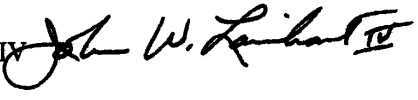


Office of Inspector General
U.S. House of Representatives
Washington, DC 20515-9990

MEMORANDUM

TO: Wilson L. Livingood
Sergeant at Arms

FROM: John W. Lainhart IV 
Inspector General

DATE: July 18, 1995

SUBJECT: Audit Report - Opportunities Exist To Improve Resource Utilization In The Office Of The Sergeant At Arms (Report No. 95-SAA-14)

This is our final report on the performance audit of the Sergeant at Arms. The objective of the audit was to determine if the House Chamber Security, House Parking, and Identification Office efficiently used staff resources. We also reviewed the Doorkeeper and House Parking staff salaries to determine if compensation and wage levels were comparable to industry standards. In addition, we reviewed the process of issuing parking permits. In this report, we identified problems associated with the Sergeant at Arms operational practices and made recommendations for corrective actions.

In response to our June 13, 1995 draft report, your office concurred with our findings and recommendations. The June 28, 1995 formal management response provided by your office is incorporated in this final report and included in its entirety as an appendix. The corrective actions taken and planned by your office are appropriate and, when fully implemented, should adequately respond to the recommendations. In addition, we appreciate your comments on some of the facts in the report and have made appropriate revisions or further explanations, as necessary.

We appreciate your office's positive response and concurrence with the recommendations, and the courtesy and cooperation extended to us by your staff. If you have any questions or require additional information regarding this report, please call me or Craig W. Silverthorne at (202) 226-1250.

cc: Speaker of the House
Majority Leader of the House
Minority Leader of the House
Chairman, Committee on House Oversight
Ranking Minority Member, Committee on House Oversight
Members, Committee on House Oversight

**OPPORTUNITIES EXIST TO IMPROVE RESOURCE UTILIZATION
IN THE OFFICE OF THE SERGEANT AT ARMS**

Report No: 95-SAA-14

July 18, 1995

RESULTS IN BRIEF

CONCLUSIONS

Opportunities exist for the Office of the Sergeant at Arms (SAA) to utilize staff more efficiently and achieve cost savings. This is indicated by these facts:

- Based upon a comparative analysis of similar Doorkeeper functions, the salary package received by Doorkeeper personnel (i.e., Doormen, Attendants, and Supervisors) was excessive. Despite working only 1,165 hours in calendar year 1994, the Doorkeeper personnel received an annual salary based on a full-time equivalent work year. As a result, the House overpaid Doorkeeper personnel \$552,050 in total salary by not linking pay to actual time worked. Management could have reassigned personnel to better utilize them when Congress was out of session but did not do so.
- In Fiscal Year (FY) 1994, House Parking had 42 employees to operate 13 parking facilities. Compared to local parking management staffing practices, House Parking facilities were 56 percent overstaffed. We estimate the overstaffing resulted in \$468,000 in wage and benefit costs. House Parking management did not take steps to minimize costs with the use of different length shifts or part-time workers.
- During FY 1994, compensation levels for House parking employees were 75 percent higher than equivalent positions in the private sector. This resulted in excess costs of \$378,000. Because parking was formerly under the Architect of the Capitol (AoC), parking attendants continued to be paid on the AoC wage scale which is higher than parking industry average wages.
- House Parking did not maintain adequate controls over parking permit issuance to Members and House employees. Numerous permanent and temporary permits were often issued for a single vehicle. As a result, the potential existed for unauthorized personnel to have access to House parking facilities. House Parking internal controls allowed permits to be issued based on any combination of employee name, vehicle make, and license plate number.

- The Identification Office workload was subject to fluctuations. An analysis of the identification badges issued showed that the demand for services was significantly affected by the day of the week and month of the year. The Identification Office was unable to determine the appropriate resource allocation necessary to meet these demands. As a result, full-time staff was underutilized in some periods and overburdened in others. The Identification Office did not maintain time and attendance records to capture hours worked and was also unable to monitor workload fluctuations or trends.

RECOMMENDATIONS

We recommend that the Sergeant at Arms: (1) propose to the Committee on House Oversight (Committee) to either pay Chamber Security Aides on an hourly basis or reassign personnel to other duties when the House is not in session; (2) propose to the Committee that House parking facilities be staffed according to garage and lot peak and non-peak activity; (3) propose to the Committee that House parking personnel be placed under the House Employees Schedule at a rate that more closely reflects private industry standards or assign them additional duties; (4) assign parking permits by a unique, unalterable identifier; (5) improve workload planning within the Identification Office; and (6) institute a formal training program for temporary staff.

MANAGEMENT RESPONSE

On June 28, 1995, the SAA generally concurred with the findings and recommendations in this report. As indicated in his response, the SAA planned actions include: (1) effective September 1, 1995, restructuring the Office of Doormen and the Gallery Doormen, reducing personnel when the House is not in session, and paying personnel based upon House Schedule, level 3, for all non-Administrative staff; (2) effective July 2, 1995, taking control of the House Parking system, initiating title and job description changes for all current House garage employees, and conducting a study to establish more effective use of all personnel employed in the House Garage System; (3) effective October 1, 1995, transferring all House garage employees from the AoC wage scale to the House Employees Schedule, with the assessment of current salaries and compensation for all garage employees and increased responsibilities for all garage employees; (4) effective July 2, 1995, issuing parking permits and initiating a study to review all aspects of the current parking permit system; (5) expanding the Identification Office's daily issuance log to provide statistical analysis of badge issuance to improve manpower planning; and (6) implementing a training program for temporary staff, cross-training current employees, and reviewing the use of contract employees for peak periods.

OFFICE OF INSPECTOR GENERAL COMMENTS

The SAA's actions are generally responsive to the issues we identified and, when fully implemented, should satisfy the intent of our recommendations.

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I. INTRODUCTION

Background

The purposes of the Office of the Sergeant at Arms (SAA) are to ensure:

- The safety of Members, staff, and the public on Capitol Hill.
- That protocol and tradition are followed with respect to the Legislative body and its Members.

The SAA was organized into five divisions:

- **House Chamber Security** employs 43 Chamber Security Aides¹. The Chamber Security Aides monitor access to the Gallery and the House Floor when the House is in session, deliver documents to the Members on the floor, page Members on the floor, and help coordinate special events.
- **House Parking** employs 42 staff to operate 13 parking facilities consisting of four underground garages, five surface lots, and various street parking areas throughout Capitol Hill.
- **Identification Office** employs four staff to issue identification badges to Members and their families, staff, interns, liaison offices, pages, lobbyists, and House contractors.
- **Police Services** employs one full-time Director and serves as the SAA liaison to the Capitol Hill Police and other law enforcement agencies.
- **Special Events and Protocol** employs one full-time Director and helps the House Leadership, Congressional Offices, and House Committees plan and organize special events, including the State of the Union, arrival of foreign dignitaries, and funerals.

Objectives, Scope, And Methodology

The primary objective of the audit of the SAA was to determine if the Office efficiently used staff during times of seasonal fluctuation. The scope of the review was limited to the review of House Chamber Security, House Parking, and Identification Office activities in the SAA. This review encompassed the period of October 1, 1993 through December 31, 1994. The audit was conducted during the period of March through May 1995.

¹At the start of the 104th Congress, the Office of the Doorkeeper was eliminated. The employees and functions of the Office were transferred to the SAA. With the transfer, the Doorkeepers were renamed Chamber Security Aides.

We conducted our review in accordance with *Government Auditing Standards*, issued by the Comptroller General of the United States. We evaluated the Doorkeeper compensation package to determine if the package was economical and reasonable for Doorkeeper's duties and responsibilities. We compared the cost with that of Doorkeeper personnel in other organizations, including the Texas, Florida and Illinois State Legislatures, and evaluated the costs associated with instituting alternative packages. Our review also included the following steps:

- Determined the total cost of the salary package.
- Determined the total number of hours the House was in session the last ten years.
- Determined the number of hours Doorkeeper personnel worked in 1994, their average pay per hour, and the reasonableness of the hourly rate.
- Compared the current pay structure to other methods of pay to determine an economical and equitable compensation package.

We evaluated House Parking operations by performing the following steps:

- Evaluated the economy, efficiency, and effectiveness of House Parking operations.
- Evaluated the controls over the parking permit distribution system.
- Evaluated local industry and Southwest Washington, D.C. Federal Government agency parking practices.

In addition, we evaluated the Identification Office for workload fluctuations by performing the following steps:

- Evaluated workload and staffing levels of the Office.
- Interviewed supervisors to determine extent of resource planning to meet seasonal demands.
- Determined how the Office responds to seasonal fluctuations.
- Determined what actions could be taken to alleviate increases in workflow.

Internal Controls

This review evaluated internal controls related to the SAA. We found material weaknesses in the issuance of parking permits as described in Finding D and in workload planning as described in Finding E.

Prior Audit Coverage

No performance audits of SAA operations have ever been completed. No audits have been performed on House Parking. However, a management advisory review was issued on aspects of parking operations as described below:

Ernst and Young, Parking Valuation Report, May 1994: This review determined the value of the Capitol Hill parking spaces provided to House and Senate members, staff and other congressional offices. The report recommended that reserved indoor spaces be realized as taxable income. The House implemented recommendations from this report in the summer of 1994.

II. FINDINGS AND RECOMMENDATIONS

Finding A: Better Management Of Doorkeeper Personnel Could Result In \$552,050 In Savings

Based upon a comparative analysis of similar Doorkeeper functions, the salary package received by Doorkeeper personnel (i.e., Doormen, Attendants, and Supervisors) was excessive. Despite working only 1,165 hours in Calendar Year (CY) 1994, the Doorkeeper personnel received an annual salary based on a full-time equivalent work year. As a result, the House overpaid Doorkeeper personnel \$552,050 in total salary by not linking pay to actual time worked. Management could have reassigned personnel to better utilize them when Congress was out of session but did not do so.

The Doorkeeper's principle mission was to secure the House Chamber and Gallery before, during, and after the House session. The Doorkeeper's staff consisted of 3 supervisors, 3 attendants, and 40 doormen. The responsibilities of the Doormen and Attendants included:

- Monitoring access to the House Floor and Gallery;
- Requesting Members from the floor for staff, constituents, lobbyists, and the press;
- Checking visitors' belongings; and
- Delivering bills and other official documents into the Chamber.

The salary package received should be reasonable based on the duties, responsibilities, and time worked by the Doorkeeper personnel. However, the House Doorkeeper personnel were paid at a salary higher than the Doorkeeper personnel at state legislatures surveyed. For example, the Texas State Legislature pays its Doorkeeper personnel on an annual basis, but they are reassigned to other duties when the Legislature is not in session. Florida and Illinois Doorkeeper personnel are paid for hours or days worked. Figure 1 shows a comparative analysis of personnel at large state legislatures who do similar functions.

State	Days in Session	Salary
Texas	140 days	\$780/month
Florida	60 days	\$6-7/hour

Figure 1 - Salaries For Doorkeeper Personnel At State Legislatures

With the exception of the Director of Doormen, who worked full-time, the Doorkeeper personnel worked only when the House was in session. During the audit period, Doorkeeper

personnel were required to arrive at work forty-five minutes before the House convened and remain on duty until the House adjourned. We estimated each Supervisor, Attendant, and Doorman worked 1,165 hours in CY 1994. This was calculated by using the actual House session hours as a base, adding one hour a day to account for the pre-session arrival requirement, and rounding each fraction of an hour up to the next half hour for the end of the day (e.g., 7:10 pm adjournment time was rounded to 7:30 pm).

Based on the analysis of the hours worked in CY 1994, Doorkeeper personnel worked considerably fewer hours than full-time equivalent employees. For example, other House employees paid at the HS-3 pay schedule level (i.e., the same level as Doormen) are expected to account for 2,080 hours during the year. Figure 2 shows the average number of hours actually worked per Doorkeeper staff member. The horizontal line represents the total available work hours, excluding leave and holiday hours as prescribed by the Office of Management and Budget Circular A-76 for Executive Branch cost-benefit calculations. (This Circular sets governmentwide standards for comparing government costs to those of private vendors.) The total number of hours available was 1,744 per employee annually or 145 hours monthly.

The House could have saved \$552,050 in Doorkeeper labor costs in CY 1994. Figure 3 shows the cost savings associated with paying Doorkeeper personnel on an hourly basis. The cost

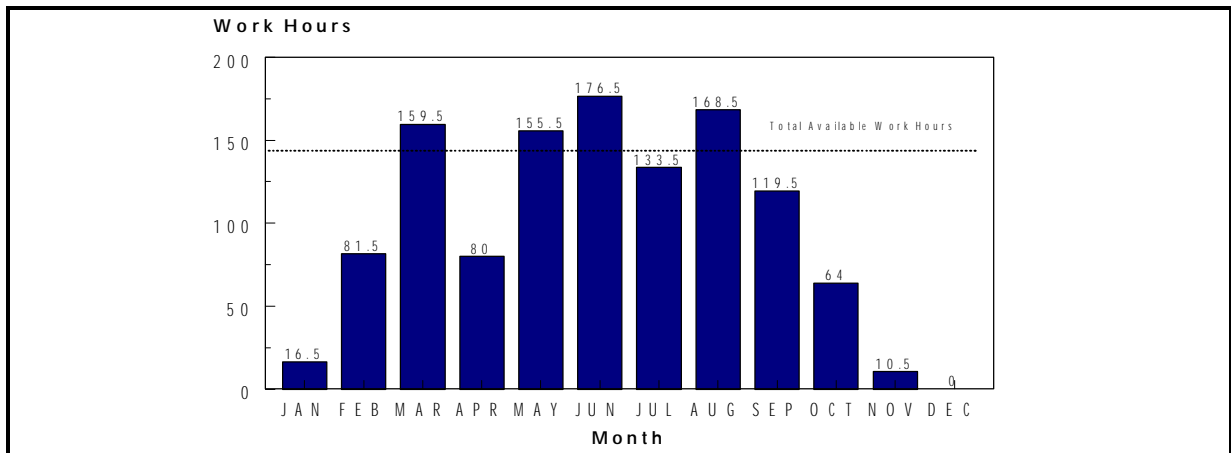


Figure 2 - Doorkeeper Hours During CY 1994

savings will vary with the number of hours and days the House is in session as well as the number of Doorkeeper personnel employed.

To construct Figure 3, session hours were obtained from the *Congressional Record* and salary figures provided by the House Finance Office. Estimated wages were determined by multiplying the employees' regular and overtime hourly rates by the 866 regular hours and 299.5 overtime hours worked in CY 1994. An hourly rate was determined by dividing the employees' current

Position Title	Number of Positions	1994 Salary Paid	Estimated Wages for Actual Hours Worked	Potential Savings on Labor Costs
Supervisors	3	\$154,434	\$97,652	\$56,782
Attendants	3	\$119,198	\$75,373	\$43,825
Doormen	40	\$1,227,854	\$776,411	\$451,443
Total	46	\$1,501,486	\$949,436	\$552,050

Figure 3 - Potential Savings By Paying Doorkeeper Personnel Hourly Wages

annual salary by 2,080 hours and adding fringe benefits². An overtime rate was determined by multiplying the employee's hourly rate of 1.5.

Doorkeepers were not assigned to other duties when the House was out of session. According to an SAA official, the Chamber Security Aide staff (i.e., former Doorkeeper personnel) could be reassigned in the 104th Congress to other duties such as:

- Security detail;
- Visitor traffic control within the Capitol;
- Appointment desk staffing; and
- Identification Office staffing.

In addition, the compensation package received by the Doorkeeper personnel was excessive for the duties performed and the number of hours worked as indicated by:

- Comparative analysis of other Doorkeeper compensation packages;
- Actual CY 1994 salary costs versus hourly compensation costs; and
- The number of hours worked versus normal full-time equivalent work hours.

²A rate of 29.55 percent is used for fringe benefits, as prescribed by the Office of Management and Budget Circular A-76 for the Executive Branch cost-benefit calculations. This Circular sets governmentwide standards for comparing government costs to those of private vendors.

Recommendation

We recommend the Sergeant at Arms prepare a proposal, for approval by the Committee on House Oversight, based on one of the following options:

- Option 1: Pay Chamber Security Aides on an hourly basis.
- Option 2: Reassign Chamber Security Aides to other duties when the House is not in session.

Management Response

In the June 28, 1995 formal response to our June 13, 1995 draft report, the SAA generally concurred with this finding and recommendation. The SAA stated that, during the period of the audit, management could not have reassigned personnel when the House was out of session because no available posts were assigned to the 48 Doorkeepers. Reassignments indicated in the report were under the jurisdiction of the Sergeant at Arms, not the Doorkeeper.

The SAA indicated that changes, effective on September 1, 1995, will be designed for more effectively managing the Office of the Doorkeeper, include replacement of the Office of Doormen with the Office of Chamber Security, and reduce personnel from 48 to 20. Additional changes include reducing management staff from 6 to 3; compensating all personnel, except Administrative staff, according to House Schedule, Level 3; and transferring all functions of the old Gallery Doorman to the U.S. Capitol Police. In addition, Chamber Security personnel will be reassigned to other duties when the House is not in session.

Office of Inspector General Comments

The SAA planned actions are generally responsive to the issues we identified and, when fully implemented, should satisfy the intent of our recommendation.

Finding B: Fiscal Year (FY) 1994 House Parking Staff Levels Led To Overstaffing With Associated Wage Costs Totalling \$468,000

In FY 1994, House Parking had 42 employees to operate 13 parking facilities. Compared to local parking management staffing practices, House Parking facilities were 56 percent overstaffed. We estimate the overstaffing resulted in \$468,000 in wage and benefit costs. House Parking management did not take steps to minimize costs with the use of different length shifts or part-time workers.

House Parking assigned 5 supervisors and 37 attendants, to operate 13 parking facilities. The employees worked either a day shift from 7:00 am to 3:00 pm or an afternoon shift from 3:00 pm to 11:00 pm. The attendants monitored the entrances/exits for valid permits, directed cars onto lots, and moved cars to allow drivers to exit lots.

In addition, the House Capitol Police assigned one officer to all parking garage entrances/exits during the garage hours of operation for a total of 14 officers. The House Capitol Police monitored the entrances/exits for valid permits and provided protective and law enforcement services to the garages.

To compare House operations, we surveyed two local parking management companies. These parking management companies make staff assignments based on three factors: (1) car activity, (2) number of non-automated posts, (i.e., entrances/exits without barriers activated by key cards, codes or scanners), and (3) cash collection and valet parking activities. The goal is to schedule staff to match the needs of peak and non-peak periods of a parking facility. For example, a full-time employee would provide eight hour coverage, and a part-time employee would assist during a peak period such as a morning peak period from 7:00 am to 10:00 am.

The parking management companies we surveyed estimated that House Parking facilities could be staffed with 27 attendants based on parking activity and facility configuration. Figure 4 presents the House Parking facility staff levels compared to local parking management company practices. As a result, we estimated that House Parking facilities were 56 percent

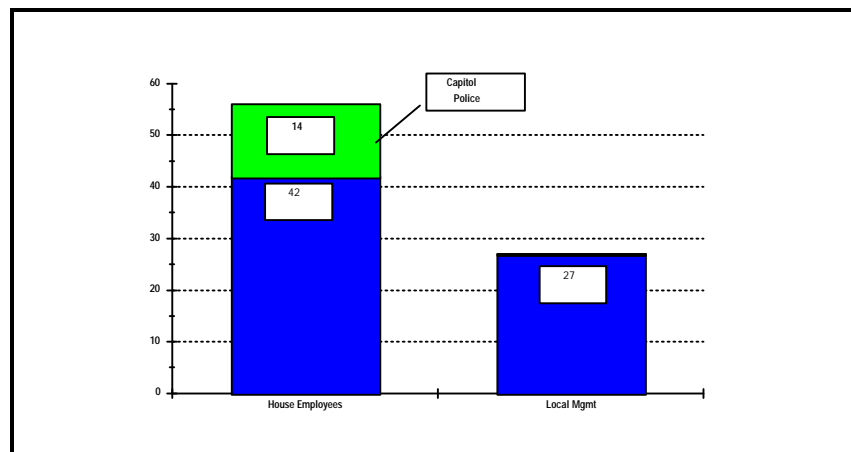


Figure 4 - House Parking Staffing

overstaffed in FY 1994 (42 House employees versus 27 private sector employees). The

overstaffing resulted in costs totalling \$468,000. (A further explanation of calculations is provided in Figure 5.) Calculations did not include House Capitol Police assignments.

Assigning employees to eight hour shifts did not allow House Parking to schedule workers to match House and garage activity. For example, House Parking's scheduling system assigned workers to eight hour work shifts regardless of garage and lot activity and House Capitol Police staff assignments. House Parking management did not take steps to minimize costs by using part-time personnel.

Total House Parking Employees (excluding Capitol Police)	42
(Less Recommended Staffing Level)	(27)
	15
Percentage Difference $((42 - 27)/42)$	36%
FY 1994 House Parking Compensation and Fringe Benefits	\$1.5M
(Less Administrative Office Worker Compensation and Fringe Benefit Costs)	(0.2M)
FY 1994 Supervisor and Attendant Budget:	\$1.3M
Estimated cost of over-staffing (\$1.3M x 36 percent)	\$468,000
¹ Source: Architect of the Capitol FY 1994 Compensation and Fringe Benefit House	

Figure 5 - The Cost Of Overstaffing

Recommendation

We recommend the Sergeant at Arms prepare a proposal, for approval by the Committee on House Oversight, to revise House Parking facilities staffing in accordance with garage and lot peak and non-peak activity levels.

Management Response

In the June 28, 1995 formal response to our June 13, 1995 draft report, the SAA generally concurred with the finding and recommendation presented. The SAA indicated that it will take control of the House Parking system effective July 2, 1995. Beginning July 2, 1995, the SAA will initiate title and job description changes for all current House garage employees. At that time, a study will be conducted to establish ways to more effectively use all personnel employed in the House Garage system.

Office of Inspector General Comments

The SAA's planned actions are responsive to the issues we identified and, when fully implemented, should satisfy the intent of our recommendation.

Finding C: Compared To Private Sector Wages, The House Spent An Excess Of \$378,000 In Parking Labor Costs

During FY 1994, compensation levels for House parking employees were 75 percent higher than equivalent positions in the private sector. This resulted in excess costs of \$378,000. Because parking was formerly under the Architect of the Capitol (AoC), parking attendants continued to be paid on the AoC wage scale which is higher than parking industry average wages.

To compare House Parking wage levels, we surveyed several local parking management companies and Federal Government parking administrators. The survey results indicated that private parking company attendants earn between \$5.25 and \$7 an hour. (This did not include tips for valet parking.) Attendants in Federal parking facilities we surveyed work for private contractors and are compensated an average of \$7 an hour. These attendants perform duties similar to House parking employees and do not receive tips. Based on an average hourly wage of \$7, we estimated the average annual compensation rate for parking attendants to be \$18,862 ((2,080 hours x \$7/hour) + 29.55 percent fringe benefit rate). The survey results also indicate that a staff level of 27 would be required to operate House Parking facilities.

In FY 1994, there were 42 House parking attendant employees who were paid according to the AoC wage scale. Including direct labor costs and fringe benefits at 29.55 percent, the average annual salary for House parking attendants was \$33,000. To compare House and private sector wage levels, we used the private sector recommended staff level of 27 employees. Total annual compensation was calculated by multiplying the House Parking average salary of \$33,000 by 27 employees for a total of \$891,000. To calculate the total annual private sector salary amount, we multiplied the average salary of \$18,862 by 27 employees for a total of \$509,274. The difference between what House Parking employees were paid and what the private sector would have paid is \$381,726 (\$891,000 minus \$509,274). On average, House employees were paid 75 percent more than private sector employees.

By direction of Public Law 103-282 and House Report 103-517, on July 22, 1994 personnel procedures, grievances and other employee related matters of the House Parking employees were transferred from the AoC to the SAA. However, parking attendants continued to be paid according to the AoC wage scale, which is higher than the House wage scale.

Recommendation

We recommend that the Sergeant at Arms develop a proposal, for approval by the Committee on House Oversight, to place House Parking personnel under the House Employees Schedule at a rate that more closely reflects private industry standards or assign them additional duties.

Management Response

In the June 28, 1995 formal response to our June 13, 1995 draft report, the SAA generally concurred with the finding and recommendation presented. On October 1, 1995 the salaries of all House garage employees will be transferred from the Architect of the Capitol to the House Employees Schedule. Prior to this date the SAA will be assessing the current salaries and compensation for all garage employees and recommendations will be made to initiate a pay scale that more closely reflects industry standards. The SAA office will also be increasing the responsibilities of garage employees to include security activities in and around all House garages and lots.

Office of Inspector General Comments

The SAA's planned actions are responsive to the issues we identified and, when fully implemented, should satisfy the intent of our recommendation.

Finding D: Inadequate Internal Controls Resulted In Multiple Parking Permits Being Issued To Single Vehicles

House Parking did not maintain adequate controls over issuing parking permits to Members and House employees. Numerous permanent and temporary permits were often issued for a single vehicle. As a result, the potential exists for unauthorized personnel to have access to House parking facilities. House Parking internal controls allowed permits to be issued based on any combination of employee name, vehicle make, and license plate number.

To compare House Parking procedures, we surveyed seven Federal agencies. All of the respondents use a single, unalterable identifier. Furthermore, each employee was issued only one active parking permit.

House Parking assigns permits based on employee name, vehicle make and the license plate number as listed on parking permit applications. Applications are submitted by all House offices. Additional permits are available by requests written on official letterhead. House Parking required that every vehicle entering House garages and lots have either a House Parking sticker or a temporary pass.

In our review, we found numerous cases in which multiple permits, both permanent and temporary, were assigned to a single vehicle. We found no reason why a single vehicle should require both simultaneously. When multiple permits are issued to a single vehicle the potential exists for unauthorized individuals to use permits to gain access to House parking facilities.

House Parking internal controls allowed permits to be issued based on any combination of employee name, vehicle make, and license plate number. By giving House Parking a different combination of these identifiers, some employees received additional permits. For example, a permanent permit could be issued to John Smith, Ford, MD 123-456. Additional permits could be issued to J. Smith, Ford, MD 123456 and John Smith, Ford, MD 123456.

In March 1995, the Chief Administrative Officer submitted parking initiatives to the Committee on House Oversight. The Committee ruled on the initiatives at the May 17, 1995 committee meeting. The initiatives focused on ensuring a more uniform permit distribution process and providing the public access to parking, for a fee, near the House.

Recommendation

We recommend that the Sergeant at Arms assign parking permits by a unique, unalterable identifier--such as the House employee identification number--to ensure that only one parking permit is issued per employee.

Management Response

In the June 28, 1995 formal response to our June 13, 1995 draft report, the SAA generally concurred with the finding and recommendation presented. The SAA reported that the issuance of parking permits for the 104th Congress will be completed before the SAA receives control of the House Parking operation. However, a study will begin immediately to look at all aspects of the current parking permit system.

Office of Inspector General Comments

The SAA's planned and current actions are responsive to the issues we identified and, when fully implemented, should satisfy the intent of our recommendation.

Finding E: Insufficient Planning Contributed To Waiting Periods For Identification Badges, Creating The Potential For Increased Errors And Continual Demand To Train Temporary Staff

The Identification Office workload was subject to fluctuations. An analysis of the identification badges issued showed that the demand for services was significantly affected by the day of the week and month of the year. The Identification Office was unable to determine the appropriate resource allocation necessary to meet these demands. As a result, full-time staff was underutilized in some periods and overburdened in others. The Identification Office was also unable to monitor workload fluctuations or trends because sufficient time and attendance documentation was not available.

Sound management practice requires monitoring workload trends and planning to use staff and resources appropriately during periods of seasonal fluctuations. During fluctuations, organizations can supplement staff at peak times or adjust workloads to minimize peak demand.

The Identification Office issued identification badges to Members, and their staff, committee staff, families of Members, House Officers and staff, pages, interns, lobbyists, and House contractors. The Daily Issuance Log was a manual list of the work completed at the end of each day. An analysis of the Issuance Log indicated the number of identification badges issued fluctuated widely depending on Congressional year, and when summer interns and pages began working.

Figure 6 shows the seasonal workload fluctuation encountered by the Identification Office during CY 1994. To meet the increased demand for identification badges, the SAA provided temporary staff to cover peak workloads. Most of the temporary staff were on loan from the House Capitol Police.

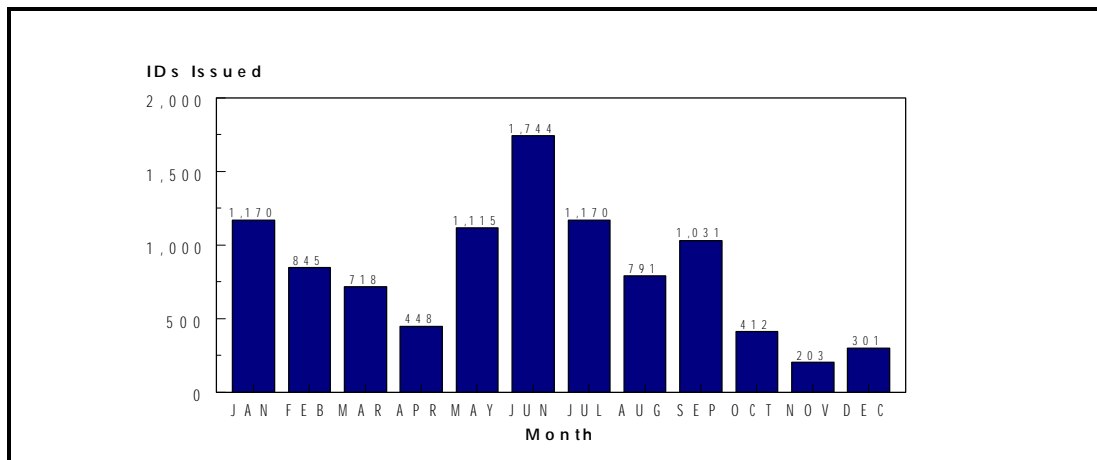


Figure 6 - The Identification Office Workload Fluctuation In CY 1994.

According to the Identification Office Director, a new employee requires two to three weeks to learn the operations of the Identification Office, if the employee has the appropriate computer skills. During peak periods, however, temporary staff were assigned to begin work in the office without the benefit of sufficient training. Consequently, the time required to issue identification badges and the potential for errors increased significantly. This, in turn, placed additional demands on the permanent staff who were already overtaxed. To compound this problem, the Identification Office was uncertain of the length of time the temporary staff would be available to help and did not know if they would be able to meet their workload demands. Temporary staff were generally assigned to the Identification Office for short time frames, requiring frequent training and close supervision. As a result, the Identification Office full-time staff was underutilized in some periods and overburdened in others. The situation occurred primarily because the Identification Office did not analyze the demand for identification badges to determine high and low demand periods. Further, the Office did not maintain records to capture hours worked so management was unaware of the hours worked by personnel. Therefore, management was unable to determine the appropriate resource allocation necessary to effectively meet those demands.

Recommendations

We recommend that the Sergeant at Arms:

1. Improve workload planning within the Identification Office by summarizing and analyzing the demand for identification badges on a weekly, monthly, and yearly basis. The Identification Office should also monitor its human resource requirements on a daily, monthly, and yearly basis. The Identification Office should also stagger identification badge issuance by office.
2. Institute a formal training program for temporary staff to provide adequate help in peak times. The trained staff should be made available to work specified periods of time and replacements should be available in the event that the need for temporary staff exceeds the staff member's availability period.

Management Response

In the June 28, 1995 formal response to our June 13, 1995 draft report, the SAA generally concurred with the finding and recommendations presented. As indicated in the SAA's response, Identification Services began more specific scheduling of offices for badge issuance and commenced a training program for temporary staff on an "as needed" basis at the beginning of January 1995. In addition, the SAA stated that the Daily Issuance Log will be expanded to include weekly, monthly, and annual badge totals, and a purchase of an additional badging work station, including a printer, is planned to improve productivity and efficiency.

However, the SAA commented that waiting periods during the audit period were due to staff changes and the conversion to a new identification system, not specifically insufficient planning.

Also, the SAA reported that his office was aware of additional staffing needs in 1994, but was not always able to get additional help from the Capitol Police. In addition, the SAA stated that the staff performed other duties during the time we identified the staff as being underutilized. Moreover, the SAA stated that the Identification Office maintained leave records since, at least, 1992. Furthermore, the SAA reported that badge issuance records, in the form of letters and data cards for the 103rd Congress, and in the form of "ID Access card requests" in the 104th Congress, have been maintained by the Identification Office since, at least, 1993.

Office of Inspector General Comments

The SAA's current and planned actions are responsive and, when fully implemented, should satisfy the intent of our recommendations. We appreciate your comments regarding some of the facts in this report and have made appropriate revisions, as necessary. However, in response to the SAA's statement that staff performed other duties during the time we indicated that the staff was underutilized, we still maintain that periods of underutilization existed. For three months of the year the office workload was less than 25 percent of its peak and for 7 months out of the year the office had a workload that was less than 50 percent of its peak. In addition, we recognize that within the Identification Office leave records were maintained and that the office was aware of workplan fluctuations. However, sufficient time and attendance documentation to allow for planning was not maintained, and the information maintained by the office was not used as a tool for determining resource allocation needs.

APPENDIX

Office of the Sergeant at Arms
U.S. House of Representatives
Washington, DC 20515-6634

MEMORANDUM

TO: Inspector General

FROM: Wilson Livingood *W. L.*

DATE: June 28, 1995

SUBJECT: Draft Audit Report - Opportunities to Improve Utilization of Resources in the Office of the Sergeant at Arms

Having reviewed your memorandum of June 13, 1995 entitled *Opportunities to Improve Utilization of Resources in the Office of the Sergeant at Arms*, I am forwarding my responses to your findings and recommendations.

Finding A: Better management of doorkeeper personnel could result in \$552,050 in savings.

The following statement: "Management could have reassigned personnel when the House was out of session" stated on pages 1, 4, and 6 is inaccurate. During the period of the Audit there were no available posts to assign the 48 Doorkeepers. The posts mentioned in the report are all under the jurisdiction of the Sergeant at Arms, not the Doorkeeper.

Since taking over the Doorkeepers, the Sergeant at Arms has made the following changes effective September 1, 1995:

1. Elimination of the former Office of Doormen structure and replacement with the Office of Chamber Security.
2. Reduction of the number of personnel from 48 to 20 who are paid when the House is out of session and required only to work when the House is in Session. These personnel are still paid at the full time level. However, they do not accrue annual leave, comp time or overtime. They also must take leave without pay to take time off when the House is in session.
3. Reduction of 6 Supervisors and Attendants to an Administrative staff of 3 who are full time employees and perform additional duties within the Sergeant at Arms office.
4. Payment of all personnel, with the exception of the Administrative staff, is based upon the House Schedule, Level 3 (salary range 21,000 - 30,000).
5. Transfer of functions from the old Gallery Doormen to the U. S. Capitol Police Security Aide detail. These individuals are reassigned to other duties when the House is not in Session.

On page 7 of the report, it is recommended that the Sergeant at Arms either pay Chamber Security on an hourly basis or reassign them to other duties when the House is not in Session. In the future, I will be conducting a study to determine the feasibility of either paying the 20 Chamber Security staff on an hourly basis or assigning out of session posts to these personnel.

Finding B: Fiscal Year (FY) 1994 House parking staff levels led to overstaffing with associated wage costs totaling \$468,000. On page 10, of the Performance Audit for the U. S. House of Representatives, recommends that the House Parking facilities be staffed according to garage and lot peak and non-peak activity.

The Office of the Sergeant at Arms, will take control of the House Parking system effective July 2, 1995. Currently all aspects having to do with the operations of the House Parking system are being reviewed with a number of recommendations to be forthcoming. Beginning July 2, 1995, the Sergeant at Arms office will initiate title and job description changes for all current House Garage employees. Also at that time a study will be conducted to establish ways to more effectively use all personnel employed in the House Garage system.

Finding C: Compared to Private Sector Wages, the House spent an excess of \$378,000 in parking labor costs. On page 12 of the Performance Audit for the U.S. House of Representatives, it is recommended that the Sergeant at Arms propose to the Committee on House Oversight that House Parking personnel be placed under the House Employees Schedule at a rate that more closely reflect private industry standards or assign them additional duties.

On October 1, 1995, the salaries of all House garage employees will be transferred from the Architect of the Capitol to the House Employees Schedule. Prior to this date our office will be assessing current salaries and compensation for all garage employees and recommendations will be made to initiate a pay scale that more closely reflects industry standards. The Sergeant at Arms office will also be increasing the responsibilities of garage employees to include security activities in and around all House garages and lots. Extensive and continual training will be required.

Finding D: Inadequate Internal Controls results in multiple parking permits being issued to single vehicles. On page 13 of the Performance Audit of the U.S. House of Representatives, it is recommended that the Sergeant at Arms assign parking permits by a unique, unalterable identifier—the House employee identification number— to ensure that only one parking permit is issued per employee.

The issuance of parking permits for the 104th Congress will be completed before the Sergeant at Arms receives control of the House Parking operation, however, a study will begin immediately to look at all aspects of the current parking permit system. It is the number one priority of this office to establish a permit system that will provide safe and secure access to all House employees using House garages and lots.

Finding E: Insufficient Planning in the Identification Office Results in Waiting Periods for Identification Badges, Increased Errors, and Continual Demand to Train Temporary Staff. Waiting periods for identification badges were not simply the result of insufficient planning. The tremendous staff changes at the beginning of the 104th Congress, in addition to the conversion to a new I.D. system caused a very unique situation for this office. Plans that were made to begin implementation of the new I.D. system in November of 1994 had to be altered due to the election results. In reference to increased errors, on page 15 it states that the potential for increased errors existed, not that errors occurred. It was necessary to be more vigilant to avoid errors.

The Identification Office was unable to determine the appropriate resource allocation necessary to meet these demands. As a result, the full-time staff was underutilized in some periods and overburdened in others. Even though we were aware of additional staffing needs in 1994, we were not always able to get additional help from the USCP, as the help we generally received was light duty officers and security aides, and was also affected by the USCP staffing requirements. During periods you stated the staff was underutilized, other job functions were performed. Staff took scheduled leave, used the time to work on administrative functions, received training or conducted training on use of the new I.D. system, and was involved in the planning and preparation for the conversion to a new I.D. system as well as the new Congress. In addition, not all functions performed by this office are quantifiable in the daily log, so the daily log does not reflect a total overall picture of the office's performance.

The Identification Office did not maintain time and attendance records. I.D. Services has maintained leave records since at least 1992. All annual leave was approved in advance by the I.D. Services supervisor prior to being submitted to the Sergeant at Arms for approval. Whenever possible, leave was planned for off-peak times such as April, August, November and December. Beginning in January 1995, hours worked were maintained in addition to leave records.

and was also unable to monitor workload fluctuations or trends. I.D. Services personnel were aware of workload fluctuations and trends. Peak summer periods include May, June and July, but more importantly the office tends to be most busy on Mondays, slowest on Fridays. The office is very busy at the beginning and end of the month. These trends hold true virtually year round, though are exaggerated during peak periods. Leave is not scheduled during these time periods without adequate coverage. Every effort was made to get extra help when needed.

The Identification Office did not maintain complete identification badge issuance records. The Daily Issuance Log was a manual list of the work completed at the end of each day.

Badge issuance records, in the form of letters and data cards for the 103rd Congress, and in the form of "ID Access card requests" in the 104th Congress, have been maintained by I.D. Services since at least 1993. The Daily Issuance Log can be expanded to include weekly, monthly, and annual totals, using Microsoft Excel. This will make the information more useful for planning purposes. However, it is important to note that not all work is quantifiable on the daily log, and does not reflect all functions performed by this office. The Daily Issuance Log measures the number of I.D. badges issued, but other duties of this office are not reflected on this log.

a new employee requires two to three months to learn the operations of the Identification Office, depending on the employee's skills. The training time is closer to two to three weeks to learn the operation of the computer database as well as becoming familiar with the policies and procedures of the office. This process can take longer with some employees, particularly if they have no prior computer training. The point is that a lot of man hours are expended on the training of temporary staff who only may be working here a short time, and that training needs to occur in advance of need. The office will be better served if the temporary USCP staff is tapped on an "as needed" basis, rather than continually training new staff, especially during peak periods.

In response to your recommendations on page 16:

1. The Daily Issuance Log will be expanded to include weekly, monthly, and annual badge totals, using Microsoft Excel. This will provide statistical analysis of badge issuance, which will in turn, assist in better manpower planning.

In January of 1995, I.D. Services began more specific scheduling of offices for badge issuance. This greatly improved our ability to process badges efficiently. This will be further refined in the next Congress by extending the time frame over which I.D. badges are reissued.

Purchase of an additional badging work station including a printer is planned. This will permit data entry and processing to occur away from the front of the office where the photographs are taken. This purchase will increase both productivity and efficiency.

2. In January we commenced a training program for temporary staff from the United States Capitol Police for use on an "as needed" basis. Additionally, members from the immediate office of the Sergeant at Arms are now cross-trained and able to assist at any given time. We are exploring the use of trained personnel on a contractual basis for short term peak periods during the rebadging phase at the beginning of each Congress.