for review and approval. UPB officials date and sign the incident report and assign a UPB case number for every incident report. A copy is forwarded to PSG for review and approval. After PSG officials sign and date the incident report, it is then sent to ERB for specialists to perform an internal investigation.

FINDING

An OIG audit of incident reports received in ERB in Fiscal Year 2002 and through January 6, 2003, disclosed that personnel from GPO's UPB and PSG were not processing incident reports in a timely manner contrary to Standard 7 of GPO Instruction 825.18A:

“Transactions should be promptly recorded, properly classified, and accounted for in order to prepare timely accounts and reliable financial and other reports.”

In FY02, UPB personnel submitted 12 incident reports to the ERB. A review of the 12 incident reports showed UPB personnel took an average of 33.5 days after the incident to forward an incident report to the ERB for review. The 12 incident reports ranged from 11 to 140 days, with 4 cases taking more than a month to process. (See Appendix I)

For the period audited in FY03, UPB personnel submitted four incident reports to the ERB. A review of the 4 incident reports showed UPB took an average of 58 days after the incident to forward an incident report to the ERB for review. The 4 incident reports ranged from 12 to 153 days to process. (See Appendix II)

In addition, the OIG auditors found that the approval process within UPB and PSG contributed to incident reports being delayed from reaching ERB in a timely manner. In FY02, UPB and PSG officials averaged 25.5 days to review and approve 12 completed incident reports before the ERB received it. The approval process for the 12 incident

reports ranged from 2 to 139 days, with 5 cases taking 22 or more days. (See Appendix III)

In FY03 (as of January 6, 2003), UPB and PSG officials averaged 52.5 days to review and approve 4 completed incident reports before the ERB received it. The approval process of the 4 incident reports ranged from 5 to 139 days with 3 cases taking 22 or more days. (See Appendix III)

According to UPB's Commander, there is no established or written process for the amount of time it should take for incident reports to be written and forwarded to ERB. As a result, OIG auditors determined the following management controls were lacking and contributed to incident reports being delayed from reaching ERB in a timely manner:

1. UPB police officers dated incident reports before the investigative work was completed and testimonies taken;
2. The UPB Commander did not always date the incident reports upon approving them;
3. The PSG approving officials did not always date the incident reports upon approving them; and
4. Copies of past incident reports had to be reissued because original copies were misplaced.

RECOMMENDATIONS

The Assistant Chief of Staff for Security should ensure that management controls are developed and written for:

- GPO's Uniform Police Branch to determine a reasonable timeframe to complete incident reports in a timely manner (0308-01);
- GPO's Uniform Police Branch to log and track incident reports to ensure future incident reports are prepared and approved in a timely manner before forwarding them to the Physical Security Group (0308-02); and
- GPO's Physical Security Group to review and approve future incident reports in a timely manner before forwarding them to the Employee Relations Branch (0308-03).

MANAGEMENT COMMENTS

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The Assistant Chief of Staff for Security agreed with the finding and to implement the three recommendations within 30 days of the final report. (See Appendix IV)

UPB'S INCIDENT REPORTS
(FY02)

1	2	3	4	5	6	7	8
No.	Log Case No.	ERB Case No.	UPB Case No.	Date of Incident	Date Stamped Received	Calendar Days to Report (#6 - #5)	Description
1	02-00	02-22	01-249	11/19/01	01/03/02	45	Fighting, creating disturbance
2	02-01	02-17	01-284	11/29/01	01/08/02	40	Creating disturbance
3	02-02	N/A	02-070	02/26/02	03/12/02	14	Alleged verbal threats
4	02-03	02-50	02-059	02/12/02	02/26/02	14	Personal conduct
5	02-04	N/A	02-221	06/27/02	07/23/02	26	Parking permit reported loss
6	02-05	N/A	02-203	06/28/02	07/23/02	25	Parking permit reported loss
7	02-06	02-53	02-205	06/22/02	07/29/02	37	Parking permit reported loss
8	02-07	N/A	02-223	07/16/02	08/13/02	28	Parking permit reported loss
9	02-08	N/A	02-260	03/26/02	08/13/02	140	Alleged sleeping on Post #50
10	02-09	N/A	02-298	08/29/02	09/24/02	11	Personal conduct
11	02-10	N/A	02-318	09/19/02	09/30/02	11	Fighting, creating disturbance
12	02-11	N/A	02-325	09/19/02	09/30/02	11	Fighting, creating disturbance
				Average		33.5	

UPB'S INCIDENT REPORTS
(FY03 – as of 01/06/03)

1	2	3	4	5	6	7	8
No.	Log Case No.	ERB Case No.	UPB Case No.	Date of Incident	Date Stamped Received	Calendar Days to Report (#6 - #5)	Description
1	03-00	N/A	02-348	10/07/02	10/30/02	23	Personal conduct
2	03-01	N/A	02-386	11/15/02	11/27/02	12	Abnormal behavior
3	03-02	N/A	02-204	06/27/02	11/19/02	153	Alleged assault
4	03-03	N/A	02-398	11/23/02	01/06/03	44	Personal conduct
				Average		58	

**CALENDAR DAYS TO APPROVE UPB'S INCIDENT REPORTS
(FY02 and FY03 – as of January 6, 2003)**

(FY02)

No.	UPB Case No.	Incident Report Dated	Date IR Received By ERB	Days To Approve
1	01-249	12/12/01	01/03/02	22
2	01-284	12/26/01	01/08/02	13
3	02-070	02/27/02	03/12/02	13
4	02-059	02/24/02	02/26/02	2
5	02-221	06/27/02	07/23/02	26
6	02-203	06/28/02	07/23/02	25
7	02-205	07/14/02	07/29/02	15
8	02-223	07/16/02	08/13/02	28
9	02-260	03/27/02	08/13/02	139
10	02-298	09/13/02	09/24/02	11
11	02-318	09/24/02	09/30/02	6
12	02-325	09/24/02	09/30/02	6
Average				25.5

(FY03 – as of January 6, 2003)

No.	UPB Case No.	Incident Report Dated	Date IR Received By ERB	Days To Approve
1	02-348	10/08/02	10/30/02	22
2	02-386	11/22/02	11/27/02	5
3	02-204	07/03/02	11/19/02	139
4	02-398	11/23/02	01/06/03	44
Average				52.5

MANAGEMENT'S COMMENTS