

LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 2016

THURSDAY, MARCH 12, 2015

U.S. SENATE,
SUBCOMMITTEE OF THE COMMITTEE ON APPROPRIATIONS,
Washington, DC.

The subcommittee met at 9:34 a.m., in room SD-124, Dirksen Senate Office Building, Hon. Shelley Moore Capito (chairman) presiding.

Present: Senators Capito and Schatz.

U.S. SENATE

OFFICE OF THE SECRETARY

STATEMENT OF HON. JULIE E. ADAMS, SECRETARY OF THE SENATE

ACCOMPANIED BY:

MARY SUIT JONES, ASSISTANT SECRETARY

ILEANA GARCIA, FINANCIAL CLERK

OPENING STATEMENT OF SENATOR SHELLEY MOORE CAPITO

Senator CAPITO. The subcommittee will come to order.

And I would like to welcome everyone to the second of our fiscal year 2016 budget hearings for the various agencies under the jurisdiction of the Legislative Branch Subcommittee of the Appropriations Committee.

We have before us today the Secretary of the Senate, Julie E. Adams. We have the Senate Sergeant at Arms, Frank Larkin, and we have the Chief of the U.S. Capitol Police, Kim Dine. Welcome to all of you.

I would like to start by welcoming, first of all, Julie Adams and Frank Larkin, into their new positions in the Senate, as they were just sworn in when we were sworn in—when I was sworn in on January 6 of this year. And I hope you are settling into your critical roles that you play with this historic institution. I look forward to any initial assessments of your office that you may be able to share with only 8 weeks on the job.

And, of course, the subcommittee welcomes back the Chief who, after a little over 2 years on the job, now has the most seniority on the table.

Thank you for being here with us today for this important discussion on how the agencies you represent are planning to move forward in the next fiscal year.

I would also like to thank you for hosting the ranking member and I both over at your headquarters, Chief, with the Sergeant at Arms and then the Secretary of the Senate Office to really see where you work, how you work, and meet a lot of the folks that you work with. So I appreciate that. That is very useful.

The Secretary of the Senate's office is requesting a total of \$34 million, which is \$3 million, or 9 percent, above the fiscal year 2015 enacted level. Of the total requested, \$25 million is for salaries and benefits, which would maintain current services at a full-time equivalent (FTE) of 225. The request for the expenses is increased by \$2.5 million above the enacted level due to the modernization of the financial management information system.

The Sergeant at Arms total request is \$206 million, an increase of approximately \$8 million, or 4 percent, above the fiscal year 2015 enacted level. The request includes \$72 million for salaries and benefits, which would maintain the current FTE of 892. The request for the expenses account is an increase of \$5.7 million over the enacted level of 2015. The requested increases and offsets within the Sergeant at Arms budget support the need for a major information technology refresh of hardware and software and increased storage capacity for members and committees and a constituent mail system upgrade. There is a consistent theme here and it is called IT.

Finally, the Capitol Police request totals \$379 million, an increase of \$31 million, or 9 percent, above the fiscal year 2015 enacted level. Of the funding requested, \$307 million is for salaries and benefits to maintain the current sworn officer level of 1,775 and the current civilian staff of 370. The request for the expense account is an increase of \$10 million above the 2015 level. This increase would restore full annual funding to previous functions and existing needs that have been put off in recent years due to significant budget constraints such as lifecycle replacement of information technology systems, equipment, and training.

I noticed a theme in all three of your budgets, which is holding personnel flat and prioritizing funding increases for the IT systems and equipment. I look forward to exploring these needs with you and the other members of the subcommittee today and over the next several months as we move through the fiscal year 2016 process.

So I would like to turn this over to my ranking member, Senator Schatz, for any opening remarks he would like to make.

STATEMENT OF SENATOR BRIAN SCHATZ

Senator SCHATZ. Thank you, Chair Capito.

And thank you, all of you, for being here for this hearing. And I want to thank you, and I think it is fair to speak for all members to thank all of you personally for making this institution run so well. You are all institutionalists. You keep us safe. You keep the place running. You make the Senate the Senate, and we are all very, very appreciative of the work that you do even as we conduct our oversight responsibilities.

It has already been a pleasure working with Chair Capito as her ranking member, and I am looking forward to this conversation.

Your three agencies work closely to make sure that the Senate can operate safely, openly, and efficiently. They play a critical role in assuring the continued operation of an open and democratic Congress. The funding we provide to the Capitol Police, the Sergeant at Arms, and the Secretary of the Senate makes sure that the American people have safe and reliable access to our buildings, our proceedings, and our records.

I look forward to examining your budgets closely today and working with you throughout the year as we conduct ongoing oversight. I would like to discuss how we can combat evolving threats to our open Capitol campus, like drones that could be used by criminals or terrorists and cyber attacks. I am also interested to learn how the agencies testifying today may have to adapt if the current Budget Control Act spending caps remain in place.

Thanks very much.

Senator CAPITO. Thank you.

And now I would like to ask the witnesses, beginning with Secretary Adams, to give a brief opening statement of approximately 5 minutes. As you all know, the written testimony of each witness will be printed in full in the hearing record. Secretary Adams.

SUMMARY STATEMENT OF HON. JULIE E. ADAMS

Ms. ADAMS. Thank you, Chairman Capito and Senator Schatz, for the opportunity to testify on behalf of the Office of the Secretary and its dedicated employees.

I ask that my full statement, which includes our department summaries, be submitted for the record.

Senator CAPITO. Without objection.

Ms. ADAMS. Thank you.

With me today are Mary Suit Jones, the Assistant Secretary, and Ileana Garcia, the Financial Clerk, who have worked closely with your subcommittee over the years. I am also joined by many of our department heads.

Before turning to my formal remarks, I want to take a moment to thank my predecessor, Nancy Erickson, Assistant Secretary Sheila Dwyer, and other members of the executive team for their assistance during my transition. Their graciousness is a testament to the strength and traditions of the Office of the Secretary.

Since taking the oath of office 2 months ago, I have had the distinct privilege of meeting the staff that comprise the 26 departments of the Secretary's Office. It is a truly remarkable group of people and one with whom I am honored to be associated. Their institutional knowledge, devotion to public service, and expertise serve the Senate well, and they provide remarkable continuity in times of change.

In the last year, some department heads retired from the Secretary's Office after dedicating nearly 130 years of combined service to the Senate. Among them, Chris Doby, the Financial Clerk, and Kathie Alvarez, the Legislative Clerk. The Senate is a better place because of their many contributions. I am proud that our departments continue to be led by seasoned professionals who also have lengthy Senate service.

I would also like to note our strong and continuing partnership with the Senate Sergeant at Arms. From continuity programs to

procurement, I am proud of our friendly and collaborative working relationship.

Our budget request for fiscal year 2016 is \$31,327,000. The request includes \$25,077,000 in salary costs and \$6,250,000 for the operating budget of the Office of the Secretary. The salary budget represents an increase of \$305,000 over the fiscal year 2015 budget as a result of the costs associated with the potential cost-of-living adjustment. The operating budget of the Office of the Secretary remains flat at \$6.25 million, of which \$4.35 million is firewalled for the administration of the Senate Information Services program. That was assumed by this office in 2011 and has not changed.

In addition, I am requesting \$2.5 million in no-year funds to begin the modernization of the Senate Disbursing Office's Financial Management Information System, also known as FMIS. This is a 6-year phased project that will require additional no-year funding requests. To promote transparency, I am requesting that this funding be firewalled.

FMIS is a collection of financial applications used by Senate offices to submit and pay bills, manage office funds, and report to both internal and external agencies. It is used by approximately 140 Senate offices and has over 4,000 users. The current FMIS, implemented over 15 years ago in preparation for Y2K, utilizes a complex architecture, increasingly expensive mainframe technologies, and a variety of software that may only be enhanced through costly and time-consuming custom development. The first phase of the project will focus on budget and reporting modernization. The majority of changes will happen behind the scenes as improvements are made to the FMIS infrastructure.

One piece of the budget modernization that Senate offices will see is an improved module to perform payroll projections, enabling offices to better forecast and plan their budgets. This is something that I, as a former Senate administrative director, would have greatly benefited from. So I hope office managers will find it useful.

Throughout the process, user input will be important to ensure that the modernized system fully meets the needs of the Senate community, and I have stressed the importance of this to my team. While the modernization project is underway, the current FMIS platform will be maintained and operational.

FMIS is significant, but just one component of the office's vast mission. Since 1789, the Office of the Secretary has provided support to the Senate in three areas: legislative, administrative, and financial. I would like to highlight some of our staff's accomplishments in each area.

In December of last year, the Parliamentarian and the Office of Web Technology debuted the electronic Senate precedents database on Webster. The system currently contains approximately 275 precedents from seven of the most frequently used chapters of "Riddick's Senate Procedure." This will continue to be a big task as the parliamentarians make updates and additions for the database.

The Senate Stationery Room continued working with Member offices to establish accounts for the online flag ordering system, using pay.gov. This is a convenient service that Members can provide to their constituents interested in purchasing American flags. Forty-three offices were using pay.gov at the end of 2014, up from 13 of

fices a year ago, and usage is expected to expand even further this year.

The Disbursing Office continues to move offices away from a paper voucher submittal process to one where imaging and electronic signatures are utilized. Forty-four offices were using the technology at the end of last year, and more offices, including new Member offices, will be included moving forward. Implementation of the new technology has also led to a decrease in the volume of paper and the time it takes for vouchers to be approved.

The Historical Office commemorated the 50th anniversary of the passage of the Civil Rights Act of 1964. Senate historians developed an extensive multi-media exhibit on Senate.gov, authored articles describing the Senate's role in the passage of the landmark legislation, and presented specialized talks and tours. The four public talks drew capacity crowds and the final two discussions were broadcast by C-SPAN.

And finally, before the start of every new Congress, the Secretary's Office is responsible for reviewing certificates of election for compliance with Senate rules, and planning and implementing an orientation for newly elected Members and their designated staff. Last year's orientation lasted 3 days, and Senators-elect and their spouses became familiar with the Senate procedure and history, participated in question and answer sessions with current Members, and were provided ethics and security briefings.

I am honored to serve in this position, and I look forward to working with you and your staff in the coming year. I appreciate your support for the Office of the Secretary and welcome any questions you may have. Thank you.

[The statement follows:]

PREPARED STATEMENT OF HON. JULIE E. ADAMS

BUDGET REQUEST

I would first like to thank the subcommittee for their ongoing support of the Office of the Secretary of the Senate's budget and mandated systems. I am requesting a fiscal year 2016 budget of \$31,327,000. The request includes \$25,077,000 in salary costs and \$6,250,000 for the operating budget of the Office of the Secretary. The salary budget represents an increase of \$305,000 over the fiscal year 2015 budget as a result of the costs associated with a cost of living adjustment. The operating budget of the Office of the Secretary remains flat at \$6,250,000, of which \$4,350,000 is for the administration of the Senate Information Services Program (SIS) that was assumed by this office in 2011 and has not changed.

OFFICE OF THE SECRETARY APPORTIONMENT SCHEDULE

Items	Amount available fiscal year 2015	Budget estimates fiscal year 2016	Difference
Departmental operating budget:			
Executive office	\$500,000	\$500,000
Administrative services	1,251,600	1,251,600
Senate Information Service (SIS)	4,350,000	4,350,000
Legislative services	148,400	148,400
Total operating budget	6,250,000	6,250,000

In addition, I am requesting \$2.5 million in no year funds for the modernization of one of the critical Senate systems, the Financial Management Information System (FMIS). This is a 6-year phased project that will require additional no year funding requests.

PROJECT REQUEST

Item	Fiscal year 2015	Fiscal year 2016	Difference
FMIS Modernization Project	\$2,500,000	\$2,500,000

FINANCIAL MANAGEMENT INFORMATION SYSTEM (FMIS) MODERNIZATION PROJECT

The Financial Management Information System (FMIS) is used by approximately 140 Senate offices and has over 4,000 active users. FMIS is a collection of financial applications used by Senate offices to submit and pay bills, manage office funds, and report to both internal offices and external agencies. The current FMIS, implemented over 15 years ago, utilizes a complex architecture, increasingly expensive mainframe technologies, and a variety of software that may only be enhanced through costly and time consuming custom development.

During 2014, the Disbursing Office updated FMIS applications to the extent possible. However, these efforts are quickly being outpaced by newer versions of operating systems, browsers and other end user software, which are not compatible with current FMIS applications. The Disbursing Office has planned an FMIS Modernization Project that will:

- Improve financial system supportability and flexibility;
- Address business requirements not met by the existing system; and
- Continue to bring the Senate closer to realizing its vision of an integrated, auditable, paperless financial system.

The first phase of the FMIS modernization, scheduled to begin in fiscal year 2016, includes two major steps:

- Budget Modernization.*—This step will replace multiple budget applications and manual processes with a single Senate-wide modern budget application used by many Federal agencies. Also, it includes the replacement of one of the existing payroll modules, which is used to perform payroll projections and which is expected to retire in April 2018.
- Reporting Modernization.*—This step will streamline and transition financial reports to a consolidated data warehouse to include minimizing end user impacts during the FMIS modernization.

The FMIS modernization project is a major endeavor for the Office of the Secretary of the Senate. For fiscal year 2016, a total of \$2.5 million in no year funding is requested to initiate the first two steps in the FMIS modernization project. The flexibility provided by no year funding is important to the success of the modernization project due to its complexity, and the unique Senate technical environment and business requirements. In addition, no year funding provides greater flexibility for contracting options. Further, unobligated funds can be utilized to offset any further funding requests. To promote transparency in the FMIS Project, the requested funding will be fire-walled from the office's operating budget.

The Disbursing Office's business case outlines the full scope of the FMIS Modernization Project. The major phases and timeline of the proposed modernization effort are outlined in the table that follows:

Date	Business Area	Modernization Approach and Rationale
Fiscal year 2016–2017	Budget	Replace multiple existing budget applications and manual processes with a commercial software package widely used by Federal Agencies to: <ul style="list-style-type: none"> —Allow for more efficient and effective budget planning and budget execution tracking; —Enable what-if budget analyses at the Senate and individual office levels; and —Facilitate direct integration between the payroll and financial system.
Fiscal year 2016–2021	Reporting	Streamline and modernize the reporting infrastructure to prepare for and minimize impacts of the financial system modernization, and: <ul style="list-style-type: none"> —Reduce the volume of reporting data; —Eliminate unused and redundant reports; —Consolidate numerous, disparate report processes; —Ensure the consistency and accuracy of historic data; and —Provide greater flexibility for users to customize the data they view and receive.

Date	Business Area	Modernization Approach and Rationale
Fiscal year 2017–2018	Accounting	Replace the mainframe–based general ledger system with a commercial software package, which will: <ul style="list-style-type: none"> — Allow the Senate to retire the expensive and increasingly difficult to support mainframe hardware and software; — Implement a modern general ledger which is consistent with all current Federal financial standards and reporting requirements; and — Enhance the Senate's ability to maintain the core component of the financial system and the source of the statutory semi–annual Report of the Secretary of the Senate.
Fiscal year 2018–2019	Procurement to Payment ..	Replace the highly customized procurement to payment applications with commercial software, where possible, subject to a thorough alternatives analysis. This will allow the Senate to: <ul style="list-style-type: none"> — Continue to meet unique Senate business needs while also addressing a number of business requirements not currently met by the existing applications; — Enhance the Senate's ability to administer and support financial system applications; — Enable more rapid deployment of user–requested changes; and — Facilitate tighter integration of all procurement to payment applications to enhance Senate financial statement production.
Fiscal year 2019	Data Sharing	Automate interfaces with outside Agencies, such as the U.S. Treasury, to: <ul style="list-style-type: none"> — Reduce errors in Senate reporting; and — Eliminate the manual effort required to support daily and monthly external reporting.
Fiscal year 2019–2021	Asset Management	Replace the existing Asset Management application with a commercial software module that will: <ul style="list-style-type: none"> — Enable direct integration with financial system; and — Eliminate redundant processes and data, increasing the efficiency and accuracy of the Senate's asset tracking.
Fiscal year 2019–2021	Archival Tools	Implement data archival tools to: <ul style="list-style-type: none"> — Reduce the costs and potential application performance issues associated with maintaining large volumes of financial data; and — Ensure that all relevant data is archived together and may be restored together as needed to support Senate financial operations

In addition to the \$2.5 million funding requested for fiscal year 2016, the table below outlines the additional funding required for software and implementation services for this project.

Funding	2016	2017	2018	2019	2020	2021	Total
Implementation/Acquisition	2.5M	4M	3.5M	3M	2.5M	2.5M	18M

Because of the scope and complexity of this project and best practices for system implementations, an FMIS Project Office within the Office of the Secretary will be established to oversee and manage the effort to ensure the project remains on schedule and within the budget established for the project.

The FMIS Project Office will work in collaboration with Sergeant at Arms (SAA) functional and technical staff, as well as representatives from FMIS stakeholder groups, including Member Offices, Committees, the Committee on Rules and Administration audit staff, and Disbursing Accounts Payable and Accounting staff, throughout the modernization effort to ensure financial applications are supportable and maintainable in both the near and long term. This will ensure that the modernized system fully meets Senate user requirements throughout the implementation period, and that end user impacts are minimized.

IMPLEMENTING MANDATED SYSTEMS

Two systems critical to our operation are mandated by law, the Financial Management Information System (FMIS) and the Legislative Information System (LIS), and I would like to spend a few moments on each to highlight recent progress.

Update on current status of Financial Management Information System (FMIS)

During calendar year 2014, Disbursing implemented the following releases:

- FMIS 13.3, April 2014*: Modernized office, SAA, Committee on Rules and Administration audit staff, and Disbursing document inboxes, moving functionality from an outdated legacy framework to a standardized framework, correcting over 85 user reported defects related to these functions, and implemented imaging support for additional document types including invoices and Expense Summary Reports (ESRs); and
- FMIS 13.3.1 through FMIS 13.3.3, May-November 2014*: Implemented performance enhancements, and defect corrections to support imaging and new versions of Oracle's java client to facilitate continued Senate-wide rollout of paperless workflow.

In addition, work continued related to document imaging and electronic signatures in FMIS, in the following phases:

- Phase 1*: Imaging-only pilot (completed in 2011);
- Phase 2*: Office imaging and signatures pilot (completed in 2012); full rollout beginning with new offices (completed rollout to 44 offices, Committee on Rules and Administration audit staff, and Disbursing's accounts payable and accounting staff through 2014); and
- Phase 3*: Planning and development to support imaging and signatures for SAA and staffer users, including:
 - Imaging to support invoices and associated vouchers for SAA and the Secretary (completed development in 2014; pilot planned for the Fall of 2015); and
 - Imaging to support staffers creating ESRs (completed development in 2014; pilot planned for the Summer of 2015).

In October 2014, we implemented FMIS changes to support in-house printing of payroll checks to meet Disbursing requirements not met by Treasury and to standardize Senate payment processing procedures.

During 2014, the Disbursing Office continued to work with the SAA to extend the life of existing FMIS applications to ensure ongoing support of Senate business processes. This included upgrades to the WebSphere application server to support WebFMIS and digital signing applications and eliminating or repurposing underutilized regions in the mainframe to streamline support and associated costs.

During the remainder of fiscal year 2015 and beyond, the following FMIS activities are anticipated:

- Imaging and digital signatures*.—Continue with Senate-wide rollout of imaging and digital signatures for the remaining Member Offices and Committees;
- Implement two FMIS Releases—
 - FMIS 14.1 (planned for the Summer of 2015)*.—Modernization of voucher creation and review functions used by Member Offices, Committees, Leadership, the Office of the Secretary of the Senate, SAA, Committee on Rules and Administration, and Disbursing to address user requested changes, enhance supportability and ensure compatibility with modern browsers; and
 - FMIS 14.2 (planned for the Winter of 2015)*.—Modernization of additional document types, such as requisitions, purchase orders, invoices and receiving reports used by the Office of the Secretary of the Senate and the SAA to address user requested changes, enhance supportability and ensure compatibility with modern browsers;
- Treasury reporting requirement*.—Implement required changes to support Treasury Account Symbol (TAS) and Business Event Type Code (BETC) reporting;
- Senate Payroll System (SPS)*.—Continue to work with the SAA technical staff and SPS Contracting Office Technical Representative (COTR) on the implementation of a self-service pilot and upgrade PeopleSoft to version 9.2; and
- Disaster recovery*.—Conduct a multi-day test of FMIS failover and fallback.

We continue to prioritize requirements to extend the life of existing FMIS applications and their platforms to allow time to implement FMIS modernization in phases.

Update on current status of Legislative Information System (LIS) Project

The Legislative Information System (LIS) is a mandated system (2 U.S.C. 6577) that provides desktop access to the content and status of legislative information and supporting documents. In addition, pursuant to 2 U.S.C. 181, a program was estab-

lished to provide for the widest possible exchange of information among legislative branch agencies. The long-range goal of the LIS Project is to provide a “comprehensive Senate Legislative Information System” to capture, store, manage, and distribute Senate documents. The project is currently focused on a Senate-wide implementation and transition to a standard system for the authoring and exchange of legislative documents that will greatly enhance the availability and re-use of legislative documents within the Senate and with other legislative branch agencies.

Extensible Markup Language (XML) has been accepted as the primary data standard to be used for the exchange of legislative documents and information. Following the implementation of the LIS, the LIS Project Office shifted its focus to the data standards program and established the LIS Augmentation Project (LISAP). The overarching goal of the LISAP is to provide a Senate-wide implementation and transition to XML for the authoring and exchange of legislative documents.

The LIS Project Office continued to provide support to the Office of the Senate Legislative Counsel (SLC); the Committee on Appropriations; the Committee on Commerce, Science, and Transportation; and the Senate Enrolling Clerk in their use of the XML authoring application, Legislative Editing in XML Application (LEXA) for drafting, engrossing, and enrolling. With the addition of the Commerce Committee drafters, all Senate measures in the 113th Congress were produced in XML. In addition, the Government Publishing Office (GPO) uses LEXA to complete measures for printing. Several new features and fixes were added in LEXA releases to improve the drafting process.

The LIS Project Office has been working with staff from GPO and the Legislative Computer Systems (LCS) in the Office of the House Clerk to create and print committee reports in XML. This office released a LEXA committee report application to the Commerce Committee in 2013, and the committee drafters were able to create several sections of their committee reports using the LEXA application. In 2014, additional LEXA enhancements allowed the committee drafters to create almost all committee report sections in XML by using direct input, copy/paste from Word documents, and copy/paste from Lexis/Nexis. The office will next work with the editorial and printing staff of the Committee on Appropriations to begin creating committee reports in XML.

Other enhancements to LEXA in the past year included new features for drafting amendments, improvements in drafting and printing for the Appropriations Committee, and new templates for the Enrolling Clerk.

Two other group projects with GPO and LCS include participants from the Law Revision Counsel and the Senate and House Legislative Counsels. The first project with the Law Revision Counsel will result in applications to convert and maintain the U.S. Code in an XML format. The second project with the Legislative Counsels continues work toward the editing and printing of the compilations of existing law in their XML format. As of early December 2014, all compilations are now edited and maintained in XML. Printing of XML compilations continues to improve.

The LIS Project Office is also monitoring and participating in GPO’s project to replace Microcomp with a new composition system that can directly ingest XML data without having to convert it to another format before printing.

The LIS Project Office will continue to support all Senate offices using LEXA and will continue to work with the House, GPO, and the Library of Congress on projects and issues that impact the legislative process and data standards for exchange. The office will continue to produce enhancements to LEXA and to seek out new technologies to improve the production of legislative documents.

LEGISLATIVE SERVICES

The Legislative operations of the Office of the Secretary of the Senate provide support essential to Senators in carrying out their daily Chamber activities as well as the constitutional responsibilities of the Senate. Legislative Services consists of the following departments: Bill Clerk, Captioning Services, Daily Digest, Enrolling Clerk, Executive Clerk, Journal Clerk, Legislative Clerk, Official Reporters of Debates and Parliamentarian. The average length of Senate service among the Secretary’s Legislative Department heads is more than 20 years.

The Secretary’s Office maintains an exceptionally good working relationship with the Government Publishing Office (GPO) and seeks to provide the best service possible to meet the needs of the Senate. GPO continues to respond in a timely manner to the Secretary’s request, through the Legislative staff, for the printing of bills and reports, including the expedited printing of priority matters for the Senate Chamber.

BILL CLERK

The Office of the Bill Clerk collects and records data on the legislative activity of the Senate, which becomes the historical record of official Senate business. The Bill Clerk's Office keeps this information in its handwritten files and ledgers and also enters it into the Senate's automated retrieval system so that it is available to all House and Senate offices via the Legislative Information System (LIS) and the Amendment Tracking System (ATS). The Bill Clerk records actions of the Senate with regard to bills, resolutions, reports, amendments, cosponsors, public law numbers, and recorded votes. The Bill Clerk is responsible for preparing for print all measures introduced, received, submitted, and reported in the Senate. The Bill Clerk also assigns numbers to all Senate bills and resolutions. All the information received in this office comes directly from the Senate floor in written form within moments of the action involved, so the Bill Clerk's Office is generally regarded as the most timely and most accurate source of legislative information.

CAPTIONING SERVICES

The Office of Captioning Services provides real-time captioning of Senate floor proceedings for the deaf and hard-of-hearing and unofficial electronic transcripts of Senate Floor proceedings to Senate offices on Webster.

Captioning Services strives to provide the highest quality closed captions and is comprised of seasoned and respected captioners. The overall accuracy average rate for the Office is above 99 percent, the 21st year in a row the Office has achieved that level. Overall caption quality is monitored through daily translation data reports, monitoring of captions in real-time, and review of caption files on Webster. In an effort to decrease paper consumption and printing costs, accuracy reviews and reports were primarily completed in electronic form.

The real-time searchable Closed Caption Log, available to Senate offices on Webster, continues to be an invaluable tool for the entire Senate community. Legislative Floor staff, Cloakroom staff, and member offices in particular continue to depend upon its availability, reliability, and contents to help them in the performance of their everyday duties. In conjunction with the Senate Recording Studio, a complete overhaul of the Caption Log was designed in 2012–2013. Roll-out of this new digital version occurred in 2014 and is available through the Senate Recording Studio VideoVault Browser. In addition, Captioning Services purchased new hardware, which increased the efficiency of the office.

DAILY DIGEST

The Office of the Daily Digest is responsible for publication of a brief, concise and easy-to-read accounting of all official actions taken by the Senate in the *Congressional Record* section known as the Daily Digest. The Office compiles an accounting of all meetings of Senate committees, subcommittees, joint committees and committees of conference.

The Office enters all Senate and Joint committee scheduling data into the Senate's Web-based scheduling application system. Committee scheduling information is also prepared for publication in the Daily Digest in three formats: Day-Ahead Schedule; Congressional Program for the Week Ahead; and the extended schedule which actually appears in the Extensions of Remarks section of the *Congressional Record*. The office also enters all official actions taken by Senate committees on legislation, nominations, and treaties into LIS.

The Office publishes a listing of all legislation which has become public law, as well as a "Resume of Congressional Activity" which includes all Congressional statistical information, including days and time in session; measures introduced, reported and passed; and roll call votes. The "Resume" is published on the first legislative day of each month in the Daily Digest.

All hearings and business meetings (including joint meetings and conferences) are scheduled through the Office of the Daily Digest and are published in the *Congressional Record*, on the Digest's Web site on Senate.gov, and in LIS. Meeting outcomes are also published by the Daily Digest in the *Congressional Record* each day and continuously updated on the Web site.

The Office of the Daily Digest publishes a "20-Year Comparison of Senate Legislative Activity" which can be found at: <http://www.senate.gov/reference/resources/pdf/yearlycomparison.pdf>.

ENROLLING CLERK

The Office of the Enrolling Clerk prepares, proofreads, corrects, inputs amendments and prints all legislation passed by the Senate prior to its transmittal to the

House of Representatives, the National Archives, the White House, the United States Claims Court, and the Secretary of State. Electronic files of all measures engrossed and enrolled in the Senate are transmitted daily by the enrolling clerks to GPO for overnight distribution and public Web access.

The Enrolling Clerk's Office keeps the original official copies of bills, resolutions, and appointments from the Senate Floor through the end of each Congress.

EXECUTIVE CLERK

The Executive Clerk prepares an accurate record of actions taken by the Senate during executive sessions (proceedings on nominations and treaties) which is published as the *Journal of the Executive Proceedings of the Senate* at the end of each session of Congress. The Executive Clerk also prepares the daily *Executive Calendar* as well as all nomination and treaty resolutions for transmittal to the President. Additionally, the Executive Clerk's Office processes all executive communications, presidential messages, and petitions and memorials.

The online historical archive of Senate Executive Calendars was completed, with all available issues from 1943 to the present now digitized and made publicly available on Senate.gov through the collaborative efforts of the Executive Clerk, the Library, the Office of Web Technology, and the LIS Project Office.

A nightly report of executive nominations was developed and automated by Web Technology in conjunction with staff from member offices and the SAA. This included mapping individual nominations with their assigned calendar numbers. Previously, this information was unavailable in a machine readable format. The new report provides a user friendly and machine readable version in Extensible Markup Language (XML) that is updated nightly.

JOURNAL CLERK

The Journal Clerk takes notes of the daily legislative proceedings of the Senate in the "Minute Book" and prepares a history of bills and resolutions for the printed *Journal of the Proceedings of the Senate*, or *Senate Journal*, as required by Article I, Section V of the Constitution. The content of the *Senate Journal* is governed by Senate rule IV, and is approved by the Senate on a daily basis. The *Senate Journal* is published each calendar year.

The Journal staff take 90-minute turns at the rostrum in the Senate Chamber, noting the following by hand for inclusion in the Minute Book: (i) all orders entered into by the Senate through unanimous consent agreements, (ii) legislative messages received from the President of the United States, (iii) messages from the House of Representatives, (iv) legislative actions as taken by the Senate including motions made by Senators, points of order raised, and roll call votes taken, (v) amendments submitted and proposed for consideration, (vi) bills and joint resolutions introduced, and (vii) concurrent and Senate resolutions as submitted. These notes of the proceedings are then compiled in electronic form for eventual publication of the *Senate Journal*. Compilation is efficiently accomplished through utilization of the LIS Senate Journal Authoring System. The Journal Clerk completed the production of the 2013 volume of the *Senate Journal* in 2014. It is anticipated that work on the 2014 volume will conclude by August 2015.

LEGISLATIVE CLERK

The Legislative Clerk sits at the Secretary's desk in the Senate Chamber and reads aloud bills, amendments, the *Senate Journal*, presidential messages, and other such materials when so directed by the presiding officer of the Senate. The Legislative Clerk calls the roll of members to establish the presence of a quorum and to record and tally all yea and nay votes. The office staff prepares the *Senate Calendar of Business*, published each day that the Senate is in session, and prepares additional publications relating to Senate class membership and committee and subcommittee assignments. The Legislative Clerk maintains the official copy of all measures pending before the Senate and must incorporate into those measures any amendments that are agreed to. This office retains custody of official messages received from the House of Representatives and conference reports awaiting action by the Senate. The office staff is responsible for verifying the accuracy of information entered into LIS by the various offices of the Secretary.

During the second session, the Legislative Clerk requested GPO to make available online Senate publications produced by the legislative staff. The publications include the Committee and Subcommittee Assignments of Senators and the Class List prepared and printed by the Legislative Clerk and the *Senate Journal* prepared and printed by the Journal Clerk. These publications are also now available on Webster.

OFFICIAL REPORTERS OF DEBATES

The Office of the Official Reporters of Debates is responsible for the stenographic reporting, transcribing, and editing of the Senate Floor proceedings for publication in the *Congressional Record*. The Chief Reporter acts as the editor-in-chief and oversees the production of the Senate portion of the *Congressional Record* to ensure its accuracy and consistency to Senate parliamentary rules and procedures.

When the Senate is in session, the electronic and paper transcripts of the Floor proceedings of the Senate begin to go to GPO in the early evening, and the last delivery occurs approximately 3 hours after the Senate adjourns or recesses for the day. The *Congressional Record* is published in paperback form and online, and is available to the public on the next business day.

In 2014, the Office purchased new software for the official reporters and expert transcribers and new steno writers for the reporters in the Office, which has increased the Office's efficiency in the production of the *Congressional Record*.

The Morning Business Editor sits in the Chamber, recording daily Floor activity of the Senate for the Official Reporters of Debates. The work includes compiling all materials printed in the Morning Business section of the *Congressional Record*.

PARLIAMENTARIAN

The Office of the Parliamentarian continues to perform its essential institutional responsibilities to act as a neutral arbiter among all parties with an interest in the legislative process. These responsibilities include advising the Chair and Senators and their staff, as well as committee staff, House members and their staffs, administration officials, the media, and members of the general public, on all matters requiring an interpretation of the Standing Rules of the Senate, the precedents of the Senate, and unanimous consent agreements, as well as provisions of public law affecting the proceedings of the Senate.

The parliamentarians work in close cooperation with the Senate leadership and their Floor staffs in coordinating all of the business on the Senate Floor. A parliamentarian is always present on the Senate Floor when the Senate is in session, ready to assist the Presiding Officer in their official duties, as well as to assist any other Senator on procedural matters. The parliamentarians work closely with the staff of the Vice President of the United States and the Vice President when performing duties as President of the Senate.

The parliamentarians monitor all proceedings on the Floor of the Senate, advise the Presiding Officer on the competing rights of the Senators on the Floor, and advise all Senators as to what is appropriate in debate. The parliamentarians keep track of time on the Senate Floor when time is limited or controlled under the provisions of time agreements, statutes, or standing orders. The parliamentarians keep track of amendments offered to the legislation pending on the Senate Floor, assess them for germaneness and other possible points of order, and review countless other amendments that are never offered in the same regard.

The Office of the Parliamentarian is responsible for the referral to the appropriate committees all legislation introduced in the Senate and all legislation received from the House, as well as all communications received from the executive branch, State and local governments, and private citizens. In order to perform this responsibility, the parliamentarians do extensive legal and legislative research. The office worked extensively with Senators and their staffs to advise them of the jurisdictional consequences of countless drafts of legislation, and evaluated the jurisdictional effect of proposed modifications in drafting.

Following the Senate elections in 2014, the Parliamentarian's Office was heavily involved in the review of certificates of election and appointment for Senators in the class of 2015.

In December of 2014, the parliamentarians debuted the Electronic Senate Precedents database, which can be found on Webster. This system currently contains approximately 275 precedents from 7 of the most frequently used chapters of *Riddick's Senate Procedure*. Those chapters are: Amendments Between the Houses, Appropriations, Cloture, Conferences and Conference Reports, Recommit, Reconsideration and Suspension. The precedents on the database augment and update the material found in *Riddick's*, which was published 23 years ago. The existing chapters will be added to from time to time to keep the material current, and new chapters will be added as updates are completed by the parliamentarians. This new Web site is the result of a great deal of research, writing, and editing on the part of the Parliamentarian's Office in conjunction with Office of Web Technology.

FINANCIAL OPERATIONS

DISBURSING OFFICE

The mission of the Senate Disbursing Office is to provide efficient and effective central financial and human resource data management, information, and advice to the offices, members, and employees of the Senate. The Disbursing Office manages the collection of information from distributed accounting locations within the Senate to formulate and consolidate the agency level budget, disburse the payroll, pay the Senate's bills, and provide appropriate counseling and advice. The Disbursing Office collects information from members and employees that is necessary to maintain and administer the retirement, health insurance, life insurance, and other central human resource programs, and provides responsive, personal attention to members and employees on an unbiased and confidential basis. The Disbursing Office also manages the distribution of central financial and human resource information to the individual member offices, committees, administrative offices, and leadership offices in the Senate while maintaining the confidentiality of information for members and Senate employees.

This past year the Disbursing Office continued to work on several projects that required a significant level of staff resources and presented challenges. Among these projects were: (1) the testing of system changes to the Senate Payroll System (SPS) due to the implementation of the Affordable Care Act (ACA), the fixes to the final pay period of 2013, and a retroactive COLA payment adjustment, (2) moving the printing of the payroll checks in-house and (3) visiting several Federal agencies to develop the Senate's FMIS modernization project. In addition, Disbursing implemented the legislative change of extending health benefits coverage to certain temporary excluded employees and we continue to work with Sergeant at Arms (SAA) staff on the implementation of a self-service pilot and the planning of an upgrade.

In addition, the Disbursing Office is responsible for the compilation of the annual operating budget of the United States Senate for presentation to the Committee on Appropriations and for the formulation, presentation, and execution of the budget for the Senate. On a semiannual basis, this group is also responsible for the compilation, validation, and completion of the Report of the Secretary of the Senate. The Report continues to be issued electronically, concurrent with the printed version.

ADMINISTRATIVE AND EXECUTIVE OPERATIONS

SENATE CHIEF COUNSEL FOR EMPLOYMENT

The Office of the Senate Chief Counsel for Employment (SCCE) is a non-partisan office established at the direction of the Joint Leadership in 1993 after enactment of the Government Employee Rights Act, which allowed Senate employees to file claims of employment discrimination against Senate offices. With the enactment of the Congressional Accountability Act of 1995 (CAA), as amended, Senate offices became subject to the requirements, responsibilities and obligations of 12 employment laws. The CAA also established the Office of Compliance (OOC). Among other things, the OOC accepts and processes legislative employees' complaints that their employer has violated the CAA.

The SCCE is charged with the legal defense of Senate offices in all employment law cases at both the administrative and court levels. The SCCE attorneys also provide legal advice to Senate offices about their obligations under employment laws. Accordingly, each of the clients of the Senate is an individual client of the SCCE, and each office maintains an attorney-client relationship with the SCCE.

The areas of responsibilities of the SCCE can be divided into the following categories: litigation (defending Senate offices in courts and at administrative hearings); mediations to resolve potential lawsuits; court-ordered alternative dispute resolutions; Occupational Safety and Health Act compliance; union drives, negotiations, and unfair labor practice charges; Americans with Disabilities Act compliance; lay-offs and office closings in compliance with the law; management training regarding legal responsibilities and employee rights; employee and intern training regarding prohibited harassment, including sexual harassment; and preventative legal advice.

CONSERVATION AND PRESERVATION

The Office of Conservation and Preservation develops and coordinates programs directly related to the conservation and preservation of Senate records and materials for which the Secretary of the Senate has statutory and other authority. Initiatives include deacidification of paper and prints, phased conservation for books and documents, replacement of Congressional Serial Set maps (the Serial Set contains

all House and Senate documents and reports), collection surveys, exhibits, and matting and framing for Senate leadership.

The Office of Conservation and Preservation continues to participate in book repair training sessions and has made significant progress in the preservation of the Library's bound book collection. The training program preserves the bound materials in the Library's collections and reduces the need for the Library to contract support for bookbinding and repair.

CURATOR

The Office of the Senate Curator, on behalf of the Senate Commission on Art, develops and implements the museum and preservation programs for the Senate. The Curator collects, preserves, and interprets the Senate's fine and decorative arts, historic objects, and specific architectural features; and the Curator exercises supervisory responsibility for the historic chambers in the Capitol under the jurisdiction of the Commission. Through exhibitions, publications, and other programs, the Curator educates the public about the Senate and its collections.

In keeping with scheduled procedures, all Senate collection objects were inventoried in 2014, noting any changes in location in the database. As directed by S. Res. 178 (108th Congress, 1st session), the Curator submitted a list of the art and historic furnishings in the Senate to the Senate Committee on Rules and Administration. The list, known as the *Historic Furnishings Inventory*, documents the history of acquisition, use, and manufacture for each object. Items on the inventory list are prohibited from removal or purchase. The inventory, which is submitted every 6 months, is compiled by the Curator with assistance from the Senate Sergeant at Arms (SAA) and the Architect of the Capitol's (AOC) Superintendent of Senate Office Buildings.

The office continues to advance the preservation and documentation of the historic Russell Senate Office Building furnishings by conducting a yearly inspection of the use and location of the remaining 63 flat-top partner desks, and through educational initiatives aimed at informing Senate staff about the history of the furnishings.

The Curator continued to maintain and interpret the Old Senate and Old Supreme Court Chambers and coordinated use of both rooms for special occasions. The Curator is presently developing a plan for repairs and restoration in the Old Supreme Court Chamber and is conducting extensive primary source research into the original construction, configuration, and decoration of the room.

Sixty objects were accessioned into the Senate Collection this year. A number of the items catalogued include objects used by the Senate in the course of conducting its legislative business, such as a pen set used by the Presiding Officer in the Senate Chamber. The most significant addition to the collection this year was the gift of an oil sketch executed by Constantino Brumidi. The oil sketch was created in ca. 1872 in preparation for a mural in the Senate Reception Room's south wall lunette. It depicts President George Washington with cabinet members Thomas Jefferson and Alexander Hamilton.

In 2014, the Curator published *To Make Beautiful the Capitol: Rediscovering the Art of Constantino Brumidi*. The publication features scholarship made possible by fresh examination of Brumidi's restored murals and by a closer study of preliminary sketches recently added to the Senate collection.

The Curator installed a new exhibit outside the Dirksen SDG-50 Hearing Room, in conjunction with the Senate Library and Senate Historical Office. The exhibit, which highlights the Senate's role in the Civil Rights Act of 1964, was installed in showcases built into the walls of the room's vestibule.

The Curator's Office reduced costs this year by having staff pack items for shipping, when possible, instead of hiring professional art handlers. This included paintings and small sculptures on loan and retrofitting crates for reuse. The office was also able to consolidate several shipments with professional art handlers, for more economical shipping/transportation rates and lowered the overall transportation and fuel costs billed to the Office of Senate Curator.

EDUCATION AND TRAINING

The Joint Office of Education and Training provides development and training for Senate members, committees and staff in Washington, DC, and the State offices via video teleconferencing and Webinars. The office provides training in areas such as management and leadership development, human resources management, legislative and staff information, new staff and intern orientation, and health promotion. The office also provides much of the training for approved software and equipment used at the Senate. Technical offerings include System Administration, MS Office Suite, Photoshop and digital photography, and Senate specific applications training.

The office partners with other training providers, both inside and outside of the legislative branch, to ensure Senate staff have the skills they need to perform their jobs. In 2014, these partnerships included the Library of Congress, Congressional Research Service, Senate Library, Government Accountability Office, Capitol.net, the Office of Protective Services and Continuity, Senate Historian Office, Office of Attending Physician, Employee Assistant Program, Chief Counsel on Employment, Office of Congressional Accessibility, SAA Human Resources, Senate Disbursing Office, Senate Ethics Committee, and others.

The office also coordinates orientation for the Aides to the Senators-elect and new office Administrative Directors training after every election. This post-election orientation consists of multiple sessions. After swearing-in, there are additional sessions for the office management.

In 2014, two State training conferences were held: the Constituent Services Staff Conference and the State Directors Forum.

GIFT SHOP

Since its establishment in 1992 (2 U.S.C. 6576), the Gift Shop serves Senators and their spouses, staff, constituents, and the many visitors to the U.S. Capitol complex. The products available include a wide range of fine gift items, collectables, and souvenirs, many created exclusively for the Senate.

In addition to providing products and services from two physical locations, the Gift Shop has an online presence on Webster. The Capitol kiosk temporarily closed at the end of January 2013 to accommodate continued restoration of the Brumidi Corridors. Along with offering over-the-counter and walk-in sales, as well as limited intranet services, the Gift Shop administrative office provides mail order service as well as special order and catalogue sales.

Consistent with past practice, a transfer of \$40,000 to the Senate Employees Child Care Center was made based on the annual sales of the Congressional Holiday Ornament (see 2 U.S.C. 6576(c)(3)).

A new shared position, Inventory Control/System Specialist, was created to assist with IT matters for both the Stationery Room and the Gift Shop. While inventory and accounting are maintained separately by the Gift Shop and the Stationery Room, the software architecture is the same. This position was instrumental for the smooth and successful installation of upgrades to the inventory and accounting software. The inventory software is used to transfer merchandise electronically between store locations, receive merchandise from vendors on purchase orders, and ring up sales on the cash registers. By minimizing the outside vendor's involvement in the Gift Shop upgrade, there was a savings of \$6,000 over the initial estimate to complete the upgrade. Expectations are that this position will continue to benefit the Gift Shop, in both technical advice and savings, in the coming year.

HISTORICAL OFFICE

Serving as the Senate's institutional memory, the Historical Office collects and provides information on important events, precedents, dates, statistics, and historical comparisons of current and past Senate activities for use by members and staff, the media, scholars, and the general public. The historians keep extensive biographical, bibliographical, photographic, and archival information on the nearly 2,000 former and current senators as well as all vice presidents. The staff edits for publication historically significant transcripts and minutes of selected Senate committees and party organizations, and conducts oral history interviews with former Senators and staff. The historians offer special talks and tours to inform senators and Senate staff about important historical events, the history of the Capitol, and the Senate's institutional development. The photo historian maintains a collection of approximately 40,000 still pictures that includes photographs and illustrations of Senate committees and nearly all former Senators. The office staff also develops and maintains all historical material on the Senate Web site and provides educational outreach through email and Twitter.

In commemoration of the 50th anniversary of the passage of the Civil Rights Act of 1964, Senate historians developed an extensive multimedia online exhibit for Senate.gov, presented specialized talks and tours, and authored articles describing the Senate's role in the passage of this landmark legislation.

During 2014, the Senate transferred a multitude of records to the National Archives. The Senate Archivist also met with staff in all of the closing offices, compiled a closing Senate offices handbook, and acted as a liaison between members' offices and their designated archived repositories. In addition, the Archivist has evolved to meet e-records preservation changes. Principal among them is enhanced collabora-

tion with the Senate IT and systems administrator community, pro-active archiving of legislative records and building a solid core of expertise within the Senate.

The Advisory Committee on the Records of Congress was established in 1990 by Public Law 101-509, and meets semiannually to advise the Senate, the House of Representatives, and the Archivist of the United States on the management and preservation of the records of Congress. By law, the committee is required to report to Congress every 6 years on the status of Congress' and members' archival records. The most recent report was published December 31, 2012. The next report will be December 31, 2018. The Secretary of the Senate will chair the committee during the 114th Congress.

HUMAN RESOURCES

The Office of Human Resources was established in June 1995 by the Office of the Secretary as a result of the CAA. The office focuses on developing and implementing human resources policies, procedures, and programs for the Secretary's employees.

INFORMATION SYSTEMS

The Department of Information Systems provides technical hardware and software support for the Office of the Secretary. Emphasis is placed on creating and transferring legislative records to outside departments and agencies, fulfilling Disbursing Office financial responsibilities to the member offices, and complying with office-mandated and statutory obligations.

The staff interfaces closely with the application and network development groups within the SAA, GPO, and outside vendors on technical issues and joint projects. The department provides computer-related support for all local area network servers within the Office of the Secretary. Information Systems staff also provides direct application support for all software installed workstations, initiate and guide new technologies, and implement next generation hardware and software solutions.

INTERPARLIAMENTARY SERVICES

The Office of Interparliamentary Services (IPS) is responsible for administrative, financial, and protocol functions for special delegations authorized by the Majority and/or Minority Leaders, for all interparliamentary conferences in which the Senate participates by statute, and for interparliamentary conferences in which the Senate participates on an ad hoc basis. The office also provides appropriate assistance as requested by other Senate delegations.

The statutory interparliamentary conferences are: the NATO Parliamentary Assembly; the Mexico-United States Interparliamentary Group; the Canada-United States Interparliamentary Group; the British-American Interparliamentary Group; the United States-Russia Interparliamentary Group; the United States-China Interparliamentary Group; and the United States-Japan Interparliamentary Group.

On behalf of the Senate Majority and Minority Leaders, the staff arranges official receptions for heads of state, heads of government, heads of parliaments, and parliamentary delegations. Required records of expenditures on behalf of foreign dignitaries under authority of Public Law 100-71 are maintained by IPS.

IPS receives and prepares for printing the quarterly consolidated financial reports for foreign travel from all committees in the Senate. In addition to preparing the quarterly reports for the Majority Leader and the Minority Leader, IPS staff also assists staff members of Senators and committees in filling out the required reports.

LEGISLATIVE INFORMATION SYSTEM (LIS) PROJECT OFFICE

Update on current status of Legislative Information System (LIS) Project

The Legislative Information System (LIS) is a mandated system (2 U.S.C. 6577) that provides desktop access to the content and status of legislative information and supporting documents. In addition, pursuant to 2 U.S.C. 181, a program was established to provide for the widest possible exchange of information among legislative branch agencies. The long-range goal of the LIS Project is to provide a "comprehensive Senate Legislative Information System" to capture, store, manage, and distribute Senate documents. The project is currently focused on a Senate-wide implementation and transition to a standard system for the authoring and exchange of legislative documents that will greatly enhance the availability and re-use of legislative documents within the Senate and with other legislative branch agencies.

Extensible Markup Language (XML) has been accepted as the primary data standard to be used for the exchange of legislative documents and information. Following the implementation of the LIS, the LIS Project Office shifted its focus to the data standards program and established the LIS Augmentation Project (LISAP).

The overarching goal of the LISAP is to provide a Senate-wide implementation and transition to XML for the authoring and exchange of legislative documents.

The LIS Project Office continued to provide support to the Office of the Senate Legislative Counsel (SLC); the Committee on Appropriations; the Committee on Commerce, Science, and Transportation; and the Senate Enrolling Clerk in their use of the XML authoring application, Legislative Editing in XML Application (LEXA) for drafting, engrossing, and enrolling. With the addition of the Commerce Committee drafters, all Senate measures in the 113th Congress were produced in XML. In addition, the Government Publishing Office (GPO) uses LEXA to complete measures for printing. Several new features and fixes were added in LEXA releases to improve the drafting process.

The LIS Project Office has been working with staff from GPO and the Legislative Computer Systems (LCS) in the Office of the House Clerk to create and print committee reports in XML. This office released a LEXA committee report application to the Commerce Committee in 2013, and the committee drafters were able to create several sections of their committee reports using the LEXA application. In 2014, additional LEXA enhancements allowed the committee drafters to create almost all committee report sections in XML by using direct input, copy/paste from Word documents, and copy/paste from Lexis/Nexis. The office will next work with the editorial and printing staff of the Committee on Appropriations to begin creating committee reports in XML.

Other enhancements to LEXA in the past year included new features for drafting amendments, improvements in drafting and printing for the Appropriations Committee, and new templates for the Enrolling Clerk.

Two other group projects with GPO and LCS include participants from the Law Revision Counsel and the Senate and House Legislative Counsels. The first project with the Law Revision Counsel will result in applications to convert and maintain the U.S. Code in an XML format. The second project with the Legislative Counsels continues work toward the editing and printing of the compilations of existing law in their XML format. As of early December 2014, all compilations are now edited and maintained in XML. Printing of XML compilations continues to improve.

The LIS Project Office is also monitoring and participating in GPO's project to replace Microcomp with a new composition system that can directly ingest XML data without having to convert it to another format before printing.

The LIS Project Office will continue to support all Senate offices using LEXA and will continue to work with the House, GPO, and the Library of Congress on projects and issues that impact the legislative process and data standards for exchange. The office will continue to produce enhancements to LEXA and to seek out new technologies to improve the production of legislative documents.

LIBRARY

The Senate Library provides legislative, legal, business, and general information services to the Senate. The Library's collection encompasses legislative documents that date from the Continental Congress in 1774; current and historic executive and judicial branch materials; an extensive book collection on American politics and history, including biographies; a popular collection of audiobooks; and a wide array of online resources. The Library also authors content for three Web sites—LIS.gov, Senate.gov, and Webster.

Senate Information Services (SIS) program service contracts for fiscal years 2015 and 2016 were renegotiated with existing program vendors to continue services for the Senate community. SIS staff worked with the vendor to complete a major enhancement of site features. Senate staff may now easily browse and search newspapers.

The Library continues to meet the Senate's increasing demand for information through the creation of new Web-based content, judicious selection and investment in online resources, expanded outreach and training opportunities, and use of technology to support alternative means for information delivery.

PAGE SCHOOL

The Senate Page School provides students with a sound program, both academically and experientially, during their stay in the Nation's capital.

In 2013 the Middle States Commission on Secondary Schools awarded accreditation renewal which continues until May 1, 2018. The Page School is among schools throughout the world that meet the internationally recognized standards of quality.

Faculty and staff provided extended educational experiences to pages, including field trips, guest speakers, opportunities to play musical instruments and vocalize, and world languages study. The community service project embraced by pages and

staff continues. Pages collected, assembled, and shipped items for gift packages to military personnel serving in various locations and included letters of support to the troops.

PRINTING AND DOCUMENT SERVICES

The Office of Printing and Document Services (OPDS) serves as liaison to the GPO for the Senate's official printing, ensuring that all Senate printing is in compliance with Title 44, U.S. Code as it relates to Senate documents, hearings, committee prints and other official publications. The office assists the Senate by coordinating, scheduling, delivering and preparing Senate legislation, hearings, documents, committee prints and additional publications for printing, and provides printed copies of all legislation and public laws to the Senate and the public. In addition, the office assigns publication numbers to all hearings, committee prints, documents and other publications; orders all blank paper, envelopes and letterhead for the Senate; and prepares page counts of all Senate hearings in order to compensate commercial reporting companies for the preparation of hearings.

During fiscal year 2014, the OPDS prepared 2,471 requisitions authorizing GPO to print and bind the Senate's work, exclusive of legislation and the *Congressional Record*. In addition to processing requisitions, the Printing Services Section coordinates proof handling, job scheduling and tracking for stationery products, Senate hearings, Senate publications and other additional printed products, as well as monitoring blank paper and stationery quotas for each Senate office and committee. Examples of major printing projects are: the Report of the Secretary of the Senate; the 113th Congress Congressional Directory; the Authority and Rules of Senate Committees; and the Journal of Senate Proceedings, 113th Congress 1st Session.

During 2014 over 10,000 requests for legislative material were received at the walk-in counter, through the mail, by fax, and electronically. Online ordering of legislative documents and the Legislative Hot List Link, where members and staff can confirm arrival of printed copies of the most sought after legislative documents, continued to be popular. The site is updated several times daily as new documents arrive from GPO to the Document Room. In addition, the office handled thousands of phone calls pertaining to the Senate's official printing, document requests and legislative questions.

PUBLIC RECORDS

The Office of Public Records receives, processes, and maintains records, reports, and other documents filed with the Secretary of the Senate that involve the Federal Election Campaign Act, as amended; the Lobbying Disclosure Act (LDA) of 1995, as amended; the Senate Code of Official Conduct; Rule 34, Public Financial Disclosure; Rule 35, Senate Gift Rule filings; Rule 40, Registration of Mass Mailing; Rule 41, Political Fund Designees; and Rule 41(6), Supervisor's Reports on Individuals Performing Senate Services; and Foreign Travel Reports. The office works closely with the Federal Election Commission (FEC), the Senate Select Committee on Ethics, and the Clerk of the House concerning the filing requirements of the aforementioned acts and Senate rules.

From October 2013 through September 2014, Public Records staff assisted over 10,000 individuals seeking information from or about reports filed with the office, responding to walk-in inquiries and inquiries by telephone or e-mail. Further, the office provides assistance to individuals attempting to comply with the provisions of the LDA.

Implementation of the Stop Trading on Congressional Knowledge Act (STOCK Act) continued into fiscal year 2014. The STOCK Act, as amended, required the Secretary to collaborate on the development of an electronic filing system for member and employee financial disclosure reports. Working in coordination with the SAA and the Ethics Committee, the Public Records office participated in the planning and development of the electronic filing system which was successfully launched on January 1, 2014.

The LDA requires semiannual contribution reports, and quarterly financial and lobbying activity reports. To continue implementation of the LDA, the Public Records Office conducted two LDA Guidance reviews in coordination with the Clerk of the House. As of September 30, 2014, there were 4,443 registrants representing 16,163 clients. The total number of individual lobbyists disclosed on fiscal year 2014 registrations and reports was 11,950. The total number of lobbying registrations and reports processed was 108,414. The office referred 949 cases of potential noncompliance to the U.S. Attorney for the District of Columbia.

The Federal Election Campaign Act requires Senate candidates to file quarterly and pre- and post-election reports with the Secretary of the Senate. Filings for the

fiscal year totaled 4,722 documents containing 439,745 pages, which were scanned, processed, and transmitted to the FEC, as required by law. During the calendar year 2014, an election year, the office processed 5,921 reports containing 718,827 pages, an all-time record for total number of pages processed.

The filing date for Public Financial Disclosure Reports was May 15, 2014. The reports were made available to the public and press as soon as they were filed and processed, and in most cases, the same day. Public Records staff provided copies to the Ethics Committee and the appropriate State officials.

Senators are required to file mass mailing reports on a quarterly basis. The number of pages submitted during fiscal year 2014 was 582. In addition, the Public Records Office received 454 Gift Rule/Travel reports during fiscal year 2014.

STATIONERY ROOM

Since it was formally established in 1854, the Senate Stationery Room has evolved into a diversified retail outlet serving the needs of the Senate community by providing a wide range of office and administrative supplies, communication and computer accessories, and special order items for official Government business. Additionally, the Stationery Room provides U.S. flags flown over the Capitol for constituent requests.

The Stationery Room fulfills its mission by: utilizing open market, competitive bid, or General Services Administration schedules for supply procurement; maintaining sufficient in-stock quantities of select merchandise to best meet the immediate needs of the Senate community; developing and maintaining productive business relationships with a wide variety of vendors to ensure sufficient breadth and availability of merchandise; maintaining expense accounts for all authorized customers and preparing monthly activity statements; and managing all accounts receivable and accounts payable reimbursement.

The Stationery Room, with the assistance of the Office of Web Technology, maintained an online Web ordering portal through Webster. The Web site offers an up-to-date Stationery Room catalog with product description, price, and pictures. Customers can place a stock order online and request direct delivery to a location of their choice. During fiscal year 2014, the Stationery Room received and processed more orders than fiscal year 2013. Use of the Web site helps reduce order time, increases customer convenience and order accuracy, and reduces the use of paper through reduced reliance on hard copy orders. Moving forward, the Stationery Room anticipates increased use of this Web site as customers discover the benefits of its use.

Utilizing the Pay.gov service offered by the U.S. Department of the Treasury, the Stationery Room has been accepting online flag requests and payments from constituents through member Web sites. At the end of fiscal year 2014, 43 member offices were offering this payment option and most of the new member offices are in the beginning stages of the program. The benefits include a reduced wait time for constituents, elimination of payment inaccuracies, and greatly reduced workload for office representatives. The Stationery Room will continue to expand the service.

The Stationery Room prepares activity statements for approximately 300 customer accounts on the last business day of each month. One upgrade most requested by our customers is for the Stationery Room to post the account statements directly to TranSAAct, the online business services portal for Senate offices. The inclusion of Stationery in the latest TranSAAct release occurred in early fiscal year 2014, enabling customers to print statements, current and historical, and research transaction details directly from their desktop. The Stationery Room expects to save over \$500 a year in paper costs and, most importantly, reduce paper use by 45,000 individual sheets.

The Stationery Room will be replacing older, outdated handheld scanners with new tablets and scanners to interact more efficiently with the SAA upgraded wireless infrastructure. The Stationery will save over \$5,250 annually by eliminating all paper receipts using the signature capture feature on the tablets. The Stationery Room will save over \$5,250 annually by eliminating all paper receipts using the signature capture feature on tablets. When an office inquires about the status of their order, the Stationery Room will be able to respond immediately by accessing the information from the tablet.

WEB TECHNOLOGY

The Office of Web Technology is responsible for: Senate.gov; the Secretary's Page on Webster; and other portions of Webster—available to Senate staff, along with the Web-based systems, servers, and technologies supporting these Web sites that fall under the purview of the Secretary of the Senate.

Senate.gov content is maintained by over 30 contributors from seven departments of the Secretary's Office and three departments of SAA. All content is controlled through the Secretary's Web content management system, managed by the Office of Web Technology.

Five oral histories, 30 Senate Stories, and five featured biographies authored by the Senate Historical Office were added to Senate.gov this year. In addition, a new style for displaying roll call votes was deployed on Senate.gov. The new modern display makes scanning and in depth reading of votes easier and utilizes Library of Congress Handles for linking to legislation.

In preparation for the start of the 114th Congress, the office built individual member pages for the 13 newly sworn Senators. Web Technology coordinated with the individual designees to attain necessary materials, answer questions, and acquire approval so all members had a presence online when sworn in for the 114th Congress. Much education was provided to designees for options to replace the temporary Web page with more permanent solutions, along with facilitating domain redirects to ensure constituents are always able to easily find their members' Web sites.

The eDear Colleague site was launched and built to automatically update daily. In conjunction with the Senate Library the newly developed system allows for full-text searches of letters and attachments that were distributed via email starting in 2012 and some legacy documents provided by the Senate Rules Committee starting in 2011. The site allows for sorting by title, date, Congress, bill number, and person through leveraging advanced coding techniques and a customizable enterprise search engine. The automated system makes previously difficult to find information easily available. The site was built using existing resources.

In 2014 an average of 28,370 visits occurred per day to the central site of Senate.gov. The Office responded to approximately 423 emails from the general public regarding Senate.gov sites. This is a 66 percent decrease from the previous year which is due to advances in information architecture, search results, and custom error pages to help users resolve issue on their own.

EMERGENCY PREPAREDNESS AND CONTINUITY PLANNING

Throughout 2014, the Office of the Secretary continued to build upon a comprehensive emergency preparedness and continuity program initiated in 1997. The program extends from continuity of operations (COOP) planning within every department of the Office of the Secretary; to coordination with Leadership and the Sergeant at Arms on Senate-wide continuity plans; joint planning with the House of Representatives on bicameral programs; and inter-branch coordination with the executive and judicial branches. The objective of these programs is to provide Leadership the tools needed to ensure that the Senate can meet its constitutional obligations under any circumstances.

Within the Office of the Secretary, the primary objective is the continuity of the legislative process. The Legislative Staff and supporting offices maintain and regularly exercise plans to ensure that the Senate can convene and conduct legislative business under any conditions in various locations. Departments responsible for the execution of statutory obligations, such as the Disbursing Office and the Office of Public Records, maintain plans to carry out those functions, either locally or elsewhere, depending upon conditions. All Departments within the Office of the Secretary maintain individual plans to ensure that each Department can carry out its minimum essential functions during an emergency, until full operations can be restored. All Departmental plans are supported by emergency supply kits stored in multiple locations within and outside the District of Columbia. Across the Office of the Secretary, monthly drills, annual exercises, and flyaway kit updates are conducted in order to ensure that plans and supply kits are current, and that staff understand their continuity responsibilities. A cross-training program in the Legislative Departments ensures that staff with the skills required to support Floor operations will be available during an emergency.

Senator CAPITO. Mr. Larkin, Sergeant at Arms.

U.S. SENATE

SERGEANT AT ARMS AND DOORKEEPER

STATEMENT OF HON. FRANK J. LARKIN, SERGEANT AT ARMS

ACCOMPANIED BY JIM MORHARD, DEPUTY SERGEANT AT ARMS

Mr. LARKIN. Chairman Capito and Ranking Member Schatz, thank you for the honor of testifying before you today in this subcommittee.

I have a formal record that I ask be submitted for your further review.

Senator CAPITO. Without objection, it is submitted. Thank you.

Mr. LARKIN. Thank you.

As the new 40th Sergeant at Arms, 10 weeks on the job, this has been an active time since we have come into office. We have hosted the State of the Union, a number of congressional off-sites, joint sessions of Congress, dealt with challenges from mother nature and other issues that related to security and some of the dynamic threats that challenge this Nation today.

The transition into the office has been made with very little distraction, and I thank my predecessor, Drew Willison, and the prior Sergeants at Arms, Terry Gainer, and Bill Pickle for a lot of that assistance, along with my Sergeant at Arms senior staff seated behind me today. And I particularly point out my deputy, Jim Morhard, who is a longtime Hill associate, and very much thankful for his presence on the team and the knowledge that he brings to the staff, along with the other exceptional professionals who are truly dedicated to supporting the Senate and the success of what we do in this legislative branch.

Additionally, I would like to thank your professional staff. They have also been of great assistance in this transition.

In order to maximize time for your questions, I would just like to cover five main points that I have been focusing on as the Sergeant at Arms since coming into office.

The first is the safety and security of this institution. And certainly the attention has been to place the appropriate security measures in place to be effective against the dynamic threats, as I alluded to earlier, that challenge this Nation, and we can talk about that a little bit more in detail as we go on. This Senate needs to be able to legislate free of distraction, and again, that is the charge of the Sergeant at Arms Office, along with my partnership with the U.S. Capitol Police and the Secretary of the Senate. And again, we will stay very much focused on that task.

The second point I would like to make is regarding our cyber health and network defense, again another major effort underway within my department to validate that our information systems are as strong as they can be, that in fact we are on top of our equip-

ment refresh efforts to minimize any failures within the system from what we have experienced in the past from our operations forward and also to be able to evaluate ourselves using both internal resources and external resources to evaluate network defense, to truly grade ourselves on our ability to protect our information systems.

The third point of focus is truly customer relations, our ability to support the Senate and all the member offices effectively with the wide spectrum of components that make up the Sergeant at Arms. As you know, the Sergeant at Arms is responsible for printing services, mail screening, mail delivery, some maintenance aspects for the U.S. Capitol. We also handle the support services associated with parking, transportation, et cetera. So it is not just the safety and security that very much draws the attention of the Sergeant at Arms but is a lot of the other working parts, components that keep the trains running, so to speak, for the Senate.

The fourth area is the continuity preparedness. As the Secretary of the Senate alluded to, again, a very serious responsibility that involves significant planning and effort, that in fact if we have to consider relocation and standing up the Senate in alternate type scenarios, that we can do that seamlessly and effectively, minimizing any time shortage.

And the final area that, again, is of particular focus is in the partnerships and relationships. As we have talked, it is critical that within the Senate here that not only the Secretary of the Senate and U.S. Capitol—that we have a seamless and truly transparent relationship with each other just because of the way the different issues crosswalk into our areas of responsibility, but also that effort needs to transcend over to the House Sergeant at Arms, the Administrative Officer in the House and the Clerk—especially for the joint programs where we are looking to gain efficiencies and increase the level of communications with the other side. It is very important that we have those relationships and that they are as tight as possible.

Externally it is the relationships with our law enforcement partners, the intelligence community, our defense assets and other agencies that come into play especially as we talk about continuity operations.

As the Sergeant at Arms, I very much pay attention to how my various components can increase our efficiency and effectiveness with the appropriate funding and that I provide a level of accountability to you that, again, reaches your expectations and, finally, to be able to justify that with measurable results, again, that demonstrate that the appropriations that you have afforded us in fact are being applied properly and are having the effect that successfully supports the Senate.

And with that, Madam Chairman, I yield my time.

[The statement follows:]

PREPARED STATEMENT OF HON. FRANK J. LARKIN

INTRODUCTION

Madam Chairwoman, Ranking Member Schatz, and members of the subcommittee, thank you for allowing me to testify today. I am pleased to report on

the progress the Office of the Senate Sergeant at Arms (SAA) and our plans to enhance our service to the Senate.

For fiscal year 2016, the Sergeant at Arms respectfully requests a total budget of \$205,974,000. This request represents a 4.4 percent increase from the current enacted budget, but is nearly identical to our budget level from fiscal year 2008. Today, our organization has approximately 70 fewer employees than we did in 2010.

As someone new to the Sergeant at Arms organization, I am both fortunate and grateful to have the support of an outstanding senior management team. It includes my Deputy, Jim Morhard; Chief of Staff, Mike Stenger; Assistant Sergeants at Arms Dick Attridge (Intelligence and Protective Services), Vicki Sinnett (Chief Information Officer), Bret Swanson (Operations), and Kevin Morison (Capitol Operations); General Counsel Terence Liley; Legislative Liaison Mason Wiggins; Democratic Liaison Scott Rodman; and Chief Financial Officer Chris Dey. The many goals and accomplishments set forth in this testimony would not have been possible without this team's leadership and commitment, as well as the dedication of the women and men who work for the Senate Sergeant at Arms office.

PROTECTIVE SERVICES AND CONTINUITY

Emergency Preparedness

Our emergency plans and procedures are designed to ensure the life safety of Senators, staff, and visitors within our facilities by equipping them with the necessary tools to respond to emergency situations. Our plans are also designed to ensure the Senate can continue its essential functions following an emergency event.

Over the past year, our office worked with Senate offices to update 188 Emergency Action Plans using guidelines set forth by the Occupational Safety and Health Administration as part of the Congressional Accountability Act. As part of this process, we look at the lessons learned from exercises and real world events to improve life-safety procedures for the Senate community.

We conduct a robust training program to ensure the Senate community is prepared to respond to a variety of emergency events both at work and at home. Over 4,000 staff members were trained during 180 classes covering a variety of emergency preparedness topics. The "Responding to an Active Shooter" class continues to be one of our most popular. The course is taught in conjunction with the United States Capitol Police (USCP) and is invaluable for educating staff on what to expect from law enforcement throughout an active shooter event.

We also work with USCP to execute annual evacuation, shelter in place, and internal relocation drills to ensure staff understand the correct life-safety responses to emergency events that may occur on Capitol Hill. We supported 26 evacuation drills that included Senate office buildings, the Postal Square building, Senate Page School, and Employee Child Care Center. We upgraded our accountability tools this year and provided assistance in gathering accountability information from offices, which is ultimately shared with USCP to track potentially missing staff.

To ensure staff have the necessary equipment to respond to emergency situations, we supply offices with victim rescue units, supply kits, and annunciators. We have inventoried over 270 offices and 27,000 pieces of emergency equipment to ensure operability and expired items are replaced.

To improve our alert messaging capability, we initiated a project with USCP, the House of Representatives, Architect of the Capitol (AOC), and Library of Congress to acquire a joint emergency mass notification system. This project aims to reduce the number of alert notification systems needed to transmit critical life-safety messages to the Senate and Capitol complex, and eliminate outdated systems that are difficult to use. The goal is to reduce the time it takes to broadcast messages over numerous platforms, providing Senators, staff, and visitors with additional time to respond to emergency situations.

We assist member offices and committees in writing their Continuity of Operations (COOP) plans, which are critical to the Senate's ability to perform its essential functions. The SAA office continues to ensure existing continuity plans and capabilities are regularly maintained, updated, and exercised. In 2014, a contingency facilities multi-day exercise was conducted involving four separate facilities and over 300 participants. This was the largest exercise to date and validated plans that call for the capability to quickly set up and operate contingency facilities in support of the Senate's constitutional obligations.

Communication among Senate staff responsible for executing plans during and following emergencies is critical to ensuring a successful outcome. Staff who have responsibilities during special events and emergencies were issued USCP digital radios with dedicated talk groups allowing for rapid communications independent of

the cellular network. The radios were successfully utilized during numerous exercises, providing a valuable command and control tool.

Contingency Programs

Sergeant at Arms staff collaborated with the Joint Continuity Office to further develop and refine contingency transportation and relocation site plans in 2014. Staff detailed to the Joint Continuity Office supported the planning process from developing policy guidance to coordinating directives from Senate leadership and finalizing Joint Congressional Continuity Plans. We are continually refining leadership evacuation sites, transportation operations, and embarkation point plans. These Continuity of Government (COG) plans are then coordinated with our congressional planning partners and supporting agencies, and all are continuously validated and exercised. A major accomplishment in 2014 was the development and finalization of joint House and Senate space allocation breakdowns.

To support our COG mission, we continued to refine the Senate Emergency Relocation Group (ERG), addressing the Senate's unique staffing requirements during contingency operations. Skilled SAA staff have been identified and trained to support Senate continuity operations during an emergency event requiring relocation. This program provides information, training, supplies, and support to 70 SAA staff members who will deploy during a contingency event. A functional exercise utilizing ERG support was conducted in 2014 and will be repeated this year.

During 2014, we conducted several joint exercises with the Secretary of the Senate, USCP, Architect of the Capitol, Office of Attending Physician, party secretaries, and other congressional stakeholders. We completed over 20 exercises, tabletops, tests, and guided discussions in 2014 covering all aspects of emergency response including emergency operations centers, transportation, contingency staffing, evacuation, shelter in place, and Chamber media operations. This past year, we conducted the first ever functional exercise of our leadership evacuation plan and validated our ability to notify, transport, and safely relocate leadership should the need arise.

Security Planning and Police Operations

The Security Planning and Police Operations (SPPO) program coordinates security and law enforcement support for the Senate community. The Senate community includes Senate committees, offices (including Senate State offices), and support offices on Capitol Hill. Provided support includes coordinating Senate campus access, working with the Committee on Rules and Administration to identify and publish Senate office building door and barricade openings, conducting office security sweeps, and installing proximity card readers and duress buttons. In 2014, SPPO received and processed 214 committee security assistance requests. They also processed 982 special requests for vehicle clearances, deliveries, and bus access to Capitol Hill.

The SPPO program provides staffing for the USCP Command Center support program, which ensures SAA representation during all hours the Senate is in session, and during normal business hours during recesses. This ensures immediate communication among the USCP, SAA, and Senate community during special events, emergency incidents, and routine operations.

The SPPO staff collaborated and provided support to the USCP and external law enforcement agencies during several special events in 2014, including the State of the Union address, multiple Joint Sessions of Congress, and the U.S. Capitol summer concert series.

The SPPO also includes the SAA's State Office Readiness program, which provides security and preparedness resources to State offices mirroring programs currently available to Capitol Hill Senate offices. Participating offices receive a variety of security enhancements at no cost to the Senate office. The program also assists State offices with completing an Emergency Action Plan to identify unique security and emergency preparedness procedures and provides emergency life safety equipment to State offices.

INFORMATION TECHNOLOGY

Senate IT Network Security and Response

The Senate is considered a prime target for cyber security breaches. Operational IT security activities appear to support this assertion. In the first few weeks of 2015, the Senate has received an average of 173,000 e-mail messages per day. Of these daily totals, an average of 24,000 messages, or 14 percent, are being immediately flagged as spam or malicious.

Many of our efforts to secure the Senate IT infrastructure are proactive. The Senate Secure Web Gateway prevents an average of 72,000 connections to 1,200 different potentially malicious Web sites each week. The vast majority of the Secure

Web Gateway prevention activity occurs in the background, transparent to Senate staff, so that their computers are automatically protected from common attacks without requiring them to take any direct action.

IT Security staff continually evaluate our stewardship of Senate network protection responsibility based on the three-legged table of security, functionality, and taxpayer value. Near-term initiatives will allow the SAA to apply even more advanced technologies to mitigate cyber threats, which will reduce the Senate's overall IT cost of operation. Investment in new IT security technologies will further strengthen our malware intrusion prevention capabilities. This will leverage commercially available systems that have proven effective in many other organizations at reducing systemic IT operational risk. We have also begun developing the Senate's first comprehensive cybersecurity strategy. This 5-year strategy will cover key strategic focus areas and include identified critical elements of each area. This strategy will drive our tactical and operational IT security planning.

In 2014, we proved the Senate mobile communication vehicles (ATLAS) were able to successfully support an Alternate Chamber at an offsite location. This allows the Senate to continue operations at a location where a connection to the Senate network is nonexistent.

Network Operations

In 2014, the Network Operations Center received and serviced 2,278 Service Center "incident" tickets, and processed almost 1,200 change requests and more than 900 LAN drop requests. From a security perspective, as part of the authentication process, wireless clients will undergo an assessment of their laptops that will verify their devices are compliant with up-to-date virus software and definitions, and operating system updates. Laptops will not be allowed onto the wireless LAN until they have met these criteria, further enhancing the overall security of the Senate network. Full implementation of Discovery will be complete in the next few months.

A multi-year project that has progressed in 2014 is the use of broadband Internet service to support Senate State office locations. Using broadband Internet service significantly increases the amount of bandwidth at each of the 460-plus locations, increasing the performance at each site for both intranet and Internet services. The increased bandwidth also affords the ability to support emerging technologies such as increased video conferencing capabilities between DC and a State office.

Replacing Switches

In January 2015, the Senate experienced a significant network outage that impacted e-mail, mobility services, the virtual infrastructure, senate.gov Web sites, and most Enterprise applications. This was the result of a hardware failure on a major distribution switch at the Primary Computing Facility (PCF). The hardware module was replaced and the switch was stabilized. A replacement switch and its partner at the Alternate Computing Facility (ACF) are now installed at both locations, and the network is scheduled to be cutover to the new hardware as soon as a remaining implementation issue is resolved. The new equipment allows us to improve on the original design, providing additional redundancy and eliminating the single point of failure.

Senate Payroll System (SPS)

We are working in collaboration with the Secretary of the Senate to support and enhance the new PeopleSoft Senate Payroll System. This new system replaced a 20-year-old mainframe system and provides a state-of-the-art technological platform that should serve the Senate well over the coming years. During the next quarter, we plan to begin a self-service pilot that will allow individuals online access to view their pay advances, W-2s, benefits summaries, and other personal information.

Data Center Management

We are currently modernizing the management of our two data centers with the addition of a centralized software system, new server rack smart Power Distribution Units (PDUs), and new environmental sensor systems. The software will allow for the bridging of information across organizational domains in order to provide a single holistic view of a data center's performance so that energy, equipment, and floor space are used as efficiently as possible. It will include collecting and monitoring of detailed power usage and environmental statistics from the new hardware equipment, inventory, capacity planning, workflow, as well as dashboards, allowing us to improve efficiency and reduce the risk of failures and outages.

Evaluating New Technologies

One of our core missions is to evaluate new technologies and tools based on customer needs and their fit in the Senate environment. This includes numerous

laptops, desktops, printers, mobile devices, software (including security patches and updates), and services.

Office Application Manager

A new version of the Office Application Manager was released in November 2014. The new application has a significantly improved user interface and functionality, including direct upload of constituent checklist items (eliminating the e-mail intermediary step), ability to have an outside individual submit a recommendation on behalf of an applicant, and Active Directory authentication. The new functionality incorporated in this version of the application makes it the most fully featured and secure release to date. Currently, there have been over 14,000 individual submissions and over 16,000 constituent accounts created.

Systems Management Service (SMS)

Our Systems Management Service remains state-of-the-art by completing upgrades to the backend systems that provide for distribution of software and security patches to Senate Microsoft Windows and Apple Mac computers.

We are researching the use of a new capability in the main application that provides the Systems Management Service software patching solution to Senate offices, which can provide automated security patches to Apple Macintosh computers as well as Windows-based computers. Providing Macintosh patches from this one application will potentially allow us to decommission the second separate system for Macintosh patching, producing a cost savings.

Microsoft Lync 2013

Our unified communication capability has been enhanced by completing the platform upgrade to Microsoft Lync 2013. Efforts are underway to integrate with other legislative branch agencies. More than 6,000 Senate accounts are enabled for Lync, with over 2,000 users logged in on a daily basis for instant messaging and presence. This year, we will further extend communication and collaboration capabilities of the unified client by integrating with our videoconferencing infrastructure and by making a new shared chat feature available.

Active Directory—ID System Integration and Photo Display

A process has been developed to synchronize Active Directory accounts with ID System records. This process positions the Active Directory to be leveraged for unified identity management and authentication services. This means that Senate users are now able to manage a single set of credentials for access to a rapidly increasing number of resources. With a single password to manage, users are more likely to frequently change their password and are less likely to write it down or otherwise store credentials insecurely. This also better facilitates removal of access to systems as users depart from the Senate. By disabling departing users' Active Directory accounts, we automatically disable access to all other systems to which the users had access. We also used the process to deliver a new optional photo display service to publish ID photos in e-mail and IM.

Senate Messaging and Authentication Services (SMAS)

We commenced activities to complete major upgrades to the Senate Messaging and Authentication Services environment. The upgrades to Microsoft Active Directory and Exchange will assure the system remains secure, stable, and capable of supporting current operating systems and applications. Deployment of Exchange Server 2013 will further improve the reliability of the e-mail messaging environment, reduce overall costs, and increase mailbox capacity.

TranSAAct—Our Platform for Doing Business Online

Functionality continues to be added to TranSAAct, our platform for doing business online, eliminating paper-based manual processes and addressing the requirements of offices and the Committee on Rules and Administration. Built on an extensible modern database framework, TranSAAct allows indefinite expansion as new requirements are identified.

In addition, we worked with the Rules Committee and the SAA parking office to simplify the parking request forms, improve features based on customer feedback, update business rules, modernize the technology, and improve the integration with the parking systems.

We are currently planning a technology refresh, upgrading infrastructure components, migrating the platform to virtual servers, simplifying the architecture by eliminating a third party product, and migrating user and group management into TranSAAct. That effort will lay the groundwork for providing users the ability to create profiles to reduce some data entry on request forms and customize commu-

nication preferences. We also have plans to make the home page more useful by presenting consolidated information on open service requests.

Telecommunications

Our voicemail system has been upgraded to the new software level 10.1 and we now have 16 redundant servers. This helps support our continuity of operations, and we continue to look at making this platform more mobile and redundant. With this upgrade, we will be offering more voicemail features and better integration with Microsoft software, and we now have an Interactive Voice Response (IVR) system that we are preparing to assist the Capitol Operators during heavy call periods. We will be offering these new features in fiscal year 2016.

In 2014, we started a multiyear process to upgrade the telephone system (CS2100) in Washington, DC. Once this project is completed, we will support session initiated protocol (SIP), which is a standard unified communication platform allowing us to integrate easily with multiple vendors including Cisco, Microsoft, and Polycom. This will provide the backbone to voice, video, chat, and conferencing services. The upgrade provides more phone features, a higher level of security, reduction of costs, and reduction of equipment. It also provides us the capability to use SIP for our phones and trunk lines to Verizon. Currently, our old trunks to Verizon are costly and we need more of them compared to the technology of SIP. In addition, we will be able to offer SIP phones to our customers, which allows for more mobility and more choices of phone types. We will have this project completed and begin offering these new features in fiscal year 2016.

We have also started our State office upgrade project for 460-plus offices, a multiyear project that will modernize the State office communications systems and bring more features and security to our State offices at a lower cost. These systems are old and costly, and maintenance is becoming more difficult. Most offices will be seeing some of these benefits in fiscal year 2016.

We are currently modernizing both of our telecom switch rooms and providing more power backup and physical security to both rooms. This includes relocation of some equipment to a more secured area; more secured access into these areas; cameras, temperature, and water monitors; power monitors for safety purposes; and computer monitoring of activity in these rooms. This project will be completed in fiscal year 2016.

Constituent Correspondence Services

Over the past decade, Constituent Correspondence Services funding remained at the same level up until the last 2 years, when funding was reduced. The fund appropriation is no longer keeping up with the allotments to member offices and has required a requested increase to ensure that the fund has appropriations equal to the prescribed allotments. Because of cost savings throughout the CIO organization, this increase is achievable while having no impact to the overall SAA budget request.

OPERATIONS

Central Operations

The Senate ID Office issues Smart Cards and standard IDs using two different Card Management Systems (CMS). The ID Office is in the planning phase of simplifying this process by using one CMS, which can issue both types of IDs. In addition, the ID Office is planning to implement an Identity Management System (IDMS) in order to better manage Senate staff credentials across all systems supported by the Sergeant at Arms. A consolidated IDMS will help streamline the creation of user accounts and facilitate access throughout the Senate Enterprise. During each Congress, the Senate ID Office issues over 35,000 IDs to Senators, staff, liaison personnel, and designated members of the media.

Parking Operations

Parking Operations is adopting social media as an additional method of communication to the Senate community. Disseminating information about area and street closures, especially those due to special events or emergency situations, continues to be a focus of improvement.

Monitoring renovations of underground garages scheduled for fiscal year 2016 and the projects' impact to Senate parking areas will be a primary focus of Parking Operations. The Architect of the Capitol is planning renovations of the Russell Legislative Garage and the Thurgood Marshall Judiciary Office Building Garage. The Russell Legislative Garage renovation will displace our parking permit issuance booth and over one hundred spaces under the control of the Committee on Rules and Administration. Parking Operations will work closely with the Committee's staff and AOC personnel to ensure customer service can be maintained and displaced garage

permit holders are accommodated in other Senate areas. The renovation of the Judiciary Office Building Garage will present another set of challenges. Although we will not lose any spaces due to the renovation, we will be relocating our permit holders to different and unfamiliar spaces throughout the renovation.

Transportation and Fleet Operations

Transportation and Fleet Operations procures and maintains Senate vehicles, provides transportation information to offices, and maintains and operates the Senate Daily Shuttle and Parking Shuttle services. The SAA fleet includes trucks, vans, buses, SUVs, electric vehicles, handicapped-accessible vehicles, and Segways.

Photography Studio

The Photography Studio provides photography and photo imaging services for Senate offices and committees. The studio manages and maintains the Photo Browser Application, which provides Senate offices a secure location to upload, organize, download, and place orders for their photos through a Web interface. All photos in a Senator's collection are archived in the Photo Browser system and are accessible during their time in office.

Printing, Graphics, and Direct Mail

The Printing, Graphics, and Direct Mail (PGDM) department provides support to the Senate community through graphic design, printing, mailing, document preservation, photocopying, logistics and security—producing over 59 million items during fiscal year 2014. We continue to modernize processes and applications to expand our product offerings and enhance efficiency to meet the evolving demands of Senate offices.

As a good steward of fiscal resources, PGDM garnered notable savings for the Senate. More than \$1.1 million was saved in postage costs by pre-sorting and discounting 5.4 million pieces of outgoing Senate franked mail. Another \$34,000 in postage was saved by using software to identify over 69,000 undeliverable addresses before they were introduced into the United States Postal Service mail stream. Since fiscal year 2000, the Postal Service increased the cost of a First Class mail piece from \$.33 to \$.49, which makes PGDM's mission to maximize discounts increasingly important. With the recent acquisition of state-of-the-art sorting equipment, PGDM has trained employees to perform routine maintenance, which generates an annual savings of \$43,000 and ensures our equipment continues to run at an optimal level of performance.

For more than a decade, PGDM has been digitizing daily letter mail for member offices, making it easier to provide a quicker reply to constituents through traditional letters, social media sites, and digital e-mail systems. PGDM has kept pace with the latest technology by implementing high-speed digital scanners, document file management systems, and devices that convert obsolete media to useable files. The implementation of PGDM's document management system, OnBase, has contributed to member offices gaining efficiency by going paperless and providing them the ability to perform searches for specific dates, legislative issues, or individual constituent correspondents throughout their entire document collection.

Since the acquisition of our wide-format digital printing systems in fiscal year 2009, PGDM has printed 42,000 charts and generated a cost savings of approximately \$3.8 million compared to having these charts done by an outside entity.

PGDM maintains several high-volume production printers that have a combined copy count of more than 7.5 million impressions. Soon, PGDM will be acquiring a new high-volume digital press to replace two outdated printers. This action will save PGDM \$40,000 in annual maintenance costs, and will also generate cost saving in consumable supplies.

Senate Post Office

The Senate Post Office's dedicated workforce tests and delivers mail and packages to over 180 mail stops within the Capitol complex, while providing a messenger service to multiple locations within the Washington metropolitan area.

We recently procured a new mail sorter that was engineered to meet our mail screening specifications and replaced an outdated, less efficient machine. This sorter has duplex imaging technology to facilitate easy lookup of captured images in the event of a mail incident or database queries on specific addressees. This will enhance the Senate's security by augmenting the investigative capabilities of the USCP in response to a threatening mail event. The maintenance contract for the new sorter will net a 50 percent reduction compared to our current costs.

Capitol Facilities

Capitol Facilities supports the Senate community by providing a clean and professional work environment in the Capitol. Our Environmental Services division cleans Capitol spaces, moves Capitol furniture, and provides special event setups in the Capitol—including 10 event spaces in the Capitol Visitor Center. The Capitol Facilities Furnishings division provides furniture, carpeting, and window treatments to Capitol offices, and framing services for offices and committees throughout the Senate.

Focus continues to be on realizing cost savings while not sacrificing service. Salary costs in the department were reduced by nearly 12 percent in fiscal year 2014, resulting in savings of \$443,000. To efficiently meet cyclical customer demands during peak event setups and furniture moves, Capitol Facilities supplements the full-time workforce with contracted labor. Using the contract workforce for addressing “surge related” events has allowed us to reduce those costs by 45 percent. With a reduced workforce, Capitol Facilities has combined job specialties and engaged in cross-training employees to ensure that services are maintained at the high level expected. In addition, we are planning an upgrade to the Capitol Facilities Online Request System (CapFOR) to give more information online to offices so that they can identify furniture that more readily meets their needs.

Office Support Services

The State Office Liaison staff serve as the conduit between Senate offices and commercial or Federal landlords, overseeing approximately 450 State offices. Funding for commercial, Federal, and mobile State office rents are primarily driven by the members’ desire for suitable office space which best meets the growing needs of their local constituencies. The State Office Liaison staff negotiated 22 new commercial leases, 20 commercial amendments, 3 commercial renewals, and 4 new Federal office leases last year. Establishing a State office includes many activities: coordinating furniture and furnishings, negotiating the rate per square footage, and coordinating parking and office alterations. We continue to work closely with members’ staff to ensure they understand the cost implications in relocating an office. We are committed to assisting members in negotiating the most comprehensive lease agreements that are both cost effective and competitive to the commercial market rates.

CAPITOL OPERATIONS

Ensuring that our customers—both internal and external—can have access to the Senate and understand its work remains the focus of the SAA’s Capitol Operations team. Over the past year, team members provided a range of services to Senators and their staffs, visitors to the Capitol, members of the news media who cover Congress, and the public. Capitol Operations continues to focus on providing timely, accurate, and useful information that promotes safety, increases transparency, and enhances the experience of those who work in and visit the Senate.

Senate Recording Studio

In a time of instant communication and demands for transparency, the Senate Recording Studio helps ensure that the work of the Senate remains accessible to the public. During 2014, the Recording Studio provided 908 hours of gavel-to-gavel coverage of Senate Floor proceedings. For individuals who prefer to view Senate proceedings online, the Recording Studio also provides technical support for live-streaming and archiving on the Senate’s Web site, www.senate.gov. Last year, this online resource was viewed 1.34 million times by more than 136,000 unique visitors. Another priority of the Recording Studio is to enable Senators working in DC to communicate with their constituents back home. During 2014, the Recording Studio produced 787 television and 901 radio productions for Senators.

Senate Media Galleries

For members of the news media, the Senate remains one of the most open and accessible institutions of Government. On any given day, hundreds of reporters, producers, photographers, videographers, and technical support personnel can be found in hearing rooms, hallways, and in the Chamber bringing the news of the Senate to people across the country and around the world. Ensuring that the news media can conduct their business efficiently, safely, and in a manner consistent with Senate rules is the responsibility of the staff of the four Senate Media Galleries. The unique structure of the Media Galleries, dating back to the earliest days of the Senate, requires them to work closely and cooperatively with their respective Standing and Executive Correspondents’ Committees, USCP, and press secretaries and communications staff of Senators and Senate committees. Media Gallery staff facilitate

media credentials and arrangements for the 7,000 members of the news media who can cover the Senate in a given year.

Daily Press Gallery

Daily Press Gallery staff support reporters working for publications who publish on a daily or more frequent basis. Last year, the Daily Press Gallery issued credentials to approximately 1,800 journalists. As custodians of the largest press complex on Capitol Hill, the Gallery staff serve more than 100 reporters who physically work in the Press Gallery on a regular basis. Gallery staff also help control access to the Press Gallery inside the Senate Chamber and ensure Gallery rules are followed.

Periodical Press Gallery

The Periodical Press Gallery staff support the news media working for non-daily periodicals and their online publications. Last year, the Periodical Press Gallery approved credentials for more than 1,200 journalists. Gallery staff remain focused on streamlining communications with Gallery members and Senate staff. For example, the number of followers on the Gallery's Twitter account (@SenatePPG) grew by nearly 40 percent, to 3,600, and staff continue to increase the use of Facebook and Instagram as well. These efforts help drive traffic to the Gallery's Web site, where information on Floor proceedings, the credentialing process, and other areas of interest is consolidated. The Gallery's Web site averages approximately 50,000 hits a year.

Press Photographers Gallery

Press Photographers Gallery staff support photographers representing news organizations from across the United States and around the world. Last year, the Gallery credentialed approximately 300 news photographers. Unlike the other three Media Galleries, which have counterparts in the House of Representatives, Press Photographers Gallery staff support the media at news events and hearings in both houses of Congress. During 2014, the Gallery launched a Twitter account (@USSenatePhoto) to keep photographers and Senate staff apprised of congressional events; the account has grown to more than 600 followers.

Radio and Television Gallery

The task of ensuring that the broadcast media's needs are met while the Senate's rules are followed falls largely to the staff of the Radio and Television Gallery. The Gallery issued credentials to approximately 3,600 television and radio reporters, producers, and technical personnel. The Gallery also maintains the studio that Senators use for news conferences. Staff continually look to enhance the appearance and functionality in the studio. Last year, the Gallery oversaw installation of a new background element consisting of a bookshelf and Senate seal, and additional renovations to the audio system and camera risers are currently under development. Gallery staff also oversee upgrades to the technical infrastructure supporting committee hearing rooms and other news event locations. To further enhance communications, the Radio-TV Gallery initiated a Twitter account (@SenateRadioTV) during 2014, with approximately 700 followers to date.

Senate Doorkeepers

Senate Doorkeepers play a critical role in supporting the legislative process of the Senate. Doorkeepers provide access to those with Senate Floor privileges; enforce the rules of the Senate Floor; and facilitate the needs of Senators, Senate Floor staff, and Senate Pages. Doorkeepers also provide support for a number of special events attended by Senators, their families, and special guests. In addition to directly supporting Senators, Doorkeepers also ensure that all Americans can visit the Senate Gallery safely and efficiently. During 2014, approximately 202,000 people visited the Senate, in person, with the help of Senate Doorkeepers. That corresponded to nearly 950 people a day, both when the Senate was in session and during scheduled recesses.

Senate Appointment Desk

The Senate Appointment Desks are responsible for processing, in a safe and efficient manner, thousands of guests who enter the Capitol each year for business meetings or other purposes. During 2014, approximately 184,000 visitors were processed through our network of Appointment Desks located on the first floor of the Capitol, in the basements of the Russell and Hart Senate office buildings, and in the Capitol Visitor Center (CVC). Of these, 116,000 visitors were in the Capitol for official business or a direct meeting with a member, a member's office, or a committee. In addition, more than 2,500 international visitors relied on the CVC Appointment Desk for Senate Gallery Passes and information.

Office of Internal Communications

The Office of Internal Communications (OIC) streamlines communication within the SAA organization and to the rest of the Senate community through a combination of online, digital, and traditional print publications. Last year, the Office sent 468 Notices and 101 Dear Colleague messages electronically, saving resources and speeding delivery of important information. In addition, OIC manages two Web sites—one internal to the SAA and the other accessible to the Senate community—and maintains the electronic Notice system. During 2014, OIC staff edited and helped produce 175 publications, including safety bulletins, newsletters for both Senate and SAA staff, and procedural manuals. Finally, the OIC manages the SAA's use of social media to enhance communication with SAA employees, Senators, the Senate community, and the public. Recently, the SAA Twitter account (@SenateSAA) exceeded 7,400 followers and our Facebook page surpassed 4,000 "likes," both substantial increases from a year ago.

SAA HUMAN RESOURCES

The primary function of the SAA Office of Human Resources is to provide personnel services and advice to SAA managers and employees. The SAA Human Resources department also provides workers' compensation, ergonomic assessment, Americans with Disabilities Act (ADA) accommodation requests, and recruitment services to the broader Senate community.

Senate Placement Office

During fiscal year 2014, Senate offices submitted 513 requests for recruitment assistance to the Senate Placement Office; 49,401 resumes were processed by the Placement Office in response to these requests. Since the start of fiscal year 2015, the Senate Placement Office provided 2,404 resumes for vacancies on the staffs of Senators-elect and processed an additional 1,044 resumes for vacancies in other Senate offices and committees.

SENATE OFFICE OF EDUCATION AND TRAINING

The Office of Education and Training provides training for all Senate staff in Washington, DC, and in State offices. We provide performance skills training on topics such as management and leadership development, human resources management, legislative and staff information, and new staff and intern orientation. The office also provides much of the training for approved software and equipment used at the Senate. Our technical offerings include system administration, MS Office Suite, Photoshop, and digital photography, and Senate-specific applications training. In addition, we coordinate and provide major training events for State and DC staff.

Training is provided through a variety of methods. These include instructor-led classes, one-on-one coaching sessions, facilitation, computer-based training, online lessons, Webinars, videoconferencing, informal training, documentation, and self-paced training.

The Office of Education and Training partners with other training providers, both inside and outside of the legislative branch, to ensure the Senate staff have the training and skills they need to perform their jobs. In 2014, these partnerships included the Library of Congress, Congressional Research Service, Senate Library, Government Accountability Office, Capitol.net, the SAA Office of Protective Services and Continuity, Senate Historian, Office of Attending Physician, Employee Assistance Program, Chief Counsel on Employment, Office of Congressional Accessibility, SAA Human Resources, Senate Disbursing Office, Senate Ethics Committee, and others.

In 2014, the Office of Education and Training and its partners provided 735 instructor-led classes with a total attendance of over 3,000 students. Education and Training staff taught over 250 of the 735 instructor-led classes, at which over 1,900 staff attended. Education and Training provided customized training, facilitation services, and coaching to more than 150 Senate member, committee, and support offices, benefitting more than 1,400 staff. Our trainers spent approximately 600 hours performing training or facilitation in everything from 1-hour sessions to 2 to 4 day-long retreats. We also coordinate the Senate's Intern Program. We provide training for intern coordinators as well as eight orientation and training sessions throughout the year; approximately 1,500 interns attended in 2014.

After every election, we coordinate the Aides to the Senators-elect orientation and new office Admin Directors training. This 2-day orientation consists of 10 different sessions with 20–30 attendees. After swearing-in, we coordinate another 10–12 sessions for the office management. Each session is attended by 10–15 staff.

Health Promotion

Our Health Promotion office has been legislatively mandated to provide Health Promotion activities and events. Our Health Promotion branch coordinates and runs the 2-day Health and Wellness Fair for Senate staff. At this fair, Senate staff can meet vendors who promote healthy living choices and who provide screening and testing for things such as bone density, hearing, cholesterol, and others. In 2014, over 500 staff participated in health promotion activities, which included lung function and kidney screenings, blood drives, and seminars on health-related topics. We also coordinate Weight Watchers, Yoga, and Pilates sessions using a revolving fund. We plan to increase our conference offerings to include one for State Schedulers and for member and committee management. These conferences will provide staff who do similar jobs a place and time to share what is working and get ideas from one another.

We will continue to expand our online training options for Capitol Hill and State staff. We are rolling out an Online Leadership curriculum for Senate managers and continue to work with our training partners to provide just-in-time training. Our office also plans to bring in experts to conduct presentations and training on timely management and legislative topics to complement the training that is already offered. Some of these topics will include Appropriations and Authorizations, and Managing Remote Staff, among others.

EMPLOYEE ASSISTANCE PROGRAM

Our Employee Assistance Program (EAP) offers a variety of emotional, behavioral and work-related support resources and services to staff, their family members, Senate Pages, and interns. In 2014, nearly 1 in 20 Senate employees utilized the services of an EAP counselor; 370 employees took an online mental health screening; 177 managers requested a supervisory consultation; 3,277 employees attended an EAP training activity; and 1,946 employees accessed resources for personalized information and referrals addressing childcare, parenting, adult care, aging, education, legal concerns, and/or financial issues.

CONCLUSION

The Sergeant at Arms is composed of a diverse array of organizations. All of them exist to serve the Senate so that it can function as part of the legislative branch of our Government. To provide the checks and balances on any administration, it must be able to function efficiently in an effort to create and pass legislation. To do so, the Senate Sergeant at Arms must and will provide the needed services that allow it to function.

APPENDIX A

OFFICE OF THE SERGEANT AT ARMS—UNITED STATES SENATE

FINANCIAL PLAN FOR FISCAL YEAR 2016

[Dollars in thousands]

	Fiscal Year 2015 Enacted	Fiscal Year 2016 Request
General Operations & Maintenance:		
Salaries	\$69,000	\$72,000
Expenses	73,267	66,262
Total General Operations & Maintenance	142,267	138,262
Mandated Allowances & Allotments	47,141	46,858
Capital Investment	1,957	15,051
Nondiscretionary Items	5,935	5,803
Total	\$197,300	\$205,974
Staffing	892	892

To ensure that we provide the highest levels and quality of security, support services, and equipment, we submit a fiscal year 2016 budget request of \$205,974,000, an increase of \$8,674,000 or 4.4 percent compared to fiscal year 2015. The salary budget request is \$72,000,000, an increase of \$3,000,000 or 4.3 percent, and the ex-

pense budget request is \$133,974,000, an increase of \$5,574,000 or 4.4 percent. The staffing request remains at 892.

There are four budget categories: General Operations and Maintenance (Salaries and Expenses), Mandated Allowances and Allotments, Capital Investment, and Non-discretionary Items.

The general operations and maintenance salaries budget request is \$72,000,000, an increase of \$3,000,000 or 4.3 percent compared to fiscal year 2015.

The general operations and maintenance expenses budget request for existing services is \$66,262,000, a decrease of \$7,005,000 or 9.6 percent compared to fiscal year 2015.

The mandated allowances and allotments budget request is \$46,858,000. This budget supports State office rents, \$19,691,000; purchase of computer and office equipment, \$10,318,000; voice and data communications for Washington, DC, and State offices, \$5,609,000; procurement and maintenance of member office constituent services systems, \$5,500,000; RPC and DPC recording studios, \$2,600,000; wireless services and equipment, \$1,473,000; and State office security enhancements, \$1,472,000.

The capital investments budget request is \$15,051,000, for DC network equipment upgrade, \$6,290,000; storage area network, \$3,726,000; Chamber audio upgrade, \$1,900,000; and Network Management Equipment Upgrade, \$1,840,000.

The nondiscretionary items budget request is \$5,803,000. The request funds projects that support the Secretary of the Senate: contract maintenance for the Financial Management Information System, \$2,819,000; support for the payroll system, \$2,359,000; and maintenance and necessary enhancements to the Legislative Information System, \$625,000.

Senator CAPITO. Thank you.
Chief Dine.

UNITED STATES CAPITOL POLICE

STATEMENT OF HON. KIM C. DINE, CHIEF OF POLICE

ACCOMPANIED BY:

DANIEL MALLOY, ASSISTANT CHIEF AND CHIEF OF OPERATIONS

RICHARD BRADDOCK, CHIEF ADMINISTRATIVE OFFICER

FAY F. ROPELLA, INSPECTOR GENERAL

Chief DINE. Thank you and good morning.

I would also ask that my full statement be accepted for the record.

Chairman Capito, Ranking Member Schatz, and members of the subcommittee, I am honored to be here today and I appreciate the opportunity to present the United States Capitol Police budget request for fiscal year 2016.

I am joined here today by Assistant Chief Daniel Malloy, our Chief of Operations, and Mr. Richard Braddock, our Chief Administrative Officer, as well as some members of my executive management team and our Inspector General.

First, I would like to thank the subcommittee for its sustained and unwavering support for the United States Capitol Police. I would specifically like to express our appreciation to the subcommittee and the Congress for providing the necessary salaries and general expenses funding for fiscal year 2015 to support our personnel and operations. The women and men of the Capitol Police work tirelessly to ensure that the legislative process of our Government functions without disruption or lapses in security or safety 24 hours a day, 365 days a year. But none of this would be possible without your support and that of the Capitol Police Board.

My management team and I are very proud of the close partnership that has evolved between us to make this possible. Your confidence in us and the support you have provided to the Capitol Police over the years has, indeed, been a remarkable contributor to our success in achieving our mission. You and your staff have taken the time to work closely with the department's leadership team and have shown a keen awareness of the complexity of our mission and the challenges we face.

While our mission has not changed, the scope of the threats that we face is changing, and the ways in which we continue to adapt to those threats has to change. We will continue to meet our mission by finding ways to sharpen and adapt our capabilities while remaining true to our core values. Our ability to thwart attacks and safeguard the Capitol complex hinges on our flexibility to adapt operations and administrative capabilities to the changing environment.

During fiscal year 2014, we were able to provide training to our officers in areas of active shooter and security screening, which are key skills that need to be constantly refreshed for our officers in

this environment. In addition, the department was awarded the Gold Standard in Advanced Law Enforcement Accreditation, our fifth accreditation, from the Commission on Accreditation for Law Enforcement Agencies. The Gold Standard is awarded to law enforcement agencies that have exhibited strong organizational health and an absence of issues that detract from the professionalism of the agency. Assessors were on site validating policies and procedures, interviewing employees, and performing field observations.

At this time, I would like to offer the subcommittee an overarching summary of our fiscal year 2016 request. I will follow this summary with a discussion of specific budget items of particular significance to you and the department.

The department's fiscal year 2016 request totals nearly \$379 million and represents an overall increase of 8.9 percent, or nearly \$31 million over fiscal year 2015 enacted funding level of \$348 million.

As with other law enforcement agencies, personnel salaries and overtime represent the majority of our budget each year. As you know, we are a service organization, and we need dedicated and trained professionals to provide that service.

Our fiscal year 2016 request, again, only includes funding for 1,775 sworn and 370 civilian positions. These are the staffing levels funded during fiscal year 2015. While the staffing levels remain static in the fiscal year 2016 request, the funding request represents an overall increase of approximately 7 percent over the fiscal year 2015 enacted level. This increase is necessary to address the natural salary increases incurred by the department and increased overtime costs to meet our needs, especially for the 2016 presidential conventions.

The second area I want to cover in some detail is our requested general expenses budget, which includes protective travel; hiring, outfitting, and training of new sworn personnel; supplies and equipment; management systems; non-personnel presidential convention support and other non-personnel needs. We are requesting \$71.4 million for general expenses, which is an increase of \$10 million over the fiscal year 2015 enacted level. No new initiatives or program increases are included in this request. The increase results from normal increases in operating costs, convention costs, and cost to lifecycle key items and routine equipment and systems, and the restoration of annual levels reduced in previous fiscal years to meet regular needs.

With resources provided to the department, our officers provide a safe environment for the facilities of Capitol Hill. For the U.S. Capitol Building alone, we provide a secure and open environment for well over 1.5 million square feet, over 600 rooms, approximately 850 doorways, and miles of corridors, which speaks to the vast magnitude of our mission and how our ability to remain agile and prepared to respond is key to the accomplishment of our mission. In fiscal year 2014, the department performed over 9.6 million screenings of people entering congressional buildings, including over 1.4 million visitors to the Capitol Visitor Center. Outside the buildings, we kept the Capitol grounds safe by conducting more than 125,000 K-9 vehicle sweeps and nearly 27,000 offsite vehicle inspections.

Further, we continue to work to close audit recommendations and to address our material weaknesses from prior audits by working very closely with our Inspector General and the Government Accountability Office (GAO) to address identified issues and by providing evidence necessary to close findings. In particular, I am pleased to report the department received a fourth consecutive unqualified clean opinion on our financial statements. Also in fiscal year 2014, we worked closely with the Office of the Inspector General (OIG) to close 29 recommendations and completed actions that we believe could lead to closure of another eight recommendations. Also, the department successfully closed all findings from outstanding GAO reports and closed four complete OIG audits that have been open since 2008. Further, we are working on the resolution of a number of other recommendations in order to achieve efficiency and effectiveness of our administrative programs. The long-term resolution of recommendations related to internal controls, business processes, and material weaknesses remains of the highest importance to our management team.

I am very grateful for your time today. We will continue to work closely with you to make sure that we meet the needs of our mission in a reasonable and responsible manner. I want to thank the women and men of the United States Capitol Police (USCP) for their commitment to our mission and for their support. I appreciate the opportunity to appear before you today and we would be glad to answer any questions you may have at this time.

[The statement follows:]

PREPARED STATEMENT OF HON. KIM C. DINE

Chairman Capito, Ranking Member Schatz and members of the subcommittee, I am honored to be here today, and I appreciate the opportunity to present the United States Capitol Police budget request for fiscal year 2016. I am joined here today by Assistant Chief Daniel Malloy, our Chief of Operations, and Mr. Richard Braddock, our Chief Administrative Officer, as well as some of the members of my Executive Management Team and our Inspector General.

First, I would like to thank the subcommittee for its sustained and unwavering support of the United States Capitol Police. I would specifically like to express our appreciation to the subcommittee and the Congress for providing the necessary salaries and general expenses funding for fiscal year 2015 to support our personnel and operations. The women and men of the Capitol Police work tirelessly to ensure that the legislative process of our Government functions without disruption or lapses in security or safety 24 hours a day, 365 days a year. But none of this would be possible without your support and that of the Capitol Police Board.

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While our mission has not changed, the scope of the threats that we face is changing—and the ways in which we continue to adapt to those threats has to change. We will continue to meet our mission by finding ways to sharpen and adapt our capabilities while remaining true to our core values. Our ability to thwart attacks and safeguard the Capitol Complex hinges on our flexibility to adapt operations and administrative capabilities to the changing environment.

Before I begin the specifics of my fiscal year 2016 budget request I would like to express again our appreciation to the subcommittee and the Congress for providing the essential salaries and general expenses funding for fiscal year 2015 to support our personnel and operations, which has ensured a high-level of capability and mission readiness.

During fiscal year 2014, we were able to provide training to all of our officers in the areas of active shooter and security screening, which are key skills that need to be constantly refreshed for our officers in this environment. In addition, the Department was awarded the Gold Standard in Advanced Law Enforcement Accreditation, our fifth Accreditation, from the Commission on Accreditation for Law Enforcement Agencies. The Gold Standard is awarded to law enforcement agencies that have exhibited strong organizational health and an absence of issues that detract from the professionalism of the agency. Assessors were onsite validating policies and procedures, interviewing employees, and performing field observations.

Our fiscal year 2016 mission-focused request is grounded in the framework of our Strategic Plan. To achieve our vision as a nationally recognized results-oriented law enforcement organization, the Department continues to reinforce a culture that supports effective planning, communication, accountability and employee empowerment. We are developing the internal framework to employ smart policing by taking a results-oriented, data-driven approach that effectively meets current and future threats and challenges. We will continue to deliver safety and security by deploying effective law enforcement services through collaboration, adaptability and innovation. We will strive for organizational excellence to maximize efficiency and effectiveness through best practices, while promoting accountability through employee engagement and a positive work environment. As we carry out these programs, employees are engaged through routine communications and are given an opportunity to provide feedback.

At this time, I would like to offer the subcommittee an overarching summary of our fiscal year 2016 request. I will follow this summary with a discussion of specific budget items of particular significance to you and the Department.

The Department's fiscal year 2016 request totals nearly \$379 million and represents an overall increase of 8.9 percent, or nearly \$31 million over the fiscal year 2015 enacted funding level of \$348 million.

As with other law enforcement agencies, personnel salaries and overtime represent the majority of our budget each year. As you know, we are a service organization, and we need dedicated and trained professionals to provide that service.

The Department's fiscal year 2016 personnel request reflects our continuous efforts at all levels of management to effectively and prudently manage our existing resources to achieve the best possible balance of staff versus overtime to meet mission requirements. We are constantly analyzing our workforce to align job functions, assignments, workload, risk management, and organizational readiness along with the ever-changing threat assessments and mandatory mission requirements within a dynamic environment.

In light of the fiscal constraints of the Department and the entire Federal Government, our fiscal year 2016 request again only includes funding for 1,775 sworn and 370 civilian positions. These are the staffing levels funded during fiscal year 2015. While the staffing levels remain static in the fiscal year 2016 request, the funding request represents an overall increase of approximately 7 percent over the fiscal year 2015 enacted level. This increase is necessary to address the natural salary increases incurred by the Department, and increased overtime costs to meet our needs, especially for the 2016 presidential conventions.

As you are aware, the Department's current sworn staffing levels do not entirely provide the necessary resources to meet all our mission requirements within the established sworn officer utility or the number of work-hours in a year that each officer is available to perform work. This "utility" number is used to determine overall staffing requirements, and balances the utility of available staff with annual salary and overtime funding along with known mission requirements such as post coverage, projected unscheduled events such as demonstrations, late sessions and holiday concerts, and unfunded requirements that occur after the budget is enacted, such as unforeseen critical emergency situations. Because of the need to fill the mission requirement gap through overtime, the Department has struggled to pull our sworn personnel offline to conduct training. In order to achieve mandatory training, we must utilize overtime to ensure that the officers may be offline for training, while meeting our daily mission requirements. There are flexibilities in other law enforcement agencies in offsetting or deferring daily requirements to allow for training that our unique mission does not afford.

Thus, mission requirements in excess of available personnel must be addressed through the identification of efficiencies such as post realignment and/or reductions, technology, and cutbacks within the utility. Where necessary, we meet this requirement through the use of overtime. The Department is currently in the process of implementing an automated scheduling system to find more efficiency through information-based management, while developing training and guidance for supervisors on methods for reducing overtime. Once fully implemented, this will result in en-

hancements to a number of policies and procedures that have a direct and indirect impact on our overtime needs. At the requested funded staffing levels, the Department's fiscal year 2016 overtime projection is \$30.9 million. This amount will cover base mission requirements, the conventions, our support of non-reimbursable events at the Library of Congress and the ability for sworn employees to be backfilled while they attend necessary and mandatory training.

The second area I want to cover in some detail is our requested general expenses budget, which includes protective travel; hiring, outfitting, and training of new sworn personnel; supplies and equipment; management systems; non-personnel presidential convention support and other non-personnel needs. We are requesting \$71.4 million for general expenses, which is an increase of \$10 million over the fiscal year 2015 enacted level. No new initiatives or program increases are included in this request. The increase results from normal increases in operating costs, convention costs, the cost to life cycle key items and routine equipment and systems, and the restoration of annual levels reduced in previous fiscal years to meet regular Department needs.

With resources provided to the Department, our officers provide a safe environment for the facilities of Capitol Hill. For the U.S. Capitol Building alone, we provided a secure and open environment for well over 1.5 million square feet, over 600 rooms, approximately 850 doorways, and miles of corridors; which speaks to the vast magnitude of our mission and how our ability to remain agile and prepared to respond is key to the accomplishment of our mission. In fiscal year 2014, the Department performed over 9.6 million screenings of people entering congressional buildings (including over 1.4 million visitors to the Capitol Visitor Center). Outside the buildings we kept the Capitol grounds safe by conducting more than 125,000 K-9 vehicle sweeps and nearly 27,000 offsite vehicle inspections.

For the fifth year in a row, the Department has implemented uniform procedures to effectively measure and justify U.S. Capitol Police planning, program, and resource requirements through a comprehensive, standardized, and repeatable management process, which we call the "Force Development Business Process." It provides for a transparent decisionmaking process, including reviews and approvals by an Investment Review Board made up of key agency management, and provides a structure that is results-driven and based on meeting operational needs. In addition, in order to ensure the accuracy of our budget request, our fiscal year 2016 budget went through multiple layers of review and validation, and is traceable to supporting documentation for each budget element.

Further, we continue our work to close audit recommendations and to address our material weaknesses from prior audits by working closely with our Inspector General and the Government Accountability Office to address identified issues and by providing the evidence necessary to close findings. In particular, I am pleased to report that the Department received a fourth consecutive unqualified "clean" opinion on our financial statements. Also in fiscal year 2014, we have worked closely with the Office of Inspector General to close 29 recommendations and have completed actions that we believe could lead to closure of another eight recommendations. Also, the Department successfully closed all findings from outstanding GAO reports and closed four complete OIG audits that have been open since 2008. Further, we are working on the resolution of a number of other recommendations in order to achieve efficiency and effectiveness of our administrative programs. The long-term resolution of recommendations related to internal controls, business processes and material weaknesses remains of the highest importance to our management team.

I am grateful for your time today. We will continue to work closely with you to make sure that we meet the needs of our mission in a reasonable and responsible manner. I want to thank the women and men of the USCP for their commitment to our mission and their support. I appreciate the opportunity to appear before you today and would be glad to answer any questions you may have at this time.

Senator CAPITO. Thank you. I thank all three of you for your testimony, and I join the voice of my ranking member here in thanking you for what you do for us every day and the general public and really for the country. So I want to make sure I get that on the record as well.

I want to begin with questions for the Secretary of the Senate. You have asked for a request to upgrade the Financial Management Information System (FMIS). But as I understand it, you are going to have 6 years of budget requests to get you fully up to speed. In my view, 6 years is a lifetime in any kind of computer

programming or software, and my concern is—and I am wondering if you have the same concern—is it possible by the time you get to full implementation, you are behind the curve again? What would your comments be on that?

Ms. ADAMS. That is a good question. I think anytime a 6-year project—certainly that does probably raise some eyebrows. But our team, our planners have really done a lot of their homework to put this plan into place. And the software that we will procure will be software that will still work when it is fully modernized. They will be purchasing the stuff that is in production. While we are moving through the phases, if they know that the third phase has gotten new software that we will need, they will make sure that it is the most current form that is available. And we will all be supported when we are done. But I understand. Six years does sound like a long time.

The benefit of doing it over 6 years, though, is truly—I want to make sure all the stakeholders that use FMIS have a system that works in the end that truly works for them. And by jamming it in in a shorter period of time, my concern is that we will not meet all the needs of the Senate in that amount of time. The shortest amount of time that we could do this in would be 3 years, and that would really be pushing it. We would likely need to add some additional full-time equivalents (FTE's) to that in order to support it, and there would also be some stuff for them on the Sergeant at Arms side in terms of their support. Making sure that we have staff that is up to speed and that they can support it when it is done, the 6 years gives us the time to get staff up to speed so that when it is done, we are not having to use contractor support and we have more internal support.

Senator CAPITO. So basically the 6-year timeline, if you were to squeeze it down—that was going to be my next question. Can you get it done in 3 years? Can you get it done in 1 year? Basically you are telling me that is not the advice that you are—

Ms. ADAMS. It is not the advice that our folks that have done all the planning—they have looked at other Federal agencies that have systems to see how long do these sort of things take to implement. And, you know, 3 years is really pushing it. That would be the minimum number that we would be able to.

Senator CAPITO. Well, maybe this time next year, when you have implemented the first year, we can return to this question because I think it is something that we want to make sure we are modernizing to the point where it actually is modern at the time that it concludes.

Ms. ADAMS. I agree. I agree.

Senator CAPITO. I would like to ask the Sergeant at Arms. You mentioned your priorities, safety and security, cyber health, customer relations, preparedness and partnerships. You know, just a general question about number one on the safety and security issue. Obviously, there are threats everywhere. What kind of coordination are you doing in terms of being able to assess what a terrorist threat to the Capitol is? I mean, I am probably the only one of the five of us—well, maybe Julie was here. I know you were in DC at the time on September the 11th. And I understand you were in New York City. You know, as time has gone on here on

the Capitol complex, I know we still have the heightened awareness of that. But are the threats more, less, or without being too specific, could you give us an idea of where you see these threats presently on the Capitol complex itself?

Mr. LARKIN. Absolutely, Chairman.

The threat picture right now is very dynamic. And again, I think that you can look at the information that we are getting from the media and also from companion testimony from other Government leaders up here on the Hill recently. We are in an environment where we have a full spectrum of threat that not only encompasses what we have seen overseas associated with al Qaeda, ISIL, ISIS, and others, but then we are seeing more and more here on the domestic front where we are encountering self-radicalized or self-motivated individuals. And some of these individuals are in communications with folks outside our domestic environment, again taking direction, somewhat supported either financially or with information resources. And then there are others that are fully independent, and they are the ones that remain the toughest target in the sense of identifying them in advance of some type of act that they would like to perform.

The only way that we are going to be able to stay ahead of this is, as you alluded to, close communications and coordination with our Federal partners and in some cases with some of our trusted allies who, again, are dealing with much of the same challenge, both with their assets overseas and their own homelands. We are in daily contact with the intelligence community. We are in daily contact, again, both with the House Sergeant at Arms Office and the U.S. Capitol Police, with our law enforcement partners, the FBI, Secret Service, Park Police, the folks that are generic to the Capitol campus but we are also in touch with law enforcement agencies that have a nexus to each of the member offices in their respective States of jurisdiction.

And again, as we see telltales or indicators that something is not right, we are very aggressive in pursuing and getting to the bottom of exactly what is taking place. And together with that is being able to get effective notifications out to members and staffs and so forth so that they have a level of awareness that we are working something, that we have got it contained, or its in motion and that they need to, along with our assets, increase their vigilance.

Senator CAPITO. Thank you and thank you for that. I think the communication is much improved over what it has been, and I think that is something that we need to keep on top of.

U.S. CAPITOL POLICE MORALE

To the Chief, we talked just briefly as I came in. We talked about the situation last night in Ferguson with two police officers being shot, and I do not know what the details of that are now but it certainly is a tragedy for everybody.

And I know that there have been some morale questions for the Capitol Police. Certainly the greater question of law enforcement in general—you have been in this field for decades. We are having sort of a national discussion. Are you finding within the Capitol Police these same kind of pushes and pulls between the general pub-

lic and law enforcement? What is your perspective on that? And how do you perceive the morale of the Capitol Police right now?

Chief DINE. Well, to the first part, the pushes and pulls I think that law enforcement face across the country sort of highlight the uniqueness of the U.S. Capitol Police. We are essentially an amalgamation of multiple law enforcement agencies rolled into one. A lot is asked of our agency, and it highlights the importance that we maintain the nimbleness and ability to confront all types of threats and issues as we provide safety and security throughout the Capitol complex. That is very critical. We are kind of a combination of an urban department. We do investigations. We do a lot of intelligence work, and we have continued to raise the bar as it relates to intelligence. The challenge is pushing that type of information out to our entire agency so that we can continue to provide safety and security not only here but to member offices, deal with threats, and investigations. Obviously our checkpoints and our doors are critical, which is why the training is so important to our agency, and we appreciate the support you provided us.

One of the unique challenges that we face is training. Unlike more traditional agencies, when we provide training to our officers, we have to take officers offline and then use overtime to fill those back positions. More traditional departments can significantly change the level of staffing out in the street from day-to-day and tour-to-tour. Part of that points then to my mission of making sure that our agency from top to bottom is cohesive, that we have a cohesive management team that understands the mission that we face and those nuances and the uniqueness of who we are and what we do. I think that relates often to the morale piece. It is imperative that we understand that we are one police organization that is more important than any one individual, that we understand what our roles and responsibilities are, and the more and better people understand that, which is my role as Chief of Police to make sure the management team and all of our leaders and managers and officials within the agency are a cohesive team. And in that way, we can best address the morale.

Senator CAPITO. Thank you.

PERCENTAGE OF FEMALE OFFICERS

Just a real quick question. Then I will ask my ranking member. I want to get on the record, Chief—I asked you when I was over at your headquarters what percent of your force is female. Could you put that on the record for us?

Chief DINE. Yes, ma'am. We are proud of the fact that it is about 18 percent.

Senator CAPITO. I think you are doing better than the Senate.
Senator Schatz.

POTENTIAL IMPACT OF SEQUESTER LEVELS IN FISCAL YEAR 2016

Senator SCHATZ. Thank you, Madam Chair.

The Budget Control Act imposes spending caps that were designed to limit discretionary spending. And I support and many others support adjusting those caps to a more responsible level, which would be closer in line with the request your agencies have made to the subcommittee.

The cap in place for fiscal year 2016 would provide a .2 percent increase over the 2015 level. Yet, today we are examining an increase of almost 9 percent for Capitol Police, 4.4 percent for the Sergeant at Arms, and 9.6 percent for the Secretary of the Senate. And I should say I find these increases to be totally reasonable, but not fundable unless we deal with the sequester.

Chief Dine, the adjustments in the Budget Control Act (BCA) caps in fiscal year 2014 and 2015 allowed your force to restore the number of sworn officers protecting the campus to pre-sequester levels and allowed the force to reinstate training that had been canceled under sequester. And I understand you were able to put all of the officers through active shooter training. I am worried that these activities will be difficult, if not impossible, to afford if we go back to the sequester. Your budget request includes \$17.4 million just to maintain the current number of officers, plus an additional \$13.5 million for critical back-of-the-house support such as replacing 35 computer servers that are past their warranty.

So, Chief, if the budget for the Capitol Police was limited to the current sequester levels, would you have to reduce the number of officers on patrol, and what would happen to training?

Chief DINE. Yes, sir. Thank you. I think there are several key points.

Our fiscal year 2016 budget request includes approximately \$5 million of a one-time costs for the protection we provide for the presidential conventions that was not part of the fiscal year 2015 budget. This is a longstanding function in which we engage every 4 years and does require additional funds primarily for overtime and travel costs. Nearly \$2 million in overtime and \$3 million in travel costs go to fund these activities.

Secondly, the enacted level of the fiscal year 2015 budget for salaries is less than the amount needed to fund the fiscal year 2016 to fully fund, as you noted, the 1,775 sworn and 370 civilians' overtime and training costs. There are increases in salaries due to normal salary increases for the existing staff, annualization of the 2015 living increase, increases in benefit costs, and also the additional day of pay due to leap year in fiscal year 2016 that are not matched over fiscal year 2015.

If the funding levels for fiscal year 2016 are to be frozen at the fiscal year 2015 levels, it will require us to absorb the above increases in salaries and the one-time presidential convention costs. We projected that will force us to reduce our staff by approximately 250 people, which is significant. In addition, we would have to cancel necessary training for the planned officers and, as we discussed, training for our department is critical in all phases.

This type of reduction in staff will force us to reduce—curtail coverage in critical areas impacting the normal functioning of the Capitol complex such as reduction or elimination of mission support to minimal levels, reduce protection and coverage of the congressional leadership, reduce threat validation significantly, reduce post coverage, and an inability to potentially provide coverage for certain response capability and services. It may also affect our hazardous material and hazardous device responses.

Obviously, what will be required and what we continually do is to work with our stakeholders to make sure the required reductions

take place without creating significant security issues. These reductions will result in impacts to access and convenience areas throughout the complex, however.

Senator SCHATZ. But there would be fewer officers on patrol, less money for training, if any money for training.

Chief DINE. Yes, sir.

Senator SCHATZ. And as a result, fewer doors and less training. That is just as a starting point.

Chief DINE. Yes, sir.

Senator SCHATZ. Thank you, Chief.

Mr. Sergeant at Arms, assuming flat funding for 2016, would the Sergeant at Arms Office have to delay the requested upgrades for the IT systems, or would you be able to make adjustments in other places?

Mr. LARKIN. Senator, first of all, I think you have to look at your question in two prongs, at least from the Sergeant at Arms. One is the personnel and the other is non-personnel expense.

With regard to personnel, we could probably absorb that strain internally, and part of that is due to the fact that we have an ongoing effort right now to look at our job tasks and our personnel that are matched against those job tasks to see if they are still relevant. And in some cases, we are re-engineering and repurposing our personnel as we see evolutions in technology where the technology can take up for some of the FTE work, applying that, and balancing that, and it is an ongoing process.

The other aspect of the personnel is that we are converting some of our contractor positions over to Government positions, which then yield savings to our bottom line.

Now, on the equipment side—and they are both linked—is that we would have to prioritize our equipment investments and certainly our refresh and either extending our refresh out, which is sort of the situation that we were in here about 2 months ago where because decisions were previously made to extend the refresh of equipment, we found ourselves challenged one night, as you are well aware. And we were able to quickly recover, but yet it certainly brought to everyone's—to the forefront what can happen when a critical component fails unexpectedly.

Now, what I feel will suffer is—and again, this is about prioritization—extending those refreshes, potentially pushing other equipment change-out or software change-outs further out to other budget years. What I think would suffer would be innovation. And again, I go back to some of the technical advances that we see allow us to create a level of increase in efficiencies and savings that I think that would also suffer. So we would wind up in that do loop of trying to keep our lips above water and support the Senate effectively.

Senator SCHATZ. Thank you.

And, Ms. Adams, I assume under the BCA levels, you would have to delay the upgrade of your financial management system?

Ms. ADAMS. Yes, Senator, we would.

Senator SCHATZ. Thank you very much.

PREPARATION FOR POPE FRANCIS VISIT

I have a quick question about the preparation for the visit of Pope Francis this September, and if you could just briefly talk, each of you, about how you are preparing for it just operationally. But the other question I have is do you bake in an assumption about visiting dignitaries, or is something on the order of magnitude of Pope Francis visiting—you are not able to kind of regularly account for it in your annual budgeting process? Is this going to be a hit to your budget, or can you absorb it? That is one question.

The other question is what you are doing operationally to make sure it is smooth and safe. Maybe starting with the Chief.

Chief DINE. Yes, sir, thank you.

Our Office of Administration estimates the costs for these types of events, based on the requirements that are provided by our operations, and those costs and the planning around those costs is based on a risk/threat, available intelligence, and appropriate response and duration of those types of events obviously.

Normally we project a certain number of hours to be used for these types of unscheduled events. Usually it is about 20,000 hours. But that is based on the events that we know of, such as Congressional Delegation trips (CODEL's), known protests such as the annual national grass-roots organization of disability rights activists (ADAPT) type protests and other special events that normally occur during the year that cannot be projected for any type of pay period. The demonstrations and anticipated activity resulting—as you mentioned earlier, surrounding things like Ferguson, the Concert of Valor which took place right next to us this past summer, the Israeli prime minister visit, and the Pope visit later this year—those were not anticipated, and those are in excess of the 20,000 hours that we currently budget. It is a combination of fluidity in terms of us budgeting for those types of events which we know about and can foresee and project and those that are not.

For example, the Ferguson west front event required the deployment of our civil disturbance unit, utilizing approximately 2,500 hours of overtime and associated enhancements and then we had to continue those. The papal visit will be significant in planning and scope, similar to an inauguration or perhaps even surpassing that. We anticipate very, very, large crowds all during that day, much earlier than prior to even before the Pope coming up to the Capitol, lining all the streets. It is a huge and very significant event.

Now, we do a great job. Our officers do an outstanding job working with the law enforcement community both here in the region and across the country. We work in the field with them seamlessly, and as you know—you have been to our command center. During those major events, if one came to our command center, you would see all of our partner agencies there working with us. But that is a huge event that goes above and beyond our budget.

Senator SCHATZ. Thank you.

Mr. Larkin.

Mr. LARKIN. Thank you, Senator.

For the events that we know that occur each year on the calendar, again, they are easy to forecast and provide a projection. It is for these events that, again, occur out of cycle from our budget cycle where, again, we can take a hit financially on the amount of resources that we have to apply to effect support for those visits, the papal visit being a good example.

Right now, it appears that we are in a good place. However, we do not know what we do not know. They are actively planning. The State Department is working with the Vatican and also local resources here to really scope what that visit is going to entail. The Metropolitan Police Department, a great department, is one that we have a great relationship with them. But the fact is no one police department in DC can lift the strain of this visit alone. So it really requires a significant mutual aid effort that not only involves the departments here in the District of Columbia but also involve outside resources. And all those resources need to be coordinated, need to be supported in order to address what we fully expect to be a mass of humanity that will show up for this event. I have been involved in a number of papal events and have protected a number of Popes, and it is unlike any other—the closest comparison would be an inaugural. But this will go over and above an inaugural.

In addition, depending on where he goes on the eastern seaboard, we could very well be asked to contribute personnel to other cities such as Philadelphia and New York just by virtue of the fact that our police officers here, our departments here are very familiar with these type of events, and as his events take place in other cities, there could be a mutual aid request to send and deploy forces there in support.

Senator SCHATZ. Ms. Adams.

Ms. ADAMS. We do not anticipate any new costs for the Secretary's Office. Our involvement in events—you know, so far I have only participated in a couple of these with the State of the Union and the most recent visit by Prime Minister Netanyahu. But our Office of Interparliamentary Services will work with the Sergeant at Arms Protocol Office, but there should not be any new costs that come to our office.

Senator SCHATZ. Thank you.

And we here want to make sure that this is successful and seamless and safe. And then on the budgeting side, on the appropriations side, maybe we can at least stay in touch to see—I know it is going to be a moving target, but I would sure hate for the chair to be surprised next year about a shortfall. But there is no reason to do anything less than everything that is necessary to make sure that everybody, including and especially the Pope, is safe.

DRONES AND DEFENSE TACTICS

Chief Dine, I have a question about drones. Last month, drones were spotted flying all over Paris, hovering over the Eiffel Tower. We know that a hobbyist voluntarily admitted to flying over onto White House grounds. The Federal Aviation Administration (FAA) has released proposed drones regulations, setting some restrictions, but largely allowing private drone use. And without getting into a classified conversation or any of your operational plans, I would just like you to talk a little bit about how you are ensuring that

the Capitol Police have the latest and best information on drone capabilities and potential defense tactics.

Chief DINE. Yes, sir. Thank you.

The Capitol Police actually has had an airspace coordinator for the past 12 years, and we actively work with other law enforcement partners on a variety of issues, including the challenges we face regarding the unmanned aerial vehicles, or UAVs. In fact, 2 weeks ago, U.S. Capitol Police facilitated a meeting with over 20 law enforcement agencies regarding drones, and the meeting focused on four key areas: the general issues and concerns with these types of UAVs, the current laws that each agency follows and would use to prosecute such types of events—and we actually had people from the U.S. Attorney's Office, local prosecutors at the meeting as well—the types of tools for responding to these kinds of challenges, and lastly, the development of a common and consistent message to the community because that is also important in terms of educating our community about these types of vehicles and what would be legal and not legal. Of course, we discussed a number of other related aspects.

We do work with all of our law enforcement partners on a daily basis in coordination not only regarding UAVs but a variety of other airspace issues. We are very plugged into this issue because of the fact that we have had an airspace coordinator, and you are familiar with some of the capabilities we have in our command center. This unique challenge is something that we need to stay on top of consistently and be plugged in at the highest levels with all of our partner agencies to make sure that we have the capability and adaptability and nimbleness to respond.

Obviously, as it relates to the specific tactics and approaches, I would be glad to meet with you in a private forum to discuss some of the capabilities and things that are being looked at more specifically to combat these types of things. We are very plugged into the issue and aware of the challenges that they bring.

PUBLIC ACCESS POLICIES AND PROCEDURES

Senator SCHATZ. Chief Dine, I want to ask you about the unique mission that the Capitol Police have to contend with, arguably different than any other police force, which is the foundation of American democracy, access to citizens and staff and the press to the Capitol campus. And yet, you have an incredible obligation to protect the members and the staff and the citizens.

And I understand almost 10 million people last year came through the doors, and these are a lot of different doors. Each entry point is unique and traffic volume fluctuates, and some are mostly visitors. Some are members. Others are staff and advocates. But it is an incredible challenge to balance those two things leaning heavily on the safety and the security side, but understanding that you still have to move people efficiently and that a lot of times this is someone from some other State and their only time in their life to really be in the midst of American style democracy in this particular fashion. So I recognize the challenge that the force has and that your officers have.

How do you ensure what policies and procedures and what training do you have in place to make sure that you have alert officers at all times throughout their shifts?

Chief DINE. We do a number of things. We rotate officers through their posts. We give them a number of breaks. One of the things that we have been doing much more aggressively, as I alluded to earlier, was pushing out key pieces of intelligence information. It keeps them focused and alert and cognizant of the various types of challenges that we face.

As you mentioned and as I mentioned earlier, we are kind of an amalgamation of multiple types of agencies, and we take very seriously and are very proud of the fact that we are protectors literally of the democratic process, but we are also ambassadors. Our role as America's police department is such that when people come to the United States Capitol from all over the world, we want, when they see our officers who are often the first faces that they see when they come here and often the last face they see, that they have just encountered the best in American policing. That is what we want them to believe and feel and see when they see us.

The alertness of our officers is critical. The various types of threats that we face as they are moving people around this very open campus, as we know, is quite a challenge, and obviously it is imperative that our officers are alert and on watch 24 hours a day, 7 days a week. We engage in all those types of activities to make sure that they are in that mode.

CELL PHONE POLICY

Senator SCHATZ. What is your policy on cell phones?

Chief DINE. We have a policy, obviously, that precludes folks from not paying full time and attention to their duties while they are on their posts.

Senator SCHATZ. Is it a general prohibition on being distracted, or is there a specific reference to use of smart phones and cell phones?

Chief DINE. Both, but we do give phones to our officials and some officers have phones, but we want them to refrain from using them while on post. As you know, we moved forward last year, thanks to your support, with our new radio system which is working splendidly. We want them to utilize a police radio if they need to call for relief or call for a supervisor or need to make an emergency phone call or deal with some type of thing where they need to go offline. Officers have the capability and adaptability to do that through our police radio, and then obviously, they can get a break and make a phone call. But it is imperative based on the significance of our role that they are paying full time and attention.

Senator SCHATZ. Thank you very much.

Thank you, Chairwoman.

Senator CAPITO. Thank you.

I would like to ask a few more questions if the panel will bear with me here.

I would like to talk to the Sergeant at Arms on the IT upgrades. You mentioned just briefly—but we did have the outage in January where the Senate system—the whole network I think—went down. And you mentioned that the \$13 million increase for this coming

year would go a long way to help to prevent something like that happening again. Could you speak to what happened and what this upgrade would do to prevent something like that happening again?

Mr. LARKIN. Yes, Chairman. Essentially we had a significant switch failure at our primary computing facility that was due for an upgrade during the February recess. However, it failed in January. No other explanation other than that.

Senator CAPITO. Was that upgrade in the budget for last year?

Mr. LARKIN. It had been considered for upgrade a number of years ago, but because of some of the budget pressures, a decision was made to push out the refresh, which goes back to Senator Schatz's question about the effects of squeezing our budgetary line.

The source of the shutdown has been clearly identified. The new hardware has been installed and is currently being tested and is due for switch-over very shortly. And we expect that as far as this type of scenario occurring again, we have mitigated it with a high degree of confidence. In the event that we have—again, I do not want to say a similar incident, but an incident that challenges our systems the way we were challenged in January, we will have a seamless switch-over to our alternate computing facility without interruption to services.

Senator CAPITO. Thank you.

I am going to kind of wade into something here. Another topical question in front of us today is the use of official or personal email accounts to conduct business. I guess I am unclear as to who sets the policy here for the Senate and what policy exists. I mean, I think this is something that we need to clarify. Is that something that falls within your domain at the Sergeant at Arms?

Mr. LARKIN. Chairman, I will have to get back to you, again, with a clear answer on that. Again, obviously, with what has occurred recently in the news, it has drawn attention to this. There are policies in place. I would like to get back to you as to the source of those policies and how well they are defined.

Senator CAPITO. Okay, because I am speculating, obviously, that if you are going to guarantee the security of the networks of the Senate.gov, that does call into question where is the security of personal emails. It is not an uncommon practice to have two accounts. So I would like to follow up on this. I think it is a discussion we should have here.

HEARING SECURITY

And one other thing for you is—and you and I have talked about this. There was an occurrence in one of the subcommittee hearings right after you took the job, where there was a call to question as to the security that was provided to the Senators and the witnesses that were testifying because of some protestors in the room.

I mean, having been in several meetings where this has occurred, many times folks who want to verbally protest or wave signs will prepare the panel and the Capitol Police and say this is what we plan to do. We want to have our protest. And normally you can contain that easily, and then most of them will then exit the room or sit quietly for the remainder of the committee hearing.

But in this case, it sounded like it sort of got out of hand. The timeliness of the reaction was questionable. I know Senator McCain was very upset by what had happened in his committee.

So I guess both of you would probably be appropriate to answer this, but I would like to give you as Sergeant at Arms, because you and I have talked about this, what kind of protocols you are putting into place to try to alleviate that situation.

Mr. LARKIN. First of all, Chairman, the McCain incident was underwhelming and ineffective response, which drew the attention to the fact that we have high profile hearings that occur almost daily on this campus. It motivated a look at our procedures. It also created an opportunity to get together with the new committees and ensure that everybody was in sync with the committee processes and how to deal with these scenarios, should they occur. The Capitol Police was very much involved in that effort, along with the Sergeant at Arms and the Secretary's Office, again, to ensure that everybody was operating on the same playing field and understood what the expectations were as far as conducting a committee hearing or, for that matter, conduct that would be inappropriate in a member's office by one of these groups that would show up unannounced to voice their opinion.

There was significant focus on not obstructing their free speech. However, as you alluded to, we accomplished getting with these groups in advance of these hearings clearly outlining what was appropriate behavior and what was not appropriate behavior and then informing them as to what the consequences would be.

Personally I directed the Capitol Police department as the Chairman of the Police Board that anyone that is to be removed from a hearing room for inappropriate behavior, whether it presented a safety issue or a security issue, would be arrested.

Senator CAPITO. Is that a new policy?

Mr. LARKIN. That is a policy that had been exercised in the past. However, I clarified that policy so that there would be no misinterpretation as to when it would be enforced. And we, again, got together with the committees, informed them of that.

Since these new processes have been in place, we have not had any problems. We have had incidents, but they have been quickly brought under control. Folks who have elected to voice their opinion about various subjects have been allowed to do so, but then when they have been warned, they either comply or they are removed from the hearing room.

Senator CAPITO. Chief Dine, did you want to make a comment on that?

Chief DINE. I can echo those remarks from the Sergeant at Arms. Our response that day was not acceptable and not up to our high standards. It did allow us to work with the Sergeant at Arms and his staff and all the committees to highlight further the communication between us, the Sergeant at Arms staff, and the committees so we know ahead of time the expectations of all parties.

We generally do an outstanding job at liaising with these groups. Almost on a daily basis we protect the First Amendment and the people's right to be heard up here. As an agency we take that very, very seriously and, frankly, are very proud of the manner in which we do that. That being said, the work of the Congress

must go on uninterrupted, and when we need to take action, we need to do that.

It allowed us to formulate some better training, working with our General Counsel's office who provides us outstanding assistance. We actually are providing scenario-based training so our officers and officials are extremely confident when they are in these types of situations in terms of what actions to take and what different laws apply. As Mr. Larkin said, they do that on a daily basis very well generally. It allowed us to strengthen the communication, the training, and the clarity about which we want the officers to act.

Senator CAPITO. Well, thank you.

USCP OVERTIME

I am going to ask another budgetary question here. I understand that striking the best balance between the cost of on-board officers and the cost of overtime has been a persistent struggle for the Capitol Police. The projected overtime costs for fiscal year 2016 are \$30.9 million, and the budget request maintains, as we have said, the current officer strength at 1,775.

So I am curious to know from the leadership's perspective, both Chief Dine and Sergeant at Arms as chairman of the Capitol Police Board, where things stand today. Is this the best we can do? Is it possible to drive down overtime costs, or does maintaining the 1,775 officers mean that we will always have a \$30 million cost of overtime? Chief Dine?

Chief DINE. Yes, ma'am. Thank you. I think there are a couple key points that relate to this question.

The first one being the mission requirements of the department significantly exceed the staffing levels we have. There will always be the necessity of overtime.

Senator CAPITO. Could I ask just a quick question here? Because you and I talked about this. Your staffing level is at 1,775. You are authorized for more officers. Correct? Or is that your statutory limit?

Chief DINE. We are authorized 1,800 sworn positions.

Senator CAPITO. 1,800?

Chief DINE. Yes, ma'am.

Senator CAPITO. Okay. Continue. Sorry.

Chief DINE. What is asked of the agency has historically exceeded our ability to do that without overtime. Our requirements just exceed the staffing levels we have. There always will be some use of overtime in certain situations like this, and often it is more practical than having excess capacity. It frankly makes us more nimble in a lot of ways. However, there are additional fiscal year 2016 overtime costs related to the conventions.

The other key point that I mentioned earlier was part of our overtime cost relates to training needs because we have to backfill people when we take them off line for training, which is a little bit different than most other departments would operate.

We obviously work continually with the Capitol Police Board to determine that balance, to try to strike that correct balance between overtime and what we request in a given fiscal year. If we were to ask for more officers ever in the future, it would still not offset overtime for that year because of the time it takes to get offi-

cers on board. I mean, that is sort of a hypothetical answer. It takes about a year to get full utility from officers even when we hire them. I have obviously directed our COO and CAO to continually monitor overtime costs and strike that best balance between where we are fiscally with the use of overtime and the number of people we have on board.

Right now, we are not at 1,775 either. We are always striving to get to that number.

Senator CAPITO. Where are you right now?

Chief DINE. Probably around 1,730 or——

Senator CAPITO. Is that built into your budget that you are 50 under?

Chief DINE. Yes, ma'am. The budget is built to get to 1,775.

So it is a constant, I guess, striking that best balance between staffing and overtime. And as I mentioned, the overtime amount for what we are requesting is almost \$2 million for the conventions and training is about \$1.5 million.

Senator CAPITO. Sergeant at Arms, do you have a comment on your overview? And I am curious to know, do you have overtime in your department? Do you pay overtime on your budget?

Mr. LARKIN. There is some overtime components, but it is for particular employees that are working in like our parking areas and some of the other, what I would say, ground support activities.

Senator CAPITO. So what comment would you make in terms of the \$30 million overtime at the Capitol Police?

Mr. LARKIN. Well, first of all, as chairman of the Police Board, it is incumbent upon me and the House Sergeant at Arms and the Architect who make up the Police Board to provide effective oversight on this overtime issue. Fortunately, my deputy with his extensive appropriations background has been invaluable in the examination of the police budget and the overtime factor.

I think this is going to be an ongoing challenge as we try to adjust the force to the threat conditions that challenge the Capitol and also for the no-notice or those activities that are not planned for or budgeted for in advance.

I will say, Chairman, that one of the things that continues to haunt the force and our staffing is the discussion about opening up doors. That does not come without a cost in human resources and a financial cost, let alone a security challenge that it presents to our armor, so to speak.

Senator CAPITO. One of my colleagues just hit me the other day. They ought to reopen that door, the one down at the——

Mr. LARKIN. Well, I can understand. You know, security is a balance between what is effective against a threat, you know, applying some common sense and reality as to how we can effectively defend against a threat. And I am not talking about goal line defense. I am talking about getting out ahead of the threat, getting to it early so that we mitigate, minimize any destruction. But you got that dynamic tension between that and inconvenience. And there is also a factor of perception. In other words, does your perception of security and a secure environment match the functional security against that threat? And obviously, if you are close to an incident such as 9/11, then you have a high expectation for security. You kind of trade off a lot of the inconvenience that comes with secu-

urity. The more you move away from that date, then you see that pressure. But you have to accept that you also potentially are putting yourselves more into a vulnerable position.

Senator CAPITO. Right. Thank you.

Senator.

Senator SCHATZ. Thank you.

Senator CAPITO. Well, I think I have no further questions. And this concludes the Legislative Branch Appropriations Subcommittee hearing regarding fiscal year 2016. I want to thank the Secretary of the Senate, the Sergeant at Arms, and the Chief of the Capitol Police. Thank you each for your testimony and your frankness in your answering questions.

ADDITIONAL COMMITTEE QUESTIONS

The hearing record will remain open for 7 days, allowing members to submit statements and/or questions for the record which should be sent to the subcommittee by close of business on Thursday, March 19th, 2015.

[The following questions were not asked at the hearing, but were submitted to the agencies for response, subsequent to the hearing:]

QUESTIONS SUBMITTED TO HON. FRANK J. LARKIN

QUESTIONS SUBMITTED BY SENATOR SHELLEY MOORE CAPITO

Question. Does the SAA currently utilize, or plan to implement, a cloud computing based information technology infrastructure to operate and deliver programs to the public?

Answer. The SAA is not currently utilizing a specific cloud computing based IT infrastructure, however, the Senate is already utilizing multiple separate cloud services primarily focused on public access to information. We are taking advantage of cloud services where they make the most sense for our environment, including: Committee Video Streaming; Senate.Gov Website Serving; Web development tools/code repository, Application Platform as a Service, Document repository, Document Sharing; Office File Storage, Synchronization, & Collaboration; Social Media; Senate Floor Video Streaming; Live Video Streaming; Video Streaming; Social Media Archiving; Geographic Information Services.

Cloud Computing is a very general term that encompasses a large number of service types that are frequently very complex. The SAA is continually researching and evaluating these services and taking advantage of them whenever the benefits to the Senate and/or the public are clear and measureable. The SAA fully expects to be utilizing more and more cloud services as we move forward.

Question. Are there particular IT applications like e-mail, disaster recovery, analytics, or other programs that SAA would consider moving to cloud computing?

Answer. The SAA has an ongoing Cloud Computing Research and Evaluation initiative with the goal of making recommendations regarding cloud computing strategies for the Senate. The scope of this initiative includes currently available public and private cloud services and will evaluate all IT services provided by the SAA with respect to them. Nothing is off the table from an IT perspective, however, there are many other considerations such as data custody, data security, cost, reliability, and performance, just to name a few.

Question. With today's mobile workforce, how does SAA provide availability, while ensuring data governance and security?

Answer. The SAA provides Mobile Device Management technologies and on-campus wireless network access to offices, which we use to apply fundamental security controls. Additional security controls are under the purview of the office system administrator. Although the SAA does not have authority to control or view the data transmitted, stored, or processed on these devices, we nonetheless offer training and guidance to offices on how they can best secure their information.

Question. What are SAA's plans to leverage technologies like data or video analytics, to provide more proactive security measures on Capitol Hill?

Answer. The SAA works with the U.S. Capitol Police and our Federal law enforcement partners to research and examine various forms of new technology that show

potential for use as security multipliers on Capitol Hill and the member State offices. These forms include data or video analytics as well as other technical security methods. The SAA will continue to consider new technology, their associated deployment capabilities and costs, as they relate to mitigating current/relevant threats and risks.

QUESTIONS SUBMITTED TO HON. KIM C. DINE

QUESTIONS SUBMITTED BY SENATOR SHELLEY MOORE CAPITO

EXPENSES ACCOUNT

Question. The requested increase includes \$1.4 million for Government support services from the National Finance Center and the creation of an in-house capability for applicant testing and background investigations. It appears as though you are proposing to contract out for something that could be handled within the Department's Office of Human Resources, while at the same time you are proposing to create an in-house capability that would make more sense to contract out. Please explain why the Capitol Police needs to purchase support services from the National Finance Center and create an in-house capability for background investigations.

Answer. The \$1.4 million budget request is intended to upgrade current HR processing functions with the National Finance Center (NFC) and the expansion of an in-house capability to conduct employee background investigations that were previously conducted by contractors.

When the sequester took effect, the Department discontinued using an automated staffing tool with a performance management component that was very costly. The Department currently uses mainframe technology which is antiquated and inefficient to process personnel actions with NFC, which is our payroll system of record. This request will fund a one-time cost to upgrade to a new platform with the National Finance Center using technology that automates personnel action processing, managers self-service, position management and offers an add-on component called ePerformance. ePerformance is a self-service performance evaluation application for managers, employees and human resources administrators. This new platform also offers capability to interface with USAStaffing which is the Department's cost saving automated staffing tool that supports paperless onboarding to provide end to end processing throughout an employee's career lifecycle.

Regarding the expansion of the Department's background investigation capability, recent current events had generated significant concerns surrounding the accountability and security of PII information and the rising costs of cases being investigated through contracted support. Due to such risk, we already are performing more in-house, and this funding will allow us to fully fund and stabilize that effort. Bringing the investigations in-house has minimized the risk of security breaches on Capitol Hill and has allowed for a more thorough investigation into each candidate to include subject interviews, and to interview key individuals in an applicant's sphere of contacts to insure the agency hires the right people who possess the qualities, values and character outlined in the Capitol Police Board's hiring standards. The Department will no longer rely completely on external support to conduct field investigations but will instead perform more of the investigative work and provide controlled oversight of personnel security. This initiative includes merger of the Badging and Credentials and Background Investigations Sections to ensure the integrity of PII, quality, timeliness and eventual cost effectiveness of investigations through internal continuity. This effort also improves the alignment of business processes and expertise with well-defined roles and responsibilities to perform this critical work for the Department. The proposed expansion is designed to eliminate vulnerabilities and instill confidence in our stakeholders.

Question. There are a multitude of requested increases throughout the general expenses budget that pertain to training. Will this funding level be a new baseline for training needs in future fiscal years?

Answer. This is another area that has suffered due to the budgetary constraints of the last several years. Our increase for training is to restore us to training levels throughout the Department that existed about 5 years ago.

There is training that occurs every year. The training of our new recruits is our most significant training effort and our request each year is based on the number of recruits we project to hire. This request is based on ensuring that we maintain our current funded staffing levels of 1,775 sworn officers. However, the on-going training of our sworn officers is the next most significant training effort. Training for our civilian personnel is also critical. This involves non-personnel costs and per-

sonnel costs, as we need to relieve the officers from their ongoing duties to take the training and that backfill costs results in projected overtime for the Department. The non-personnel costs involved in officer training is fairly static each year.

Many of the increases in our request this year is for individual training for officers, officials and civilians, which is reflected in various places in our budget as it affects nearly every bureau and office, not just a targeted group within the Department. In tight fiscal situations this is the training that must be deferred first, as the previous two trainings have the highest priority. But we are asking to restore training for only the highest needs of the Department and are incurring the biggest increases in our most technological entities. The technical training, particular in security services, IT and cyber, are areas we want to keep as up to date as possible. We do see these increases as baseline increases and do not foresee significant increases after this.

Question. The request includes \$2.7 million for travel, rental of telecommunications equipment, and other purchases associated with the Republican and Democratic Presidential Conventions scheduled for the summer of 2016. Is this funding request based on actual expenditures from the Presidential Conventions in 2012? Knowing that those conventions are well covered by the Secret Service, the FBI and other law enforcement agencies, would it be possible for the Capitol Police to scale back its presence if the full amount of funding requested was not available?

Answer. The funding request is based on actual expenditures with normal cost increases. There is no new functionality we plan to implement that was not performed at prior conventions. The United States Capitol Police has the primary responsibility for the protection of Members of Congress, Officers of Congress and immediate family members of Members and Officers throughout the entire United States, DC, Territories and Possessions. This, coupled with the scope of members attending this event and criticality of ensuring both the Continuation of Government and Continuation of Legislative Operations, makes the Democratic and Republican Conventions a unique challenge for the United States Capitol Police.

At all events, but particularly events of this magnitude, the United States Capitol Police works collaboratively with all of our partner agencies in a broad array of general law enforcement functions to include, but not limited to, intelligence gathering, dignitary protection, law enforcement actions, and other broad measures of prevention and response capabilities. However, the Capitol Police focuses our resources to ensure that the Congressional Leadership and other members of Congress are safe and can participate in the convention process without fear of harm. This includes, amongst other functions:

- Securing hotels and spaces for their use in much the same manner as we secure buildings and spaces on the U.S. Capitol Grounds. This is often daunting as often multiple hotels are used in the Convention Cities for members;
- Participating in a multi-agency response team to ensure our law enforcement experts are available for action and analysis;
- Analyzing intelligence information for a variety of sources to anticipate and mitigate negative consequence events before they occur; and most critical,
- Implementing emergency action plans to include shelter-in-place, internal relocation and full evacuation plans to ensure the safety of members, the continuation of Government and the continuity of legislative operations.

The U.S. Capitol Police, at the direction of the Capitol Police Board and the authority of U.S. Code focuses on the congressional contingent and their safety. Our resources, which are technical, mechanical and human, are concentrated to the mission of the Agency. As such, it is not recommended that our funding is reduced. However, the U.S Capitol Police will work with our partner agencies, and under the direction of the Capitol Police Board will strive to reduce operational expenses at every opportunity.

QUESTIONS SUBMITTED BY SENATOR BRIAN SCHATZ

Question. What is the USCP policy regarding the use of personal cell phones, personal smart phones, or other personal electronic devices while on duty?

Answer. The Department policy is that while personal cell phones may be carried on their person; officers can only use them in case of emergency. The Department does not tolerate neglect of duty by officers failing to pay full time and attention to their duties.

The actual policy on attention to duty reads as follows:

Directive 2053.013, Rules of Conduct: Rule B10

Rule B10: Neglect of Duty

Employees will devote their full time and attention to the performance of their duties at all times while on duty.

The applicable policy on carrying a cell phone on their person is found in Directive 1701.001, Uniforms and Equipment, Operational Directive UNF 1.1, Uniforms, Equipment and Personal Grooming:

Personal Pagers / Phones / Communication Devices

1. When worn, personal pagers must be black or dark in color to blend in with the web gear.
2. Personal cellular type phones that serve as pagers must be permitted to the extent that they are used as pagers. These phones must be black or dark in color to blend with the web gear.
3. Employees are permitted to carry personal cellular phones, that are black or another color but fully encased in a black cover. Employees must not use personal cellular phones while on duty, except in an emergency.

Question. What is the discipline process and penalty for violations of this policy?

Answer. The disciplinary process for rank and file officers is found in the Collective Bargaining Agreement (CBA) agreed to by the Department and the Fraternal Order of Police Labor Committee. Penalties for these types of violations can range from a written warning to termination based on a series of factors required to be considered in the CBA when determining disciplinary penalties.

A typical process for a violation of this type is that once an employee is observed or otherwise found to be Neglecting Duty, which is defined as failing to devote full time and attention to duty, then discipline is initiated in one of two ways depending upon a number of factors.

1. Command Discipline Report is initiated.

Command Discipline is lower level discipline that is initiated at the Division-level that can result in a written warning up to 3 days of forfeiture of accrued annual leave. A document is placed in the personnel file for up to 18 months and this can serve as the basis of future progressive discipline. The Chief of Police or Designee is the final adjudicator for this level of discipline.

2. Department-Level Discipline which results in a "Request for Disciplinary Action" which is a more serious type of disciplinary action can occur, typically as part of progressive discipline. The result can range from 1 day suspension (at a higher level) through termination. Disciplinary actions stemming from this more severe type of disciplinary action can be contested to the Assistant Chief of designee, or possibly contested to a Disciplinary Review Board, depending on the level of the recommended penalty. Ultimately, the Chief of Police is the final adjudicator of this type of discipline.

Officers who have a disciplinary history can receive a much higher penalty for a repeated violation or continued various violations, based on their record.

So based on this question, it would be appropriate to advise that for a Commander to determine the most appropriate level of discipline and assign an appropriate penalty recommendation for an officer who improperly uses a cell phone on duty, a Department manager may issue a penalty that can vary based on the required factors for consideration found in the CBA: (1) nature and seriousness of the violation, (2) the employee's record, (3) comparative penalties (within the last 2 years) and (4) any mitigating factors.

Suffice it to say, there is an established process for accountability. Disciplinary actions are based on well-founded observations or evidence stemming from field observation or reports of investigation. These matters are reviewed at several managerial levels of management. Employees are fully aware of the charges made against them and they are permitted to be represented by their Union Stewards. There is due process in every case and employees are fully able to appeal or grieve disciplinary actions.

The Department's disciplinary process employs the theory of progressive discipline, but there is nothing that stops the Department from assigning a penalty that the adjudicator believes to be appropriate in any instance in order to hold employees accountable for their actions. Responsibility for initiating disciplinary actions stems from field commanders who observe violations or from complaints made to the Office of Professional Responsibility. The Chief of Police is ultimately responsible for the overall discipline system.

The Department's management approach to controlling use of personal cell phones has been to regularly emphasize the need for mission-focus to our employees and to provide unclassified intelligence bulletins and briefs on current threats, to employ field supervisor enforcement, and initiate disciplinary actions when appropriate. The importance of attentiveness to duty makes it of paramount importance for super-

visors to instill an anti-complacency message in our workforce and this frequently a topic discussed at roll calls.

SUBCOMMITTEE RECESS

The next hearing of this subcommittee will be held on Tuesday at 3 p.m. in Dirksen 138. At that time, we will hear testimony from the Library of Congress and the Architect of the Capitol regarding fiscal year 2016 budget requests.

Until then, the subcommittee stands adjourned. Thank you.

[Whereupon, at 11:01 a.m., Thursday, March 12, the subcommittee was recessed, to reconvene subject to the call of the Chair.]