

EXECUTIVE SUMMARY

On January 6, 2021, a physical breach of U.S. Capitol Building security occurred during a Joint Session of Congress to certify the Electoral College vote. See Appendix A for the United States Capitol Police's (USCP or Department) official timeline of events leading up to and during the physical security breach.

In accordance with our statutory authority Public Law (P.L.) 109-55, the USCP Office of Inspector General (OIG) began a review of the events surrounding the takeover of the U.S. Capitol on January 6, 2021. Our objectives for this review were to determine if the Department (1) established adequate measures for ensuring the safety and security of the Capitol Complex as well as Members of Congress, (2) established adequate internal controls and processes for ensuring compliance with Department policies, and (3) complied with applicable policies and procedures as well as applicable laws and regulations. The scope included controls, processes, and operations surrounding the security measures prior to the planned demonstrations and response during the takeover of the Capitol building.

Based on ongoing work, this flash report is designed to communicate deficiencies with the Department's Command and Coordination Bureau (CCB). Additionally, to gain a perspective on Department-wide command and control challenges on January 6, 2021, we contacted 86 USCP officers and completed interviews with 36 of them who agreed to be interviewed. We also reviewed 49 after action reports USCP officers and employees completed.

The Department did not have adequately detailed and up-to-date Standard Operating Procedures (SOPs) in place for CCB or formally establish procedures defining roles and responsibilities for the Emergency Planning Section. Additionally, the Department did not monitor training in order to ensure incident management personnel received training as guidance requires. Furthermore, the Department did not appropriately conduct or document monthly proficiency validations for Command Center employees, appropriately respond to emergency identifier activations for officers on January 6, 2021, or appropriately complete its Command Center Daily Check Sheets as guidance requires.

Based on interviews with USCP officers and review of after action reports, we identified Department-wide command and control deficiencies related to information sharing, chain of command directions, communication, preparedness, training, leadership development, emergency response procedures, and law enforcement coordination. We previously identified and issued recommendations for certain deficiencies in previous flash reports and intend to explore law enforcement coordination in a future report. See Appendix B for a complete list of recommendations.

This is the fifth in a series of flash reports OIG is producing as part of the ongoing review of the events surrounding the takeover of the U.S. Capitol on January 6, 2021. Therefore, we may still perform additional, in-depth work related to these areas during our review. We anticipate that our next flash report will focus on the Department's Canine Unit and Hazardous Incident Response Division.

Recommendation 1: We recommend that the United States Capitol Police review all Command and Coordination Bureau policies and procedures to ensure they are up to date and include sufficient detail.

Recommendation 2: We recommend that the United States Capitol Police develop policies and procedures that identify and formalize the mission, objectives, roles and responsibilities for the Emergency Planning Section.

Recommendation 3: We recommend that the United States Capitol Police immediately develop procedures designed to track and ensure that employees involved with incident management receive the training prescribed in Directive 1052.003, *Incident Command System*, dated October 16, 2018.

Recommendation 4: We recommend that the United States Capitol Police immediately develop procedures for ensuring that Command Center employees complete the monthly proficiency validation prescribed in Standard Operating Procedure CCB-300-30, *Command Center Proficiency Validation*, dated August 5, 2019.

Recommendation 5: We recommend that the United States Capitol Police immediately develop procedures to ensure the Command Center and Communications staff swiftly and appropriately respond to emergency identifier activations, as Standard Operating Procedure CCB-600-19, *Radio Emergency Identifier Activations*, dated November 17, 2020, prescribes and requires. The procedures should include a system for responding to emergency activations during chaotic events or crises, when activations may be more frequent, and officers are more likely to be in life-threatening or emergency situations. Additionally, the procedures should ensure the Watch Commander is notified of any activations.

Recommendation 6: We recommend that the United States Capitol Police ensure that the Command Center Daily Check Sheets are completed as Standard Operating Procedure CCB-300-33, *USCP Command Center Daily Checks and System Updates*, dated August 6, 2019, requires.

Recommendation 7: We recommend that the United States Capitol Police implement procedures that ensure officers receive roll call briefings containing pertinent information on potential and actual police hazards, as Standard Operating Procedure AC-000-96, *Roll Call, Inspection, and Checkout Procedures*, dated June 7, 2018, requires.

Recommendation 8: We recommend that the United States Capitol Police implement policies, procedures, training, and equipment that ensure radio discipline and the ability for all officers to use a radio to effectively communicate information during an incident.

Recommendation 9: We recommend that the United States Capitol Police implement rotational policies and career development tracks for its officers and officials.

Recommendation 10: We recommend that the United States Capitol Police implement procedures that ensure officers are familiar with individual officer emergency actions, specific post emergency responsibilities, and area wide emergency procedures.

Recommendation 11: We recommend that the United States Capitol Police implement procedures that ensure officials consistently verify officers understand the emergency procedures of their posts and when emergencies are declared the actions which each officer is responsible to execute.

Recommendation 12: We recommend that the United States Capitol Police implement refresher training for its officials on building security responsibilities and procedures.