



# OFFICE OF INSPECTOR GENERAL

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MAY 05, 2021

## **Flash Report Series – Independent Assessment of the Architect of the Capitol’s (AOC) Role in Securing the Capitol Campus for Large Public Gatherings**

*Flash Report OIG-AUD-2021-03*

## MISSION

The OIG promotes efficiency and effectiveness to deter and prevent fraud, waste and mismanagement in AOC operations and programs. Through value added, transparent and independent audits, evaluations and investigations, we strive to positively affect the AOC and benefit the taxpayer while keeping the AOC and Congress fully informed.

## VISION

The OIG is a high-performing team, promoting positive change and striving for continuous improvement in AOC management and operations. We foster an environment that inspires AOC workforce trust and confidence in our work.



# Results in Brief

## *Flash Report – Independent Assessment of AOC’s Role in Securing the Capitol Campus for Large Public Gatherings*

May 05, 2021

### Objective

The objective of the independent assessment is to gain an understanding of the AOC’s role and responsibilities in the preparation and execution of operations to secure the Capitol campus, its structures, assets and artifacts during large public gatherings (e.g., July Fourth concerts, presidential inaugurations, and First Amendment demonstrations).

### Results

The AOC has an important role in the execution of operations to secure the Capitol campus during large public gatherings, to include concerts, presidential inaugurations and First Amendment demonstrations. However, we found the AOC’s role and responsibilities for the preparation of security plans for large public gatherings is limited.

The AOC’s role and responsibilities in securing the Capitol campus during large public gatherings has been to serve primarily in a support only function. The Office of the Chief Security Officer (OCSO) has been in a customer support role to the U.S. Capitol Police Board (Board) and U.S. Capitol Police (USCP) versus an active peer and contributing member involved with the communication, coordination and collaboration to secure the Capitol campus. It also appears that the Architect’s role on the Board has been disregarded for matters of campus security for large public events.

The Architect is responsible for the maintenance, construction, preservation and security of the Capitol campus. The AOC owned assets, historical paintings, artifacts and memorabilia on the Capitol

### *Results (cont’d)*

campus, if damaged may be irreplaceable and or require replacement or repair at taxpayers’ expense. An increased sharing of information would allow the AOC to better plan, prepare and protect the AOC staff and the assets in their care. Additionally, AOC staff are the experts for the Capitol campus infrastructure. It would be beneficial to confer with these experts to understand the infrastructure and facilities in order to implement effective protection measures. To this end, Capitol campus law enforcement agencies should communicate, coordinate and collaborate with the OCSO experts when preparing perimeter security plans for every large public gathering and event.

It would also be prudent for AOC to perform the following:

- coordinate with other stakeholders to reevaluate the responsibilities for design, installation and maintenance of the security systems for the Capitol campus and determine who should execute the responsibilities; and
- inform the USCP of deferred security maintenance work elements prior to large public gatherings and events to ensure adequate preparation for securing the Capitol campus.

Improved communication, coordination and collaboration between all of the Capitol campus agencies will assist in restoring confidence among Congressional members and staff, employees and the general public in the security and safety on the Capitol campus.



# Results in Brief

## *Flash Report – Independent Assessment of AOC’s Role in Securing the Capitol Campus for Large Public Gatherings*

### Recommendations

We made six recommendations to address the identified areas of improvement.

Specifically we recommend:

1. The AOC coordinate with legislative stakeholders to draft legislation that would incorporate the following:
  - add the AOC Office of Chief Security Officer to an advisory or consultative role to assist in the plans and execution of securing the Capitol campus for large public gatherings, and
  - require communication, coordination and collaboration between the AOC, Capitol Police Board and U.S. Capitol Police.
2. The AOC Office of the Chief Security Officer coordinate with the U.S. Capitol Police to draft a memorandum of agreement to support the roles, responsibilities and services required for preparation and execution of the perimeter security plans for large public events.
3. The AOC Office of the Chief Security Officer establish well-defined policies and procedures with a preparation checklist for jurisdictions based on the severity of threat that provides clear guidance on execution of support activities related to coordination, mobilization, de-mobilization, asset protection and reporting of activities associated with special events across the Capitol campus.
4. The AOC coordinate with the U.S. Capitol Police Board and legislative stakeholders to evaluate the overall focus on campus security, and reevaluate the responsibilities for design, installation and maintenance of the Capitol campus security systems and determine who should execute those responsibilities.
5. The AOC Office of the Chief Security Officer hold a security briefing with AOC senior leadership for each event, which highlights the security threats and risks identified during their monitoring and received from coordinating agencies along with the AOC’s approach to manage such risks and instructions for jurisdictions to execute the developed preparation checklist.
6. The AOC inform the U.S. Capitol Police of the deferred security maintenance work elements prior to large public gatherings and events on the Capitol campus.



Office of Inspector General  
Fairchild Bldg.  
499 S. Capitol St., SW, Suite 518  
Washington, D.C. 20515  
202.593.1948  
[www.aoc.gov](http://www.aoc.gov)

UNITED STATES GOVERNMENT

## MEMORANDUM

DATE: May 05, 2021

TO: J. Brett Blanton  
Architect of the Capitol

FROM: Christopher P. Failla, CIG  
Inspector General 

SUBJECT: Flash Report – Independent Assessment of the AOC’s Role in Securing the Capitol Campus for Large Public Gatherings

The AOC Office of Inspector General (OIG) is providing this Flash Report on our independent assessment of AOC’s Role in securing the Capitol campus for large public gatherings and events. This Flash Report is a product of our Joint Oversight Project (2021-OIG-JT-001) announced on January 14, 2021.

Our assessment reports on AOC’s role in the execution of operations to secure the Capitol campus during large public gatherings, to include concerts, presidential inaugurations and First Amendment demonstrations. Our assessment found AOC’s role and responsibilities for the preparation of security plans for large public gatherings and events is limited. This report includes six recommendations for improvements to the AOC’s role in securing the Capitol campus.

We request AOC Management prepare a corrective action plan to address each of the recommendations. We will follow up on the progress of the plan in 60 calendar days. The final step in the resolution process is for AOC management to issue a Notice of Final Action that outlines the actions taken to implement the agreed upon recommendations. This notice is due one year from the date of report, May 04, 2022.

We appreciate the courtesies extended to the staff during the independent assessment. Please direct questions to Erica Wardley, Assistant Inspector General for Audits at 202.215.3395 or [erica.wardley@aoc.gov](mailto:erica.wardley@aoc.gov).

### Distribution List:

Peter Bahm, Chief of Staff  
Valerie Hasberry, Chief Security Officer  
Jason Baltimore, General Counsel  
Mary Jean Pajak, Senior Advisor

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## Introduction

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### Objective

This Flash Report<sup>1</sup> presents the results of our independent assessment of the AOC's role in securing the Capitol campus during large public gatherings. The objective of the independent assessment was to gain an understanding of the AOC's role and responsibilities in the preparation and execution of operations to secure the Capitol campus, its structures, assets and artifacts during large public gatherings (e.g., July Fourth concerts, presidential inaugurations and First Amendment demonstrations).

### Scope and Methodology

The scope of this independent assessment was the AOC's roles and responsibilities in securing the Capitol campus, its structures, assets and artifacts during large public gatherings. We conducted this independent assessment remotely, from March 2021 to April 2021, in accordance with OIG's Audit Division Policies and Procedures Manual, dated December 31, 2020. We believe that the evidence obtained provides a reasonable basis for our results and conclusions based on our independent assessment objective.

We reviewed and analyzed federal laws and regulations, policies, procedures, testimonies, budget requests, meeting minutes, and other correspondences and conducted interviews with OCSO personnel to gain an understanding of AOC roles and responsibilities for securing the capitol campus during large gatherings to conclude on our assessment.

This independent assessment was not an audit; therefore, we did not perform our procedures in accordance with Generally Accepted Government Auditing Standards.

### Background

On January 6, 2021, rioters stormed the U.S. Capitol in an attempt to prevent the U.S. Congress from counting Electoral College votes and formalizing President Joe Biden's election. Subsequently, the Capitol campus was locked down while congressional members and their staff were evacuated or sheltered-in-place as rioters

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<sup>1</sup> Flash Report – Non-standard OIG report and independent assessment used as an effective communication tool that provides timely and useful information to stakeholders.

occupied and vandalized the Capitol building for several hours. The events of January 6th resulted in several congressional hearings, which, not all inclusive, included testimonies from the Acting Chief of Capitol Police, the Acting Sergeant at Arms for the U.S. House of Representatives and the Architect of the Capitol. The dominating theme of the hearings was how the events were permitted to happen and how to prevent a similar catastrophe from unfolding in the future.

On January 14th, the AOC OIG announced plans to initiate a Joint Oversight Project examining the events that occurred at the U.S. Capitol on January 6, 2021. The project would involve resources from the OIG's Investigations, Audits, and Inspections and Evaluations divisions. The objective of the joint project was to determine the effectiveness and integrity of the AOC's security and internal policies, procedures, and practices and provide an independent evaluation of the same. This Flash Report is a product of the research conducted from the joint project.

### *Architect of the Capitol*

The AOC's mission is to serve Congress and the Supreme Court, preserve America's Capitol and inspire memorable experiences. The AOC cares for more than 18.4 million square feet of facilities, more than 570 acres of grounds and thousands of works of art. The AOC's 2,251 employees work behind the scenes day and night to provide Congress and the Supreme Court with facilities and infrastructure to conduct their business. The public is inspired by tours and exhibits of the U.S. Capitol the surrounding grounds and the U.S. Botanic Garden.

Throughout the year, the Capitol campus is host to a variety of special events. Such events include but are not limited to summer concerts, dignitary visits, lying in state, First Amendment demonstrations and presidential inaugurations. The AOC's OCSO plays an important role in the execution of the security infrastructure for these events, which would include the installation of an enhanced security perimeter and facilitation of enhanced screening techniques.

The OCSO mission is to support the security and resilience of the infrastructure and essential functions of the U.S. Capitol campus through the delivery and sustainment of facilities, integrated physical security solutions, operational security programs and robust continuity capabilities for the Congress, the U.S. Supreme Court, the USCP and the AOC. The OCSO performs security reviews for all AOC construction projects to ensure they are not creating security concerns or interfering with any existing security measures. In addition, the office participates in minor security construction projects in support of USCP, the Senate Sergeant at Arms (SSAA) and

the House Sergeant at Arms (HSAA). The OCSO maintains the campus walkways via security elements such as vehicle barriers, the kiosks used by USCP, as well as other security measures located around the campus.

### *Capitol Police Board*

The Board oversees and supports the USCP in its mission, and helps to advance coordination between the USCP, SSAA, HSAA and the Congress<sup>2</sup>. Consistent with this purpose, the Board establishes general goals and objectives covering its major functions and operations to improve the efficiency and effectiveness of its operations. The Board consists of the Sergeant at Arms of the United States Senate, the Sergeant at Arms of the House of Representatives, and the Architect of the Capitol (“the Architect”). The Chief of the USCP serves in an ex-officio non-voting capacity. The Chairmanship alternates annually between the House and Senate Sergeants at Arms.

## Criteria

We used the below criteria to assess the AOC’s role in securing the Capitol campus during large public gatherings:

2 USC Ch. 28: ARCHITECT OF THE CAPITOL  
From Title 2 – The Congress

### **§1811. Powers and duties**

The Architect of the Capitol shall perform all the duties relative to the Capitol Building performed prior to August 15, 1876, by the Commissioner of Public Buildings and Grounds, and shall be appointed by the President: Provided, That no change in the architectural features of the Capitol Building or in the landscape features of the Capitol Grounds shall be made except on plans to be approved by Congress.

### **§1865. Capitol Police Buildings and Grounds Account**

#### **(a) Establishment**

There is hereby established in the Treasury of the United States an account for the Architect of the Capitol to be known as "Capitol Police Buildings and Grounds" (hereinafter in this section referred to as the "account").

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<sup>2</sup> USC Ch. 29: CAPITOL POLICE, From Title 2—THE CONGRESS, SUBCHAPTER I ORGANIZATION AND ADMINISTRATION §1901. Establishment; officer appointments Capitol Police Board

**(b) Use of funds**

Funds in the account shall be used by the Architect of the Capitol for all necessary expenses for—

- (1) resilience and security programs of the Architect of the Capitol; and
- (2) the maintenance, care, and operation of buildings, grounds, and security enhancements for facilities of the United States Capitol Police and for other facilities associated with such resilience and security programs at any location.

**2 USC Ch. 29: CAPITOL POLICE**

From Title 2 – The Congress

**§1901. Establishment; officer appointments****Capitol Police Board**

Pub. L. 108–7, div. H, title I, §1014, Feb. 20, 2003, 117 Stat. 361, provided that:

"(a) Capitol Police Board; Composition; Redefining Mission.—

"(1) Purpose.—The purpose of the Capitol Police Board is to oversee and support the Capitol Police in its mission and to advance coordination between the Capitol Police and the Sergeant at Arms of the House of Representatives and the Sergeant at Arms and Doorkeeper of the Senate, in their law enforcement capacities, and the Congress. Consistent with this purpose, the Capitol Police Board shall establish general goals and objectives covering its major functions and operations to improve the efficiency and effectiveness of its operations.

"(2) Composition.—The Capitol Police Board shall consist of the Sergeant at Arms of the House of Representatives, the Sergeant at Arms and Doorkeeper of the Senate, the Chief of the Capitol Police, and the Architect of the Capitol. The Chief of Capitol Police shall serve in an ex-officio capacity and be a non-voting member of the Board.

**§1961. Policing of Capitol Buildings and Grounds**

(a) The Capitol Police shall police the United States Capitol Buildings and Grounds under the direction of the Capitol Police Board, consisting of the Sergeant at Arms of the United States Senate, the Sergeant at Arms of the House of Representatives, and the Architect of the Capitol, and shall have the power to enforce the provisions of this section, sections 1922, 1966, 1967, and 1969 of this title 1 (and regulations promulgated under section 1969 of this title), and chapter 51 of title 40, and to make arrests within the United States Capitol Buildings and Grounds for any violations of any law of the United States, of the District of Columbia, or of any State, or any regulation promulgated...

**§1964. Security systems for Capitol buildings and grounds****(b) Transfer of responsibility to Capitol Police Board**

Effective October 1, 1995, the responsibility for design and installation of security systems for the Capitol buildings and grounds is transferred from the Architect of the Capitol to the Capitol Police Board. Such design and installation shall be carried out under the direction of the Committee on House Oversight of the House of Representatives and the Committee on Rules and Administration of the Senate, and without regard to section 6101 of title 41. On and after October 1, 1995, any alteration to a structural, mechanical, or architectural feature of the Capitol buildings and grounds that is required for a security system under the preceding sentence may be carried out only with the approval of the Architect of the Capitol.

**§1965. Maintenance of security systems for Capitol buildings and grounds**

(a) Effective October 1, 1996, the responsibility for maintenance of security systems for the Capitol buildings and grounds is transferred from the Architect of the Capitol to the Capitol Police Board. Such maintenance shall be carried out under the direction of the Committee on House Oversight of the House of Representatives and the Committee on Rules and Administration of the Senate. On and after October 1, 1996, any alteration to a structural, mechanical, or architectural feature of the Capitol buildings and grounds that is required for security system maintenance under the preceding sentence may be carried out only with the approval of the Architect of the Capitol.

**§1979. Release of security information**

**(a) Definition**

In this section, the term "security information" means information that—

- (1) is sensitive with respect to the policing, protection, physical security, intelligence, counterterrorism actions, or emergency preparedness and response relating to Congress, any statutory protection of the Capitol Police, and the Capitol buildings and grounds; and
- (2) is obtained by, on behalf of, or concerning the Capitol Police Board, the Capitol Police, or any incident command relating to emergency response.

**(b) Authority of Board to determine conditions of release**

Notwithstanding any other provision of law, any security information in the possession of the Capitol Police may be released by the Capitol Police to another entity, including an individual, only if the Capitol Police Board determines in consultation with other appropriate law enforcement officials, experts in security preparedness, and appropriate committees of Congress, that the release of the security information will not compromise the security and safety of the Capitol buildings and grounds or any individual whose protection and safety is under the jurisdiction of the Capitol Police.

## Independent Assessment Results

The AOC has an important role in the execution of operations to secure the Capitol campus for large public gatherings, to include concerts, presidential inaugurations and First Amendment demonstrations. However, we found the AOC's role and responsibilities for the preparation of security plans for large public gatherings at the Capitol is limited.

### *AOC's Role and Responsibilities in Securing the Capitol Campus for Large Public Gatherings*

The AOC's OCSO Facility Maintenance Division (FMD) is responsible for the execution of the security infrastructure for all events on the Capitol campus. The FMD supports the USCP by providing security, safety and crowd control elements, to include jersey barriers, bike racks, fencing and tents as authorized by the USCP on the perimeter security plan. The FMD executes the implementation of the security infrastructure as governed by a perimeter security plan as created and owned by the USCP. The security plan provided by the USCP to the FMD usually includes a map drawing of the grounds that notates the equipment needed and its placement.

We noted that there is currently no memorandum of understanding or service level agreement between the AOC and the USCP to support services or coordination, nor are there formal OCSO policies and procedures that govern how the staff executes the perimeter security plans.

### *Notification and Coordination of Event's Security Infrastructure*

The USCP's Security Service Bureau (SSB) will notify the FMD via secure email of an upcoming event. The email should include an approved perimeter security plan and timeline for deployment of security elements. The FMD forwards the plan and timeline to other AOC stakeholders that may be needed to support the request or informed on how the plan may affect their jurisdiction, to include the Chief Security Officer, OCSO Resilience and Security, Capitol Grounds and Arboretum, Botanic Garden, and AOC Capitol building Superintendent's Office. The FMD will then work with the Consolidated Facility Management (CFM) contractor to obtain pricing for the required equipment. The CFM contractor's price shall reflect a turn-key cost

to include prime contractor markup. The approved contract funds are approved through a Reimbursable Work Order.

The FMD will coordinate the perimeter security layout with the USCP, by confirming the required equipment (i.e. jersey barriers, bike racks and tents) through a perimeter site-walk and the installation and teardown timelines. For events that require credentialing, OCSO's Security Division will coordinate with the FMD and USCP for any credentials needed.

#### Execution of Event's Security Infrastructure

The FMD assigns an OCSO point of contact (POC) to be on-site for the mobilization and de-mobilization of all security elements deployed. The OCSO POC will confirm with the contractor that all security implements are scheduled for delivery. The OCSO POC will contact the USCP to request screening and escorts for designated location. The FMD ensures all security implements are placed in accordance with the perimeter plan and confirmed by the USCP.

During the event, the onsite OCSO POC maintains communications with the FMD and Security Division and coordinates any new requests through the OCSO prior to execution. One hour after the conclusion of the event, as noted on the approved timeline, teardown can begin. Teardown must be completed no later than 0700 the morning after the event.

Once all elements have been removed, the OCSO POC shall make one final review of the site to ensure all equipment has been removed and the site returned to normal operational condition.

#### National Special Security Events (NSSE)

For NSSE, i.e. inauguration, lying in state, and State of the Union, the OCSO roles and responsibilities are a little more expanded, as the Secret Service leads the security efforts. In addition to the process noted above, the OCSO provides a representative to serve on the inaugural task force during NSSE events. The staff gets information on what the OCSO may be asked to provide from a contract perspective. Normally for these events, the OCSO may be asked to provide portable toilets, bike-racks, jersey barriers and anti-climb fencing. The OCSO gets the specifications for the anti-climb fencing from the

USCP along with the security perimeter plan. Standard protocol for these events is to place an AOC employee in the USCP command post along with House and Senate SAA, Supreme Court, and other liaisons.

### *AOC Limitations in Securing the Capitol Campus for Large Public Gatherings*

During our review, we found the AOC's role in the preparation of the perimeter security plan for large public gatherings was limited. The AOC has little to no role in developing the security plan. Through discussions with the OCSO staff, we found that most recommendations or concerns raised by the staff and conveyed to the USCP were mostly dismissed. The OCSO staff is routinely reminded by the USCP of their role as support, as prescribed by legislation<sup>3</sup>, and not law enforcement; therefore, to consider their opinions, recommendations and/or concerns as it relates to a perimeter security plan is not required.

In 1995 and 1996, Congress enacted new legislation, 2 USC §1964 and §1965<sup>4</sup>, that transferred the AOC's responsibility for design, installation and maintenance of security systems for the Capitol buildings and grounds to the Board. According to this legislation, the AOC only approves alterations to a structural, mechanical or architectural feature of the Capitol buildings and grounds required for a security system. According to AOC staff, this legislative change created limitations on the AOC's ability to support its mission to preserve America's Capitol. A culture has been created wherein the AOC operates in a supporting capacity and has no authority to contribute to the design and/or preparation of a security plan unless directed by the Board under administrative support for the Architect.

As previously noted, the Architect is a voting member of the Board. As a member of the oversight board for the USCP, a law enforcement agency, the

<sup>3</sup> 2 USC Ch. 28: ARCHITECT OF THE CAPITOL, From Title 2—THE CONGRESS, SUBCHAPTER II—GENERAL POWERS AND DUTIES §1811. Powers and duties and SUBCHAPTER IV—APPROPRIATIONS AND EXPENDITURES §1865. Capitol Police Buildings and Ground Account; and

2 USC Ch. 29: CAPITOL POLICE, From Title 2—THE CONGRESS, SUBCHAPTER II—POWERS AND DUTIES §1961. Policing of Capitol Buildings and Grounds

<sup>4</sup> 2 USC Ch. 29: CAPITOL POLICE, From Title 2—THE CONGRESS, SUBCHAPTER II—POWERS AND DUTIES, §1964. Security systems for Capitol buildings and grounds, (b) Transfer of responsibility to Capitol Police Board, and §1965. Maintenance of security systems for Capitol buildings and grounds

Architect should be an active member in the oversight of the USCP's responsibilities to safeguard the Congress, members of Congress, employees, visitors, and Congressional buildings and grounds from crime, disruption, and terrorism. The USCP protects and secures Congress so it can fulfill its constitutional and legislative<sup>5</sup> responsibilities in a safe, secure and open environment.

According to AOC staff and confirmed via recent testimony by the Architect<sup>6</sup> and Acting Chief of Police<sup>7</sup>, the perimeter security plans and security concerns for large public gatherings are generally not shared or approved by the Board. Consequently, the Architect is not officially informed as a Board member on the security plans and safeguards in place at the time of these events. We perceive this as another limitation. Communication, collaboration and coordination by all members of the Board and its respective agencies could prove to be beneficial in fortifying the security and resilience of the Capitol campus during large public gatherings<sup>8</sup>.

#### *AOC's Expertise*

The Architect, as the head of the AOC and voting member of the Board, has the authority, knowledge and the capacity to provide significant value to the oversight of securing the Capitol campus during large public events. The AOC's OCSO is staffed with expertise in the fields of civil engineer readiness<sup>9</sup>, antiterrorism/force protection, emergency management, operations security, physical security<sup>10</sup>, critical infrastructure risk management, law

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<sup>5</sup> USC Ch. 29: CAPITOL POLICE, From Title 2—THE CONGRESS, SUBCHAPTER II—POWERS AND DUTIES §1961. Policing of Capitol Buildings and Grounds

<sup>6</sup> HHRG-117-AP24-Wstate-BlantonB-20210224

<sup>7</sup> HHRG-117-AP24-Wstate-PittmanY-20210225

<sup>8</sup> USC Ch. 29: CAPITOL POLICE, From Title 2—THE CONGRESS, SUBCHAPTER II—POWERS AND DUTIES §1979. Release of security information

<sup>9</sup> The Chief Security Officer is experienced in the development of readiness, emergency services, and chemical, biological, radiological, and nuclear defense doctrine, policy, and guidance for approximately 32,000 Air Force Civil Engineers

<sup>10</sup> The OCSO Assistant Director is an active member of the American Society for Testing and Material (ASTM) F12 committee, chairs three ASTM sub-committees related to security equipment, active member of Security Industry Association (SIA) and a member of the SIA committee on Public to Private Partnerships, and an active member of the International Physical Security Working Group.

enforcement, homeland security<sup>11</sup>, and security engineering architecture and design<sup>12</sup>. Incorporating the OCSO staff into the preparation of perimeter security plans and the resolution of any security concerns through either (1) the administrative support provided to the Architect as a member of the Board and/or (2) through the execution support provided to the USCP, could add immense value in effectively and efficiently securing the Capitol campus. Specifically, participating in the preparation of security plans, being informed of pertinent security information and having the ability to provide feedback, would allow OCSO to notify AOC's leadership of the expectations of the event and any security risks; issue timely orders to stop construction projects, secure construction and maintenance materials, equipment, tools and scaffolding; and ensure appropriate staff is available to support the event and communicate any security concerns to appropriate AOC officials.

The events of January 6th at the U.S. Capitol demonstrated that increased communication, coordination and collaboration between the Board and the AOC is needed. According to the Architect's testimony and OCSO staff, the official security posture for the Joint Session of Congress was that there were no credible threats. Although understaffed with a Deputy vacancy and collateral duties dealing with COVID-19 over the last year, the Chief Security Officer and the OCSO staff were monitoring open source reporting, social media, information reported by D.C. Government and AOC Legislative and Public Affairs leading up to January 6th. There were reports and social media posts of threats of violence by several opposed groups, threats including use of weapons and how to bring weapons and ammunition into the area, plans to create mob violence to draw law enforcement to certain areas and mimicking the dress of counter protestors to allow the opposed groups to spread across the area and cause damage. The OCSO shared information with the USCP, and were told by the USCP that there were no credible threats.

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<sup>11</sup> Supervisory Security Officer is a Certified Homeland Protection Professional, Certified Institutional Protection Manager, and a member of the Global Society of Homeland and National Security Professionals and International Foundation for Cultural Property Protection.

<sup>12</sup> Acting Assistant Director's experience with an Architecture firm with a focus on the security of Foreign Embassies in the Washington, D.C. area, to include the embassies, consulates, and ambassador's residences. Key clients were the British and UAE Embassies.

In an effort to secure the Capitol campus, the OCSO:

- issued a notification to AOC staff to secure construction sites on January 4<sup>th</sup>, notifying staff of multiple demonstrations scheduled for the next few days, days and hours of work stoppage and the need to secure construction materials and equipment;
- held a security briefing with AOC senior leadership on January 5<sup>th</sup>, which highlighted the security threats and risks identified during their monitoring along with the AOC's approach to manage such risks. The AOC efforts to manage the heightened security risks included:
  - extending work stoppage period,
  - performing ground sweeps,
  - placing blood borne pathogen teams and teams to address graffiti on standby, and
  - extending hours of the OCSO POC within the USCP command center;
- pre-positioned staff to an off-site facility and advised the Architect to work from home, for continuity of operations; and
- instructed AOC staff to make adjustments to their normal work habits, to include:
  - awareness of surroundings and to report any suspicious activities to the USCP,
  - use tunnels and internal walkways when possible,
  - ensure all AOC vehicles were locked,
  - secure all equipment, tools and materials when not in use, and
  - avoid demonstration area.

However, events suggest that AOC officials did not communicate all information and orders to all jurisdictions or AOC staff did not fully carry out orders. The AOC OIG received a formal referral after January 6<sup>th</sup> from the USCP OIG that AOC tools and equipment were left unsecured and used by the insurgents against USCP officers as well as to vandalize the Capitol building. Additionally, AOC staff were in the demonstration areas during the breach, filming and disobeying USCP direction to leave the area.

The above information should not detract from the heroic acts of other AOC staff members, who through their presence, quick thinking and actions, assisted with sheltering congressional staff in their shops to protect them from

the insurgents, reversed the airflows within the building to help clear the air of chemical irritants, like bear repellents and pepper spray, and provided bottles of water and eye wash stations to USCP officers in need of assistance. According to the Architect's testimony, the AOC was able to immediately commence cleanup and repairs to approximately \$2.5 million in damages. In our assessment, the independent actions of the OCSO most likely contributed to a better prepared AOC as well as the safety of AOC personnel and less damage to the Capitol building.

Lastly, it is the opinion of the AOC staff that there should be some consideration in returning the responsibilities for design, installation and maintenance of security systems for the Capitol campus back to the AOC. The AOC has dedicated trained staff to (1) perform the design and installation of security systems and (2) develop program goals and timelines for completion, and (3) ensure the performance measures linked to those program goals are included in AOC strategic plans for security. An interviewee for this report concluded that Capitol campus security infrastructure could be enhanced by focusing more on "force protection" rather than law enforcement. Force protection is a military term used to describe preventive measures taken to mitigate hostile actions in specific areas or against a specific population, while law enforcement may primarily focus more on enforcing the laws and public safety. In coordination with the Board and legislative stakeholders, the AOC should evaluate the overall focus on campus security given recent events, and reevaluate the responsibilities for design, installation, and maintenance of the Capitol campus security systems and determine who should execute those responsibilities.

### *Other Matters*

During our overall assessment of the events of January 6th, the AOC OIG obtained the listing of all maintenance requirements, which remain deferred on January 6th to include deferred security maintenance totaling \$144.1 million. Due to the frequency of large campus gatherings and events, and the possibility of these events evolving into violence, these deferred security maintenance issues should be funded and placed at the highest in priority level above all others to repair and or maintain. Those security features maintained by the AOC that are malfunctioning, under repair or remain deferred should

be reported to the USCP and security personnel to ensure adequate preparation.

## Conclusion

The AOC's role and responsibilities in securing the Capitol campus during large public gatherings has been to serve primarily in a support only function. The OCSO have been in a customer support role to the Board and USCP versus an active peer and contributing member involved with the communication, coordination and collaboration to secure the Capitol campus. It also appears that the Architect's role on the Board has been disregarded for matters of campus security for large public events.

Although the AOC is not a law enforcement entity and it is agreed the Architect should not have tactical input for law enforcement matters, the Architect is responsible for the maintenance, construction, preservation and security of the Capitol campus and should have input to carry out that role. The AOC owned assets, historical paintings, artifacts and memorabilia on the Capitol campus if damaged may be irreplaceable and or require replacement or repair at taxpayers' expense. An increased sharing of information would allow the AOC to better plan, prepare and protect the AOC staff and the assets in their care. Additionally, AOC staff are the experts for the Capitol campus infrastructure. It would be beneficial to confer with these experts to understand the infrastructure and facilities in order to implement effective protection measures. To this end, Capitol campus law enforcement agencies should communicate, coordinate and collaborate with the OCSO experts when preparing perimeter security plans for every large public gathering and event.

It would also be prudent for AOC to perform the following:

- coordinate with other stakeholders to reevaluate the responsibilities for design, installation and maintenance of the security systems for the Capitol campus and determine who should execute the responsibilities; and
- inform the USCP of deferred security maintenance work elements prior to large public gatherings and events to ensure adequate preparation for securing the Capitol campus.

Improved communication, coordination and collaboration between all of the Capitol campus agencies will assist in restoring confidence among Congressional members

and staff, employees and the general public in the security and safety on the Capitol campus.

## **Recommendations**

### ***Recommendation 1***

We recommend the AOC coordinate with legislative stakeholders to draft legislation that would incorporate the following:

- Add the Office of Chief Security Officer to an advisory or consultative role to assist in the plans and execution of securing the Capitol campus for large public gatherings, and
- require communication, coordination and collaboration between the AOC, Capitol Police Board, and U.S. Capitol Police.

### ***Recommendation 2***

We recommend the AOC Office of the Chief Security Officer coordinate with U.S. Capitol Police to draft a memorandum of agreement to support the roles and responsibilities and services required for preparation and execution of the perimeter security plans for large public events.

### ***Recommendation 3***

We recommend the AOC Office of the Chief Security Officer establish well-defined policies and procedures with a preparation checklist for jurisdictions based on the severity of threat that provides clear guidance on execution of support activities related to coordination, mobilization, de-mobilization, asset protection and reporting of activities associated with special events across the Capitol campus.

### ***Recommendation 4***

We recommend the AOC coordinate with the U.S. Capitol Police Board and legislative stakeholders to evaluate the overall focus on campus security, and reevaluate the responsibilities for design, installation and maintenance of the Capitol campus security systems and determine who should execute those responsibilities.

***Recommendation 5***

We recommend the AOC Office of the Chief Security Officer hold a security briefing with AOC senior leadership for each event, which highlights the security threats and risks identified during their monitoring and received from coordinating agencies along with AOC's approach to manage such risks and instructions for jurisdictions to execute the developed preparation checklist.

***Recommendation 6***

We recommend the AOC inform the U.S. Capitol Police of the deferred security maintenance work elements prior to large public gatherings and events on the Capitol campus.

## Appendix A

### Announcement Memorandum



Office of Inspector General  
Fairchild Bldg.  
499 S. Capitol St., SW, Suite 518  
Washington, D.C. 20515  
202.593.1948  
[www.aoc.gov](http://www.aoc.gov)

United States Government  
**MEMORANDUM**

DATE: March 11, 2021

TO: J. Brett Blanton  
Architect of the Capitol

FROM: Christopher P. Failla, CIG   
Inspector General

SUBJECT: Announcement Memorandum for the Independent Assessment of the Architect of the Capitol's (AOC) Role in Securing the Capitol Campus During Large Public Gatherings (Project No. 2021-AUD-005-O)

This memorandum serves as notification that the Office of Inspector General plans to initiate an independent assessment of the AOC's role in securing the Capitol campus during large public gatherings. The objective of the independent assessment is to gain an understanding of the AOC's role and responsibilities in the preparation and execution of operations to secure the Capitol campus, its structures, assets and artifacts during large public gatherings (e.g., July Fourth Concerts, Presidential Inaugurations, and first amendment demonstrations). We will contact your office to set up an entrance conference. If you have any questions, please contact Erica Wardley, Assistant Inspector General for Audit by email at [erica.wardley@aoc.gov](mailto:erica.wardley@aoc.gov).

Distribution List:

Peter Bahm, Chief of Staff  
Valerie Hasberry, Chief Security Officer  
Jason Baltimore, General Counsel  
Mary Jean Pajak, Senior Advisor

## Acronyms and Abbreviations

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AOC	Architect of the Capitol
Architect	Architect of the Capitol
ASTM	American Society for Testing and Material
Board	Capitol Police Board
CFM	Consolidated Facility Management
FMD	Facility Maintenance Division
HSAA	House Sergeant at Arms
NSSE	National Special Security Events
OCSO	Office of the Chief Security Officer
OIG	Office of Inspector General
POC	Point of Contact
SIA	Security Industry Association
SSAA	Senate Sergeant at Arms
SSB	Security Service Bureau
USCP	U.S. Capitol Police



OFFICE OF THE INSPECTOR GENERAL

Fairchild Building, Suite 518  
499 South Capitol Street, SW  
Washington, DC 20515  
(202) 593-1948  
[hotline@aoc-oig.org](mailto:hotline@aoc-oig.org)