S. HRG. 112–778

LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 2013

HEARINGS

BEFORE A

SUBCOMMITTEE OF THE

COMMITTEE ON APPROPRIATIONS
UNITED STATES SENATE

ONE HUNDRED TWELFTH CONGRESS

SECOND SESSION

ON

H.R. 5882

AN ACT MAKING APPROPRIATIONS FOR THE LEGISLATIVE BRANCH FOR THE FISCAL YEAR ENDING SEPTEMBER 30, 2013, AND FOR OTHER PURPOSES

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THURSDAY, MARCH 1, 2012

LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 2013

THURSDAY, MARCH 1, 2012

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

The subcommittee met at 2:30 p.m., in room SD–138, Dirksen Senate Office Building, Hon. Ben Nelson (chairman) presiding.

Present: Senators Nelson and Hoeven.

ARCHITECT OF THE CAPITOL

STATEMENT OF HON. STEPHEN T. AYERS, ARCHITECT OF THE CAPITOL

OPENING STATEMENT OF SENATOR BEN NELSON

Senator NELSON. This is our first hearing of fiscal year 2013 and I want to start by welcoming my Ranking Member Senator Hoeven who will be joining us shortly. He's on the floor.

As everyone in this room knows, the bill we passed last year reflected the very tough spending decisions that had to be made and I want to thank him, and I haven't personally before, for working with me and working together as well as we were able to do, better than I think most people could have ever expected. I'm looking forward to also working closely again this year to pass the legislative branch bill that funds the priorities of our agencies and also reflects the tight budget constraints under which we're unfortunately still operating, as well as, of the sequestration process.

So, I want to welcome the other members: Senators Tester, Brown, and Senator Graham.

Senator NELSON. So, we're here again, faced with similar funding constraints, difficult times; people back home wanting less Government, but very often more services, of course. We're operating with similar funding constraints and equally tough decisions again. But we welcome the testimony today and in the weeks to come on the fiscal year 2013 budget request as we review personnel, programmatic, and construction needs.

Today, we'll receive testimony on the fiscal year 2013 budget requests from the Architect of the Capitol (AOC); the Library of Congress (LOC); Open World Leadership Center (OWLC); and the Office of Compliance (OOC). I want to welcome our four witnesses today: Stephen T. Ayers, the Architect of the Capitol; Dr. James Billington, Librarian of Congress; Ambassador John O'Keefe, Executive Director of the Open World Leadership Center; and Tamara E. Chrisler, Esq., Executive Director of the Office of Compliance.

FISCAL YEAR 2013 BUDGET REQUEST

It's good to have each of you here this afternoon. Mr. Ayers, your budget request this year totals $668 million, an increase of $101 million or 17.7 percent more than the current fiscal year funding. Now, this probably comes as no surprise that no other legislative branch agency has this level of increase in their budget request. Understandably, the majority of your proposed increase, 46 percent is for capital construction projects, and much of that funding is just absolutely necessary to keeping our campus operating safely, and efficiently as well, and we understand that. You have two large ticket items on your agenda for fiscal year 2013—Phase II of the Capitol dome rehabilitation and the beginning of Phase II of the Capitol Power Plant chiller system replacement.

Obviously, there are going to be some very tough decisions before us. If we're going to embark on these major rehab projects, we're going to have to look for savings in some other places wherever we can, not only within the AOC budget, but also across other agencies in an effort to contain the overall funding levels of this bill.

Dr. Billington, I want to welcome you again and your Chief of Staff, Robert Dizard, Jr. This past year we were saying goodbye to Congressional Research Service (CRS) Director Dan Mulhollan after 42 years of service to the Congress. It appears from the seats behind you that the LOC has had a few more changes during this past year. The LOC's fiscal year 2013 request totals $603.6 million, an increase of $16.2 million or 2.8 percent more than the fiscal year 2012 enacted level. I understand the requested increase in funding would cover mandatory pay-related items and price level increases and would restore the funding level of the Copyright Office to the fiscal year 2012 rescission level, and would provide $1.7 million to the LOC to complete the transfer of special format collections in modules 3 and 4 at Fort Meade.

I also want to welcome Ambassador O'Keefe of the OWLC. Your budget request totals $10 million, a freeze at the fiscal year 2012 enacted level. I strongly support the work of OWLC as you—the Ambassador—and Dr. Billington know. As the OWLC has sustained the largest reduction in fiscal year 2012, I appreciate the fact that you're willing, in a sense, to do more with less even now. I look forward to your testimony as we consider these numbers.

Ms. Chrisler, the fiscal year 2013 budget request for the OOC totals $4.2 million, an increase of $389,000, or 10 percent more than the current year. We appreciate the services that the OOC offers to both the employing offices and employees of the legislative branch. We look forward to your testimony and to discussing the services that your office provides within the tight budget constraints.

I'll turn to the Ranking Member, Senator Hoeven, my good friend, for his remarks when he arrives here to join us.

PREPARED STATEMENT

I'd like to begin with the witnesses. I know we always try to ask everybody to hold opening statements to about 5 minutes, and if you could then submit the rest of your statement for the record.

Mr. Ayers, we'll start with you then we'll hear from Dr. Billington, Ambassador O'Keefe, and last but not least, Ms. Chrisler.

[The statement follows:]

PREPARED STATEMENT OF SENATOR BEN NELSON

Good afternoon everyone and welcome.

This is our first hearing of fiscal year 2013 and I want to start by welcoming my Ranking Member, Senator Hoeven. As everyone in this room knows, the bill we passed last year reflected the very tough spending decisions that had to be made, and I want to thank Senator Hoeven for working with me throughout the entire process. I'm looking forward to working closely together again this year to pass a legislative branch bill that funds the priorities of our agencies but also reflects the tight budget constraints under which we are still operating. I also want to welcome the other members of the subcommittee: Senator Tester, Senator Brown, and Senator Graham.

So, we are back here again this year, faced with both similar funding constraints as last year, and equally tough decisions. We welcome the testimony today and in the weeks to come on the fiscal year 2013 budget requests as we review personnel, programmatic, and construction needs. Today, we will receive testimony on the fiscal year 2013 budget requests from the Architect of the Capitol (AOC); the Library of Congress (LOC); the Open World Leadership Center (OWLC); and the Office of Compliance (OOC). I want to welcome our four witnesses today:

—Stephen T. Ayers, Architect of the Capitol;
—Dr. James Billington, Librarian of Congress;
—Ambassador John O'Keefe, Executive Director of the Open World Leadership Center; and
—Tamara Chrisler, Executive Director of the Office of Compliance.

FISCAL YEAR BUDGET REQUESTS

It is good to have each of you here this afternoon.

Mr. Ayers, your budget request this year totals $668 million—an increase of $101 million or 17.7 percent more than the current year. No other legislative branch agency has this level of increase in their budget request. Understandably, the majority of your proposed increase—46 percent—is for capital construction projects, and much of that funding is to keep our campus operating safely and efficiently. And you have two large ticket items on your agenda for fiscal year 2013, Phase II of the Capitol dome rehabilitation; and the beginning of Phase II of the Capitol Power Plant chiller system replacement. Obviously, there are going to be some very tough decisions before us, and if we are going to embark on these major rehab projects, we are going to have to look for savings in other places not only within the AOC but also across the other agencies of the legislative branch in an effort to contain the overall funding levels of this bill.

Dr. Billington—I want to welcome you and your Chief of Staff, Robert Dizard Jr. This time last year, we were saying goodbye to Congressional Research Service Director Dan Mulhollan after 42 years of service to the Congress. It appears from the seats behind you that the LOC has had a few more changes in the past year.

LOC's fiscal year 2013 request totals $603.6 million, an increase of $16.2 million or 2.8 percent more than the fiscal year 2012 enacted level. I understand the requested increase in funding would cover mandatory pay-related items and price level increases, would restore the funding level for the Copyright Office to the pre-fiscal year 2012 rescission level, and would provide $1.7 million for LOC to complete the transfer of special format collections to Modules 3 and 4 at Fort Meade.

I also want to welcome Ambassador O'Keefe of the OWLC. Your budget request totals $10 million—a freeze at the fiscal year 2012 enacted level. I strongly support the work of OWLC, and as the agency that sustained the largest percentage reduction in fiscal year 2012, I appreciate the fact that you are willing to do more with less. I look forward to hearing your testimony.

Ms. Chrisler, the fiscal year 2013 budget request for OOC totals $4.2 million—an increase of $389,000 or 10 percent more than the current year. We appreciate the services that your agency offers to both the employing offices and the employees of the legislative branch. We look forward to your testimony and to discussing the services your office provides within the tight budget constraints.

SUMMARY STATEMENT OF STEVEN T. AYERS

Mr. AYERS. Thank you, Mr. Chairman, and good afternoon.

Thank you for the opportunity to testify today regarding our fiscal year 2013 budget request. Our mission is to serve the Congress and the American people as well as to maintain the historic buildings entrusted to our care. We know first-hand the challenges associated with preserving these historic buildings and we have considerable experience in planning for our future requirements.

However, despite our best efforts to anticipate and make needed repairs, as our buildings continue to age, they've become more difficult and costly to maintain. Making necessary improvements requires significant investment, and today our backlog of deferred maintenance and capital renewal work is more than $1.6 billion.

As we've developed this budget, we prioritized our efforts to ensure that every resource goes toward the most needed work, realizing that we must balance our stewardship responsibilities with fiscal responsibility. I also realize, Mr. Chairman, that it's my responsibility to find ways to work faster, smarter and cheaper and our efforts this year have resulted in a few cost savings.

OVERTIME/WORK SCHEDULES

First, we reduced our overtime costs last year by 22 percent, while maintaining service levels and response times. We have done this by adjusting employee work schedules and assigning newly hired employees to alternate work schedules. Second, we implemented temporary, targeted hiring freezes; delayed filling vacant positions; and eliminated 15 positions and another 6 part-time rehired annuitants, allowing us to reinvest those resources in our deferred maintenance backlog.

We've also looked at our information technology (IT) operations and consolidated our servers from 200 to 10, saving more than $220,000. This reduced energy consumption, space requirements, and maintenance costs. We're also working to reduce energy consumption and water consumption across the Capitol campus because saving energy and water saves money. We reduced energy consumption significantly, which resulted in $2.5 million of cost avoidances just last year.

In addition, we've implemented a free cooling process at our Power Plant, yielding another $500,000 in savings last year alone. As a result of these savings and others, we've reduced our budget request for capital projects to $161 million, which is a 10-percent decrease from our request last year. Nearly $50 million of this funding goes toward projects that specifically address the most critical life-safety, infrastructure, and security needs of the Capitol campus.

PROJECT ADMINISTRATION

For fiscal year 2013, we're recommending that nearly $203 million in necessary work, nearly 60 projects, be deferred to another year. This is a calculated risk because the longer these projects are delayed, obviously the more they're going to cut cost down the road.

As stewards of the Capitol campus, we're committed to working with the Congress to ensure that the proper investments are made in the facilities at the most appropriate times. In doing so, we will ensure together that our national treasures are preserved for generations.

PREPARED STATEMENT

Mr. Chairman, thanks to everyone on the AOC team, we've made great strides last year. It's been a very good year for us. We've delivered more projects on time and on budget than we ever have in our history. And in doing so, we are effectively managing the resources that the Congress and the taxpayers provide.

This concludes my statement. I'd be happy to answer any questions you may have.

[The statement follows:]

PREPARED STATEMENT OF STEPHEN T. AYERS, FAIA, LEED AP

Mr. Chairman, Senator Hoeven, and members of the subcommittee, thank you for the opportunity to testify today regarding the Architect of the Capitol's (AOC) fiscal year 2013 budget request.

AOC's core mission is to serve the Congress and the American people as well as preserve and maintain the historic facilities entrusted to our care. We know first-hand the challenges associated with preserving these historic buildings, and we have much experience in anticipating and planning for future requirements to ensure that future generations will continue to be inspired by their United States Capitol and all of the history that it holds.

Despite our best efforts to anticipate and make needed repairs, as these facilities continue to age, they become more difficult to maintain, building systems such as the plumbing and heating are beginning to fail in the oldest office buildings, and installing the most up-to-date technology has proven challenging. Making the necessary improvements and upgrades to congressional facilities will require significant investment.

We appreciate the Congress' support of our efforts over the past several years to improve the buildings and infrastructure on Capitol Hill, however, the number of pressing needs continues to grow as the availability of Federal dollars becomes more constrained.

Therefore, in developing this budget request, we worked to prioritize our efforts to ensure that every resource goes toward the most needed and most important work, realizing that we must balance our stewardship responsibilities with fiscal responsibility. For fiscal year 2013, our responsibilities will also include two very staff- and resource-intensive activities—preparing for the Presidential Inaugural ceremony, and orchestrating the postelection office moves in the House and Senate.

As stewards of our national treasures, it is my duty to put forth a reasonable budget that I believe will best meet the need of our aging infrastructure. This awesome responsibility has led me to request an increase in my budget during fiscally challenging times; and not doing so, I believe, would be irresponsible. We are requesting $668.2 million, a 5 percent decrease from the fiscal year 2012 request.

However, I found that the key to balancing all of these responsibilities is to put forth our request in a prioritized way that provides the Congress with the information they need to make sound and knowledgeable decisions to align our budget with available fiscal resources. We believe we have done that with this budget request.

REALIZING SIGNIFICANT EFFICIENCIES AND SAVINGS

It is my additional responsibility to find ways of working faster, smarter, and cheaper. We believe we are leading by example by becoming more efficient in an effort to save taxpayer money. These efforts are both large and small and most of these efforts resulted in significant cost avoidances, that is, by doing things more efficiently, we were able to reduce the costs of carrying out daily operations, programs, or projects.

We are using innovative ideas, such as engaging cross-functional teams, to implement best practices to help us become more efficient in our operations, drive quality improvements, and further enhance efficiencies and reduce costs. The following are examples of the efficiencies the AOC realized during fiscal years 2011 and 2012.

—We implemented an agency-wide effort to reduce overtime while maintaining service levels and response times. We were able to accomplish this by adjusting existing employee work schedules and hiring new employees to work alternate schedules (versus the traditional Monday–Friday work week). We were therefore able to provide suitable weekend coverage; reducing our overtime costs in fiscal year 2011 by 22 percent. This was especially noteworthy given the extraordinary manpower requirements of the postelection congressional office moves.

—We implemented targeted hiring freezes, delayed filling vacant positions, eliminated positions, and reduced the number of temporary employees and annuitants among our ranks, thereby allowing us to reinvest our resources in Deferred Maintenance and Capital Renewal projects.
—We reviewed all of our subscriptions to print and online publications and cut those that were unneeded or underutilized. This effort yielded nearly $50,000 in annual cost savings.
—In some of our jurisdictions, we evaluated several leases and either relocated leased operations to more cost effective/smaller locations, or re-competed the lease to reduce costs. This resulted in immediate- and long-term cost avoidances totaling more than $1 million.
—In July and August 2011, on excessively hot days when there was a high demand on the power grid, AOC implemented its load-curtailment procedures. These days are called "Gold Days". Observing them helps reduce demand on the electric grid during high demand periods and helps reduce utility costs to the AOC. Members' offices played a role in observing Gold Days by turning off non-essential lighting and office equipment. In addition, AOC dimmed hallway lights and shut down decorative water fountains.
—We have found significant savings by taking a critical look at our information technology services. By using virtual server technology, we reduced the number of physical servers from 200 to 10. This reduced energy consumption, space requirements, and maintenance costs. We also standardized and consolidated our platform software, which reduced maintenance and support costs. In all, we saw more than $220,000 in annual savings and improved our IT equipment reliability.

Accomplishing these efforts through more effective means also provided an extra benefit to the Congress and to the American people; AOC was able to reinvest resources in important Deferred Maintenance and Capital Renewal projects. To give one example, we reinvested funds saved through our energy reduction efforts into the initial planning and design for the Cogeneration and West Refrigeration Plant projects in fiscal year 2011. Therefore, AOC was able to reduce its budget request for capital projects in fiscal year 2013 to $161 million, a 10 percent decrease from the fiscal year 2012 capital projects request.

Nearly $50 million of this funding will go toward addressing Deferred Maintenance projects. And, the 16 capital projects on the fiscal year 2013 Recommended Line Item Construction list specifically will address the most critical life-safety, infrastructure preservation, and security needs. In the most difficult of economic times, we must continue to correct deficiencies and prevent facility or system failures. The key is to prioritize these projects to ensure every taxpayer dollar goes toward the most important work.

PROJECT PLANNING AND PRIORITIZATION

Over the past several years, we have refined our dynamic project prioritization process, which has contributed to our ability to identify and communicate to the Congress the urgent need to invest in the historic and iconic buildings and infrastructure, and the resulting risks if these needs are not addressed.

AOC's Project Planning and Prioritization Process ranks every necessary project using the conditions of the facilities and the anticipated urgency with which we need to provide the levels of investment and maintenance required to ensure they remain safe, functional, and secure. The first priority, of course, is to ensure the health and safety of all those who work in and visit the Capitol campus. This "triage" process for facilities identifies the most serious issues first, which we assess carefully to develop solutions to fix the problems while also addressing necessary life-safety issues, security requirements, energy-savings opportunities, and historic preservation measures. We take the same approach in meeting our clients' needs, however by placing a priority on fixing existing deficiencies and Deferred Maintenance; new construction projects are often postponed.

We have several tools that we use to assess which facilities need emergency care versus those that can be nursed along until funding becomes available to address specific Deferred Maintenance or Capital Renewal projects in those particular buildings. These tools include Facility Condition Assessments, the Capitol Complex Master Plan, Jurisdiction Plans, and the Five-Year Capital Improvements Plan, which examines phasing opportunities, project sequencing, and other factors to better facilitate the timing of the execution of major Deferred Maintenance and Capital Renewal projects.

Our comprehensive prioritization process rates projects on a number of objective factors to produce an overall hierarchy of importance. During this process, projects are classified by type and urgency. The projects are then scored against six criteria:

—safety and regulatory compliance;
—security;
—historic preservation;
—mission;
—economics; and
—energy efficiency and environmental quality.

We then compile these scores to produce a composite rating consisting of classification, urgency, and project importance and we also apply a criticality and risk decision model to the overall prioritization list to filter which ones are included in our annual budget request.

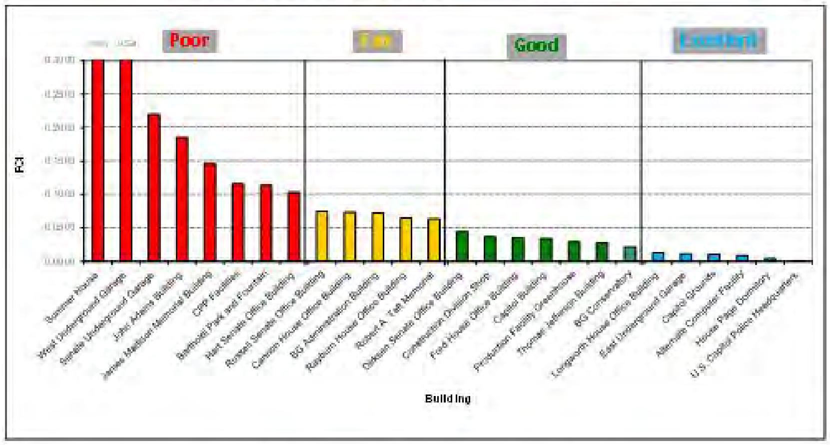
To provide us with a long-term, strategic look ahead to queue up priorities, investments, and projects, we use the Capitol Complex Master Plan. This past year we have worked to finalize an updated Master Plan that looks ahead 20 years and assesses the present physical condition and capacities of the buildings within the Capitol campus within the nine associated Jurisdiction Plans. These plans help us make future decisions about facility renewal requirements and new projects. For example, there may be instances where major, whole building renovations should be undertaken rather than a myriad of smaller projects, such as the planned Cannon House Office Building Renewal project. Renewals are more cost effective for implementing a variety of necessary improvements as they avoid having to re-enter a space several times to perform different types of work.

Finally, our Five-Year Capital Improvements Plan helps us meet several goals by analyzing all of the facility requirements, grouping them into logical and economical sequencing and phasing, prioritizing the resulting requirements using a set of objective criteria, and establishing measurable outcomes. Through this prioritization process, we work to document current and future needs and identify ways to seamlessly integrate those needs with modern-day code, security, technology, and sustainability opportunities. The Five-Year Capital Improvements Plan also provides outcomes showing the results if work is performed as planned and the resulting outcomes and risks if work is not performed.

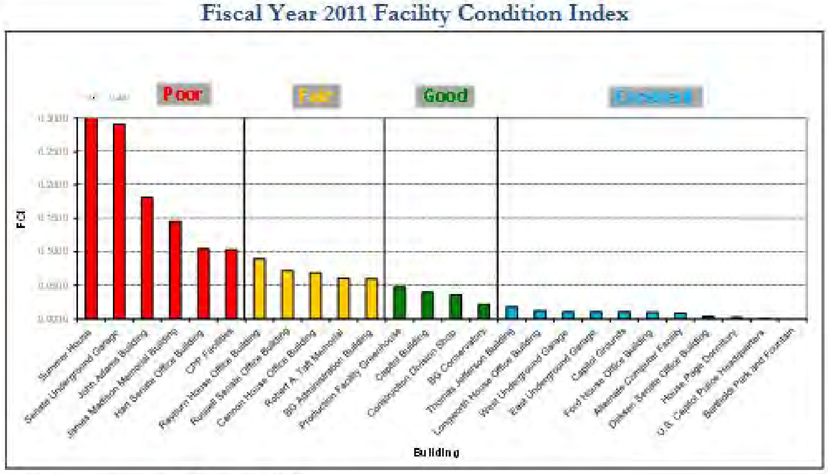
Over the past several years, the Congress has been very supportive of AOC's efforts to address critical Deferred Maintenance projects. However, it is important to acknowledge that there is a growing threat that must be faced—a very large number of Deferred Maintenance and Capital Renewal projects that remain to be addressed. For fiscal year 2013, we are recommending that an additional $202.6 million in necessary work be further deferred to a later fiscal year due to the austere budget environment. This is a calculated risk. AOC continues to carefully monitor and maintain the facilities and systems to minimize the risk of catastrophic failure. We also continue to monitor the large number of Capital Renewal projects that remain unaddressed.

As demonstrated in the following Facility Condition Index (FCI) charts comparing fiscal year 2010 and fiscal year 2011, the Congress has provided significant funding over the past several fiscal years, which has been directed to help repair the infrastructure of several facilities, which in turn has improved their overall conditions.

Fiscal Year 2010 Facility Condition Index



Fiscal Year 2011 Facility Condition Index



Note: Incorporates projects funded in Fiscal Year 2012

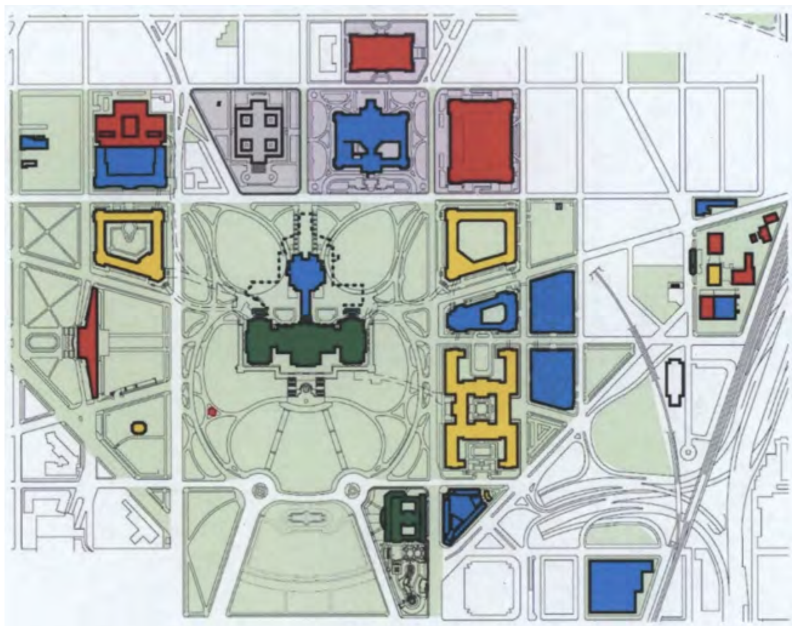
FCI Legend

Over 0.10	= Poor
0.05 – 0.10	= Fair
0.02 – 0.05	= Good
Less than 0.02	= Excellent

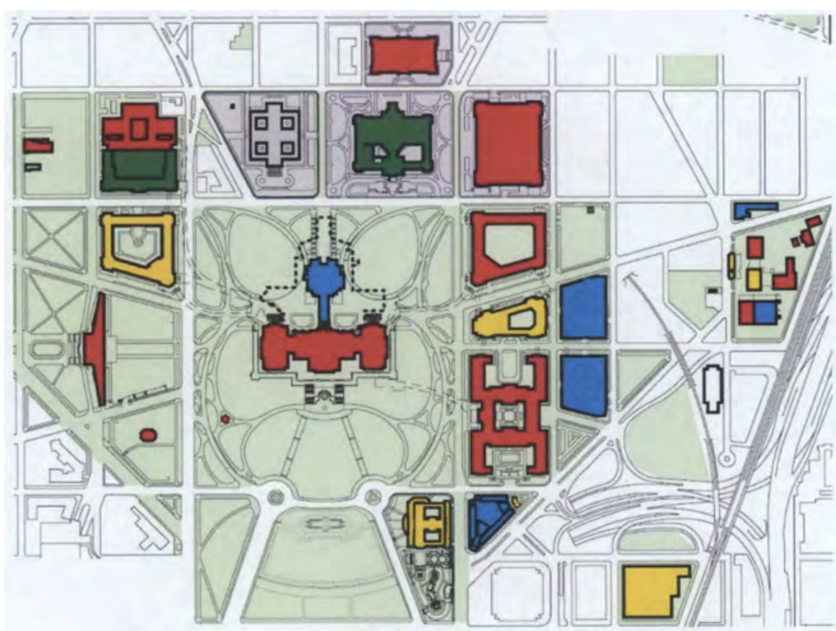
However, while several facilities have trended beyond a "good" condition, we have found over the past year that several of the facilities that are now rated as "fair" or "poor" are getting far worse due to continued deterioration. This trend is more evident in the projected FCI information provided in the following Capitol campus illustrations, which demonstrate how the conditions of each of the congressional facilities will continue to worsen over the next 5 years as compared to today. (The fiscal year 2016 illustration shows the facility condition changes with no additional investments made after fiscal year 2012.)

FISCAL YEAR 2011 FACILITY CONDITION INDEX BY FACILITY

(Incorporated projects funded in fiscal year 2012)



FISCAL YEAR 2016 FACILITY CONDITION INDEX BY FACILITY



The longer Capital Renewal projects are delayed, the conditions in these facilities will continue to deteriorate; deficiencies will grow more and more serious, and ultimately more costly to repair. Additional consequences of not addressing looming Capital Renewal projects are the continued crumbling of facilities' infrastructure; a loss of historic artwork and architectural features; continued system and building failures, and security threats.

Several buildings on the Capitol campus are more than 100 years old—or in the case of the U.S. Capitol Building—more than 200 years old. As stewards of the Capitol campus, AOC is committed to continuing to work with the Congress to ensure that the proper investments are made in the facilities at the appropriate times.

Funding the following capital projects in fiscal year 2013 ensures that necessary investments are made in our historic infrastructure, and increases the safety and security of those who work in or visit the facilities on the Capitol campus. In addition, investing in the projects will continue to preserve national treasures for future generations, and many are designed to allow the Congress to realize greater energy efficiencies and savings.

—*Dome Restoration, Phase IIA.*—In fiscal year 2011, we began phase I of this project with the restoration of the Dome skirt. The ongoing work includes repairing and restoring historic ironwork, sandstone, and brick masonry. In addition, old paint is being removed from the interior and exterior of the Dome skirt and it will be repainted. This phase of the project is on budget and on schedule for completion in fall 2012.

Phase IIA is the second of four phases and will involve making needed repairs to the Dome's exterior. This also will include exterior ironwork repairs, restoration of columns, finials and decorative ornaments, repair of the gutter system and repair/replacement of windows, installation of a new fall protection system, repair/replacement of roof electrical systems, installation of a bird deterrent system, and priming, resurfacing, and repainting of the Dome's exterior.

Our Dome project is one of many that are transpiring across the country. Many State capitols are experiencing many of the same issues and are undergoing costly repairs as well. For example, Oklahoma's 94-year-old dome is undergoing a $130 million renovation. In Minnesota, they are looking at a $241 million restoration of its 106-year-old capitol, $4 million of which is just to repair leaks in the dome.

The planned phase IIA repairs will ensure that the elements that make the Capitol Dome unique and iconic will not be lost to time and the elements. It also will ensure that the appropriate life-safety systems are in place for the protection of AOC employees charged with the continuous care and maintenance of the Dome.

—*Union Square Stabilization.*—In December 2011, AOC's jurisdiction was expanded to include Union Square—an 11-acre parcel including the Capitol reflecting pool and the Grant Memorial. Our fiscal year 2013 budget request reflects this added responsibility and includes $7.3 million for its required care and maintenance, including reflecting pool cleaning and repairs, stabilization of the steps, immediate sidewalk repairs, lamp post replacement, and cleaning and restoration of the statuary. As this is a new requirement for fiscal year 2013, estimates may be revised and updated as additional condition assessment information becomes available.

—*West Refrigeration Plant, Chiller Addition*.—The hot and humid Washington summers have increased the cooling demands across the Capitol campus and the four existing chillers in the Capitol Power Plant's West Refrigeration Plant are more than 30 years old and well beyond their useful lives. Therefore, they are no longer reliable to meet current demand. This project would fund the installation of two variable speed, high-efficiency centrifugal chillers and ancillary equipment in the West Refrigeration Plant Expansion. This would ensure that a steady supply of chilled water would be maintained to assure that congressional facilities would be cooled during the hottest months of the year. In addition, installing new, energy efficient equipment will reduce campus-wide energy consumption, which will aid in meeting Energy Independence and Security Act of 2007 requirements.

—*Electrical Distribution Upgrade, Alternative Computer Facility*.—Security experts are warning against a new type of terrorist attack—the "blended attack".

Blended attacks are defined as coordinated attacks combining a physical attack against a target along with a cyber-attack against the same or different targets. Natural disasters, such as last August's earthquake, also can wreak havoc with computer systems and equipment. Therefore, providing for the appropriate redundancies for computer systems that support congressional functions is essential. This project would ensure that aging electrical system at the Alternative Computer Facility is upgraded to provide added reliability and redundancy, reducing the possibility of catastrophic failure of critical systems.

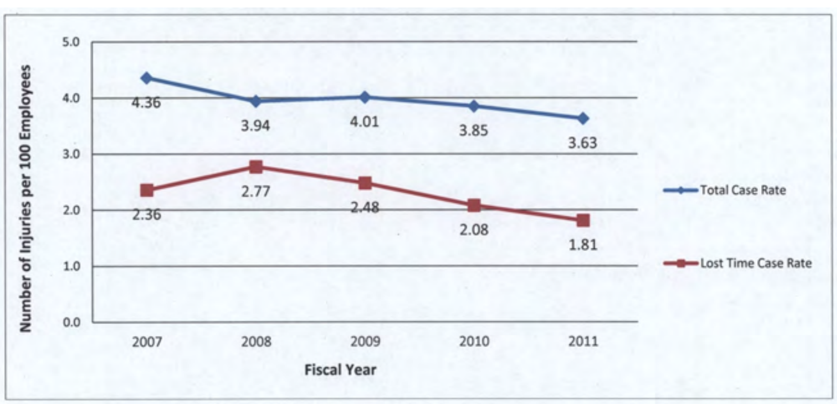
ENSURING A SAFE WORKPLACE

Safety is a top priority at the AOC. Since fiscal year 2007, the Congress has invested more than $210 million in more than 55 safety-related projects executed by the AOC. This includes a number of fire and life-safety facility-related projects, including installing emergency exit signage, emergency generators and lighting, and public address systems, as well as upgrading the fire alarm systems in each of the Senate Office Buildings; installing ventilation systems and upgrading electrical and lighting in congressional facilities; and extending sprinkler and smoke detector coverage in major office buildings.

Included in our fiscal year 2013 request is a major safety-related project for the Hart Senate Office Building. We are seeking funding to replace the Hart roof and install a new fall protection system. This project will prevent water from continuing to leak into the Hart atrium, which has the potential to damage the Calder sculpture, and will ensure that necessary maintenance can be conducted safely on the roof. This is the second phase of a two-phase project.

Today, the level of safety throughout the Capitol campus has never been higher and continues to improve. This is best demonstrated by the continued reduction in the agency's Injury and Illness (I&I) rate.

ARCHITECT OF THE CAPITOL INJURY AND ILLNESS AND LOST TIME RATES



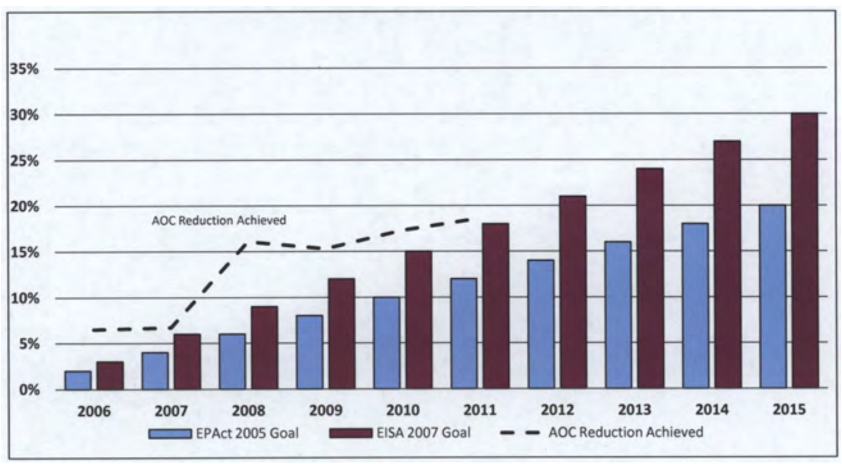
In fiscal year 2011, AOC's total I&I rate fell to 3.6 percent, and its lost time rate was reduced to 1.81 percent. This is compared to fiscal year 2010's rates of 3.8 percent and 2.1 percent. Much of this success can be attributed to the AOC's long-established safety education and training programs that place a strong emphasis on employee safety. By way of example, I am very pleased to report that as of February 21, 2012, our Library Buildings and Grounds jurisdiction employees have worked 738 consecutive, injury-free days.

SAVING ENERGY AND TAXPAYER MONEY THROUGH SUSTAINABLE PRACTICES

AOC's legacy of sustainability began with the setting of the Capitol's cornerstone in 1793, and is continuing today. AOC is working to reduce energy and water consumption across the Capitol campus in order to help save taxpayer money.

In fiscal year 2011, AOC exceeded the Energy Independence and Security Act of 2007 (EISA 2007) energy reduction goal of 18 percent by achieving a 19 percent reduction. Looking forward, the energy reduction goal for fiscal year 2012 is 21 percent, and meeting this and future reduction goals will become more challenging because the projects that yielded quick results have been completed. Implementing the next series of projects will take more time and more resources to realize savings in taxpayer money, and further reductions in energy usage.

ARCHITECT OF THE CAPITOL MEETING ENERGY REDUCTION GOALS



AOC's Sustainability, Energy and Water Conservation Division has been leading the agency's efforts to further reduce energy consumption on Capitol Hill. In fiscal year 2011, AOC reduced energy consumption by 109,000 MMBtus, which resulted in $2.5 million in cost avoidances over fiscal year 2010.

The projects and programs that contributed to these savings include the Energy Savings Performance Contracts (ESPCs) for the Senate and House Office Buildings and the Capitol Building as well as retro-commissioning of equipment to optimize building systems' performance. AOC also is utilizing energy audits, building energy modeling, and utility meters to assess energy consumption and identify additional opportunities for energy reductions.

In November, AOC began using "waste-to-energy" as an alternative method to dispose of solid waste from Capitol Hill. Waste-to-energy refers to the burning of solid wastes to generate heat and, in turn, produce steam and electricity. This process creates usable energy employing waste that would otherwise be placed in landfills—diverting up to 90 percent of the Capitol campus's nonrecyclable solid waste. The heat generated from this combustion process produces enough steam and electricity to power an office building the size of the Dirksen Senate Office or Longworth House Office Building for several months. In fiscal year 2011, more than 5,600 tons Senate Office of nonrecyclable waste was collected from congressional facilities. Using waste-to-energy methods on Capitol Hill complements AOC's ongoing robust recycling programs. In fact, AOC recycles approximately 4,000 tons of materials each year, including construction waste and e-waste such as computers and other electronic equipment.

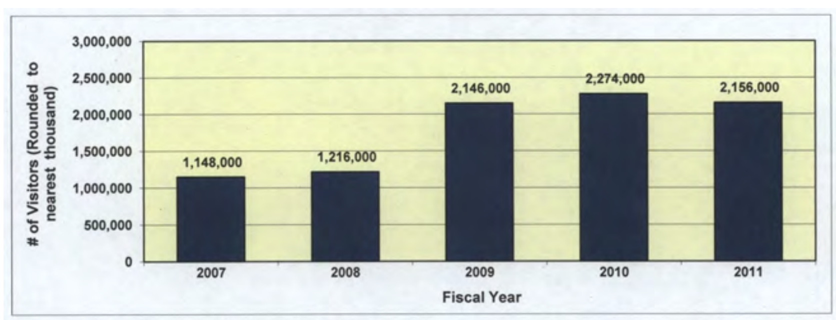
Looking ahead, the implementation of cogeneration at the Capitol Power Plant in the near future will play an essential role in AOC's long-term energy conservation strategy. Cogeneration uses combustion turbines to generate both steam and electricity. The electricity produced would help to offset the electricity used by the Capitol Power Plant. In addition, the use of the heat generated from this operation would produce enough steam to reduce reliance on existing, aging boilers. Utilizing cogeneration will help the Congress meet the Energy Independence and Security Act of 2007 requirement of a 30 percent energy reduction by 2015, and will increase the Capitol Power Plant's overall efficiency.

AOC is proposing the use of a Utility Energy Services Contract (UESC) to help finance construction of the cogeneration plant. This public-private partnership leverages private funding allowing AOC to execute construction in a timelier manner, and allows the use of limited appropriated funds for other priorities, such as deferred maintenance or life-safety and security projects.

PROVIDING EXTRAORDINARY SERVICES AND INSPIRING EXPERIENCES

Another large component of AOC's mission is visitor services. Since the Capitol Visitor Center (CVC) opened in December 2008, nearly 7 million visitors have come through its doors. The visitor experience at the U.S. Capitol is comprised of highly personal moments that can inform, involve, and inspire those who come here, and this is largely provided by the expert CVC staff who provide memorable and engaging tours. The CVC also provides visitors with convenient amenities including information desks, restrooms, gift shops, and a restaurant. In fact, in fiscal year 2011, the Restaurant and Special Events Division, supported more than 850 congressional events and served nearly 243,000 meals.

VISITORS TO THE U.S. CAPITOL



** Capitol Visitor Center opened in Fiscal Year 2009*

With the CVC situated on the East Front of the Capitol, visitors approaching from the west can stop and smell the roses in the National Garden. And, each year nearly 1 million people visit the U.S. Botanic Garden. The U.S. Botanic Garden staff provides enriching educational programs for guests of any age, and they are the recognized leaders in the development and promotion of sustainable landscapes.

In fall 2011, the White House Council on Environmental Quality released guidance for Federal agencies on Sustainable Practices for Built Landscapes, indicating that the built landscape is critical to the overall success of sustainability programs within the Federal Government. A working group led by the U.S. Botanic Garden produced the 32-page guidance. This was the first time the legislative branch has been invited to participate in such an effort. The guidance provides information to assist agencies in meeting their targets under Executive Order 13514, and covers facilities with or without buildings in addition to historic or existing structures.

The new guidance is based on the Sustainable Sites Initiative (SITES), an interdisciplinary effort by the American Society of Landscape Architects, the Lady Bird Johnson Wildflower Center at The University of Texas at Austin, and the United States Botanic Garden to create the Nation's first voluntary guidelines and performance benchmarks for sustainable land design, construction, and maintenance practices.

The guidelines will be used by Federal agencies when constructing new facilities, rehabilitating existing owned or leased facilities, or when landscaping improvements are otherwise planned. Federal landscaped property provides opportunities to promote the sustainable use of water and land, conserve soils and vegetation, support natural ecosystem functions, conserve materials, promote human health and well-being, and ensure accessibility for all users, including those with disabilities.

ARCHITECT OF THE CAPITOL ACCOMPLISHMENTS

In addition to the accomplishments detailed above, we have recorded many other significant achievements in the past year. For example, we continued to improve our cost accounting procedures and internal controls, and received our seventh consecutive clean audit opinion from independent auditors on all of our financial statements. I am very pleased to report that in 2011, we officially closed all of the recommendations from GAO's General Management Review (67 out of 67). This is a notable achievement for us, and we have benefited greatly from the improvements made to our programs and processes over the years.

In addition, our annual Building Services Customer Satisfaction Surveys continue to show that more than 90 percent of our customers are satisfied with the level of service the AOC is providing them. This is a testament to the commitment of our talented staff who are dedicated to putting customer service first.

Another area where we have made noteworthy progress is our Utility Tunnel Improvement Program. In 2007, AOC entered into an agreement to address safety and health issues in the utility tunnels that provide steam and chilled water to most of the buildings on the Capitol campus. The work is progressing very well and we are on schedule and within budget to close all citations and meet the required completion date of June 2012.

In addition, we completed a number of projects this past year in our efforts to maintain and preserve the historic assets entrusted to our care, most notably, the renovation of the Bartholdi Fountain. This multi-year project involved restoring the sculpture at the center of the fountain as well as restoring and waterproofing the concrete pedestal. New energy-efficient plumbing and electrical distribution systems also were installed.

And, to assist us in setting goals, prioritizing initiatives, and streamlining processes, our team crafted a new 5-year Strategic Plan for fiscal years 2012–2016. We are using the innovative ideas within the Strategic Plan, such as engaging cross-functional teams, to implement best practices to help us become even more efficient in our operations, drive quality improvements, and further enhance efficiencies and reduce costs.

CONCLUSION

Mr. Chairman, AOC has made tremendous strides over the past few years to deliver projects on time and within budget, to enhance workforce flexibilities, to foster greater communication and transparency, and to build stronger relationships both with our clients and one another. We are looking to become world-class leaders in what we do, and in order to do that we must keep pace with the new strategies for facilities maintenance, energy conservation, security, and historic preservation. At the same time, we understand the challenges that an austere fiscal environment presents, and we have developed this budget in an effort to balance our stewardship responsibilities with fiscal responsibility.

To that end, we are effectively managing our resources—including personnel—to respond to these fiscally challenging times. Through our thorough project planning and project management efforts, we are able to target resources and staff on the projects that are of the highest priority. Not only does this give us greater flexibility and better results, we have worked to reduce staffing throughout the agency. The AOC team is doing more with less—focusing on improving our operations, realizing more efficiencies and saving taxpayer money, which we can then reinvest in the areas and facilities in need of the most care.

Each day, we strive to embrace and embody the Core Values detailed in our Strategic Plan because the professionalism and integrity of each AOC employee demonstrates our dedication to providing quality services and our commitment to holding ourselves to the highest standards. We recognize that we do our best work through teamwork, each of us lending our individual strengths and talents to the greater goal of the entire team. We take great pride in what we do and in the honor of serving the Congress and the American people.

This concludes my formal statement. I would be happy to answer any questions you might have.

Senator NELSON. Thank you very much. I do have a couple questions before we go to Dr. Billington.

UNITED STATES CAPITOL POLICE

Given that the overall Federal discretionary spending has been reduced, how are we going to absorb anything close to an 18-percent increase? Of the $161 million you requested for Capitol projects, how much is for, let's say, life-safety needs? Of the 75 line-item construction projects list that was requested for funding, were there any life-safety projects that didn't make it?

What I'm really trying to distinguish here is what kind of fire and life-safety functions are included within that $161 million versus, let's say, just general rehabilitation or other construction projects?

Mr. AYERS. Of the 16 projects that we're recommending for funding, that group strikes an appropriate balance of not just safety, but mission accomplishment, preservation of our historic facilities, and security requirements. It's emblematic of our prioritization process. It doesn't simply take every safety project and run it to the top of the list. It looks critically at energy projects, mission projects, infrastructure projects and safety projects and all others, prioritizes each of them. The most important of each rise to the top and make our recommended funding list of these 16 projects. Of those, I believe there are 6 that are singularly focused on fire and life-safety out of the 16. There are another two that are security related. There are another three or four that are preservation, and the like. It strikes an appropriate balance of all of those requirements.

Senator NELSON. Of the $16.5 million increase for what's called "jurisdiction centralized activities", how much is for election year moves? How does the level of funding that you're requesting compare to the funding level required for office moves after the 2011 elections? In other words, have they gained any efficiency in this area given that we do this every 2 years, we're not going to stop elections because of the requirement for moves, but what have we learned, what are we finding in efficiencies?

Mr. AYERS. The most important efficiency gained from our last move cycle is that historically, during those 2-year move cycles, our overtime costs spiked. Last year that didn't happen. Last year we were able to achieve a 22-percent reduction in overtime even though it was a move year. So, I think that means that our managers, leaders, and employees are finding ways to be more efficient and be more creative in undertaking the work.

Our total move-related costs that we anticipate this year are about the same total move-related cost that we executed in the previous move cycle.

Senator NELSON. Thank you. I might have some other questions, but I'd like to defer now to my ranking member and good friend, Senator Hoeven for any opening remarks that he might like to make.

STATEMENT OF SENATOR JOHN HOEVEN

Senator HOEVEN. Thank you, Mr. Chairman. Good to be here with you. I would like to thank all of you for being here as well.

Initially I'm looking forward to your opening statements, as you describe going through the budgeting process this year. I guess the main point that I would open with is that we're going to be pressed to find additional savings this year compared to the budget that was submitted to us by the President. We are going to have to identify savings. The question I would pose to each of you as you go through your presentations today is to identify how you would prioritize in areas where you feel we can work to identify savings as we go through this process.

Thank you, Mr. Chairman.

[The statement follows:]

PREPARED STATEMENT OF SENATOR JOHN HOEVEN

Thank you, Chairman Nelson, for calling this hearing to consider the fiscal year 2013 legislative branch budget requests for the Architect of the Capitol, the Library of Congress, the Open World Leadership Center, and the Office of Compliance. I would like to begin by welcoming our witnesses: Mr. Stephen T. Ayers, Architect of the Capitol; Dr. James H. Billington, the Librarian of Congress; Ambassador John O'Keefe, Executive Director of the Open World Leadership Center; and Ms. Tamara E. Chrisler, Executive Director of the Office of Compliance.

Today, we meet with the understanding that our country continues to face fiscal concerns for which we have yet to find all the right answers. Therefore, it stands to reason that the legislative branch may receive further budget reductions from those that were enacted in fiscal year 2012. I assume the best case scenario we may encounter would be flat funding with the fiscal year 2012 enacted level.

I thank you all for being here today and look forward to hearing what the witnesses have to say about this year's requests and to discussing creative solutions for how the legislative branch can continue to lead by example in showing fiscal constraint.

Thank you, Mr. Chairman.

Senator NELSON. Thank you, Senator Hoeven.

CAPITOL DOME SKIRT PROJECT

Before we move to Dr. Billington, I do have a question about the Capitol dome skirt project. I think we had about $20 million in fiscal year 2011 and with the time line for completion just prior to fiscal year 2013. Is that about right, just before the Inauguration? Are we on track to complete the project on that time line?

Mr. AYERS. Yes, Mr. Chairman we are on budget and on schedule.

Senator NELSON. Okay.

Mr. AYERS. Yes, Mr. Chairman, we are on schedule to complete that project just before starting the work on the west front for the Inaugural platform.

Senator NELSON. You are requesting an additional $61.2 million for the next phase of that project. Funding for the project was originally requested in fiscal year 2002 in the amount of $42.5 million.

What has changed for you to require a 44-percent increase? Is that what you say happens when you defer things into the future?

Mr. AYERS. Well, that's certainly true, Mr. Chairman. That's 10 years of inflation, and that's probably the biggest cost growth in that project.

Senator NELSON. So, we do have to be cautious about just pushing things off into the future and deferring because deferral can cost money as well. If we try to defer things too far into the future, all we do is increase the costs down the road.

I know that you're going to be requesting additional funds of about $44 million in fiscal year 2014 and fiscal year 2015 in order to complete that dome rehabilitation. Were these costs also assumed as part of the original $42.5 million in fiscal year 2002, which if so, would mean that it hasn't gone up 44 percent, but it's gone up a much larger percentage. Were these costs for fiscal years 2014–2015 included in 2002?

Mr. AYERS. Yes, Mr. Chairman. I don't believe the scope of that project hasn't changed since it was developed more than 10 years ago.

Senator NELSON. Now, once the dome rehabilitation is completed, what will happen with the costs of operations? Will they be comparable to the current costs of operation or will there be additional costs of operation?

Mr. AYERS. We don't think that there will be additional costs of operations. It will simply go back on our regular painting cycle of every 5 to 7 years. We'll power wash and paint the dome as we do today. So, it will go back on that maintenance cycle. We haven't undertaken this kind of extensive restoration work since the east front extension in 1959 and 1960. So, it's been a significant amount of time since we've gone back into the dome and done extensive repair and maintenance to restore the dome.

Senator NELSON. Okay.

Has your office been engaged with the LOC's CFO in the effort to realize some cost savings in the financial management systems?

FINANCIAL MANAGEMENT SYSTEMS

Senator NELSON. Tell us a little bit about that.

Mr. AYERS. We have met with them to talk about their hosting our systems. This is something that we've looked at on a surface level for a number of years. We also believed that a GAAP analysis needs to be done to understand the requirements of our financial management system if they can be met with the financial management system of the LOC. We have requested money to do that study before, but it has not been funded. This year we decided not to request the money and simply not undertake that work to keep our budget request as low as possible. But at some point in the future, I do think we need to carefully study how we can crosswalk our financial management system and theirs and understand that.

In the meantime, as I testified to last year, we have changed who hosts our financial management system and take it from the national business center to directly being hosted by our current vendor. That is saving us $1 million every single year by making that strategic move.

Senator NELSON. Apparently it has worked with the U.S. Capitol Police and their financial management system. So, is there a way to at least partially fund this year to get the process started so that we would be down the road in 2 or 3 years? It seems to me it would be a good expenditure of money. If you've already saved $1 million doing what you're doing, there is the potential to save even more if it works.

Mr. AYERS. I think that's what the study will help us understand, will it cost the same, will it cost less, or will it cost more?

I don't think we know that. But we can work with our resources this year and look to find some savings that we could——

Senator NELSON. Okay.

Mr. AYERS [continuing]. Reprogram or we can work with the subcommittee during markup to align some funds somewhere in our budget to begin that process.

Senator NELSON. Well, I think it's important to know. If it's not a good idea, obviously it doesn't have to be followed. But it may turn out to be a very, very good idea.

Well, do you have any other questions you might want to ask of the Architect here?

Senator HOEVEN. I do, Mr. Chairman. Thank you.

FISCAL YEAR 2013 BUDGET INCREASE

Overall your budget request is an increase of $100 million, a little more than $100 million more than the fiscal year 2012 enacted level. Phase IIA of the dome is $61 million. Then you've got various other projects, including Union Square, and as the Chairman just mentioned, the Power Plant and the refrigeration plant.

I guess given our current budgetary constraints, give me your thoughts on, if we're not able to do all of these projects and how would you go about addressing that.

Mr. AYERS. I think a couple of ways, Senator Hoeven. First, the list of projects that we've submitted is in priority order. There are 16 of them that we've recommended be funded in fiscal year 2013. Those 16 are in priority order. There are another 59 or 60 that we suggest be deferred. We simply start at the top and work our way down the list, depending upon the amount of funding that may be available to us to utilize.

Senator HOEVEN. Talk about your sense of how dire it is that we get some of these projects done. In other words, if we do end up deferring them, describe how serious you see that situation.

Mr. AYERS. The first couple of projects on the list are safety and security related. Certainly, the first one is a very important life-safety issue at the LOC. The next two being garage security and a security upgrade at the LOC—one for the LOC, and one for the House and Senate are important upgrades that have gone through the due diligence of my office and the USCP.

Item 4 on the list is our Power Plant chiller and refrigeration plant upgrades. This past summer we were down to zero excess capacity in the chiller's ability to make chilled water. So, we are very nervous and very anxious to get that project underway to increase our chiller capacity. If we have another hot summer, potentially we'll be unable to provide enough chilled water to air condition our buildings.

The dome rehabilitation, I think as Senator Nelson pointed out, is a project that we've been working on for nearly 15 years to try to get funded. We've got the first phase of that underway. We've got a great contractor, a great team working on it, and we really believe that it needs to continue in that vein.

Senator HOEVEN. You're doing the $20 million renovation right now, correct?

Mr. AYERS. Yes, Sir.

Senator HOEVEN. How is that coming; on schedule, on budget, and what's your time line for completing that Phase I?

Mr. AYERS. It is on schedule. It is under budget, and we intend to finish that in fall of this year, and all of that scaffolding comes down. At the same time, we award contracts to vendors that begin the construction of the Inaugural stands on the west front.

Senator HOEVEN. Does the follow-on $60 million project have to follow right away or is it something you can do in Phase I, with the $20 million, and then come back and do Phase II with the $60 million?

Mr. AYERS. It is something that can be phased. The dome skirt project is the first phase of it, and that's completely self-contained.

Senator HOEVEN. Okay.

Mr. AYERS. When that's finished we can demobilize and stop work for any period of time and then resume it and rescaffold the dome at a later date.

Senator HOEVEN. Is the $60 million in Phase IIA, does that have to all be done at one time, or is that something that can be done in phases?

Mr. AYERS. It can be done in phases. We've looked very carefully at that. It can be done in phases. I think there are two drawbacks to it. One is we think it will cost us an extra $6 to $8 million by breaking that portion of work into two phases, for a couple of reasons. One is simply inflation.

Second, we don't think we'll be able to get both phases done before the next Inauguration. We'll be able to get one phase done. We'll have to take all of that scaffolding down again, conduct another Presidential Inauguration, and then put it all back up. So, that demobilization and remobilization has costs associated with it.

We've looked at it. We think it's a $6 to $8 million increase if we break that second phase into two smaller phases.

UNION SQUARE RENOVATION

Senator HOEVEN. How about the Union Square property? That's about $7.3 million. Is that something you have to do, or is there something else you can do that will work for some period of time?

Mr. AYERS. This is an interim measure. This piece of property is new to us this year. We've gone out and taken a careful look at it. There are a couple of really telling photographs in our budget book about how deteriorated the stone and steps and sidewalks are there, as well as how deteriorated the bronze statue of the Grant Memorial is.

We think those things need to be stabilized, and that's what this money is meant to do, to simply stabilize and make safe that site until we undertake some long-term renovations, like renovating the Reflecting Pool itself so that it actually filters and recirculates water. Obviously it doesn't do that today, but that's something that we think can be pushed to a later date. This is stabilization of the site.

DEPRECIATION FUND

Senator HOEVEN. We don't budget some type of a sinking fund or depreciation fund for these big projects? We just, as they come up and need to be funded, look at them and build them into the budget? That's how it's always been done?

Mr. AYERS. That is true, with one exception. Two or three years ago we did create a historic buildings revitalization trust fund that only resides on the House side of our appropriation today. We are

10 separate appropriations. One of those has a fund in which the House is investing money to take care of historic buildings. So, we have a portion of that in place in a part of our organization, not all of it in place.

Senator HOEVEN. So, that kind of depreciation doesn't cover everything. That's not designed to say, okay, we're going to set up a Capitol renovation fund or depreciation fund or sinking fund that would enable us to schedule out and plan how much we're going to spend year by year on these types of renovations or maintenance items.

Mr. AYERS. I think that the primary reason for that is that when we get very large projects, like a Capitol Visitor Center (CVC), or a renovation of the Cannon House Office Building that's coming up or renovation of a Russell Senate Office Building that we would expect in a number of years, those projects are so large that if we try to fund them out of our current budget bandwidth, then we're not able to do any other safety projects or any deferred maintenance projects.

So, the concept is setting a fund aside so that you have money to do these very large and seminal projects so that it doesn't take away from the budget bandwidth that's already in place today, a concept that we think is really important.

Senator HOEVEN. Thank you.

Senator NELSON. Well, thank you, Senator Hoeven.

HISTORIC PRESERVATION FUND

Mr. Ayers, in setting up a historic preservation fund without having identified specific projects means that almost anything could qualify for that fund. Is that fair to say? When we set up funds like this we run the risk of losing some control over prioritization of projects as we try to establish priorities going through this budgeting process. That was the concern I had. Not that I would worry about the House not being able to establish their own priorities, of course.

Senator NELSON. But the fact that we lose some control over that prioritization. Is that fair to say? That might be one of the reasons that they just might like to do that, too, huh?

Mr. AYERS. Well, certainly those funds can't be expended without the written authorization of the Appropriations Committee.

Senator NELSON. Sure.

Mr. AYERS. So, I think that's one way that the subcommittee can ultimately make the investment, but executing those funds they still have the control of whether you spend them or not.

Senator NELSON. But the prioritization might switch from this process to another process?

Mr. AYERS. I think that the potential is there for that to happen. I suspect we could put in controls or the Congress could put in some kind of control to ameliorate that.

Senator NELSON. Oh, I trust them. That's why we call them trust funds.

UTILITY TUNNELS

Senator NELSON. On the utility tunnels, I notice that you don't have any funding for the utility tunnel project. You still plan to meet the schedule of the 2012 settlement agreement deadline for completing the corrective measures?

Mr. AYERS. Yes, Mr. Chairman. Our work is essentially finished. All of the citations except one have been closed by the OOC. And we've submitted, the necessary paperwork for them to consider closing the last one. So, we are ahead of schedule to complete that work by June of this year.

Senator NELSON. So, Ms. Chrisler, are you satisfied that the process is working and that it is getting closed, the citations are being withdrawn?

Ms. CHRISLER. The work that the AOC has been doing has been wonderful. And we've been working very well together. And, yes, we are satisfied that——

Senator NELSON. Everybody is playing nice with one another——

Ms. CHRISLER. Very nice.

Senator NELSON [continuing]. And getting everything all done.

Ms. CHRISLER. That's right.

ADDITIONAL COMMITTEE QUESTIONS

Senator NELSON. That's good. That's the way we want it.

That's all I wanted to ask.

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

QUESTIONS SUBMITTED BY SENATOR JOHN HOEVEN

ZERO-BASED BUDGETING

Question. Since each of the agencies within the legislative branch were directed to develop and present their fiscal year 2013 budget requests using a zero-based budgeting approach, I would like to hear from you about how this process worked within your agency.

Was this a helpful process or a hindrance in developing the budget request?

Were you able to find sustainable efficiencies that will result in continued savings over time, or one-time only savings?

Is this a process you will be able to replicate for future budget requests?

Answer. The Architect of the Capitol (AOC) made good strides in implementing zero-based budgeting with its fiscal year 2013 request. In fact, AOC has been successfully using zero-based budgeting for its capital projects budget for a number of years.

As in years past, in preparing its fiscal year 2013 request, the AOC performed an extensive prioritization process to analyze all capital projects, and requested those deemed to be the most critical due to condition assessments and congressional needs. AOC's Project Planning and Prioritization Process ranks every necessary project using the conditions of the facilities and the anticipated urgency with which we need to provide the levels of investment and maintenance required to ensure they remain safe, functional, and secure. The first priority, of course, is to ensure the health and safety of all those who work in and visit the Capitol campus. This "triage" process for facilities identifies the most serious issues first, which we assess carefully to develop solutions to fix the problems while also addressing necessary life-safety issues, security requirements, energy-savings opportunities, and historic preservation measures.

We also applied a zero-based budgeting philosophy as we developed the operations budget. Utilizing this approach presented challenges, but yielded positive results because, while the request includes mandatory payroll increases, AOC's fiscal year 2013 operations budget request largely holds operational spending at fiscal year 2012 levels.

In a true zero-based budget process, AOC would build the budget up from zero to the necessary level. This would have required increased resources and time. AOC adopted a modified approach that followed the intent of zero-based budgeting without requiring an increase in resources. Using this approach greatly assisted us in looking at the total program to ensure that our operations focus on obtaining best value and increasing efficiencies while continuing to provide maximum support to the Congress. The key benefit of using zero-based budgeting in developing the fiscal year 2013 request was that we performed extensive analysis of historical, current and future costs, and prepared a budget to accommodate shrinking Federal budgets.

AOC plans to continue to mature its zero-based budget process through the increased use of cost accounting data and analysis. We also have "right-sized" our payroll request and will continue along those lines in future requests. AOC has always developed its capital project requests by examining the entire cost of a project. Through zero-based budgeting, we have increased emphasis in this area and will continue to perform in-depth analysis of the entire cost of projects. We have also increased our focus on cost-benefit analysis. We plan to continue to refine zero-based budgeting efforts to maximize use in future budget requests. Our initial efforts found some one-time only savings. Most efforts resulted in cost avoidances, that is, by doing things more efficiently, we were able to reduce the costs of carrying out operations, programs, or projects. We will continue to seek long-terms efficiencies and savings as we know we need to do more with less. We continue to focus on improving our operations, and attempt to realize more efficiencies and save taxpayer money.

VOLUNTARY EARLY RETIREMENT AUTHORITY/VOLUNTARY SEPARATION INCENTIVE PAYMENT

Question. The Committee provided guidance in the fiscal year 2012 appropriations legislation that each agency within the legislative branch should consider using Voluntary Early Retirement Authority (VERA)/Voluntary Separation Incentive Payment (VSIP) in order to reduce salary costs to the agency.

Were you able to utilize VERA/VSIP authority; and if so, was this a successful mechanism for reducing costs?

Are those savings realized immediately, or in the out-years?

Realizing that losing people who are eligible for retirement or early separation often means losing some of the best and brightest people with the greatest institutional knowledge within your organization, how have staffing reductions impacted your agency?

Do you have succession plans in place that allow for a smooth transition of responsibilities?

Answer. AOC applied for, and received approval to use VERA/VSIP authority for 2012; however, this authority was not used because, through a variety of other initiatives it has implemented, AOC will remain under the set payroll ceilings.

Internal reviews regarding the impact of implementing VERA/VSIP showed that a significant reduction in AOC workforce would have a corresponding impact on the number and level of services that the AOC provides to the Congress and the American people. In addition, any use of VERA/VSIP authority does not result in immediate savings, given the funding required. Savings, if any, would be realized in out-years.

Instead, through careful management of overtime, by changing employee work schedules, implementing a temporary, targeted hiring freeze, and managing when vacancies are filled, AOC has determined that it will be able to meet its fiscal year 2012 payroll without implementing VERA/VSIP.

These actions are not without impacts, for example, AOC has implemented a targeted hiring freeze. Because AOC has a broad talent base, we are maximizing the use of our existing workforce and their skill sets. However, this has placed a greater burden on all of our employees who are now required to complete additional tasks due to the unfilled vacancies.

AOC continues to examine additional personnel cost savings initiatives. As noted earlier, additional reductions in AOC workforce could have a corresponding reduction in the number and level of services provided to the Congress. Therefore, AOC is carefully studying a number of options and will consult with its Oversight Committees to ensure its prioritization of services matches the most pressing needs of the Congress.

To mitigate potential impacts on services, we would prioritize services, cross-utilize and cross-train employees, and provide regular and consistent communication with all customers in order to manage expectations as changes to the level and/or of services provided are adjusted.

AOC's talented workforce is the key to our success. We have succession plans at the appropriation level, and we are working to engage cross-functional teams, to implement best practices to help us become more efficient in our operations, and providing services across multiple jurisdictions to maximize the existing talents of our personnel and to further enhance efficiencies and reduce costs.

FISCAL YEAR 2013 BUDGET REQUESTS

Question. I realize that it is important for each agency to request what it believes is necessary in terms of funding for operations and projects without knowing how much funding will be available in the next budget cycle; however, it should be clear to everyone what path we are on given the fiscal situation still facing our country. Therefore it concerns me that each agency represented here today, except for the Open World Leadership Center, requested a budgetary increase for fiscal year 2013.

What would be the impact to each of your agencies if you were held to the fiscal year 2012 enacted level of funding?

What would be the impact of a reduction less than the fiscal year 2012 funding level?

At what funding level reduction could your agency no longer continue to provide the services you are required to provide without making significant changes to the agency and its mission?

Answer. As noted in the previous response, AOC's fiscal year 2013 operations request is essentially flat. The request does take into account mandatory payroll increases, but it largely holds AOC operational spending to fiscal year 2012 levels.

With regard to the fiscal year 2013 capital projects budget request, we worked to prioritize our efforts to ensure that every resource goes toward the most needed and most important work. For fiscal year 2013, our responsibilities also will include two very staff- and resource-intensive activities—preparing for the Presidential Inaugural ceremony, and orchestrating the postelection office moves in the House and Senate.

While AOC was able to reduce its budget request for capital projects in fiscal year 2013 to $161 million, a 10-percent decrease from its fiscal year 2012 capital projects request, it does include several large Deferred Maintenance projects including Phase II of the Capitol dome restoration, the chiller replacement and revitalization of the refrigeration plant, and the stabilization of Union Square—a new requirement in fiscal year 2013.

If AOC were held to fiscal year 2012 funding levels, on the operations side, critical technology updates would again be postponed, which could jeopardize information technology system security and stability. In addition, important facility condition assessments that are vital to assessing the stability, safety, and functionality of our buildings would be delayed, resulting in an increased number of Deferred Maintenance and Capital Renewal projects. Other efforts such as AOC-wide life-safety and emergency preparedness training and programs, energy-savings initiatives, and public educational outreach through the Botanic Garden and Capitol Visitor Center would be severely curtailed or eliminated.

With regard to the capital projects portion of AOC's budget, freezing funding or cutting major restoration projects has lasting repercussions. The longer Deferred Maintenance or Capital Renewal projects are delayed, the conditions in the facilities will continue to deteriorate; deficiencies will grow more serious, and ultimately will be more costly to repair.

A number of life-safety improvements are also necessary, such as installing smoke detectors and fire alarms, as well as emergency generators and emergency lighting. Many elevators require complete refurbishment; the exterior stone on many of the buildings across the Capitol campus, including the Senate and Capitol buildings required extensive repairs and preservation; and in order to keep up with increasing demand, electrical system and heating, ventilation, and air conditioning (HVAC) updates are critical in the very near future. Additional consequences of not addressing looming Deferred Maintenance and Capital Renewal projects are the continued crumbling of facilities' infrastructure; a loss of historic artwork and architectural features; continued system and building failures; and security threats.

AOC fully recognizes that we must balance our stewardship responsibilities with fiscal restraint; however, if it is funded below the fiscal year 2012 budget levels, congressional facilities will continue to deteriorate causing an increase in operating budget levels and an increase in risk of facility or system failure that could directly impact congressional operations.

Despite the best efforts of AOC's talented craftsmen and women to anticipate and make needed repairs, as these buildings continue to age, they become more difficult and costly to maintain. Making necessary improvements requires significant investment, and today the backlog of Deferred Maintenance project totals more than $1.6 billion.

As we developed this budget, we worked to prioritize our efforts to ensure that every resource goes toward the most needed work. In addition, we are continually finding ways of working faster, smarter, and cheaper. Our efforts to date have resulted in reducing the costs of carrying out our daily operations and projects. However, the reality is that receiving operating funding below fiscal year 2012 levels could result in a reduction of number and level of services that AOC provides to Congress and the American people. And, receiving capital project funding below the amount requested for fiscal year 2013 will result in increased risk of failure in terms of facility systems, infrastructure, security, and life-safety efforts. To this end, AOC's fiscal year 2013 budget reflects the highest requirements to try to prevent or delay malfunctions and/or failures.

LIBRARY OF CONGRESS

STATEMENT OF HON. JAMES H. BILLINGTON, LIBRARIAN OF CONGRESS

Senator NELSON. Now, Dr. Billington, the floor is yours.

Dr. BILLINGTON. Thank you, Mr. Chairman Nelson and Senator Hoeven.

NEW LIBRARY LEADERSHIP

I think I should first maybe just introduce the four new faces, who lend fresh luster to our executive committee. I will begin with Mary Mazanec, the new head of the Congressional Research Service; David Mao, new head of the Law Library of Congress; Roberta Shaffer, head of Library Services; and Maria Pallante, the new Register of Copyrights. We're very fortunate in having them with us.

GRATITUDE FOR CHAIRMAN NELSON'S LEADERSHIP

So, Mr. Chairman and Mr. Hoeven first of all to you, Mr. Chairman. I understand this will be our last hearing with you, and I wish to express our deep appreciation for your outstanding service in the Senate and your many years of support for the LOC. The LOC, by the way, now collaborates with a number of Nebraska institutions—the University of Nebraska, Lincoln Library, Nebraska State Historical Society, Durham Museum, and others. The late Charles Durham was, in fact, the first private donor to our congressionally commissioned Veterans History Project which has now become the largest oral history project in American history.

I'm pleased to present our fiscal year 2013 budget request and to thank the Congress for having been the greatest patron of a library in human history, creating and expanding the reach of the LOC throughout every period of our history, viewing the LOC, as a unique institution of fundamental importance for our knowledge-based democracy. All of us at the LOC are deeply grateful for the support you've given to making America's oldest Federal cultural institution into the world's largest and most inclusive collection both of recorded human knowledge and of America's cultural creativity.

For fiscal year 2013 we are seeking funding just to maintain current core services adjusted for inflation at the reduced fiscal year 2012 level. We have asked for no program increases, and the requested funding will allow the LOC time to conclude the intensive IT and zero-based budget review that is now underway and was called for in the House report for fiscal year 2012. Over the next year, the results of this review will inform our decisions and resource allocations that are needed to preserve and enhance priority mission functions in the smaller budget times.

I have my written statement. I have itemized the major works we've been able to do even with the budget reductions in fiscal year 2011 and the added ones in fiscal year 2012.

In our effort to absorb the fiscal year 2012 appropriations reductions, we offered a voluntary separation incentive program, accepting early retirement for 186 staff, which nonetheless meant losing the institutional memory of important and one of a kind curators and technicians. We have been using the realities of the current budget environment to strengthen our program to get the various parts of the entire LOC community to work together more economically and effectively by adopting and reinforcing LOC-wide strategies.

Under our experienced Chief of Staff, Robert Dizard, Jr., we have made major strides in improving LOC's Web presence in the unifying effort better to bring together resources and scholarly expertise from all across LOC. We're in the process of making important structural changes that will more fully integrate our digital and analog resources.

I want to especially mention, if I could, and to the distinguished representative leader of the AOC, our need for funding, in his budget, for Module 5 for preservation and storage at Fort Meade. This is essential if we are to continue to acquire and preserve our uniquely comprehensive collections and to make them rapidly accessible for the Congress and the American people.

Our fiscal year 2013 request is, in essence, a petition not to deepen further than we already have the reductions in LOC's budget, which could put our core services at greater risk. Reductions have already cut deep into LOC's muscle. We ask that they not be allowed to cut further on into the bone.

Two of our most pressing national American needs for security and economic competitiveness are increasingly dependent on an expanding base of knowledge and its accessibility. The LOC is in many ways a peaceful national arsenal for the information age that we are living in.

PREPARED STATEMENT

So, Mr. Chairman and Mr. Hoeven, thank you again for your support of the LOC and for your consideration of our fiscal year 2013 request. I cede back the remaining seconds.

[The statement follows:]

PREPARED STATEMENT OF DR. JAMES H. BILLINGTON

Mr. Chairman, Mr. Hoeven, and members of the subcommittee: I am pleased to present the Library of Congress (LOC) fiscal year 2013 budget request.

The Congress of the United States has created and sustained its library, the Nation's library, for 212 years, through every period of our history. The Congress has viewed its library—America's oldest Federal cultural institution—as a unique institution of fundamental importance for our knowledge-based democracy. Mr. Chairman, all of us at LOC are deeply grateful for the support you give to this, the world's largest and most inclusive collection of recorded human knowledge and of America's cultural creativity.

LOC's mission is to support the Congress in fulfilling its constitutional duties and to further the progress of knowledge and creativity for the American people. Our fiscal year request for 2013, Mr. Chairman, respects the need for budgetary austerity and asks for what is truly important for America in this information age.

We are seeking funding just to maintain current core services, adjusted for inflation, at the reduced fiscal year 2012 level. We have asked for no program increases.

The requested funding will allow the LOC time to conclude the intensive information technology (IT) and zero-based budget review, now underway, that was called for in the House report for fiscal year 2012. Over the next year, the results of the review will inform our decisions on resource allocation that are necessary in order to preserve and enhance priority mission functions within smaller budgets.

In fiscal year 2011, we were able to continue these services with reduced resources as follows. It enabled us to:

—Responded to more than 763,000 congressional research requests, delivering to the Congress more than 1 million research products and approximately 30,000 items directly from the LOC's collections;

—Registered more than 670,000 claims to copyright;

—Provided reference services to more than 500,000 individual users;

—Led a nationwide effort with more than 19,000 teachers throughout the country to advance K–12 students' understanding of American history and culture by providing 20 million primary documents from our collections online free of charge;

—Circulated more than 25 million items to more than 800,000 blind and physically handicapped Americans;

—Gave state-of-the-art preservation treatment to 10.7 million items in the collections; and

—Welcomed nearly 1.7 million visitors to our exhibits and public facilities here on Capitol Hill.

In response to the appropriations reductions in fiscal year 2012, and in an effort to absorb the reductions without damaging the LOC's mission-critical programs, we offered a voluntary separation incentive program, accepting early retirement for 186 staff—which nonetheless meant losing institutional memory in some highly specialized areas of research and curation.

As a result of the fiscal year 2012 reductions:

The Congressional Research Service (CRS) eliminated 40 positions and decreased its investments in IT, research materials, and professional development activities. With fewer resources, we are increasingly challenged both to maintain the quality and timeliness of response that characterize CRS work and to ensure coverage of all issues for the Congress.

The Copyright Office made significant cutbacks in its IT budget and reduced or delayed hiring, because receipts were lower than expected and because appropriated funding was reduced. As a result, critical upgrades to the electronic registration service that directly supports copyright commerce will take a longer period of time to put in place and raise concern about a potential new backlog in copyright claims processing, adversely affecting both authors and users of copyrighted materials.

The law library lost four key positions (including a senior foreign law specialist for Canada) and is concerned about sustaining its historic ability both to recruit expert foreign legal specialists for important jurisdictions and to acquire current and new foreign legal and legislative material needed to respond to congressional requests.

Library Services lost 50 staff in the Acquisitions and Bibliographic Access Directorate alone—the most basic of LOC's services—along with other reference and public service staff. Budget reductions in fiscal year 2012 have led to the postponement of purchasing switches and routers needed to archive video of Senate floor proceedings and have delayed installation of compact shelving at the Packard Campus facility.

For the National Library Service for the Blind and Physically Handicapped, unless $6 million in no-year funds for playback machines can be reprogrammed to allow the purchase of content media cartridges, the shortage of funds for flash cartridges will disrupt the Digital Talking Book program production cycle, and could dramatically affect the delivery of digital books and magazines to patrons and slow the analog-to-digital conversion of retrospective titles.

I have listed some of the impacts, but there has also been an important strategic bright spot amid the practical difficulties posed by our current budget environment: it has encouraged the entire LOC to work better together in pursuit of LOC-wide strategies. We have made major strides in improving the LOC's Web presence in a unified effort that has brought together resources and expertise from across the LOC. We are in the process of making robust structural changes that will more fully integrate our digital and analog resources.

I also want to make special mention again of our need for funding in the Architect of the Capitol's budget for Module 5 at Fort Meade. This is an essential element of our increasingly pressing collections management and access requirements.

Our fiscal year 2013 request is, in essence, a petition not to deepen the reductions in the LOC's budget and put our core services at greater risk. Reductions have already cut deep into the LOC's muscle. We ask that they not be allowed to cut into bone.

Mr. Chairman, the Congress of the United States has been the greatest patron of a library in human history. Each year, its LOC is privileged to serve directly every Member of Congress, every congressional committee, and millions of Americans, often in ways that would otherwise be unavailable to them. We want to continue these services. We, as a Nation, need this institution, which serves as the sole keeper of both the mint record of America's copyrighted creativity and of the world's greatest repository of preserved and curated knowledge.

Mr. Chairman, Mr. Hoeven, and members of the subcommittee, I thank you again for your support of the LOC and for your consideration of our fiscal year 2013 request.

PREPARED STATEMENT OF MARY B. MAZANEC, DIRECTOR, CONGRESSIONAL RESEARCH SERVICE

Mr. Chairman, Senator Hoeven, and members of the subcommittee: I want to begin by saying what an honor it is to have been appointed Director of the Congressional Research Service (CRS) by Dr. Billington last December. This—my first presentation on the CRS budget before this subcommittee—is an opportunity for me to describe some of the accomplishments of the past fiscal year, plans for the future, and the truly unique work of the dedicated staff of CRS.

SUPPORT FOR THE CONGRESS

Major world and national events and an active legislative agenda demanded much of CRS staff this past year. Despite significant staff reductions and cutbacks in other resources, I believe we were able to successfully accomplish our mission of providing objective and authoritative information and analysis of the issues before the Congress. Let me outline briefly some of the major areas in which we provided support to the Congress last year.

The state of the economy dominated much of the legislative agenda and will probably continue to be an overarching issue in 2012 and beyond. CRS policy analysts and economists analyzed options to provide economic stimulus, create jobs, assist the unemployed, and reduce the deficit. We provided briefings and seminars on the sustainability of the debt and deficit, approaches to address the budget deficit and methods to stimulate economic expansion. CRS budget and congressional procedural experts produced a series of products on the operation of the Budget Control Act of 2011 and its implications for agencies and programs.

CRS tracked and analyzed rules and regulations implementing financial reform legislation and provided legal analyses of aspects of the new financial regulatory structure. Analysts conducted several seminars on banking and financial intermediation and the basics of the financial system. Economists and policy experts analyzed the implications of the economic challenges facing the Euro zone countries for the United States economy and world financial stability. Reauthorization of the Export-Import Bank and policies surrounding China's currency were issues of interest that will carry over into this session of the Congress.

CRS foreign policy and military experts were called upon to analyze volatile and quickly changing events in the Middle East and North Africa. Egypt, Syria, Libya and other countries in the region have entered an era of rapid, dramatic, and fundamental change with implications for the region as a whole and for the United States. CRS specialists also provided support on United States strategy in Afghanistan and Iraq, including governance and security issues following drawdown of United States presence in both countries. American involvement in North Atlantic Treaty Organization (NATO) military operations in Libya raised questions of war powers and options facing the NATO-led coalition forces.

Reauthorization of the anti-terrorism tools in the USA PATRIOT Act prompted requests for legal and policy analyses of the scope of the Government's law enforcement authorities in the national security context and the application of the state secrets privilege in litigation. Attorneys also analyzed the detainee provisions in the recently enacted National Defense Authorization Act. The debate over the Federal Aviation Administration reauthorization saw CRS analysts addressing such issues as air traffic control modernization, fuel tax proposals, and transportation security.

Several devastating natural disasters at home and abroad—from flooding and wildfires to the Japanese earthquake and tsunami—prompted congressional interest. CRS provided information and analysis on Government disaster relief programs and the relief operations of the Army Corps of Engineers. Analysts also evaluated the implications of the Japanese nuclear incident for United States nuclear energy policy and the safety of nuclear reactors.

The Supreme Court will be ruling this term on the constitutionality of key provisions of the healthcare legislation as well as the authority of States to legislate in the area of immigration. Both of these controversial issues have been features of the legislative agenda for the past two Congresses and have occasioned legal analyses by CRS attorneys. The decisions are certain to generate much congressional interest and have implications for not only the operation of programs directly implicated but also for the scope of congressional power.

CRS legislative procedure experts completed a major revision of a Senate committee print on cloture. Last updated in 1985, the revision included much additional analysis and numerous case studies of the cloture process. Analysts and attorneys also supplied legal and historical analyses of the recess appointment power both preparatory to and in the wake of the President's recess appointments in January.

Many of the issues recounted will continue to be of interest to the Senate and the Congress in this session. CRS recently completed its annual legislative planning process for the second session of this Congress. We identified more than 160 issues likely to be before the Congress and organized our product line and web resources around those issues. We have been meeting with leadership offices to ensure that CRS is well positioned to support the Congress' legislative agenda.

Our support for the Congress spans the entire legislative agenda and our expert and multidisciplinary staff are ready to provide confidential tailored memoranda and personal briefings, more widely available CRS Reports for Congress, seminars and programs on the legislative process and topical issues, and information and advice in response to a phone call or email. CRS is also making strides in providing access to its expertise and information via the technological tools that our clients rely on to do their work.

While we are operating under increased budget pressures in technology and research resources, we continue to enhance the functionality of our Web site. CRS.gov is the gateway to all CRS analytical and informational resources, including our analysts and informational professionals. A useful and accessible Web site is an efficient way to deliver CRS services and expose clients to all that CRS has to offer. This past year we have introduced customization capabilities which enable users to create accounts and tailor the information they would like to receive from CRS, get updates on new products, programs and changes to the Web site, and facilitate their placing specific requests. We have also made it easier for users to focus more quickly on notable CRS products, featured topics that are dominating the legislative agenda, and to have access to basic data resources that complement the analytical content of CRS reports.

We are currently in the process of examining more robust search capabilities and ways to make CRS subject-matter experts more accessible to our clients. We have also enhanced the mobile Web site and continue to explore ways to make CRS material more accessible on the variety of mobile devices that have become such an important part of the way Members and staff access information.

CRS is also repurposing the Senate Research Center (SRC) in the Russell Senate Office Building into an education and outreach facility to better serve our clients. Members and their staff should find it more convenient to attend CRS seminars and briefings, and to meet with CRS experts in the SRC. CRS expects to begin offering an expanded list of events from the SRC in early spring 2012.

FISCAL YEAR 2013 BUDGET REQUEST

The CRS budget request for fiscal 2013 is $109.2 million, with almost 90 percent devoted to salary and benefits for our staff. CRS continues to operate at its lowest staff level in more than three decades and we lowered our hiring ceiling by 40 positions in fiscal year 2012. The small percentage of nonpay expenditures is limited to basic support for research and analysis. This request is mindful of the difficult fiscal issues facing the Congress and does not include funding for additional specialized technical skills and policy expertise that would be helpful in meeting the growing policy demands placed upon the Congress.

CONCLUSION

I want to close by reiterating what an honor it is to have been named Director of CRS. I am aware of the great responsibility of CRS to provide objective and nonpartisan assistance to the Congress and I am committed to following in the footsteps of my distinguished predecessors. I believe that this mission of contributing to an informed national legislature is even more vital and important today as the Congress is exposed to a flood of information from all sides and Members must sort through the myriad of voices that vie for their attention in order to make sound policy choices. I intend to ensure that CRS remains the Congress' primary source for the analysis and information that it needs to perform its legislative functions and that we continue to explore new and innovative ways we can best serve—as shared staff—the committees of the Congress, Members, and their staffs. I thank you for your continuing support.

PREPARED STATEMENT OF MARIA A. PALLANTE, REGISTER OF COPYRIGHTS AND DIRECTOR, UNITED STATES COPYRIGHT OFFICE

Mr. Chairman, Mr. Hoeven, and members of the subcommittee: Thank you for the opportunity to present the fiscal year 2013 budget request of the United States Copyright Office. We deeply respect the need to engage in responsible fiscal management in these austere times.

The Copyright Office, already a lean operation, does not seek additional full-time equivalents or funding for new projects, but we do hope to ensure that our existing staff is compensated competitively so as to maintain a strong, talented workforce that will sustain the Copyright Office in the 21st century. As copyright issues become more ubiquitous, and as the office charts a course for the future, it will need to pursue intelligent growth to ensure that it can meet the needs of the national copyright system well into the future.

For fiscal year 2013, the Copyright Office requests a total of $52.772 million, offset by fee collections of $28.029 million, and licensing royalty collections of $5.582 million, applied to the office's Licensing Division and the Copyright Royalty Judges. Specifically, our requests are as follows:

—A 2.2-percent increase ($0.999 million) more than fiscal year 2012 to support mandatory pay-related and price level increases affecting administration of the office's core business systems and public services;

—A 1.8-percent increase ($0.093 million) more than fiscal year 2012 in offsetting collection authority for the Copyright Licensing Division to support mandatory pay-related and price level increases affecting the administration of the office's licensing functions; and

—$2 million to restore the Copyright Office's base funding.[1]

PROGRAM OVERVIEW

The U.S. Copyright Office plays a critical role in promoting and disseminating American works of authorship and in sustaining large and small businesses in the information, entertainment, and technology sectors. It administers the national copyright registration and recordation systems (and exercises associated regulatory authority) in accordance with title 17 of the U.S. Code. The office's registration system and the companion recordation system constitute the world's largest database of copyrighted works and copyright ownership information.

COPYRIGHT AND THE ECONOMY

In terms of the larger U.S. economy, many authors, composers, book and software publishers, film and television producers, and creators of musical works depend on the registration system to protect their creative works and business interests. Based on a study released in 2011 using data from 2010,[2] these core sectors—whose primary purpose is to produce and distribute creative works—account for more than 6.36 percent of the U.S. domestic gross product, or nearly $932 billion. The core copyright industries also employed 5.1 million workers (3.93 percent of U.S. workers), and that number doubles to more than 10.6 million people (8.19 percent of the U.S. workforce) when the workers that help and support the distribution of these works are added into the equation.

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[1] The enacted budget for fiscal year 2012 directed the Copyright Office to utilize no-year funding (collected from fees for services) to offset expenses, effectively reducing our spending ratio of appropriated dollars to fees at the same time that fees and receipts were lower than anticipated. To ensure sufficient funding for operations in fiscal year 2013, including the ability to cover necessary staffing and critical technology upgrades when fees fluctuate, the office requests restoration of its base appropriations. As outlined in *Priorities and Special Projects of the United States Copyright Office: 2011–2013* (www.copyright.gov/docs/priorities.pdf), the office is in the midst of a multi-year evaluation of fees, services, technology, and other issues that will inform its future strategies for intelligent growth.

[2] Stephen E. Siwek, *Copyright Industries in the U.S. Economy: The 2011 Report*, prepared by Economists, Inc. for the International Intellectual Property Alliance (2011).

LAW AND POLICY

The Register of Copyrights is the principal advisor to the Congress on issues of domestic and international copyright policy. She works closely with both copyright owners and users of copyrighted materials to sustain an effective copyright law—on issues ranging from enforcement to fair use.

Through its policy work, the Copyright Office provides leadership and technical expertise to ensure that the copyright law stays relevant and updated, not only to protect authors in the 21st century, but also to ensure updates for users of copyrighted works. These include appropriate exceptions for libraries, persons who are blind, and certain noncommercial educational activities.

The Copyright Office participates in important U.S. trade negotiations relating to intellectual property (e.g., treaties and free trade agreements) at both the bilateral and multilateral levels. It also works with the Department of Justice (DOJ) on critical copyright cases.

Fiscal Year 2011

In fiscal year 2011, the Office provided ongoing assistance to the Congress on a number of complex issues and delivered a major study on market-based alternatives to statutory licenses for cable and satellite retransmission. The Register testified twice on major copyright legislation regarding:

—enforcement measures to combat the operators of illegal, infringing Web sites trafficking in infringing copyrighted works, such as movies, music, books, and software; and

—new provisions that would update the criminal penalties for infringement of the exclusive right of public performance that occurs through the streaming of the work (e.g., a television program or live sporting event) to make the penalties similar to those for infringement based on the distribution right.

The Office participated in major negotiations at the World Intellectual Property Organization and with major trading partners. On the litigation front, DOJ called upon the office on several important issues, including challenges to the constitutionality of copyright law amendments, interpretation of the first sale doctrine, and issues related to the importation of copyrighted works.

REGISTRATION AND RECORDATION

The copyright registration and recordation systems protect, and document for the public, a diverse array of American authorship, including motion pictures, software, books, musical compositions, sound recordings, photography, and fine art, as well as databases, Web sites, and other online works. The Office reached a significant milestone in fiscal year 2011 by returning to normal levels of processing and claim completion and eliminating the backlog. At the start of fiscal year 2011, it had approximately 380,000 claims awaiting processing, and received an additional 539,332 claims. The office closed 734,256 claims during the year—nearly 195,000 more than it received. It ended the year with its standard workload of approximately 185,000 claims on hand, of which approximately one-half are awaiting further action from the claimants and one-half are awaiting Office action. Those in the Office's working queue will, on average, be processed within 2 to 4 months, depending on the complexity of the claim.

LICENSING

The Copyright Office helps administer certain compulsory and statutory license provisions of the U.S. Copyright Act, which pertain to setting royalty rates and terms and determining the distribution of royalties for certain copyright statutory licenses. These licenses cover activities including secondary transmissions of radio and television programs by cable television systems and secondary transmissions of network and non-network stations by satellite carriers. The Office's primary clients with respect to the statutory licenses are copyright owners and users of copyrighted works that are subject to statutory copyright licenses. The Office is responsible for collecting and investing royalty fees for later distribution to copyright owners, examining related documents, providing information to various constituencies as part of its public affairs program, and recording documents for several licenses for which royalties are handled by outside parties.

In fiscal year 2011, the Office's Licensing Division collected nearly $326 million in royalty fees and distributed approximately $144 million in royalties to copyright owners, according to voluntary agreements among claimants or as a result of determinations of the Copyright Royalty Judges. The Division also began a multiyear business process re-engineering program designed to decrease processing times for statements of account, implement on-line filing processes, and improve public access to Office records. The new processes will be implemented and refined throughout fiscal years 2012 and 2013.

ACQUISITIONS

The Copyright Office also administers the mandatory legal deposit of works published in the United States. In fiscal year 2011, the Office managed the deposit of more than 700,000 copies of creative works for the Library of Congress' (LOC) collection, which LOC would otherwise have had to purchase, valued at approximately $31 million.

Because more and more journals, magazines, and newspapers are "born digital", the Copyright Office has led a LOC-wide effort to obtain and manage serials that publishers supply only in electronic formats. Although the project currently focuses on mandatory deposit provisions under title 17—provisions that require publishers to deposit copies of certain works with LOC within 3 months of publication—it serves as a test bed for the intake of works by LOC through other mechanisms, including the registration system. The Office's current work sets the stage for LOC's electronic acquisition strategy, which will ultimately enhance and diversify LOC's collections to capture and reflect American Internet culture.

PRIORITIES FOR A 21ST CENTURY COPYRIGHT OFFICE

Fiscal Year 2012

On October 21, 2011, the Register of Copyrights released *Priorities and Special Projects of the U.S. Copyright Office* (www.copyright.gov/docs/priorities.pdf), a comprehensive document that articulates the significant statutory duties of the Office as well as expectations of the copyright community. This document received tremendous positive feedback from a wide array of copyright stakeholders and the media. It includes everything from strategic evaluation of technical systems to planning for intelligent business growth for the future to updating the *Compendium of Copyright Office Practices*—the primary source of registration practice followed by Copyright Office staff, the public and courts—for the digital era.

The communication of these priorities and special projects represents a commitment from the Office to address complexities in the copyright system and prepare for future challenges. The Office will use the priorities document as a roadmap to improve the quality and efficiency of its services subject to the availability of budgetary resources. The document outlines the Office's work on current and future law and policy questions including orphan works, small claims solutions for copyright owners, mass book digitization, illegal streaming, collaboration with WIPO, and updates to registration practices to accommodate works created online. The office will also undertake improvements to operations including:

—technical upgrades to electronic registration;
—increased public outreach and copyright education; and
—re-engineering of its recordation system.

The following are some of the specific policy projects the Office has completed or commenced in fiscal year 2012:

—an analysis of legal issues relating to mass book digitization, the Google book search litigation, and applicable licensing models;
—a major study and recommendations to the Congress regarding copyright protection for pre-1972 sound recordings;
—research and analysis of small claims solutions for individual authors and other copyright owners;
—a rulemaking on exceptions to the prohibition on circumvention of measures controlling access to copyrighted works for ultimate determination by the Librarian of Congress (pursuant to the Digital Millennium Copyright Act); and
—the development of an updated fee schedule that takes into account the Office's fiscal requirements as well as the objectives of the copyright system.

The Register of Copyrights will serve on the negotiating team for the United States for a major treaty to protect performers in the context of audiovisual works at a Diplomatic Conference to be held in June 2012 in Beijing, and will provide treaty implementation advice to the Congress, as appropriate.

Finally, the Office will continue to evaluate, streamline, and otherwise improve its public services, including processing times and quality assurance for the examination of copyrighted works, processing of claimant information, and issuance of copyright registration certificates.

Fiscal Year 2013 and Beyond

Fiscal year 2013 will be an extremely important year for the Copyright Office. The Office will continue its implementation of the Register's priorities and special projects; the research and analysis phase of many of these projects will conclude by or before October 2013. Some of these projects relate directly to the stewardship and effective operation of the Nation's copyright registration system in the 21st century, and will yield important data to inform the Office's focus and strategies for fiscal years 2014–2018.

The Office will address the implementation of its fee schedule and associated practices early in fiscal year 2013, following research in fiscal 2011 and 2012, and public consultation and delivery of a major study to the Congress on the topic in fiscal year 2012.

The Office will also conclude a major analysis of the technical aspects of registration and recordation in fiscal year 2013, including crafting a strategy to address certain technology, portal, and processing issues about which it is studying and consulting with stakeholders and experts in fiscal year 2012. It will continue the critical work of ensuring standards for repositories of electronic works of authorship, and digitizing historic copyright records from the period of 1870 to 1977 and making them searchable online.

The Office will continue its work on major negotiations for intellectual property protection in the Asia-Pacific rim and other regions of the world, and continue major work on the implementation of worldwide protection for performers in audiovisual works. It will work with the Congress on a number of major studies and policy developments, including orphan works, revisions of certain exceptions to copyright (including for libraries), mass digitization policy, and final work on small claims solutions for copyright owners (with a major study due to the Congress in October 2013). The office will publish portions of a major revision of its lengthy *Compendium of Copyright Office Practices* during fiscal year 2013, and release the final publication in October 2013.

CHALLENGES OF THE CURRENT FISCAL ENVIRONMENT

The Office is navigating an increasingly challenging budget environment. Since fiscal year 2010, it has absorbed a 22.7-percent reduction in its appropriation, partially offset by using $2 million in carryover funds, resulting in an effective cut of 13.1 percent. The overall effect was a 7-percent reduction in total budget authority which takes into account offsetting collections. In fiscal year 2012, a reduced appropriation, as well as collections that were lower than expected, required the Copyright Office to make significant cutbacks. The Office substantially reduced its information technology budget, slowing critical upgrades to the Office's electronic registration service that directly supports copyright commerce and affects both authors and users of copyrighted materials. The Office also reduced its workforce by 44 staff members through Voluntary Early Retirement Authority and Voluntary Separation Incentive Payments programs.

Although the Office is currently understaffed, it has taken steps to delay or reduce new hiring and to reduce training, travel, supplies, and new equipment expenditures. The Office is concerned that continued funding challenges could have an adverse impact on the Office's registration program, potentially leading to another backlog of copyright claims awaiting processing. It successfully eliminated a backlog in fiscal year 2011 that had occurred as a result of its transition to electronic processing in 2007. Further reductions will also lead to an adverse impact on its ability to participate in international negotiations and other policy efforts that are important to U.S. trade interests. The Copyright Office is committed to intelligent growth, recognizing the need to develop and implement a clear business strategy that takes into account the needs of the national copyright system, while exercising sound fiscal judgment.

FEES FOR SERVICES

On October 1, 2011 the Office commenced a study of the costs it incurs and the fees it charges with respect to the registration of claims, recordation of documents, and other public services, pursuant to its authority under 17 U.S.C. 708(b). The statute requires that the Office establish fees that are "fair and equitable and give due consideration to the objectives of the copyright system." 17 U.S.C. 708(b)(4). Such objectives include, for example, protecting creative works of authorship, ensuring a robust public database of authorship and licensing information, and facilitating the recovery of reasonable costs incurred by the Office.

As noted previously, the Office will deliver the fee study to the Congress in fiscal year 2012, with implementation as appropriate in fiscal year 2013.

CONCLUSION

Mr. Chairman, I want to thank you for your consideration of our budget request today and for the subcommittee's past support of the U.S. Copyright Office. Thank you in particular for considering the funding we require to sustain a first-rate staff and meet necessary expenses, enabling us to perform our core duties under the law and build the infrastructure necessary to support America's copyright system in the years ahead.

Senator NELSON. Thank you.

Senator, would you like to go first?

Senator HOEVEN. That's fine. Go ahead, Mr. Chairman.

Senator NELSON. Dr. Billington, first of all, I want to commend you for submitting a budget that is as lean as you're suggesting. I appreciate how difficult it is to do that under our fiscal constraints regardless. It reflects a 2.8-percent increase, is truly bare bones, and we certainly don't want to cut through the bones as well as through the muscle.

Now, it provides for minimal growth. Perhaps you could tell us, what sorts of priorities LOC is deferring into the future simply because of a leaner budget?

BUDGETARY CONSTRAINTS AND THE DEFERRAL OF PRIORITIES

Dr. BILLINGTON. Well, there's quite a list. Let me just mention——

Senator NELSON. Just a few.

Dr. BILLINGTON [continuing]. Just a few. We lost 22 reference staff, and additional budget cuts will result in reduced levels of reference. We've lost 50 in acquisitions and bibliographic access, which is the absolutely most fundamental thing in the entire business of having orderly and available LOC services. We estimate, because of these losses, that catalog records will decrease by about 50,000.

The entire LOC system depends on LOC cataloging, Mr. Chairman. It actually costs more to catalog a book properly than it does to buy it, and the Nation depends on this service we provide. The delayed processing of copyright registrations also will eventually lead to an arrearage, a problem we've overcome recently.

CRS has the most serious problem. CRS no longer has the flexibility to shift resources to develop new analytic capacities in accordance with the congressional schedules and needs. It lost 40 people, and the professional expenditures for development and training to cover the broader spectrum of areas that individual analysts have to cover, also will increase.

There is a lot of loss here and I'd like to go on, but there are very specific things we can point to, economics, healthcare, energy, and the copyright policy experts who directly address the important international questions, both domestically and internationally. IT security—for which we did not request any funding—had to be reprogrammed and we allocated substantial resources from other areas of the budget to cover IT security requirements.

AFFORDABLE ACCOMMODATIONS FOR LIBRARY VISITORS

I should point out that what we have accomplished in the past year is that we have completed private fundraising for conversion of a nearby building here on Capitol Hill into affordable temporary housing, for the reconstruction of the building that the Congress bought long ago.

Thanks to cooperation with the AOC, this renovated facility will enable access to the collections and the resources of LOC to teachers around the country who are using our primary source teaching material. We've trained an awful lot of teachers this past year. They want to come to use our collections, but they can't afford it. Interns are discovering in the copyright deposit collections enormous treasures of the American past. The lack of affordable residential housing makes it difficult for such interns to come to LOC.

Just yesterday I received a letter from a distinguished Muslim scholar in Western Europe whom we were very anxious to bring here, who could offer us quite a mixed perspective. And he just couldn't afford to come because he couldn't find inexpensive temporary housing. Visiting scholars, teachers, and interns are of capital importance for making the best use of the unique national resources that LOC holds. The inability to house these visitors is creating a great deal of difficult choices, which we will make, but the need is becoming crucial.

FUNDING FOR FORT MEADE

Senator NELSON. One further question. On that, what would be the impact of not funding the Fort Meade collections transfer program? If we didn't fund that, what would be the implications?

Dr. BILLINGTON. Extending support for the transfer of collections to Fort Meade is separate and apart from the rationale for Module 5, which is that we have 1 million books sitting on floors now that are increasingly difficult to access. But extending support for the transfer of collections to Modules 3 and 4 also is essential.

PUBLIC/PRIVATE CAPITAL INVESTMENTS

And I might mention, by the way, that we were able to create the entire new Packard Campus, that was a $150 million project—actually, worth a lot more than that because of donated expertise—that is a major capital investment of the kind AOC was pointing out as difficult to produce with annual funding. But Packard Campus funding and the private funding which also is creating the affordable residential scholar center for teachers all over the country who want to come and see the originals of what they're teaching in the classroom, all of that has been done with private funding. The requested $1.7 million is simply to extend the period of time to complete the collections transfer to Fort Meade Modules 3 and 4 and provide interim storage for collection materials at the Landover Center Annex.

So, this funding is important, but only a stopgap measure for new capital investments are made. The compact storage modules at Fort Meade are much more economical for the long term and meet preservation standards for storage. Just as the Packard Campus is giving us the possibility of both storing and preserving and making accessible basically the national patrimony of radio, television, movies, and recorded sound in a way that is for the ages because the capacity there is enormous, the new residential facility will be affordable—for young scholars, for people that are working with the world digital library that we're helping produce, who want to come from all over the world and all over the United States because of what there is here. They're not able to use it because there is no inexpensive and convenient place to stay. And we estimate roughly that the center will be able to accommodate about 2,500 of these short-term stays each year.

This facility will make a huge difference in the contribution to K through 12 education. Our Web site, with its immense amount of material online, primary documents, is enabling teachers to see the originals and pass on the enthusiasm and inspiration that comes from seeing the originals. They then can go back to struggling schools all over America and teach.

Those capital investments have been handled on the private side. They're very important for the long haul for our own health and also for the gathering of the kind of information we really need in this information age. By the way, the differential between what the LOC has and what other places have is increasing because the strain on other libraries throughout America is increasing. Both private and public libraries are suffering. Therefore, if we don't get the storage that we have requested, we will have to cut back on acquisitions. And that hurts the whole country which depends on the depth and diversity of our collections.

Senator NELSON. Well, thank you. Thank you.

Senator Hoeven.

LIBRARY PRIORITIES AND FUNDING REDUCTIONS

Senator HOEVEN. Thank you, Mr. Chairman.

Dr. Billington, it looks like your budget request is about a 2.8-percent increase. And I know that in your case, it's very challenging to hold the line and find savings in your budget because it's largely people intensive, and that makes it very challenging. But as was the case last year, I think we're going to end up working within a number that is going to be less than the budget submissions that we have here.

So, in terms of your budget, how would you prioritize to try to find additional savings? Would you look at specific programs? And if so, which programs? Are there some things you can do across the board? What do you do if you have to find some more savings in this budget versus the 2.8-percent increase?

Dr. BILLINGTON. I'm sorry. Would you repeat your question?

Senator HOEVEN. I'll try once again. Your budget increase is 2.8 percent. We may not be able to increase your budget by 2.8 percent. If so, how would you start to identify savings? Are there some programs you would look at? Would you look at across-the-board savings? How would you try to identify additional savings beyond the 2.8-percent increase that you submitted in your budget?

LOSS OF CRUCIAL STAFF THROUGH RETIREMENT INCENTIVES

Dr. BILLINGTON. Well, it's very difficult. We created $11 million of cost avoidance with the buyout, but, of course, that's a purely voluntary option. I have no authority to really encourage people either to apply or not to apply for such an option. We lost some very crucial people. We'll give you, for the record, a list of people that we lost.

[The information follows:]

LIBRARY OF CONGRESS FISCAL YEAR 2012 EARLY OUT (VERA)—BUYOUT (VSIP) PARTICIPATION

Organizational unit	Position title
Library Services [LS]:	
LS—ALLS—AFC—Veterans History Project:	
Library Technician	1
LS—Acquisitions and Bibliographic Access [ABA]	
Librarian	35
Library Technician	17
LS—Collections and Services [CS]:	
Archivist	1
Collection Protection Work Leader	1
Computer Operator	1
Librarian	14
Library Technician	9
Material Handler	1
Secretary	1
Supervisory Librarian	1
Technical Information Specialist	1
Technical Support Assistant	1
LS—CS—Packard Campus NAVCC:	
Librarian	1
LS—Partnership and Outreach Programs [POP]:	
Writer-Editor	1
LS—Preservation [PRES]:	
Librarian	3
Office Automation Assistant	1
LS—Technology Policy (Tech):	
Information Technology Specialist	2
Librarian	1
National Library Service for the Blind and Physically Handicapped:	
Library Technician	2
Office Automation Assistant	1
Warehouse Worker	1
Office of Strategic Initiatives:	
Computer Assistant	2
Information Technology Specialist	4
Law Library:	
Foreign Law Specialist	1
Librarian	1
Library Technician	1
Supervisory Librarian	1
Office of the Librarian: Senior Congressional Relations Specialist	1
Office of the Chief Financial Officer:	
Senior Operating Accountant	1
Office of Support Operations:	
Human Resources:	
Administrative Officer	1
Administrative Specialist	1
Human Resources Specialist	1
Integrated Support Services [ISS]:	
Fire Prevention Engineer	1
Motor Vehicle Operator	1
Safety Specialist	1
Visual Information Specialist	1
ISS–Logistics:	
Motor Vehicle Operator	1
Program Specialist	1
Warehouse Worker	1
Warehouse Worker Leader	1
ISS–Facilities: Food Service Worker	1
Copyright Office:	
Copyright—Basic:	
Accounting Technician	1
Administrative Support Clerk	1
Attorney-Advisor	1
Copyright Specialist	14

LIBRARY OF CONGRESS FISCAL YEAR 2012 EARLY OUT (VERA)—BUYOUT (VSIP) PARTICIPATION—Continued

Organizational unit	Position title
Deposit Copies Storage Clerk	1
Information Technology Specialist	1
Lead Mail Assistant	1
Librarian (Acquisitions)	1
Library Technician (Copyright)	8
Mail Clerk	5
Secretary (Office Automation)	1
Supervisory Copyright Specialist	4
Supervisory Office Automation Assistant	1
Writer-Editor	1
Copyright—Licensing:	
Library Technician	1
Supervisory Copyright Specialist	1
Congressional Research Service:	
Administrative Operations Assistant	1
Administrative Support Assistant	1
Biological Science Analyst	1
Economist	2
Foreign Affairs Analyst	1
Information Technology Specialist	3
Librarian (Research Specialist)	2
Program Specialist	1
Program Support Assistant	2
Social Science Analyst	4
Staff Assistant	1
Technical Information Specialist	3
Total participants	186

Dr. BILLINGTON. Although the increase we're asking for is largely for mandatory pay raises, the last thing we want to do is contemplate further reductions in staff, because it's the staff that brings us the life, and is assuming more and more responsibility. As the demand for services increases and diversifies, the opportunities to make use of it and to sustain it are being curtailed. We'll have to just make the difficult decisions.

IMPACT OF REDUCED ACQUISITIONS

I can't really tell you how, because if you reduce, if you seriously reduce acquisitions, for instance, the impact on this institution, which is so utterly unique and so much larger and more comprehensive than other libraries, that it is acquiring, preserving, and making maximally accessible the world's knowledge and America's creativity, is immense.

Because of the unique copyright deposits, the unique things we acquire, and the worldwide network of exchanges which we are a party to, rebuilding after significant budget cuts is very difficult. But if you reduce acquisitions, imagine you've been acquiring a scientific journal for 100 years. You skip a year, but you don't simply reduce the utility of the journal by one one-hundredth. You reduce it by about one-half in terms of its utility because scientific periodicals, all periodicals are constantly revising information published earlier. If you aren't up to date, you can't translate this into utility. You cannot make up for the information lost; that's why I talked about cutting into the bone.

IMPACT OF CUTS TO PRESERVATION SERVICES

Beyond acquisitions, we are unique in the preservation business across the world. We have the only program for the mass deacidification of paper. Twenty-five years ago, when I first came to LOC, a study said that 75,000 books are being reduced to virtual dust by the high acidic content of all paper that has been used since 1850. We have arrested that deterioration.

The Congress has asked us to create standards for the physical conservation of collection materials. There is so much more history now and increasing numbers of requests, for example what did somebody say on television 20 years ago? You assume you can locate the answer, however, the relevant recording may not be there. We are a throw-away society, but LOC has a national responsibility to preserve the information that others throw away. That's what these new facilities—Fort Meade and the Residential Scholars Center—are about.

DIGITAL PRESENCE

And then finally, we make the collections maximally accessible with our massive digital presence. We have 31 million digital files online, including an enormous number of the primary documents of American history and culture that are essential for K through 12 education. Most everything we've put online is pure primary content. This is not just information you don't know you can believe or trust. So, cutting these kinds of essential services presents difficult choices.

STAFFING CUTS

The most painful choice of all is if you have to cut the staff or have massive RIFs. As I said, we are getting very close to the bone. I can promise you that we will look, and not cry wolf. We will conscientiously continue as we've been doing, to do more with less. But the difficulty with institutions as large and as full of various things and the enormous possibilities for the future that they represent are that you don't know until after you've cut into the bone that the nerve ends have been frayed and the possibilities have been fundamentally changed.

LOC is a unique world resource for the United States of America; otherwise, UNESCO wouldn't have looked at us as a partner in the creation of a world digital library, again, almost entirely privately funded. We're not going to do this kind of program at the expense of the more fundamental programs, but we're accomplishing a lot. We have wonderful, dedicated staff. The dedication of staff over long periods of service is terrific.

ADDITIONAL BUDGET REDUCTIONS POTENTIALLY DEVASTATING

I can't give you my formula, but I can assure you that the staff, which has never been stronger, will conscientiously do its best to make do with whatever resources you have given us. But I would be remiss in my obligations to you if I didn't warn that a great institution like this, that took 212 years to build, could be destroyed not because anybody wants it destroyed, but because it simply has tipped down and cannot get back up, because the effort to get up has doubled or tripled. Restoring what has been lost becomes impossible.

But I would point out again, without a development office until recent years or a board of trustees, without a lot of appointees who can help in the fundraising, we have succeeded in raising significant funds for these capital projects. We've had wonderful cooperation from the AOC, not because we have a building complex, but just to remain faithful to our fundamental obligation of the Nation to acquire and preserve. Preservation is very important to almost everything produced—sound, movies, everything—and we have permission from the Congress to set up national registries for the preservation of sound and film.

NATIONAL PATRIMONY

We have the obligation of creating a national patrimony of the things that America has uniquely created, as well as to gather material in 470 languages from all over the world. Who would have thought 40 years ago, even 25 years ago, that material from places like Afghanistan or Chechnya or Burundi would be important to have?

LOC has probably the largest collection of Arabic and maybe even Farsi, Persian, Iranian materials anywhere. And there's so much here that's going to be important for future generations that we don't even know about, but we don't want to lobotomize the human memory. This institution is the most retentive and still-active guardian of human memory we have, and it's something that we just can't afford to let go. But I don't want to conduct a filibuster here, Mr. Chairman.

Senator HOEVEN. Dr. Billington, we appreciate tremendously what you and your staff do. It is a world-renowned institution and the quality of your work is absolutely incredible. So, we're going to do our best within the budget constraints that we have to work with, but thanks for being here. Thanks for being here today and for your input.

No further questions, Mr. Chairman.

Senator NELSON. Well, thank you.

ADDITIONAL COMMITTEE QUESTIONS

Well, let me associate myself with those complimentary remarks about the LOC, Dr. Billington, and all of your staff. There's no question about the quality of your work and how it's held in esteem. So, we appreciate very much.

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

QUESTIONS SUBMITTED BY SENATOR JOHN HOEVEN

ZERO-BASED BUDGETING

Question. Since each of the agencies within the legislative branch were directed to develop and present the fiscal year 2013 budget requests using a zero-based budgeting approach, I would like to hear from you about how this process worked within your agency.

Was this a helpful process or a hindrance in developing the budget request?

Answer. The Library of Congress (LOC) undertook an in-depth review of operations and services to inform the development of the fiscal 2012 spending plan and as the foundation for the development of requirements for fiscal 2013. This review involved an examination of the costs of individual programs and units within programs at a finer level of detail than done in the past and related these programs and costs to goals in LOC's strategic plan. Particular focus was directed at information technology infrastructure and information technology support operations across LOC, a part of the review that now is close to complete. This has been a labor intensive process. However, it was instructive and useful, resulting in insights into programs that could potentially be realigned to reduce or contain the damage of budget reductions to core mission services.

Question. Were you able to find sustainable efficiencies that will result in continued savings over time, or one-time only savings?

Answer. The budget review has not at this point revealed entire programs or operations that could be significantly reduced or eliminated to achieve savings. Reductions in staff will result in continued savings over time.

Question. Is this a process you will be able to replicate for future budget requests?

Answer. Some elements of the budget review done this year are likely to become permanent components and phases of LOC's annual budget formulation processes. The design of a strategy and methodology for the data collection, presentation, and review took several months of staff time, an investment of effort that will not necessarily need to be duplicated in future years.

VOLUNTARY EARLY RETIREMENT AUTHORITY/VOLUNTARY SEPARATION INCENTIVE PAYMENT

Question. The Committee provided guidance in the fiscal year 2012 appropriations legislation that each agency within the legislative branch should consider using Voluntary Early Retirement Authority/Voluntary Separation Incentive Payment (VERA/VSIP) in order to reduce salary costs to the agency.

Were each of you able to utilize VERA/VSIP authority; and if so, was this a successful mechanism for reducing costs?

Answer. LOC was authorized to execute a VERA/VSIP retirement option in fiscal year 2012. The number of staff participating in the program was 186, resulting in reduced costs in fiscal 2012, net of the cost of incentive pay ($8 million), of approximately $11 million. The actual cost avoidance achieved through the VERA/VSIP incentive was significantly less than budget cuts LOC sustained this year. The overall reduction in LOC 's fiscal 2012 budget was $42.3 million, with the VERA/VSIP cost avoidance representing only 26.6 percent of that amount.

Question. Are those savings realized immediately, or in the out years?

Answer. The $11 million cited above represents the cost avoidance that will be realized by the end of fiscal year 2012. The annualized effect of the fiscal year 2012 VERA/VSIP retirements, independent of base funding cuts that will be sustained, is estimated to be $19 million in fiscal year 2013.

Question. Realizing that losing people who are eligible for retirement or early separation often means losing some of the best and brightest people with the greatest institutional knowledge within your organization, how have staffing reductions impacted your agency?

Answer. Careful planning was done in preparation for executing the VERA/VSIP retirement program, to offer the buyout only to targeted positions across LOC where losses would cause the least damage to programs. Nonetheless, the departure of 186 experienced personnel, while also losing the opportunity to fill a number of vacant positions, represents a permanent and significant thinning of institutional capacity despite good succession planning.

The Congressional Research Service (CRS) lost 24 analysts and attorneys resulting in the necessity to broaden research portfolios across the board and the potential for slower response rates. Among CRS retirements were the Senior Intelligence Analyst and the Senior Asia Specialist. Law library retirements included the expert in Canadian and Caribbean law and a senior law curator. LOC will operate with 22 fewer reference librarians as a result of the retirements, reducing services for researchers in the reading rooms and for libraries across the United States that rely on LOC's reference services. Fifty thousand fewer items are likely to be catalogued, impacting every library in the country. Staff retirements of the Copyright Office numbered 43, lessening the capacity of its copyright registration workforce.

Question. Do you have succession plans in place that allow for a smooth transition of responsibilities.

Answer. LOC has focused on succession planning as a strategic priority for at least a decade, after a study confirmed the number of retirement eligible personnel whose loss could threaten the institutional knowledge base. Nonetheless it has been difficult to recover from permanent cuts like those we have sustained this year, when there are minimal budgetary resources to refill essential positions or provide adequate levels of training. While organizational realignment can blunt the impact of some of the losses, there has been a permanent reduction in institutional capacity relating to the broad and deep knowledge of many of those who have retired.

FISCAL YEAR 2013 BUDGET REQUESTS

Question. I realize that it is important for each agency to request what it believes is necessary in terms of funding for operations and projects without knowing how much funding will be available in the next budget cycle; however, it should be clear to everyone what path we are on given the fiscal situation still facing our country. Therefore, it concerns me that each agency represented here today, except for the Open World Leadership Center, requested a budgetary increase for fiscal year 2013.

What would be the impact to each of your agencies if you were held to the fiscal year 2012 enacted level of funding?

Answer. Of LOC's fiscal 2013 funding request of $603.6 million, $14.3 million represents the estimated cost of mandatory pay-related and price level increases, costs that LOC has no choice but to cover. Without additional funding, absorbing these mandated costs will be possible only through the curtailment of other activities of a comparable value. For example, absorbing a cost of $14.3 million entirely by reducing staffing—if there were continued flexibility to do so—would require removing an additional 78 personnel from the payroll by October 2, 2012, the first day of the fiscal year. This would have an impact on the scope and timeliness of LOC's services to the Congress and the Nation.

Question. What would be the impact of a reduction below the fiscal year 2012 funding level?

Answer. A reduction below the fiscal year 2012 level would result in a realignment of services with a concretely negative impact on certain constituents. LOC would further reduce its research capacity for the Congress. Public services on Capitol Hill would be further reduced. Our capability to provide timely records of copyright registration would be seriously impaired.

Question. At what funding level reduction could your agency no longer continue to provide the services you are required to provide without making significant changes to the agency and its mission?

Answer. As the Librarian indicated in his fiscal year 2013 budget testimony, the current funding reductions have cut into LOC's muscle, and we are hoping to avoid cuts to the bone. In short, LOC would be at the point of having to make significant changes to its programs and services if funding were reduced below the fiscal year 2012 level.

OPEN WORLD LEADERSHIP CENTER

STATEMENT OF AMBASSADOR JOHN O'KEEFE, EXECUTIVE DIRECTOR

Senator NELSON. Well, Ambassador, the floor is now yours.

Ambassador O'KEEFE. Thank you very much, Mr. Chairman, Senator Hoeven. All of us at OWLC appreciate the opportunity to testify on our fiscal year 2013 budget request. And I would like to add to Dr. Billington's remarks about what an honor it's been to work with you, Mr. Chairman, over these couple of years. I deeply appreciated and deeply appreciate the guidance of your staff as well.

Dr. Billington, of course, is on our board and he's the founding chairman of OWLC, so, I will be careful in my remarks. He is also my boss.

We now have an Omaha chairman.

OPEN WORLD LEADERSHIP CENTER PROGRAMMING IN FISCAL YEAR 2012

Ambassador O'KEEFE. Despite several years of budget cuts, we have continued to hone our effectiveness both in the United States and abroad. Just this week we sent a delegation of Armenian bloggers to our 2000th host community. This year we will also expand our program to Uzbekistan beginning with Parliamentarians. Our strategic plan, approved by the board of trustees, envisions strengthening our work with American communities and leveraging their power to show what our delegates describe as "the America we never knew existed".

The plan also establishes our new "30 under 30" initiative. We're setting aside 30 percent of our slots for the generation that has just come of age after the breakup of the Soviet Union, and which has a far different world view than those who came before. Despite rising base costs of transportation and contracts, we have not requested an increase in funding in fiscal year 2013. There are several reasons for this.

First and foremost, cost shares from our hosts throughout America, have risen steadily. We have also found partners willing to assume some international transportation costs. And we hope that private donations will help sustain our work in the coming fiscal year. In all, 25 percent of our resources will come from outside the legislative branch appropriation. It is this broad support, both materially and in spirit, that makes this program incredibly strong while allowing us to keep this request modest.

I must emphasize, though, that our $10 million request stands as a tipping point. If we dip below that level, the cost per delegate rises. The strong base of communities diminishes. Our cost shares begin to dry up, and partners drift away.

OPEN WORLD LEADERSHIP CENTER RESULTS IN RUSSIA AND OTHER COUNTRIES

So, what has this investment produced? You will have read of the enormous crowds in Moscow and other Russian cities seeking to curb corruption and hold fair elections. Leaders of that movement are OWLC alumni. In February, we hosted more than 40 regional legislators from Ukraine in communities across the United States. In a follow up survey, one of the frequently made comments shows how perceptions of these rising leaders, on OWLC programs, change, becoming overwhelmingly positive toward the United States, and I quote:

"I had some prejudices toward the United States. This trip made me change my mind. In some respects, my opinion changed drastically. Today at my department, we were discussing the United States and its citizens. Six out of seven members were present and started speaking negatively about America and its people. I began to defend Americans and gave examples of how they work for the benefit of the community, about the high level of their civic awareness and their readiness to help others."

As mentioned before, our hosts give time and money. But as you can see from this example, what makes the difference to our delegates is that the hosts give so much of themselves. All of us at OWLC deeply appreciate the engagement and support of Members of Congress, and particularly of this subcommittee where we remain a uniquely effective legislative instrument, providing the Congress with a resource that promotes constituent diplomacy.

PREPARED STATEMENT

By supporting OWLC, you will allow Americans in every State to make a difference at the grassroots level and effect positive changes in communities in the complex and strategically important nations of Eurasia.

Thank you, Mr. Chairman, Senator Hoeven.

[The statement follows:]

PREPARED STATEMENT OF AMBASSADOR JOHN O'KEEFE

Mr. Chairman, Senator Hoeven, distinguished members of the subcommittee: I appreciate the opportunity to present testimony on the Open World Leadership Center's (OWLC) budget request for fiscal year 2013. OWLC—of which I am the Executive Director—conducts the only foreign-visitor exchange program in the legislative branch. Congressional participation in our programs and on our governing board has made OWLC a uniquely effective instrument for Members, their constituents, and communities around America. All of us at OWLC are deeply grateful for your support.

OVERVIEW

The OWLC program connects the Congress to its constituents, who in turn practice public diplomacy on behalf of their elected officials. The net effect of these efforts is a deep and ongoing influence on the views and goals of OWLC delegates as they influence events in their own countries. With the power of the 2,000 communities throughout America that have participated over the life of the program, OWLC enhances professional relationships and understanding between political and civic leaders of participating countries and their counterparts in the United States. It is designed to enable emerging young leaders from the selected countries to:

—observe U.S. Government, business, volunteer, and community leaders carrying out their daily responsibilities;

—experience how the separation of powers, checks and balances, freedom of the press, and other key elements of America's democratic system make the Government more accountable and transparent;
—develop an understanding of the U.S. free enterprise system;
—learn how U.S. citizens organize and take initiative to address social and civic needs;
—participate in American family and community activities; and
—establish lasting professional and personal ties with their U.S. hosts and counterparts.

Because OWLC provides such high-caliber programs, participants return to their countries with a tangible appreciation of America's democracy and market economy. To that end, OWLC has refined and focused on key themes central to democracy-building to improve the quality of the U.S. program. The impact of the 10-day United States stay is multiplied by continued postvisit communication between participants and their American hosts, their fellow OWLC alumni, and alumni of other U.S. Government-sponsored exchange programs.

OPEN WORLD LEADERSHIP CENTER ACTIVITIES IN 2012

OWLC's plans for calendar year 2012 include programs for members of Parliament from Azerbaijan, Kazakhstan, Kyrgyzstan, Moldova, Turkmenistan, and Uzbekistan, and regional and municipal legislators from Russia and Ukraine. We have expanded our rule-of-law program beyond Russia and Ukraine to include Georgia, Kazakhstan, Kyrgyzstan, Moldova, Russia, Ukraine, and Serbia—countries where we are finding substantial cooperation and a slow, cautious movement toward an independent judiciary. We also continue to foster sister city/sister state programs in many locations in the United States that forge stronger ties between our countries.

OWLC hosts in thematic areas that advance U.S. national interests, support American communities active in these areas, and generate concrete results. We will build on OWLC's incremental and growing successes, and will continue to emphasize such topics as the rule-of-law, human trafficking prevention, education, health, and the legislative branch's role in bringing about good governance.

Our efficient stewardship of resources and programming attracted USAID to partner with and provide funding for OWLC programs for Serbia in 2012. The U.S. Embassy in Ukraine co-funded telemedicine programs in the United States and the Civilian Research and Development Foundation co-sponsored a delegation of Russian researchers in nanotechnology. These are just a few examples of inter-agency collaborations that the OWLC has accomplished due to our reputation for results and cost-effectiveness. In fact, every program hosted and sponsored by OWLC has a partnership and cost share component at its core.

OPEN WORLD LEADERSHIP CENTER PLANS FOR 2013

In fiscal year 2013, in concert with the board of trustees-approved strategic plan, OWLC has established a goal of bringing 30 percent of its delegates from the generation that has come of age since the breakup of the Soviet Union. This group differs from the previous generations both by its access to a greater range of information and, in some countries, a more nationalistic view of the world. To achieve this goal, we are developing a new group of nominators who will assist us in identifying emerging leaders of this rising generation. We are also seeking young professionals in the United States who will introduce these delegates to other young professionals in their communities.

As an agency created to serve the Congress, OWLC will also assist Members who wish to invite their legislative counterparts from these strategically critical nations. We will provide a means for Members on fact-finding missions abroad to extend invitations to key members of legislative bodies to see firsthand the working of U.S. legislatures, at both the national and State levels. To fulfill the mandate from our Board, we are developing a program for Uzbekistan and plan to have members of both chambers of their Parliament as participants in 2013. We requested no increase in our appropriation and will fund this initiative through cost shares, savings, and redistribution of resources.

BREADTH AND DEPTH OF OPEN WORLD LEADERSHIP CENTER PROGRAMMING

OWLC regularly evaluates program performance to ensure that OWLC is meeting its mission of focusing on a geographically and professionally broad cross-section of emerging leaders who might not otherwise have the opportunity to visit the United States:

—Since the program was established with Russia in 1999, the OWLC program has now hosted emerging leaders from almost all the countries of the former

Soviet bloc. The program added Ukraine in 2003. In 2007, OWLC expanded to Azerbaijan, Georgia, Kyrgyzstan, Moldova, and Tajikistan. OWLC's Kazakhstan and Turkmenistan programs began in 2008; its Armenia program was launched in 2011. In 2012, the program welcomed its first delegations from Serbia. OWLC has also hosted delegations from Belarus, Lithuania, and Uzbekistan.

—More than 80 percent of Russian participants live outside Moscow and St. Petersburg.

—More than 60 percent of OWLC delegates have been Federal, regional, or local government officials at the time of their visit.

—1,645 Russian and Ukrainian judges have been hosted in U.S. courts and communities as part of OWLC visits focused on the rule of law. Another 145 judges from Azerbaijan, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Tajikistan, Turkmenistan, and Uzbekistan have taken part in OWLC rule of law programs.

—OWLC has brought 155 members of the Russian Federation Council and State Duma to the United States. Members of the national parliaments of Azerbaijan, Belarus, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Turkmenistan, and Ukraine have also participated in the program. Of the Russian Duma members elected in December 2011, 27 are OWLC alumni.

—More than 90 percent of delegates are first-time visitors to the United States.

—More than one-half of all delegates are women. (Women did not have significant leadership opportunities in the Soviet Union.)

OPEN WORLD LEADERSHIP CENTER IN AMERICA

OWLC delegates are hosted by a large and dedicated group of American citizens who live in cities, towns, and rural communities throughout the United States:

—Since OWLC 's inception in 1999, more than 7,100 families have hosted participants in 2,000 communities in all 50 States.

—In 2011, the 204 locally based OWLC host organizations included universities and community colleges, library systems, Rotary clubs and other service organizations, sister-city associations, courts, and nonprofits.

—More than 150 U.S. Federal and State judges have hosted their counterparts from Russia, Ukraine, Azerbaijan, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Tajikistan, and Turkmenistan.

The generosity and enthusiasm of our American hosts is a mainstay of the program. For the 2012 grant proposal cycle, demand for hosting OWLC delegations was up to three times the supply of available hosting slots. In 2010, Americans gave $1.72 million worth of in-kind contributions to the OWLC representing 34 percent of the total cost of the hosting program. Other partners provided an additional $580,000 in in-kind contributions. We expect similar in-kind contributions for 2011 when final reporting is complete.

Visiting delegates, in turn, have enriched American communities by sharing ideas with their professional counterparts, university faculty and students, Governors and State legislators, American war veterans, and other American citizens in a variety of forums such as group discussions, Rotary Club breakfasts, and town hall meetings.

In the past month alone, OWLC has learned of the following partnerships and projects implemented through the OWLC program or initiated and reported on by OWLC alumni:

—In a significant development, OWLC has learned that the leaders of the new opposition in Russia that emerged in December include OWLC alumni.

—On February 17, 2012, a sister-city partnership was signed between the Ukrainian regional capital city of Uzhgorod and Little Rock, Arkansas. The agreement was signed by Mayor Mark Stodola and a Deputy of the Uzhgorod City Council, Vasyl Gnatkiv, a member of an OWLC delegation visiting Little Rock to examine the role of legislatures in accountable governance.

—A Ukrainian television reporter established an investigative journalism nongovernmental organization (NGO) based on his observations of a student-journalist project at Carrolton College in Atlanta, Georgia, which he visited during his OWLC exchange. The organization focuses on investigating and reporting on human rights violations. He is now turning his efforts to involving young, socially active Ukrainians in the political and governing processes through an organization called "SAN" (Self-Governed Alternative Network). The Network plans to support candidates for the fall parliamentary elections.

—The southern Moldovan city of Cahul is benefiting from two projects initiated by an OWLC alumnus, hosted in Madison, Wisconsin in 2009, who is both a city councilman and NGO administrator. The Cahul governmental authorities and local NGOs are collaborating on a project called "Cahul—Youth Capital of

Moldova 2012" to promote activities for youth. The second project is supported by a grant from the U.S. Embassy and involves the establishment of a park between two housing projects, promoting its use for recreation, and encouraging volunteerism to maintain the park.

—Two Tajik OWLC alumni, one hosted in Princeton, West Virginia and the other in St. Louis, were instrumental in the opening of "Window to America" and "American Corners" centers in their respective home cities. Both alumni worked with the local Tajik government to obtain rooms and other support for these learning centers that now bring to the local population both information about America and English language training through further support by the U.S. Embassy.

Results such as these solidify the importance of these countries' participation in the OWLC program. Furthermore, OWLC provides ongoing benefits to the U.S. economy through such activities as purchases of equipment in the United States by OWLC alumni and follow-on exchange visits to the United States initiated by contacts made through OWLC. An example of the latter is an education exchange for children from Nadezhdinskiy, Russia planned for this summer by OWLC American hosts associated with People-to-People International in Scottsdale, Arizona. Besides learning English during their stay in Arizona, the group will visit Las Vegas, San Diego, and Los Angeles.

HIGHLIGHTS OF CALENDAR YEAR 2011 PROGRAMMING

Parliamentary Hosting

The OWLC program hosted the first delegation of members from the new Parliament of Kyrgyzstan, elected in October 2010. During their stay in Washington, DC, they met with numerous Members of Congress and observed a session of the House of Representatives, presented at a roundtable at Johns Hopkins University School of Advanced International Studies where they provided each of their political party's view of the only fully democratic country in the region. They were also hosted in Pittsburgh and Harrisburg, Pennsylvania where the delegates observed the legislative process at the city and State levels.

In May 2011, Representative Renee Ellmers (R-NC) served as the congressional host for two Moldovan parliamentarians examining accountable governance in the Raleigh area. The Moldovans had discussions with Representative Ellmers and several State legislators about their duties and office operations; viewed State legislative proceedings; heard about the role of the State Secretary of State's office; and learned about the preservation of parliamentary documents and the State legislature's online resources. North Carolina and Moldova have a formal "Sister State" relationship.

The U.S. Mission in Ukraine turned to the OWLC program in September 2011 to host Parliamentarian Lesya Orobets and directly funded this hosting program. During her visit, Deputy Orobets met with Congressional Ukrainian Caucus Cochair Representative Marcy Kaptur (D-OH) for a peer-to-peer conversation about economic development, current affairs, and representative government. Deputy Orobets chairs an education subcommittee and is fighting for greater transparency in the education system. She is also a pioneer in using social media to communicate with the Ukrainian electorate.

OTHER PROGRAM HIGHLIGHTS

Russia and Tennessee.—Senator Lamar Alexander requested that OWLC host healthcare leaders from Kirov, Russia in three locations in Tennessee. This nascent Tennessee-Kirov relationship was spearheaded by former U.S. Senate Majority Leader William H. Frist, MD, an original member of OWLC's Board of Trustees. Before traveling to Knoxville and Memphis (half to each), the 25 doctors, including the Minster of Health of Kirov Oblast, took part in a panel discussion on healthcare in the United States at the Center for Strategic and International Studies and toured the National Institutes of Health. The Memphis group had an intensive program at several research hospitals and concluded the program with presentations to their counterparts. The Knoxville group visited a university medical center and nursing schools. In Nashville, the two groups reunited in Nashville for an examination of the Vanderbilt Medical Center led by Dr. Frist, and had exchanges with Congressman Jim Cooper, the mayor of Nashville and the Tennessee Commissioner of Health. In the wrap up session, Dr. Frist led a discussion and had them list three areas for improvement in United States and Russian health delivery.

Kyrgyzstan and Montana.—In March, Bozeman, Montana hosted a mayor and several local lawmakers from Kyrgyzstan for an accountable governance exchange. The delegates discussed mayoral duties, the role of the city commission, and citizen engagement with Mayor Jeff Krauss; reviewed infrastructure development with a city planning-department official; and met with an aide to the city manager. The delegates also learned about attracting business to rural areas at the Chamber of Commerce, explored how Montana State University's Local Government Center assists local governments in the State, and took part in the biennial Montana Mayors Forum in Helena.

Ukraine and Virginia.—On March 4, 2011, the Arlington (Virginia) Sister City Association held an official signing ceremony with its newest sister city, Ivano-Frankivsk, Ukraine. This partnership was formalized as a result of OWLC, through which several delegations from Ivano-Frankivsk were hosted in Arlington, allowing the two cities to further develop strong ties in governance, social programs, and other areas. Yulia Melnyk, a Washington, DC-based correspondent for the Kyiv Post, has praised the partnership between the two cities for including an economic component intended to boost cooperation between Ukrainian and United States businesses.

Georgia and Georgia.—In Atlanta, private and government lawyers from the Republic of Georgia observed jury selection and part of a criminal trial in Federal court (Georgia is just beginning to use jury trials); received an in-depth review of criminal-trial, appellate, and postconviction proceedings from a principal of the Maloy Jenkins & Parker law firm; and attended a class at Emory University School of Law. A tour and question and answer session at the Federal penitentiary was also timely, as prisons in Georgia's capital city of Tbilisi are implementing new regulations and practices. Representative Phil Gingery met with the delegates in Marietta.

Armenia and Iowa.—During her visit to Iowa as part of the first OWLC delegation from Armenia, a newspaper reporter who covers political and government issues, was eager to see the impact of American media on social issues. Having seen how Americans respect their laws and the judicial system, the delegate explained this to her fellow Armenians in the article "The U.S. Constitution is about Freedom of the Individual." In another article "Where the Law Ends, Tyranny Starts", she describes how ordinary citizens have access to Iowa leaders and are able to follow transparent decisionmaking processes. In subsequent articles, the reporter published an interview with a Des Moines Register reporter and other articles on human trafficking, human rights, and domestic violence. Ten days in the United States gave our delegate a chance to create an unbiased glimpse of America and Americans for a broad audience in Armenia.

Kazakhstan and Wisconsin.—In October 2011, a delegation of local government officials from rural towns and villages of Kazakhstan spent a week in Mauston, Wisconsin to observe how municipalities are governed in rural America. City of Mauston officials described the role of elected officials and the authority and accountability of a professional city administrator and city departments. In addition, the delegates learned how public private partnerships can enhance community development as well as the role of businesses and citizens in economic development in rural Wisconsin. During the daylong program at the State capitol in Madison, delegates met with lobbyists who described strategies for citizens to inform and influence public policy by representing interests of groups with shared policy concerns.

In November, five OWLC delegations from the Russian republic of Buryatia traveled to the United States for programs that were partially funded by the Russian ERA Foundation, whose founder, Senator Vitaly Malkin, represents Buryatia in the Russian parliament. Individual delegations visited Illinois, Maryland, Michigan, Nebraska, and Ohio. Further financial support for the delegation to Omaha, Nebraska was provided by the Suzanne and Walter Scott Foundation. University agricultural experts visited soil-testing facilities, discussed international operations and marketing at an agriculture company, examined no-till farming at the University of Nebraska, and discussed Federal agricultural programs with an aide to Senator Ben Nelson.

BUDGET REQUEST

In this lean fiscal environment, we are committed to keeping costs down while maintaining program quality. When constructing our budget, however, we must consider the fact that in reducing the number of participants hosted, there comes a tipping point in terms of efficiency. Certain base costs remain whether bringing 500 participants or 2,000. Using economy of scale, it is our experience that bringing 1,200 participants a year is that tipping point. Below that number, the program becomes less cost effective and the per person cost rises. To that end, our budget request of $10 million is based on bringing 1,200 participants in fiscal year 2013.

OWLC spends its appropriation in two categories:

—direct program costs; and
—administration costs.
Direct program costs includes:
—grants to host delegations in the United States;
—a logistical coordinator; and
—the direct program portion of salary and benefits of Washington, DC and Moscow staff.

This is the minimum staff level required to manage 1,200 participants in a program year.

OWLC's fiscal year 2013 budget request breaks down as follows:

Item	Amount
Direct program:	
Logistical contract	$5,720,000
Grants/other hosting costs	3,283,450
Salary/benefits	685,922
Total, Direct program	9,689,372
Administration:	
Salary/benefits	408,255
Services of other agencies	182,000
Professional services	146,640
Miscellaneous office	36,606
Total, Administration	773,501
Total, Budget	[1] 10,462,873

[1] The amount in excess of $10 million shown here will be covered by donations and other offsets.

SUMMARY

OWLC has served the Congress well, earning strong bipartisan and bicameral support. This modest budget request, representing a flat budget, will enable OWLC to continue to make major contributions to an understanding of democracy, civil society, and free enterprise in a region of vital importance to the Congress and the Nation. On behalf of the Congress, this powerful global network will continue to make a significant and positive mark on events in this strategically important region. This subcommittee's interest and support have been essential ingredients in OWLC's success.

Senator NELSON. Thank you, Ambassador.

As a courtesy, would you please go first, Senator Hoeven?

Senator HOEVEN. Surely, Mr. Chairman.

I see that you've requested $10,462,873, of which $462,873 is funding that you have raised. So, I guess the question I ask, is there more that you could do to raise dollars for the program that would in essence help us with this budget?

OPEN WORLD LEADERSHIP CENTER FUNDRAISING EFFORTS

Ambassador O'KEEFE. Senator, we just had our annual board meeting a few weeks ago. The chairman was there. We discussed the issue of fundraising. Quite frankly, our staff is seven and we do not have a development person. To do major league fundraising requires a major league investment in development itself. And, so, what I would like to do and what the board expects is to set out a budget for a development person for next year so that we can begin that process and mine the opportunities that might be available out there.

Senator HOEVEN. I'm sorry. Did you say getting your staff to start doing that or——

Ambassador O'KEEFE. No, Sir.

Senator HOEVEN [continuing]. Getting a development person, I missed that.

Ambassador O'KEEFE. Yes. Senator, it's to hire a development person, but that would require nonappropriated funds. So, I have to raise the money to get the person to raise the money, and that is the charge that my board has given me for this coming year.

OPEN WORLD LEADERSHIP CENTER AND SERBIA

Senator HOEVEN. Talk a little about some of the work that you did with Serbia. I see that you received some funding from USAID for the Serbia programs. Would you talk about that a little bit?

Ambassador O'KEEFE.Yes, Sir. About 1½ years ago, USAID and the Embassy in Serbia, because they knew of the efficiencies of our program, asked us to run a program. They gave us $500,000. We put it together and then they gave us another $500,000. So, we're going to bring about 120 people to the United States, 60 this year, 60 next year.

I mention parenthetically, they expected us to bring 60 total because that's what it would have cost them in their structures. We can double that number for them.

Senator HOEVEN. You don't run those dollars through your budget, then. Those are matching dollars that you just used to partner? How does it work?

Ambassador O'KEEFE. It's transferred into the OWLC trust fund. In the statute that establishes the Center, we have a trust fund and our appropriation when it comes, goes into the trust fund as do transfers from other agencies. This can either be done as a reimbursement to us or directly into the trust fund. So, this was a transfer to us.

Senator HOEVEN. Do you have more of those, it sounds like a good partnership. Sounds like it went well. Do you have plans to do more of that with other countries and with other agencies?

Ambassador O'KEEFE. there are targets of opportunity. And as you are aware, assistance funds in former Soviet states and in the Balkans are diminishing and they're being moved to other priorities. But we do look for ways to do this. So, for example, I mentioned the parliamentarians from Uzbekistan. The Embassy will be paying for the transportation to the United States and then we'll pick up the costs from there.

So, we always are looking for ways to stretch the appropriation that you give us. It's one reason why we can keep our requests flat because we are constantly finding partners to work with us.

OPEN WORLD LEADERSHIP CENTER EXPANSION TO EGYPT

Senator HOEVEN. You also have an initiative to assist Members who want to invite their legislative counterparts from countries that were formerly part of the Soviet Union. What's the status of that? And is it restricted solely to countries that are part of the former Soviet Union?

Ambassador O'KEEFE. The legislation allows us to bring people from other countries. The only requirement is we have to give you, the subcommittee, 90-day notice and we have to have the board approve.

Senator HOEVEN. I was recently in Egypt and met with the speaker of the parliament and other members of the Freedom and Justice Party, which is actually the Muslim Brotherhood——

Ambassador O'KEEFE. Right.

Senator HOEVEN. But when they get elected it's the Freedom and Justice Party in the Egyptian Parliament. They're about 40 percent of the Egyptian Parliament together with another Muslim-based party where they're about 65 percent of the parliament. We were there on the nongovernmental organization worker issue.

I was there with Senator McCain and others. Among the things we talked about was the possibility of parliament members with the Freedom and Justice Party coming here and possibly interacting with Members of Congress. Does that fit within the scope of what you do?

Ambassador O'KEEFE. Yes, Sir. I actually had that conversation with Dr. Billington a few months ago and it can be done. We can do a program for them. We can structure it to your needs and their needs. The length can be adjusted.

Now, understand, I'd have to reprogram funds from elsewhere for this fiscal year, but we're an instrument of the Congress. And the executive branch has more than 200 exchange programs in agencies you would be surprised at having one. The Congress has one, it's us. And, so, this fits exactly, I think, with our next step; that emerging democracies are going to succeed, not simply because people are in the street and not simply because there's an executive, but it's going to succeed if there is this balance between legislative, judicial, and executive branches. We are in a unique position, especially when you go visit counterparts in these countries and are able to make that offer. It would take us 90 days to put it together in any case, but it is legal and it is possible.

The point I emphasize, since we're an independent agency with a board that does oversee us, we're very small, but we also can be very nimble. We're not in the same way as if you were to ask an executive branch agency to help with this.

OPEN WORLD LEADERSHIP CENTER ABILITY TO WORK OUTSIDE THE FORMER USSR

Senator HOEVEN. If you think about it, the work that you've been doing with Russia and the other countries of the former USSR, it makes sense for you to look at some of the Middle East countries because you have a similar situation going on. Whether you look at Tanzania or Egypt or now Libya, Yemen, you've got a number of these countries that are going from a dictatorship or some type of totalitarian regime, military rule, to self determination. Egypt is an example. And we want a relationship with those countries.

So, I do see this as an opportunity. I would ask maybe that you work with my staff. I think there are a number of other Senators that would be interested in putting this together, including perhaps Senator McCain, Senator Graham, myself, and Senator Blumenthal. I think we should take a look because it might be something that would be worthwhile and something we should pursue.

Ambassador O'KEEFE. I will do that tomorrow.

Senator HOEVEN. Thank you, Ambassador. I appreciate it.

Ambassador O'KEEFE. Yes, Sir. Thank you, Sir.
Senator HOEVEN. No further questions.
Senator NELSON. Thank you, Senator Hoeven.

OPEN WORLD LEADERSHIP CENTER AS PART OF THE LEGISLATIVE BRANCH

Ambassador O'Keefe you made the major points that need to be made for the value of Open World being part of the legislative branch rather than part of the executive branch. That's why from the very beginning I resisted the efforts from the other body in the Congress to put the program under the State Department. It works right where it is, and we're going to continue to pursue the independence of it from the executive branch because it belongs within the legislative branch. We're going to do legislators to legislators and future legislators and future leaders as opposed to executive to executive.

It's where it should be and it's doing exactly what we need to have it do. If anything, we need to find ways to expand it. Problem is the budget constraints, but you're very adept and very agile and nimble at looking for other ways to attract funding. You should know that we will continue to work with you every way that we can to make certain that it happens.

Thank you very much.

ADDITIONAL COMMITTEE QUESTIONS

Ambassador O'KEEFE. Thank you, Mr. Chairman. And, again, thank you for your help and support.

Senator NELSON. Thank you.

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

QUESTIONS SUBMITTED BY SENATOR JOHN HOEVEN

ZERO-BASED BUDGETING

Question. Since each of the agencies within the legislative branch were directed to develop and present the fiscal year 2013 budget requests using a zero-based budgeting approach, I would like to hear from you about how this process worked within your agency.

Was this a helpful process or a hindrance in developing the budget request?

Answer. By way of background, the Open World Leadership Center (OWLC) has been engaged in zero-based budgeting since 2010 when we first re-negotiated our large logistical contract which enables the target number of program participants to travel each year. However, the larger effort of compiling a zero-based budget for our annual appropriation was still a demanding, frustrating, enlightening, and ultimately fruitful one that gave us the opportunity to submit an appropriated budget based not only on historical data but built on current fiscal realities.

At a micro level, (OWLC only), the zero-based budget process once again enhanced our awareness of the need to manage resources in the most efficient way possible while at the same time heightening our commitment to maintaining program quality. This was the most complicated part of the new budget approach and to complete that part we had to start with our single largest expenditure in each fiscal year: the logistical contract that enables some 1,200 participants per year to come to the United States. As noted in the testimony, the 1,200 number allows the greatest efficiencies while it maintains the momentum of the program. Once we had established a new baseline for the contract, it was not difficult to apply the same rigorous review to subsequent renewals and then to the second-largest expenditure area in OWLC: grants to national and local organizations in charge of hosting OWLC delegations. While the business of re-negotiating our large logistical contract had its trials, the work we did with our grantees was the most challenging and complex by far. Because each national organization submits its own budget to us to fund an OWLC delegation, we repeated the zero-based budget lessons we learned above to each of the grant proposals that came before us. We looked at each budget submission and started from scratch even if, and at times especially if, the grantee was a repeat grantee. We worked very hard with the grantee to arrive at a budget that was fair, realistic, and conducive to providing a quality program. That effort, along with the contribution of significant cost shares from the grantees, made it possible to fund programs for the targeted level of 1,200 participants in fiscal year 2012.

While the zero-based budget approach did not by itself solve any "funds available" issues in OWLC, which strives to accomplish its mission in any fiscal environment, it did uncover serious cost savings so that OWLC could continue hosting at prior year levels. Equally important, the zero-based budget approach provided a meaningful incentive to partner with other U.S. Government agencies and departments to accomplish mutually inclusive and overlapping goals. In that regard, OWLC is now working with the United Sates Aid for International Development for Serbia programming and a special telemedicine program for Ukraine as well as with the U.S. Embassies in Turkmenistan, Armenia, and Uzbekistan.

Question. Were you able to find sustainable efficiencies that will result in continued savings over time, or one-time only savings?

Answer. The exercise did result in sustainable efficiencies because OWLC continues to apply a zero-based budgeting approach to most of its fiscal operations. As mentioned above, OWLC has been engaged in zero-based budgeting practices to a large degree since fiscal year 2010. After that first effort, where we achieved savings of about $1.5 million, we recognized it as an opportunity to assess the impact of other budget line item expenditures on operations, effectiveness, and quality of programming.

The most important lesson we learned is the value of analyzing carefully all requests for funding from OWLC: just as it is not appropriate to automatically add a fixed percentage to a request from year to year—whether it is OWLC, its logistical contractor or its grantees, it is also not always beneficial to cut a fixed percentage from a budget request from year to year. In this way, OWLC is in a unique position of being both the arbiter of sound fiscal practices with its contractors and grantees and the recipient of difficult fiscal decisions from our Congress in the current fiscal environment.

Question. Is this a process you will be able to replicate for future budget requests?

Answer. OWLC will continue to apply zero-based budget principles to its fiscal operations.

VOLUNTARY EARLY RETIREMENT AUTHORITY/VOLUNTARY SEPARATION INCENTIVE PAYMENT

Question. The Committee provided guidance in the fiscal year 2012 appropriations legislation that each agency within the legislative branch should consider using Voluntary Early Retirement Authority (VERA)/Voluntary Separation Incentive Payment (VSIP) in order to reduce salary costs to the agency.

Were each of you able to utilize VERA/VSIP authority; and if so, was this a successful mechanism for reducing costs?

Answer. In the last 2 years, OWLC has reduced its staff by 22 percent through attrition (down to 7 from 9). When the VERA was offered in fiscal 2012, only one staff member was eligible and she declined the incentive.

Question. Are those savings realized immediately, or in the out-years?

Answer. Vera/VSIP was not used.

Question. Realizing that losing people who are eligible for retirement or early separation often means losing some of the best and brightest people with the greatest institutional knowledge within your organization, how have staffing reductions impacted your agency?

Answer. Staffing reductions have been absorbed by current staff. However, further reductions would impact program quality.

Question. Do you have succession plans in place that allow for a smooth transition of responsibilities?

Answer. OWLC is formulating a reorganization for board approval at its next annual meeting. The reorganization will reflect funding reductions over the last 2 years, the trend toward broader geographic scope, a continuing emphasis on a lower average age of participants, increasing numbers of regional and national legislators (begun in fiscal year 2010), and more cost shares with other partners.

OFFICE OF COMPLIANCE

STATEMENT OF TAMARA E. CHRISLER, ESQ., EXECUTIVE DIRECTOR

Senator NELSON. Well, now we find out who is following the rules.

Ms. Chrisler, it's your turn.

Ms. CHRISLER. Thank you, Mr. Chairman, Senator Hoeven. I'm pleased to be here today.

The mission of the OOC is simple: we work with the Congress to ensure a fair, safe, and accessible community for you, your staff, and your constituents.

Before the Congressional Accountability Act (CAA) was passed, there were some procedures for employees to contest allegations of workplace discrimination, but there were no laws in place. Occupational Safety and Health Administration (OSHA) protections didn't apply and the legislative branch was not fully accessible to people with disabilities. But all that changed with the enactment of CAA in 1995. The Congress sought to give employees an avenue of redress for their claims of discrimination, to hold itself out as a premiere employer, and to demonstrate accountability to its constituents. It was the right thing to do.

The CAA established the OOC, which performs the work of the Equal Employment Opportunity Commission, Federal Labor Relations Authority, OSHA, and several departments of several divisions of the Department of Justice and the Department of Labor. We do a lot of work with a little money. Because our work can involve contentious issues, it may be difficult to see the value that we bring. So, let me explain how the work we do is crucial to the work you do.

On average, more than 90 percent of the discrimination claims presented to the OOC are resolved within our administrative procedures. Without these procedures, the Congress would be seeing many more cases proceed to public litigation or to the press.

OOC's Americans with Disability Act pre inspection of the CVC allowed for the identification of dozens of access barriers that were corrected more quickly and at a lower cost than if OOC had not been involved. In addition, since the 109th Congress, OOC has facilitated a 60-percent reduction in safety and health hazards affecting legislative branch employees, from 13,140 hazards in the 109th Congress to 9,200 hazards in the 110th Congress and 5,400 hazards in the 111th Congress.

The numbers dropped so drastically because of the skill and the dedication of our inspectors, the technical assistance and education we provide, and the collaboration and cooperation of the employing offices. The work of the OOC and the AOC on the improvements in the power plant utility tunnel speaks volumes to the shared efforts in this community to improve safety and health in your backyard. So, you see, the work that we do complements the work that you do. We're just asking for the funding to do it.

COST-CUTTING MEASURES

Over the last two appropriations cycles, OOC has worked to keep its funding requests at a minimum, resulting in a shortage of necessary funds. In fiscal year 2011 we didn't request funding for an inspector that we needed to develop the risk-based inspection and abatement approach that you asked us to institute. Instead, we requested that OSHA provide a nonreimbursable detailee. Budget cuts prevented that from happening, but we continued to keep our requests low and we didn't ask for the funding.

We also didn't ask for the funding for an online training tool for Members' staff that would save your staff time, money, and travel in educating on the CAA.

We mentioned last year that cuts to our funding would impact our operations, and it has. We've had to lay off an attorney. We've had to cut inspector hours by nearly 50 percent. We've eliminated technical assistance that we provide to employing offices. We've reduced the rates of our hearing officers. We've eliminated training for all OOC employees and travel for our nonboard members. We've reduced maintenance on a case tracking system that continues to crash, and we limited travel for board members to Washington, DC to conduct board business. We've cut back on the purchase of supplies and information technology equipment, and we've reduced basic custodial services.

So, we've tightened our purse strings just like every other agency and we've lived with the funds that we've been appropriated. But the job we've been doing is not the job you deserve. Without restoring some of the cuts to the OOC, the Congress will face more claims in the public forum. Employees will seek remedies through the media. Workplace hazards will jeopardize working conditions and emergency evacuations and barriers may prevent your constituents from accessing your offices.

FUNDING REQUEST

If funded as requested, OOC will be able to add one safety and health inspector. Now, that might not seem like a lot, but with this inspector we'll be able to further implement the risk-based inspection and abatement approach that will save money in the long run. We'll be able to identify barriers to the public access for people with disabilities. We'll be able to keep under contract our current pool of distinguished mediators and hearing officers which will maintain the integrity of our dispute resolution program.

Our request for an additional $389,000 is minimal. We service 30,000 employees and cover 18 million square feet of work space in the Washington, DC metropolitan area alone. Our requested funding is tiny compared to the job we do, yet this funding is critical to the operations of our agency and to the services we can provide to you that make your workplace accessible, fair, and safe.

PREPARED STATEMENT

On behalf of the board of directors and the entire staff of the OOC, I thank you for allowing us to appear before you and for your support of the agency.

[The statement follows:]

PREPARED STATEMENT OF TAMARA E. CHRISLER

Mr. Chairman, Senator Hoeven, and distinguished members of the subcommittee, I am honored to appear before you, representing the Office of Compliance (OOC). Joining me today are General Counsel Peter Ames Eveleth; Deputy Executive Director Barbara J. Sapin; Deputy Executive Director John P. Isa; and Budget and Finance Officer Allan Holland. Collectively, we present to you OOC's request for appropriations for fiscal year 2013, and we seek your support for our request.

Before I go into our appropriations request, I'd like share a little about the work of OOC and the value we add to the congressional community.

HISTORY OF THE CONGRESSIONAL ACCOUNTABILITY ACT OF 1995 AND THE OFFICE OF COMPLIANCE

The mission of OOC is simple: we work with the Congress to ensure a fair and safe workplace for Members, their staff, and their constituents. The Congress saw fit in 1995 to apply workplace laws to the legislative branch, and the congressional workplace is a better environment because of that decision.

Before the Congress enacted the Congressional Accountability Act of 1995 (CAA), there were certain administrative procedures in place for employees to contest allegations of workplace discrimination, but there were no laws protecting employees from discrimination. The majority of staff with allegations of discrimination either remained silent, let bad feelings fester, or made their concerns public, seeking remedies through the media. None of those approaches was ideal for resolving workplace claims of discrimination, and none ensured employees of the legislative branch a fair system to address their concerns. Frequently, "remedies through the media" was the most effective approach for an employee.

Prior to 1995 and the enactment of the CAA, Occupational Safety and Health Act (OSHA) protections did not apply to the legislative branch, and, unlike with allegations of discrimination, there were no internal controls to ensure the application of OSHA protections. Consequently, many employees—including our electricians, landscapers, and utility tunnel workers—worked without the protections that apply in the private sector and executive branch to help prevent harmful, and sometimes deadly, results.

Also prior to the CAA's passage in 1995, the legislative branch was not fully accessible to the public. Constituents with disabilities often confronted substantial barriers when trying to enter congressional buildings. The Americans with Disabilities Act required public facilities such as schools and hospitals to provide access for people with mobility, vision, hearing, or other impairments. But people with disabilities were not guaranteed access to the very Senators and Congressmen who were their elected representatives. With the passage of the CAA, they now enjoy full access to committee proceedings, or to observe debate in the Senate or House.

The Congress passed the CAA in 1995 with nearly unanimous, bipartisan support. In doing so, the Congress sought to give employees an avenue of redress for their claims of discrimination; to hold itself out as a premier employer subject to the same responsibilities and employee protections as private sector employers; and to demonstrate accountability to its constituents. It was the right thing to do.

The CAA established OOC. With a five-member nonpartisan board of directors, four appointed executive staff, and a modest pool of talented and dedicated employees, OOC performs the work of the Equal Employment Opportunity Commission, the Federal Labor Relations Authority, the Occupational Safety and Health Administration, and several divisions of the Department of Justice and the Department of Labor (DOL). We perform our duties independently, efficiently, collaboratively, and cost effectively.

THE VALUE OF OFFICE OF COMPLIANCE SERVICES

Much of the work of the OOC can involve contentious issues:

—employees alleging discrimination or unsafe working conditions;
—people with disabilities alleging barriers to access; and/or
—veterans seeking credit for service in applying for legislative jobs.

Unlike the services provided by other agencies (e.g. beautifying efforts of the Architect of the Capitol, security efforts of the United States Capitol Police, and the research services provided by the Library of Congress), the value of the services provided by OOC may not be so easily recognized. So, let me explain the crucial nature of the work we do.

Because of the CAA and the OOC, allegations of discrimination in the congressional workplace can now be addressed confidentially and comprehensively. Professional counselors well-versed in the substantive protections of the CAA can help an employee work through a claim without disrupting the employing office's work environment. These objective and neutral counselors can also be helpful to an employing office when an office contacts the OOC for help in resolving an issue before it disrupts the workplace. During confidential mediation, a certified and neutral third-party will meet with an employee and the employing office to facilitate a mutually acceptable solution to a problem.

On average, more than 90 percent of claims presented to our agency are resolved within our administrative procedures. It is fair to say that without the continued effectiveness of these statutorily mandated programs, the Congress would be seeing many more cases proceed to litigation or to the press.

Due to the passage of the CAA, the 30,000 employees of the legislative branch can perform their duties with the same OSHA protections as private sector workers across the country. OOC safety and health staff inspect workplaces to identify hazards so they can be remedied before accident or injury occurs. Since the 109th Congress, when OOC began conducting comprehensive safety and health inspections of workplaces in the Washington, DC metropolitan area, our safety and health staff have facilitated a 60-percent reduction in the safety and health hazards affecting legislative branch employees. In the 109th Congress, our inspectors identified 13,140 hazards. In the 110th Congress, there were 9,200 hazards identified; and in the 111th Congress, there were 5,400 hazards identified. This reduction is due in large part to the skill and dedication of our inspectors, the technical assistance and education we provide to employing offices, and the collaboration and cooperation of employing offices in abatement efforts.

When the Congress enacted the CAA, it guaranteed for the first time that all members of the public, including people with disabilities, had access to legislative branch facilities. At the request of this subcommittee and its counterpart in the House, our inspectors performed an Americans with Disabilities Act (ADA) "preinspection" of the Capitol Visitor Center (CVC) before its December 2008 opening. OOC inspectors identified dozens of access barriers in CVC's 580,000 square feet, involving doors, ramps, restrooms, dining areas, and other facilities. Because our team was brought in before the contractors had finished their work, many of the barriers were corrected more quickly and at lower cost than might otherwise have been the case. As a result, CVC welcomes hundreds of thousands of visitors every year and offers comprehensive, barrier-free access to all.

As is clear, services provided by OOC minimize disruption to the important work you do on behalf of the American people. These services help to create the workplace envisioned by CAA. We are required to resolve workplace rights issues quickly so that the essential work of the legislative branch can continue. We are required to identify safety and health hazards—including emergency evacuation—so they can be corrected before an employee, Senator, or Representative is injured. We are required to ensure public access to the legislative branch for all, including people with disabilities. We are required to educate the congressional community on the rights and responsibilities provided in CAA. We recognize the positive impact that these statutory mandates have on the congressional community, and we are asking for the funding necessary to continue this essential work.

NECESSARY FUNDING FOR FISCAL YEAR 2013

For fiscal year 2013, OOC is requesting a total of $4,206,000: 12 percent less than our fiscal year 2012 appropriations request and 10.19 percent ($389,000) more than our fiscal year 2012 enacted funding level of $3,817,000. This small requested increase restores a portion of the 13.1-percent reduction in funding OOC has absorbed over the last 2 fiscal years: 6.7 percent in fiscal year 2011, and 6.4 percent in fiscal year 2012.

WHAT WE HAVE NOT REQUESTED IN THE PAST

Mindful of the fiscal constraints facing the Federal Government, over the last two appropriations cycles, OOC has worked to keep its funding requests to a minimum, resulting in a shortage of necessary funds.

During fiscal year 2011, OOC worked to develop the risk-based inspection and abatement approach that the conference committee on fiscal year 2010 legislative branch appropriations directed OOC to institute. Developing and implementing that approach required an additional safety and health inspector, as risk-based inspections are more complex than the wall-to-wall inspections we had performed previously. We didn't request funding for that purpose. Instead, we renewed our fiscal year 2010 request to OSHA to detail one or more safety and health inspectors on a short-term, nonreimbursable basis, to provide temporary inspection assistance at no additional expense to OOC. As in fiscal year 2010, however, budget constraints continued to prevent DOL and other agencies from supplying nonreimbursable detailees. Because we had been advised that no detailee would be available in fiscal year 2010, fiscal year 2011, or the foreseeable future, we did not make a third request in fiscal year 2012. In fiscal year 2012, the need for an additional inspector was still pressing, yet, in an effort to present a minimal budget, we refrained from asking this subcommittee for the necessary funding.

In addition, to keep our budget requests low, we previously have not requested funding for many initiatives on workplace issues that would benefit agencies, employees, and Member offices. For example, to save time, money, travel, and to provide privacy to employing offices and their staff, offering an online training program directly linked to OOC's Web site would be the most effective means of educating the covered community on rights and responsibilities under the CAA. However, because of the need to minimize our budget requests, we have not asked for funding for this type of training.

OUR COST-CUTTING MEASURES

OOC has been sensitive to the challenges faced by this subcommittee, and we have kept our budget requests low. In order to continue pursuing our mission with the funding provided to us, we reorganized our staff and cut back services. We were required to lay off an attorney, which left a gap in our case-handling ability. We have had to cut inspector hours by nearly 50 percent since fiscal year 2010—leaving many workplaces, including Member offices, uninspected. We have been forced to eliminate the technical assistance we provide to employing offices, as those hours are needed to perform inspections of high-hazard areas. We have reduced the rates paid to our hearing officers, established a flat per-case rate for our mediators, and brought some mediations in-house. We have eliminated training for all employees and travel for non-board members. Because of the reductions in funding, we have had to reduce maintenance on a case tracking system that continues to crash. We have limited travel for our board members (all but one of whom lives outside the Washington, DC metropolitan area), cut back the purchase of supplies and information technology equipment, and reduced certain basic custodial services. We have tightened our purse strings, just like every other agency, and figured out a way to get the job done with the funds we have been appropriated.

The job we've been doing, however, is not the job you deserve. Budget cuts seriously threaten our ability to ensure the safety and accessibility of the congressional workplace and the confidential resolution of workplace disputes.

WHAT WE WILL DO WITH REQUESTED FUNDING

The funding requested in fiscal year 2013 will restore a portion of the funding that was cut over the last 2 fiscal years. At the requested level for fiscal year 2013, the OOC will be able to add one safety and health inspector, which will help us implement the risk-based inspection and abatement approach that you asked us to undertake, and evaluate additional legislative branch facilities to identify any barriers to public access for people with disabilities. We will also be able to maintain our current pool of distinguished mediators and hearing officers, ensuring the continued integrity of our confidential dispute resolution program.

The remainder of the increase will allow the agency to meet its obligations under inter-agency service agreements and replace the dysfunctional case management system. We are still not asking for everything we need, but we are asking for additional funding so that we can restore some of the critical services that make the legislative branch a more accessible, fair, and safe workplace.

CONCLUSION

The work of OOC adds value to the congressional campus—that is clear. Because of the Congress' decision to apply workplace rights laws, safety laws, and public access laws to the legislative branch, the congressional community is closer to being in line with executive branch agencies and the private sector. Funding OOC at the requested level will help ensure that these laws can be applied as the Congress envisioned in the CAA.

OOC's request for an additional $389,000 is minimal—less than 1 percent of the fiscal year 2012 enacted funding level of any of the agencies for which we provide services. We provide services to 30,000 legislative branch employees, whose workplaces span nearly 18 million square feet in the Washington, DC metropolitan area alone. Our requested funding is an infinitesimal sum in light of the enormous responsibility placed upon us by the CAA. Yet, this funding is critical to the operations of our agency and to the services we can provide to you.

On behalf of the board of directors and the entire staff of the OOC, I thank you for your support of this agency. I would be pleased to answer any questions.

Senator NELSON. Thank you. I understand that if you don't have enough personnel, you can't get the job done. I do understand that, and that inspections are employee intensive just by their very nature.

Instead of adding staff, is it possible to go through the process and ask how often you're performing inspections, whether you could extend the time frame reasonably? Is there a study that would do that? I know you can just make a decision of, well instead of safety every 18 months we'll do it every 24. But are there any studies that would be helpful to show that perhaps by extending 1 month or 2 months or something like that, you reduce the work load but you don't increase the safety hazard?

Ms. CHRISLER. It's a very good question, Mr. Chairman, and thank you for it.

As we've developed our operational plan for fiscal year 2011 and fiscal year 2012 when we've absorbed the cuts that we've absorbed, we've discussed that. We've discussed how we can do our job with less money. We've discussed how we can conduct the inspections. We've discussed, you know, how we address the employees that seek our services. When employees come to our office and request counseling or mediation, we don't turn them away. We have to provide the services to the employees.

In some of the discussions that we had with respect to our inspections, we've talked about how the lack of resources will delay inspections. And it's not as much about pushing an inspection off for 1 month. You put the nail right on the head. It is very resource intensive. And with respect to the risk based approach that you've asked us to implement, it's not a matter of just getting a lot of inspections done. It's a matter of getting the inspections done right.

So, with this risk based, we take a look at the programs that are involved. We make sure that we are focusing our attention on high hazard areas; the Power Plant, machine shops, and elevator pits. We look to see whether the employees are wearing the proper protective equipment and whether they are communicating, utilizing the proper hazard communications, and ensuring that they're performing their jobs properly.

So, it's intensive in the sense that we review programs. We watch employees perform their jobs. We have to make sure that they're doing their jobs in accordance with the standards. So, there's a lot involved in this, but it's cost efficient because when employees are performing their jobs the way they're supposed to, then you're looking at less time where employees are out because of illness or injury due to a work related injury.

You're looking at less workers' compensation. You're looking at increased productivity. So, it's cost effective to approach inspections this way.

Senator NELSON. Yes, and it's also very difficult to equate directly how the inspections might have not avoided an injury or something like that. We all understand it. It's common sense, understandable that safe work environments just pay for themselves, although sometimes hard to demonstrate it.

But it would seem to me that on a risk-based system that there would be some give and take on how often and where and how you do it to where you could save one position or something like that.

In other words, I'm not quarreling that you think you need an additional full-time equivalent (FTE) or that you want a couple of other FTEs. I do understand that. But in lieu of that in tight times, I'm just wondering if you—if you could look—go back to the drawing board and look a little bit more closely. I always try to sharpen my pencil just a little bit more to see if there is a way to do that because I'm not trying to push you into moving beyond safety requirements and good standards as I am saying, could you just keep working with those just a little bit more? I mean, during tight times, I don't think we have to end up with a less safe workplace if an inspection is every third time or every second time unless there is an indication that that's how things become less safe.

I just—there's a point where it's—there's a tipping point. We understand that.

Ms. CHRISLER. Right.

Senator NELSON. I just want to come as close to the tipping point as I can be and as judicious with the taxpayers' dollar as I possibly can. That's all I'm asking.

Ms. CHRISLER. And as do we. And we have reached the point of that tipping point. We have actually reduced our inspector hours. And it's not about the—as I mentioned before—pushing inspections back as much as it is having the people to do the work. We've reduced our inspection hours to the point where we have the equivalent of 1 1/2 contract inspectors doing the work that we need to get done.

So, when we in fiscal year 2011 and fiscal year 2012 went back to the drawing board to make those cuts, we've cut and we've cut and we've cut. And now we're at the point where further cuts would significantly impede the work to be done.

I was going to say something else. I can't remember what I was going to say.

Just to use my colleague's analogy at the end of the table, we've cut through muscle and we've cut to the bone. And any further cuts will be cutting limbs at this point. We've cut our programs. We've cut our personnel. So, yes, we have been very mindful of being judicially responsible with the appropriations that we've been given, and we want to continue to do the job that we need to do with the least amount of money that we've been given.

And, so, we again can go back to the drawing table because there is always more to cut. But at this point we are cutting to the point where we won't be able to do the work that we need to do.

Senator NELSON. All right. Thank you.

Senator Hoeven.

Senator HOEVEN. Thank you, Mr. Chairman.

The main question that I have relates to public access and any barriers to public access for people with disabilities. I guess I'm just wondering, it looks like you're still in the process of going through, making that determination. But are there new facilities or something that is requiring you to do that, or changes in the facilities that requires you to do that? Because I would have thought that would have been done. So, unless there's some changes, I'm not sure I understand exactly why that's necessary.

Ms. CHRISLER. There are areas where it wasn't done and there are continual improvements that are being made. And those areas need to comply with ADA requirements as well. So, for the new construction, yes. For the new improvements that are made to the Canon building, the Longworth, and at some point the Senate office buildings as well; when those construction improvements are made, the resulting space has to meet the ADA requirements.

Senator HOEVEN. But wouldn't those ADA requirements be part of the new construction? In other words, to have that new construction you have to be ADA compliant when you build it. So, again, I'm still not quite understanding why you have to go back and review it.

Ms. CHRISLER. Right.

Senator HOEVEN. I think that's a requirement when you build it, isn't it?

Ms. CHRISLER. Well, sometimes those requirements are met and sometimes they're not.

Senator HOEVEN. So, it's going back and evaluating and making sure those requirements have been met?

Ms. CHRISLER. You know—yes. And with the construction of the CVC, we were brought into the process early, which was good, because we didn't have to go back to make the corrections. So, allowing OOC to assist and provide the technical assistance early in the construction is cost effective and it makes a lot of sense. And that's what we work with the AOC on. We work collaboratively to make sure

Senator HOEVEN. Excuse me. Is the AOC doing that on the front end?

Ms. CHRISLER. We remain in communication with each other and we work together to ensure that that's done in every instance where it can be done.

Senator HOEVEN. Right. So, if they're doing it on the front end, do you still have to go back and review it or not? That's, I guess, where I'm getting a little confused here.

Ms. CHRISLER. Well, as I mentioned, we don't always get in at the very beginning stages of the construction. Try as we might and working as collaboratively as we can, that's not always met. When it can be, we're there, like with the CVC, but other times we do have to go back and we work and we stay in communication with each other and we work as efficiently as we can.

Senator HOEVEN. Okay. That's really the only question I had, Mr. Chairman.

Thank you.

Senator NELSON. Thank you, Senator Hoeven.

If we put together a process that if you are brought in at the front end to make certain that the requirements are all there in place and that you expect that they would be followed, and then get a certification from the AOC that those have been followed to the letter, and you spot-check from time to time, not that Mr. Ayers would do anything out of the ordinary, but just to make sure that the system is working that way. Could that result in perhaps fewer steps in the process?

We want the process to work. It's got to be a protocol. It needs to be consistent. And if it is and everybody feels that the risk-based effort is being accomplished, is that a possibility?

Ms. CHRISLER. It sounds like a wonderful possibility that we could sit down and discuss.

Senator NELSON. Yes. Well, that's what I'd like to have you do. It will put the AOC on the record, which I'm sure he wouldn't mind at all.

No, I understand. You two are working very well together. It's a great improvement from when I first took over as chairman of this subcommittee, and I tell you what, I really appreciate that fact. It works better for all of us. And at the end of the day, it's a better system for the people who work here and the people who come here and do their business here.

So, do you have any further comments or questions, closing comments?

Senator HOEVEN. Mr. Chairman, I guess the only further comment I have is I think we're going to be required to find more savings.

So, I would just encourage you to go through and start prioritizing and give serious thought to where we can find some more savings. I'm pretty sure we're going to have to do that.

ADDITIONAL COMMITTEE QUESTIONS

That being said, you know, I really appreciate the work that you're doing, and I think everybody does. You're professional. You do an outstanding job. And, you know, we're going to do the best job we can working with you on this budget. Thanks for coming in today and for your testimony.

Senator NELSON. I want to thank all of you as well for attending today's hearing.

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

QUESTIONS SUBMITTED BY SENATOR JOHN HOEVEN

ZERO-BASED BUDGETING

Question.. Since each of the agencies within the legislative branch were directed to develop and present fiscal year 2013 budget requests using a zero-based budgeting approach, I would like to hear from you about how this process worked within your agency.

Was this a helpful process or a hindrance in developing the budget request?

Were you able to find sustainable efficiencies that will result in continued savings over time, or one-time only savings?

Is this a process you will be able to replicate for future budget requests?

Answer. For the last seven appropriations cycles, the Office of Compliance (OOC) has utilized a zero-based budget approach to develop its annual appropriations requests. Each year, OOC reviews its current needs and evaluates whether prior initiatives or projects will continue in the next fiscal year to determine the amount of funds necessary to meet our mission. This approach allows OOC to develop its budget from the ground up, making a thorough assessment of its fiscal needs each appropriations cycle and prevents OOC from requesting funding that is no longer necessary. Over the years, we have found that this approach helps ensure that our appropriations requests are based on a continuing assessment of the most efficient ways to support OOC's substantive programs and statutory mandates. This process is necessary to ensure financial responsibility in developing a budget. Through utilizing the zero-based budget approach, OOC has enjoyed savings in the administration of the Office, from reduced supply purchases to savings on contracts with vendors and interagency agreements. OOC has also changed its business practices to increase our use of technology to disseminate educational materials and decrease our printing and distribution costs. As we have in the past, OOC will continue to utilize a zero-based budget approach as we develop future appropriations requests.

VOLUNTARY EARLY RETIREMENT AUTHORITY/VOLUNTARY SEPARATION INCENTIVE PAYMENT

Question.. The Committee provided guidance in the fiscal year 2012 appropriations legislation that each agency within the legislative branch should consider using Voluntary Early Retirement Authority/Voluntary Separation Incentive Payment (VERA/VSIP) in order to reduce salary costs to the agency.

Were you able to utilize VERA/VSIP authority; and if so, was this a successful mechanism for reducing costs?

Are those savings realized immediately, or in the out-years?

Realizing that losing people who are eligible for retirement or early separation often means losing some of the best and brightest people with the greatest institutional knowledge within your organization, how have staffing reductions impacted OOC?

Do you have succession plans in place that allow for a smooth transition of responsibilities?

Answer. Although OOC was authorized to utilize VERA and VSIP programs, we were unable to offer these programs to any of our employees during fiscal year 2012, given the lack of necessary resources. Nor do we forsee a future ability to utilize VERA/VSIP authority as a means of reducing costs.

VERA allows agencies that are undergoing substantial restructuring to temporarily lower the age and service requirements of employees in order to increase the number of employees who are eligible for retirement. The positions from which the employees retire would remain vacant, thereby resulting in a cost savings for the agency. VSIP, also known as buyout authority, allows agencies that are downsizing or restructuring to offer employees lump-sum payments up to $25,000 as an incentive to voluntarily separate. The success of both VERA and VSIP depend upon the savings incurred from lapsed salary of vacant positions. As an agency with a broad mandate, a budget of only $3.17 million, and an employee complement of only 22 full-time equivalents (one of which is held by the Board of Directors), OOC cannot afford the personnel and financial costs associated with VERA and VSIP. We are not funded at a level where we can offer employees a pay-out to voluntarily separate. Nor do we have multiple layers of employees performing similar tasks to allow positions to remain vacant: when a position is vacant in OOC, the task either does not get completed or our already over-extended staff must absorb the additional duties. Practically speaking, a vacant position at OOC means forgoing the function of the position. Thus, an unfilled position means uncompleted work. Uncompleted work means essential services that are not provided.

In short, given our severely limited personnel and fiscal resources, we cannot use VERA/VSIP programs to reduce costs.

Question. Fiscal year 2013 budget requests. I realize that it is important for each agency to request what it believes is necessary in terms of funding for operations and projects without knowing how much funding will be available in the next budget cycle; however, it should be clear to everyone what path we are on given the fiscal situation still facing our country. Therefore it concerns me that each agency represented here today, except for the Open World Leadership Center, requested a budgetary increase for fiscal year 2013.

What would be the impact to each of your agencies if you were held to the fiscal year 2012 enacted level of funding?

What would be the impact of a reduction less than the fiscal year 2012 funding level?

At what funding level reduction could OOC no longer continue to provide the services you are required to provide without making significant changes to OOC and its mission?

Answer. In responding to your questions regarding OOC's fiscal year 2013 budget request, let us briefly give an overview of our statutory mandate.

AGENCY OVERVIEW

The Congress established the Office of Compliance as an independent agency of the legislative branch to administer the Congressional Accountability Act (CAA).

Confidential Dispute Resolution Program

The Confidential Dispute Resolution program provides advice, information, confidential counseling and mediation, administrative hearing and appellate review services to employing offices and employees of the Legislative Branch. The demand for OOC services is driven by the needs of the covered community; delivery of these services is not discretionary, and must be provided in accordance with our statutory mandate and the strict timelines set forth in CAA.

Education and Outreach Program

Section 301(h) of CAA requires an education and outreach program to educate Members, agencies, and staff about their obligations, rights, and liabilities under the CAA and how to resolve workplace rights disputes through OOC's confidential processes. OOC implements this mandate by providing informational seminars and creating and distributing educational materials to employers and employees about statutory rights and responsibilities in the congressional workplace, such as posters, brochures and statistical reports about harassment, discrimination, disability, and veterans' rights, and family and medical leave. In addition, CAA requires the annual distribution of educational materials to home addresses of all employees. OOC previously sent an annual newsletter but now provides just a one-page notice of rights in order to reduce expenses. The notice of rights has been highly effective in educating employees about their rights and we have received positive feedback from Members who also have had questions about their obligations as employers.

OOC also works with various agencies and both chambers of the Congress to provide educational resources and training at their request. These employers ask for this training not only to inform employees and managers about the law, but also to improve the workplace environment and to prevent workplace strife, embarrassing publicity, and costly litigation, which is ultimately paid for by taxpayers.

Safety and Health

Under the Occupational Safety and Health (OSH) Act provisions in section 215(e) of CAA, OOC is charged with conducting inspections of legislative branch facilities at least once each Congress. The Office of the General Counsel of OOC is responsible for administering certain provisions of the OSH Act, the public access provisions of the Americans with Disabilities Act (ADA), and the unfair labor practice provisions of the Federal Service Labor-Management Relations Act that were adopted by CAA and apply to most legislative branch employees.

After receiving increased funding for OSH inspectors in fiscal year 2006, OOC was able for the first time to conduct comprehensive wall-to-wall inspections of all facilities on Capitol Hill (other than district or State Member offices); consequently, during the 110th Congress, we were able to inspect more than 96 percent of the 17 million square feet occupied by legislative branch offices in the metropolitan Washington, DC area. Similarly, 96 percent of nearly 18 million square feet was inspected during our 111th Congress inspections. These comprehensive inspections led to a substantial reduction in the number of serious hazards in legislative branch workplaces, from 13,141 in the 109th Congress to 5,400 in the 111th Congress.

CONFIDENTIAL DISPUTE RESOLUTION

Question. What would be the impact to each of your agencies if you were held to the fiscal year 2012 enacted level of funding?

Answer. Since fiscal year 2010, the confidential dispute resolution program has had a steady reduction in funding. To meet these reduced funding levels, OOC has had to modify how it delivers services. For example, in fiscal year 2011, because of reduced resources for contract mediators and as a cost-savings initiative, OOC managers (who are trained in conducting mediations) took on the additional task of mediating a large number of cases. To further reduce expenditures, OOC restructured fiscal year 2012 vendor contracts in a manner which will, in effect, limit the time available in mediation to resolve conflicts voluntarily and confidentially. OOC also reduced the rate it pays to independent hearing officers.

The current funding levels do not permit OOC to update or replace its rudimentary case management system. The current case management system was obtained to replace a rapidly failing and unsupported system that was supposed to manage case docketing and correspondence with parties in dispute resolution proceedings. It was also anticipated that this system would generate mandated annual statistical reports. The funds available at the time we procured the system were minimal, so the system we were able to procure only met the minimal needs of OOC. The continued lack of funding has made it impossible for OOC to afford the updates necessary to fully develop the system, especially to retrieve reliable reporting, trending, and cost information. This information would be used to support our reporting mandate, for educating the covered community, and for continuous review of expenses to enable OOC to engage in necessary cost-cutting measures.

OOC has had to defer maintenance on noncritical operations for several years. We have been unable to purchase adequate office supplies, including materials needed to properly store or destroy records, resulting in overcrowding and reduced efficiency in our core operations areas, and necessitating time-consuming workarounds. There has been insufficient funding for counselors and legal staff to receive the continuing education needed to remain current with the developing law in this area; staff have had to pursue this education on their own. Current funding levels also prevent OOC from moving to an electronic filing system that would create efficiencies at all levels—for OOC and the parties who utilize its services.

Continued funding at the fiscal year 2012 level will perpetuate insufficiencies in basic OOC operations. It will require OOC to continue to perform its dispute resolution mandate with inadequate staffing, equipment, and supplies, and extend the practice of regularly taking employees away from their core function to perform additional duties, further constraining OOC's ability to perform its mission. Continued reduction in fees for mediators and hearing officers creates the possibility of losing and not being able to replace talented professionals. Consequently, OOC runs the risk of not having a sufficient pool of qualified experts available to handle all the needs of the covered community, including confidential adjudication of staff claims against Member offices, leading to frustrated employees seeking resolution through the media.

EDUCATION AND OUTREACH

Over the course of the last 2 fiscal years, OOC cut its educational and outreach program budget by 46 percent. Under its current fiscal year budget, OOC has allotted $30,000 to educate and provide outreach services to agencies, Members of Congress, and 30,000 employees nationwide; that amounts to $1 per employee comprehensively for our education and outreach services. These funds are insufficient and have not allowed OOC to provide basic programs needed to educate the congressional community.

Because of budget cuts, OOC has not been able to maintain a technologically current Web site. OOC's Web site receives 3,000 visits per month. The site is aging and becoming outdated, and does not contain current Wordpress 3.3 technologies that would enhance its functionality and reduce its service costs.

Requests for new training and seminars continue to increase in fiscal year 2012. OOC has received numerous requests from employers (e.g., Office of the Architect of the Capitol, United States Capitol Police, United States Commission on International Religious Freedom), labor unions, and employees to provide training on family and medical leave requirements, how to handle reasonable accommodation requests for employees with disabilities, effective internal mediation processes for employment disputes, and harassment prevention. Under current budget conditions, OOC will not be able to address most of these needs. Producing effective training programs requires significant time for preparation and research by OOC staff. Where appropriate, tailoring materials to each particular workplace may be necessary. OOC's current resources will not support this service. Furthermore, effective training courses often require the use of instructive videos that provide visuals and situational scenarios. OOC's budget will not allow for the purchase of these videos.

One of the most efficient, broad-reaching, and cost-effective ways to provide training to the Congress and its workforce is through online resources. OOC has been researching ways to provide online training courses not just for agencies, but also for Member offices so that chiefs of staff and other managers can properly address important issues, such as family and medical leave and how to prevent harassment in the workplace. OOC does not have sufficient funding to provide online resources as part of our education and outreach program.

SAFETY AND HEALTH

In response to the continuing reductions to OOC budget commencing in fiscal year 2011, OOC has substantially cut the scope of its safety and health and ADA public access programs mandated by CAA by, among other measures, reducing safety and health inspector hours; reducing and limiting constituent-requested ADA inspections; delaying and limiting investigations of employee requests for safety and health inspections and constituent requests for inspections of barriers to public access under the ADA; and discontinuing requested technical assistance to employing offices, except in very limited circumstances. In response to further cuts in fiscal year 2012, we continued to reduce services and laid off a staff attorney whose work was principally related to fire and life safety conditions on Capitol Hill. During fiscal year 2012, OOC anticipates being able to inspect most high-hazard workplaces, but only some high-risk operations. We have had to cut back inspections of safety procedures and programs mandated by CAA by limiting our reviews to two programs and not inspecting others such as lockout/tagout programs addressing hazards relating to maintenance of machines, electrical repairs, and other operations. These safety programs are designed to provide protections to employees engaged in higher-risk operations. Further, shortly after the beginning of the 112th Congress, OOC no longer had sufficient resources to inspect almost all offices and administrative spaces, including Member offices; the only offices we have inspected or will inspect during this Congress are located in the remaining Page Schools, the Library of Congress Taylor Street facility for the blind, National Library Service for the Blind and Physically Handicapped, and a limited number of areas of special emphasis. We expect this trend to continue in fiscal year 2013 if funded at the fiscal year 2012 level.

The reduced level of funding in fiscal year 2011 and again in fiscal year 2012 has required us to substantially reduce the number and scope of our inspections. Although to date our high-risk priority approach to inspections has successfully identified and led to the correction of many serious hazards, we anticipate that by the end of fiscal year 2012, we will only be able to inspect roughly 25 percent of the nearly 18 million square feet in the Washington, DC metropolitan area. Consequently, 13.5 million square feet will not be inspected in the current fiscal year, as well as in fiscal year 2013, if funding levels remain the same. ADA public access inspections most likely would have to be eliminated or reduced significantly, notwithstanding CAA requirements.

Several recent studies have shown that Federal OSHA inspections reduce actual injuries in manufacturing facilities by roughly 20 percent in the 2 years following the inspection.[1] Unlike the Occupational Safety and Health Act, CAA does not require employing offices to record or report injury statistics. Thus, we are unable to determine whether or to what degree our inspections have reduced occupational injuries in the legislative branch. We can, however, report a parallel and significant reduction in identified hazards once OOC commenced comprehensive wall-to-wall inspections in all Capitol Hill covered facilities during the 110th Congress: from 13,141 hazards in the 109th Congress to 5,400 in the 111th Congress. In establishing CAA and safety and health requirements, the Congress thought that these inspections should be conducted once every 2 years. Thus, delaying inspections, as was discussed at the March 1, 2012 appropriations hearing before the Senate subcommittee, could have a detrimental impact on the safety and health of legislative branch employees.

In light of the above studies, OOC would be remiss in doing anything other than what CAA requires, that is, to inspect such workplaces at least once each Congress. Yet, due to budget cuts, we have been unable to inspect fully many operations that potentially could cause serious injury or illness. There are many high-risk spaces and operations (e.g., machine shops, electrical transformer rooms, the Capitol Power Plant) that we have been unable to inspect fully. We are concerned that areas not inspected will return to the unsafe conditions in which we found them in the 109th Congress.

In past years, we have conducted both OSH and ADA pre-inspections before a new facility opened; in the Capitol Visitor Center, we identified hundreds of conditions that were not consistent with OSH and ADA standards. The pre-inspection enabled correction of these deficiencies before the facility was opened to the public, thereby avoiding potential disruption to visitors and employees. Further, by identifying conditions that do not comply with OSH and ADA requirements before the

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[1] Haviland et al., "Are there Unusually Effective Occupational Safety and Health Inspectors and Inspection Practices?", RAND Working Paper March 2012, http://www.rand.org/content/dam/rand/pubs/working__papers/2012/RAND__WR914.pdf; Gray et al., "Does Regulatory Enforcement Work? A Panel Analysis of OSHA Enforcement, Law and Society Review", 1993,27:177–213.; Mendeloff et al., "The Declining Effects of OSHA Inspections in Manufacturing, 1979–1998, Industrial and Labor Relations Review, 2005", 58:571-586; Haviland, et al. "What Kinds of Injuries Do OSHA Inspections Prevent?", Journal of Safety Research, 2010, 41:339–345; Burns et al., "A New Estimate of the Impact of OSHA Interventions on Manufacturing Injury Rates, 1998–2005", American Journal of Industrial Medicine, 2011.

work is approved by the Government's project manager, the contractor who is at fault—not the Government—can be required to absorb the cost of remedying such conditions. The former FDA building is scheduled to open in fiscal year 2013; absent sufficient resources more than our fiscal year 2012 funding level, OOC will be unable to conduct a pre-inspection of this facility or areas in other existing facilities that are continuously undergoing construction or renovation where compliance with new ADA standards is required.

With level funding in fiscal year 2013, OOC would be unable to restore any of the services previously discontinued, including technical assistance, which currently is strictly limited to requester-initiated inspection cases and in the course and scope of the limited biennial inspections we are currently able to conduct. Investigation of employee requests for safety, health and ADA inspections could be further delayed; in fiscal year 2011, those requests involved serious hazards such as malfunctioning fire alarms, delayed emergency evacuation of people with disabilities, and improper handling of asbestos-containing materials, among others.

CONFIDENTIAL DISPUTE RESOLUTION

Question. What would be the impact of a reduction less than the fiscal year 2012 funding level?

Answer. The program cannot withstand further reductions. A reduction less than fiscal year 2012 funding levels would severely obstruct the mission of OOC which, by law, must provide confidential dispute resolution services to the covered community. OOC has consistently sought funding necessary to ensure that it could meet the needs of its constituency. Despite that, the dispute resolution program's funding level in fiscal year 2012 is approximately 20 percent less than what it was in fiscal year 2010. Further, reductions would endanger the core function of this mandated program, leaving it without the resources to make necessary updates to its docketing and reporting system, to continue to provide the covered community with sufficient mediation services, to maintain the pool of quality jurists who ensure fair administrative hearings, and to maintain current staffing levels. Continuing reductions in funding could very well lead to a reduction or even a denial of mandated services.

A further reduction in funding levels will negatively impact the dispute resolution program's basic operations of managing the docket, generating reports and providing confidential counseling. It will jeopardize OOC's ability to provide timely and confidential mediation and hearing processes for employees and employing offices who request needed services. Mediators' contracts cannot be reduced any further and should we be required to make additional cuts to hearing officers' contracts, we risk losing experienced, respected judges. If OOC is forced to suspend administrative hearings, or forgo written transcripts of hearings, employees may elect to take their complaints to the media or to Federal court rather than avail themselves of OOC's confidential hearing process. Utilizing a public forum to resolve employment disputes often drags the process out and increases costs. Any public exposure could adversely impact Members and the lives of employees seeking redress, and disrupt the operations of employing offices.

EDUCATION AND OUTREACH

Further reductions to our education and outreach program will force OOC to decline all newly requested training and to pare down current training. Depending on the size of the cut, OOC may also have to terminate the notification of rights mailing to employees, which consumes approximately 30 percent of our education and outreach budget. Eliminating this mailing would be detrimental to the services provided to Members and their staff because the notification of rights is the most effective means OOC has to provide direct and basic information about CAA to the congressional workforce. The notification was created in response to a recent baseline survey conducted by the Congressional Management Foundation at the request of OOC, which found that most congressional employees had limited-to-no knowledge of their workplace rights or of OOC. See fiscal year 2009 OOC "Annual Report, State of the Congressional Workplace", p. 38. This mailing is an essential part of our outreach mandate. Indeed, in fiscal year 2010 congressional stakeholders asked OOC to work with one of its oversight committees to increase its education and outreach efforts, because CAA is most effective when all are educated on the laws and the protections that govern the Congressional workplace. Receiving cuts to our already-underfunded program would be ruinous to this effort.

SAFETY AND HEALTH

In view of the effects of previous funding reductions on our programs, further reduction from the fiscal year 2012 level would be devastating to OOC's safety and health and public access work. Still more layoffs would be inevitable. OOC does not have backup staff with the time and technical expertise to perform work on an extended basis for someone who has been laid off. Consequently, OOC would be incapable of meeting its very specific statutory obligations. This Office currently has a reduced complement of inspectors to perform all biennial and requested OSH and ADA inspections: one full-time and two part-time OSH inspectors and one full-time inspector whose time is divided between part-time ADA and occasional OSH inspection duties as well as administrative/technical responsibilities in support of both of these programs. A reduction less than fiscal year 2012 levels would mean that more legislative branch facilities would go uninspected for safety and health hazards. With a further budget-driven reduction in inspector resources, OOC would no longer have the time and variety of specialized technical experience necessary to conduct inspections of employing office safety and health procedures and programs, or the inspections of high-hazard workplaces, such as the Capitol Power Plant. Like attorneys and physicians, inspectors do not possess specialized expertise in every aspect of safety and health. The loss of needed expertise through further reduction in our inspector complement would have significant detrimental effects on our program and on the health and safety of the legislative branch workforce as a whole. Barriers to public access for people with disabilities would likewise go unidentified and unremedied. We would no longer be able to process all requests by employees for OSH and ADA inspections, and there would be further extended delays for some inspections. Technical assistance would be further reduced if not eliminated.

Successful inspections depend on a level of collaboration and communication between OOC and the employing offices. This approach has greatly reduced the friction often observed between regulators and the regulated in other venues. Instead of issuing citations whenever a finding is identified, as is done in the private sector, OOC General Counsel ordinarily issues hazard findings that may be contested by the employing office. If this does not succeed in achieving an agreement to abate the hazard, a citation may then be issued, followed by a complaint. This pre-citation procedure fosters greater cooperation in most instances, but it is a voluntary procedure not required under CAA or OSH Act. OOC has also instituted various practices and procedures to foster better communications respecting OSH and ADA inspections, findings, abatement, and enforcement actions.

These voluntary efforts by OOC are very time and resource intensive. Consequently, further reduced resources might force OOC to adopt a less labor-intensive, more enforcement-focused regimen, including unannounced inspections and more frequent use of citations rather than hazard findings to expedite hazard abatement.

Question. At what funding level reduction could OOC no longer continue to provide the services you are required to provide without making significant changes to OOC and its mission?

CONFIDENTIAL DISPUTE RESOLUTION

The confidential dispute resolution program cannot withstand further reductions in funding. The program can no longer defer basic maintenance on essential systems, equipment and services such as its case management system, computer, and teleconferencing equipment, without jeopardizing its operations. OOC has no discretionary programs from which it can reallocate funds in order to support its core services and no functional redundancies to sustain any further cuts in staffing or with contract mediators and hearing officers. Once we cut employees or contractors, there is no one else to perform their jobs on a continuing basis. OOC has already modified the delivery of its core services by assigning managers with prior training in mediation to take on the additional responsibility of mediating cases that OOC cannot fund for mediation by independent professionals. Although this has worked on an interim basis, it is not the best or most efficient practice. It drains essential staff resources, which already are at a bare minimum. Using independent mediators ensures that parties have full access to those services when needed. The current status of resources has constrained OOC from performing at an optimal level. Any additional reductions in funding of this small agency will further undermine the effectiveness of our dispute resolution program and will likely result in employees seeking another forum in which to address their employment disputes—in the media or in court—rather than through OOC's confidential processes.

EDUCATION AND OUTREACH

Any cuts less than the fiscal year 2012 funding would prevent OOC from providing education and outreach services as required by CAA. As explained above, this program has received a 46-percent reduction since fiscal year 2010; further cuts would erode OOC's ability to educate employees and it would feed a common misperception that the Congress does not want legislative branch employees to be informed about their rights.

SAFETY AND HEALTH

Even absent further funding reductions in fiscal year 2013, OOC is no longer providing the services we need to meet our mission under CAA. We have already made significant changes to improve the efficiency of OOC's operations and adjusted and reduced the scope of our programs. Previous budgets prevented us from renewing the contracts for two inspectors and forced us to reduce hours of current contract inspectors, which has already significantly impaired our ability to provide necessary safety and health and ADA services to the legislative branch. Any additional cuts would force OOC to further reduce and/or eliminate still more statutorily-required services. Given that Capitol Hill remains one of the biggest targets for terrorist acts, our inability to enforce safety laws through comprehensive workplace inspections would prevent us from ensuring clear emergency exit paths and from ensuring fire-protection containment.

While we would continue to perform our responsibilities to the extent we were able, in reality, we would betray the vision of those Members of Congress who, with but one dissenting vote, approved the creation of OOC and its mission to assure a safe workplace, provide accessibility to programs and facilities to individuals with disabilities, and guarantee workplace rights in the legislative branch.

SUBCOMMITTEE RECESS

Senator NELSON. The subcommittee will stand in recess until 2:30 p.m. on March 15, 2012, when we'll meet in room SD–138 to take testimony on the fiscal year 2013 budget requests of the Government Accountability Office, the Government Printing Office, and the Congressional Budget Office.

With that, we stand in recess. Thank you.

[Whereupon, at 4 p.m., Thursday, March 1, the subcommittee was recessed, to reconvene at 2:30 p.m., Thursday, March 15.]

LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 2013

THURSDAY, MARCH 15, 2012

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

The subcommittee met at 2:35 p.m., in room SD–138, Dirksen Senate Office Building, Hon. Ben Nelson (chairman) presiding.

Present: Senators Nelson and Hoeven.

GOVERNMENT ACCOUNTABILITY OFFICE

STATEMENT OF GENE L. DODARO, COMPTROLLER GENERAL

OPENING STATEMENT OF SENATOR BEN NELSON

Senator NELSON. I know that my friend and co-chair, Ranking Member Senator Hoeven, is on his way. I think I just got through the reporters a little faster than he did.

You know, we complain when there are no votes, when we're not doing anything. And when votes are scheduled, they get in the way of the rest of our business. So it's one of those things. You can't win when you're losing.

But I appreciate everybody being here, and we'll wait just a few minutes, because I know my ranking member is on his way.

Since both Senator Hoeven and I have already had the pleasure and the opportunity to visit with our witnesses today, and I know there won't be any surprises, maybe I can start with some opening remarks. And then when Senator Hoeven arrives, we will give him an opportunity as well.

The subcommittee will come to order. And good afternoon, everyone, and welcome. We meet this afternoon to take testimony on the fiscal year 2013 budget request for the Government Accountability Office (GAO), the Government Printing Office (GPO), and the Congressional Budget Office (CBO).

I want to welcome our witnesses today. We've had the pleasure and the opportunity to visit privately earlier. And so we now have this opportunity to do so publicly as well: Gene L. Dodaro, the Comptroller General; Davita Vance-Cooks, who is Acting Public Printer; and Douglas W. Elmendorf, Ph.D., Director of the CBO.

This is our second hearing of the year and on the fiscal year 2013 budget requests for the agencies of the legislative branch. I'd like to start off today by commending our witnesses, particularly the GPO who submitted a budget request reflecting a freeze at the fiscal year 2012 enacted level and for submitting budget requests that reflect the tight fiscal constraints under which the Federal Government must continue to operate well into the future.

Unfortunately, given the budgetary battles ahead of us, any growth in budgets very well may be too much growth. But we need to hear from each of our witnesses as to what the actual needs are for any increased funding for fiscal year 2013, so that we're fully informed when the tough funding decisions are made later this year.

And, of course, with that upbeat message, we look forward to hearing from each of you this afternoon and to discussing your budget requests.

Mr. Dodaro, this year GAO is requesting a total of $526.2 million in appropriated funding, an increase of $15 million or 2.9 percent more than the fiscal year 2012 enacted level. I know that still puts you under fiscal year 2010.

This increased funding level would support an additional 64 full-time equivalents (FTEs) more than the current level of 2,982, which is the lowest number of FTEs since the 1930s.

Is that accurate? I do not remember what you told me in the office.

And I look forward to hearing the specifics of this request in light of the requested increase in FTEs, immediately following participation in the Voluntary Separation Initiative Payment (VSIP) program, and particularly given that the Library of Congress (LOC) and the GPO also participated in the VSIP program, but are not asking for FTE increases in fiscal year 2013.

Ms. Vance-Cooks, this is your first time appearing before this subcommittee, so you don't have to be nervous or anything like that. And I know you have some very big shoes to fill since the departure of Mr. Boarman. He served GPO with distinction, particularly given the tight fiscal restraints, and we appreciate his service.

GPO continues to serve its citizens with efficiency and excellence, no matter how few resources we throw your way. And GPO has set the standard that others need to follow when it comes to finding savings and implementing cost-cutting initiatives, even though some of the challenges may be different in the agencies. But we hope that you'll continue to lead by example as we work toward funding fiscal year 2013. And congratulations on your appointment, and welcome.

GPO is requesting a total of $126.25 million, the same level of funding as provided in fiscal year 2012. I understand that in fiscal year 2013, GPO has to undertake printing a new edition of the United States Code, in addition to all of the other regularly scheduled printing activities, yet you're not asking for increased funding to pay for this additional requirement. And we understand and appreciate very much your holding that line.

Dr. Elmendorf, it's always good to see you. CBO is requesting $44.6 million in fiscal year 2013, an increase of roughly $850,000, or 1.9 percent more than the current year. I look forward to discussing the particulars of your budget in just a few minutes.

PREPARED STATEMENT

When my colleague gets here, we'll ask for his opening remarks. But in the meantime, I'd like to call on Mr. Dodaro for your opening statement, followed by Ms. Vance-Cooks and Dr. Elmendorf.

And as we always try to be careful in the amount of time that we put in for opening statements, if you could hold your time to somewhere around 5 minutes, that would be desirable.

[The statement follows:]

PREPARED STATEMENT OF SENATOR BEN NELSON

Good afternoon everyone and welcome.

We meet this afternoon to take testimony on the fiscal year 2013 budget requests for the Government Accountability Office (GAO); the Government Printing Office (GPO); and the Congressional Budget Office (CBO).

I want to welcome our witnesses today:

—Gene L. Dodaro, Comptroller General;

—Davita Vance-Cooks, Acting Public Printer; and

—Douglas W. Elmendorf, Ph.D., Director of the CBO.

I want to also welcome my Ranking Member Senator Hoeven.

This is our second hearing of the year on the fiscal year 2013 budget requests for the agencies of the legislative branch. I would like to start off by commending our witnesses today—particularly GPO who submitted a budget request reflecting a freeze at the fiscal year 2012 enacted level—for submitting budget requests that reflect the tight fiscal constraints under which the Federal Government must continue to operate. Unfortunately, given the budgetary battles ahead of us, any growth in budgets very well may be too much growth. However, we should certainly hear from our witnesses as to what their needs for increased funding are for fiscal year 2013 so we are fully informed when tough funding decisions are made later this year. And with that upbeat message, we look forward to hearing from each of you this afternoon and to discussing your budget requests.

Mr. Dodaro, this year GAO is requesting a total of $526.2 million in appropriated funding—an increase of $15 million, or 2.9 percent, more than the fiscal year 2012 enacted level. This increased funding level would support an additional 64 full-time equivalents (FTE); more than the current level of 2,982. I look forward to hearing the specifics of this request—specifically in light of the requested increase in FTEs immediately following participation in the Voluntary Separation Incentive Payment (VSIP) program—particularly given that the Library of Congress and GPO also participated in the VSIP program, but are not asking for FTE increases in fiscal year 2013.

Ms. Vance-Cooks, this is your first time appearing before this subcommittee, and you have some very big shoes to fill since the departure of Mr. Boarman. He served GPO with distinction, particularly given the tight fiscal constraints. GPO continues to serve its clients with efficiency and excellence no matter how few resources we throw your way. GPO has set the standard that others should follow when it comes to finding savings and implementing cost-cutting initiatives, and we hope you will continue to lead by example as we work toward funding fiscal year 2013. Congratulations on your appointment and welcome.

GPO is requesting a total of $126.25 million, the same level of funding as provided in fiscal year 2012. I also understand that in fiscal year 2013, GPO has to undertake printing a new edition of the United States Code in addition to all of the other regularly scheduled printing activities. Yet, you are not asking for increased funding to pay for this additional requirement.

Dr. Elmendorf, it's good to see you again. CBO is requesting $44.6 million in fiscal year 2013, an increase of roughly $850,000 or 1.9 percent more than the current year. I look forward to discussing the particulars of your budget in just a few minutes.

Senator NELSON. Mr. Dodaro.

SUMMARY STATEMENT OF GENE L. DODARO

Mr. DODARO. Thank you very much, Mr. Chairman. It's a pleasure to be here today.

I'd also like to take this occasion, on the announcement of your retirement, to publicly thank you for the support that you've given GAO over the years in this position and other positions. It's been a pleasure to work with you, and I extend to you my best wishes.

Senator NELSON. Thank you very much. I appreciate that.

Mr. DODARO. With regard to our request, as the auditor of the financial statements of the Federal Government, we're acutely aware of the seriousness of the Federal Government's financial situation, both in the short term and the long term. And accordingly, we've been working with reduced funding levels and working hard to do our part.

MANAGING WITH CONSTRAINED RESOURCES

Over this past year, we've absorbed a reduction of $45 million, or more than 8 percent, in our appropriation. We've done it primarily through two ways.

One is to drive down the administrative costs of our operations, and that's occurred to the tune of more than 18 percent. We've deferred and eliminated some investments. We've reduced the amount of contractor support in a number of different areas. And we've taken a number of other initiatives to move in that direction.

Second, because more than 80 percent of our costs are personnel costs, we've had to absorb that reduction by not replacing people. In addition to attrition about 40 or so people left this past year due to the voluntary early retirement initiative. This was necessary in the short run in order to avoid furloughs or layoffs of other people.

I was concerned about furloughs and our ability to support the Congress. Our goal was to maximize our support to the Congress and minimize the effect on GAO people. We achieved that, I believe, through this year.

RESTORING CAPACITY TO SERVE THE CONGRESS

Unfortunately, in doing that, our staffing level is now, as you mentioned, at the lowest level since 1935. We will have less than 3,000 people by the end of this year. The staffing request is with an eye toward building the future capacity of GAO in order to have the knowledgeable and skilled workforce that we need in order to serve the Congress, including every standing committee and about 70 percent of the subcommittees.

There are a lot of difficult issues ahead. We, like a lot of Federal agencies and people in the private sector, are going to be affected by the retirement of the baby boom generation. Forty percent of our senior executives, for example, are already eligible to retire. We've noticed an uptick in retirements over the past couple of years.

So, we need to get prepared for the future. That's why we're asking for a 2.9-percent increase. It's primarily for staffing and to build the workforce of the future for GAO to serve the Congress and the country.

We think that the Congress needs our services, particularly now in light of the serious financial situation. The investment in GAO pays handsome dividends.

In the last year, for example, we returned financial benefits of $81 for every $1 invested in GAO. We think that this investment in the GAO is prudent. It will pay dividends in the short run and the long term, and it will better position GAO to provide the support to the Congress.

Our mission and the reason we exist is to support the Congress in carrying out its constitutional responsibilities. Given the fiscal, security, and economic challenges the Congress faces a wide array of difficult decisions going forward. I believe GAO can make even more important contributions to helping the Congress make informed decisions to help reduce the costs of the Federal Government and enhance revenues.

We had a chance to talk a little bit about the tax gap, which now stands, in the latest Internal Revenue Service estimate, at $385 billion. According to last year's estimate, there were about $115 billion in improper payments made. In addition, there are a number of other areas where we can make greater contributions to help the Congress not only deal with difficult decisions, but make our Government more efficient and more effective and better serve the American public.

PREPARED STATEMENT

I know you'll give careful consideration, as always, to our request. I appreciate the opportunity to be here today and look forward to answering questions at the appropriate time. Thank you.

[The statement follows:]

PREPARED STATEMENT OF GENE L. DODARO

Mr. Chairman, Ranking Member Hoeven, and members of the subcommittee: I appreciate the opportunity to be here today to discuss the Government Accountability Office's (GAO) budget request for fiscal year 2013. I want to thank the subcommittee for its continued support of GAO. We very much appreciate the confidence you have shown in our efforts to help support the Congress in carrying out its constitutional responsibilities and to help improve Government performance and accountability for the benefit of the American people.

GAO is requesting an appropriation of $526.2 million for fiscal year 2013 to support a staffing level of 3,100. This funding level represents a modest increase of 2.9-percent more than fiscal year 2012, and is 5.4-percent less than our fiscal year 2010 level. The majority of the requested increase represents the first step in rebuilding our staff capacity to a level that will enable us to optimize the benefits we yield for the Congress and the Nation.

We have carefully reviewed every aspect of our operations from a zero base to identify opportunities to reduce costs without sacrificing the quality of our work and preserving our ability to assist the Congress in addressing the most important priorities facing the Nation. However, given that staff costs now represent about 81 percent of our budget and the deep reductions already taken in our infrastructure programs, reducing the size of our workforce could not be avoided. By the end of fiscal year 2012, for the first time in more than 75 years, GAO's staffing level will drop to less than 3,000 staff, resulting in a net reduction of 11 percent in our staff capacity, or 365 people, in only a 2-year period.

Given the current size and scope of the Federal Government and the demand for our services, this staffing reduction will result in missed opportunities for us to identify ways to save money and generate revenue at a time when the country needs us most. I am also very concerned about maintaining our highly skilled workforce by both replacing departing staff and adding more highly skilled talent to address succession planning challenges and skill gaps. The cost to restore our staff capacity would be more than offset by billions of dollars in savings and other efficiencies resulting from GAO's work.

Through productive discussions with our managers, Union, Employee Advisory Council, Diversity Advisory Council, and our staff, GAO has significantly reduced spending throughout the agency in areas ranging from human resources to travel to information technology (IT) to achieve a $45 million or 8.1-percent funding reduction since fiscal year 2010. But, now we seek your support to begin a multiyear effort to rebuild our workforce to ultimately achieve a target full-time equivalent (FTE) staffing level of 3,250. We believe this is the optimal level within the current environment to most effectively serve the Congress and produce a high return on the investment in GAO. It would be our goal to return to this FTE staffing level in future year funding requests.

GAO is unique in our audit and evaluation capacity to support the Congress by performing original research, providing technical assistance, and conducting analyses to help the Congress make informed decisions across all segments of the Federal budget resulting in tangible results and enhanced oversight needed to address the seriousness of the Government's fiscal condition. In order for us to be most effective, GAO needs to be of a size commensurate with the current and emerging challenges facing the Federal Government and the seriousness of its fiscal outlook. We are extremely limited in our ability to target additional reductions without adversely impacting our capacity to support the Congress in reducing costs and improving Government during this critical period.

THE GOVERNMENT ACCOUNTABILITY OFFICE SUPPORTS CONGRESSIONAL DECISIONMAKING, SAVES RESOURCES AND HELPS IMPROVE GOVERNMENT

GAO's work directly contributes to improvements in a broad array of Federal programs affecting Americans everywhere and remains one of the best investments across the Federal Government. With this subcommittee's support, in fiscal year 2011 GAO provided assistance to every standing congressional committee and about 70 percent of their subcommittees. GAO issues hundreds of products annually in response to congressional requests and mandates. Actions taken related to our findings and recommendations yielded significant results across the Government, including financial benefits of $45.7 billion to reduce Government expenditures, reallocate funds to more productive areas, or increase revenues. These benefits produced a return on investment of $81 for every $1 invested in GAO.

In fiscal year 2011, our work also contributed to more than 1,300 improvements in Government operations that helped to change laws, improve services to the public, and promote sound management throughout Government. About 32 percent of these benefits were in the area of public safety and security, such as homeland security and justice programs and critical technologies. Another 40 percent were related to improvements in business processes and management, such as improved oversight of Federal oil and gas resources and detection of fraud, waste, and abuse.[1]

GAO senior officials testified 174 times before the Congress on an array of complex issues including military and veterans disability systems, U.S. Postal Service fiscal sustainability, defense/weapons systems, and Medicare and Medicaid fraud, waste, and abuse.[2] Fifty-seven of these hearings were related to high-risk areas and programs highlighted in GAO's biennial high-risk report.[3] GAO's high-risk program calls attention to opportunities for cost savings and improvements in Federal agency and program management that offer the potential to save billions of dollars, dramatically improve service to the public, and strengthen confidence and trust in the performance and accountability of the U.S. Government. In fiscal year 2011, our work also included several products mandated under the Dodd-Frank Wall Street Reform Act on mortgages, securities markets, financial institutions, the Federal Reserve, and consumer protection. Additionally, our work included many other products related to healthcare related reforms.

As the Congress and the administration debate ways to improve the Federal Government's long-term fiscal outlook, our mission becomes ever more critical to help identify billions of dollars in cost-saving opportunities to tighten Federal budgets and identify revenue-enhancement opportunities. GAO seeks both to help position the Government to better manage risks that could compromise the Nation's security, health, and solvency, and to identify opportunities for managing Government resources wisely for a more sustainable future. GAO will continue to provide high-quality, high-value, and independent support to the Congress in ways that generate material benefits to the Nation.

GAO's strategic plan for serving the Congress and the Nation, 2010–2015, highlights the broad scope of our efforts to help the institution of the Congress respond to domestic and international challenges,[4] such as:

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[1] A list of selected issues on which the Government Accountability Office assisted the Nation in fiscal year 2011 is included as Appendix I.

[2] A list of selected issues on which the Government Accountability Office staff testified before the Congress during fiscal year 2011 is included as Appendix II.

[3] Our High-Risk List is included in Appendix III.

[4] Our Strategic Plan Framework is included in Appendix IV.

—addressing current and emerging challenges to the well-being and financial security of the American people;
—responding to changing security threats and the challenges of global interdependence;
—helping transform the Federal Government to address national challenges; and
—maximizing the value of GAO by enabling quality, timely service to the Congress and being a leading practices Federal agency.

ACTIONS TAKEN TO REDUCE OPERATIONAL COSTS

Since fiscal year 2010, GAO has significantly reduced spending throughout the agency. Our fiscal year 2012 funding level is $45 million or 8.1-percent less than fiscal year 2010. We streamlined operations and reduced costs through staffing reductions, voluntary retirements, voluntary separation incentives, and extremely limited hiring to only replace critical vacancies; reducing staff retention programs, such as student loan repayments and incentive awards; and reducing or deferring investments in IT, facilities, and other support services. Since fiscal year 2010, we have reduced engagement support costs, such as travel and external specialized expertise by more than 20 percent, and reduced infrastructure support costs, such as IT and administrative support services by more than 18 percent.

In addition, we are continuing to explore other opportunities to reduce our infrastructure costs, provide staff more flexibility and increase our effectiveness and efficiency, such as streamlining our engagement-management process; expanding our telework policies; reducing our physical footprint both in headquarters and in our field offices; exploring office-sharing; expanding our video-conference capability; and attracting an additional tenant in headquarters to increase revenue. While we may only see limited financial benefits in fiscal year 2012, each of these initiatives provides the opportunity to generate significant long-term financial benefits to GAO that will help reduce our operating costs and enable us to maximize our effectiveness. For example, we have identified 31 recommendations for engagement-management improvements; some of which can be implemented quickly, while others require additional study to determine the best approach for implementation. When implemented, these recommendations will allow us to streamline and standardize our processes to achieve greater efficiency in our work without sacrificing quality, increase our responsiveness to the Congress, and deliver products to the Congress and the public more effectively and efficiently.

We are also consulting continuously with congressional committees to assure that our work is focused on their highest priorities. Additionally, we continue to work with committees to amend or repeal statutory mandates for GAO studies that have outlived their usefulness or do not represent the best use of GAO's resources given current congressional priorities.

FISCAL YEAR 2013 BUDGET REQUEST WOULD HELP RESTORE ESSENTIAL CAPACITY

Our budget request seeks to partially restore funding to allow GAO to begin a multiyear effort to rebuild our workforce by hiring to replace departing staff to enable us to optimize the benefits we yield for the Congress and the Nation, bolster staff recruitment and retention programs, such as student loan repayments and incentive awards, and replace end-of-life technology to ensure our technology is current and remains on par with other Federal agencies.

For the first time in more than 75 years, GAO's staffing level will drop to less than 3,000 in fiscal year 2012, resulting in a net reduction of 11 percent in our staff capacity in only a 2-year period. Further, we project losing an additional 190 people in fiscal year 2013 based on historical trends. We also have a significant number of retirement eligible senior executive staff (about 40 percent), supervisory analysts (25 percent), and analysts (12 percent). We depend on a talented and diverse, high-performing, knowledge-based workforce to carry out our mission to support the Congress. This reduction in staff capacity is limiting our ability to support the Congress during this critical period when the unique insights that GAO provides are an essential element of congressional analysis and decisionmaking. It is imperative that we begin to replenish our workforce to both replace departing staff and add more highly skilled talent to address succession planning challenges and skill gaps. We have been and will continue to reach out to our congressional clients to ensure they help focus our work on the highest-priority areas to obtain the maximum benefit in this resource constrained environment.

Our fiscal year 2013 budget request seeks to partially restore essential funding for staff recognition and benefits programs and critical investments eliminated or deferred due to budget constraints. Reductions in staff recognition and benefits programs jeopardize our ability to attract and retain staff when other organizations with whom we compete for human resources may offer these benefits. These tools are also essential to recognize and motivate our high-performing workforce. Moreover, all but the most critical investments in areas such as facilities and IT have been eliminated. Continued deferral of needed investments in our systems and building will ultimately diminish our productivity and effectiveness, likely lead to more costly repairs, and affect our ability to exchange data with other Federal entities.

We are also requesting authority to use $24.3 million in offsetting collections from rental income and program and financial audits. In addition, we estimate about $4.7 million will be available from reimbursements of programs and financial audits to help offset our costs.

If GAO's funding is reduced less than the requested level, additional reductions in our staffing level will be inevitable which would adversely affect our ability to produce results that can help deal with the Federal Government's fiscal challenges and provide timely, insightful analysis on congressional priorities and challenges facing the Nation. As a knowledge-based organization, about 81 percent of GAO's fiscal year 2013 budget is allocated for human capital costs—a slight increase from the previous year as a result of mandatory cost increases, the proposed increase in staffing, and deep reductions made in agency operations and infrastructure. We are extremely limited in our ability to target additional reductions in infrastructure-support costs beyond what has already been taken in order to meet the basic operations of the agency.

POSITIVE RESULTS FROM EXTERNAL ORGANIZATIONS

In regard to our internal operations, in fiscal year 2011 we received a clean opinion on our system of quality control for both our financial and performance audits from an external peer review conducted by a team of auditors from our counterparts at national audit institutions, and received an unqualified opinion on our financial statements from independent auditors. The Association of Government Accountants awarded us its Certificate of Excellence in Accountability Reporting for our Fiscal Year 2010 Performance and Accountability Report. We also received a "Best-in-Class" award for a concise, well-written, and highly readable "Summary of GAO's Performance and Financial Information" for fiscal year 2010.

GAO was also once again recognized as one of the Best Places to Work. The annual survey conducted by the Partnership for Public Service identified GAO as number three in its rankings for all large organizations across the entire Federal Government. Washingtonian magazine selected GAO as one of the best places to work in the private and public sectors in Washington, DC, in its annual rankings.

CONCLUDING REMARKS

Fiscal year 2011 was a very active and challenging time for GAO. We succeeded at performing our mission, responding to mandates, and accomplishing many of our goals while operating under budget and staffing constraints. We could not have achieved this level of performance without the outstanding efforts of our professional, diverse, and multidisciplinary staff. We also maintained our productive working relationship with the GAO Employees Organization, International Federation of Professional and Technical Engineers (IFPTE) which represents GAO's analyst staff and began implementing our first master collective bargaining agreement. On February 8, 2012, GAO's Administrative Professional and Support Staff voted in favor of having the IFPTE serve as their exclusive representative. GAO's Visual Communications Analysts and Lead Communications Analysts also voted to be included in the analysts' bargaining unit. In addition, we continue to work closely with the Employee Advisory Council and the Diversity Advisory Council on a range of issues.

Fiscal years 2012 and 2013 bring more challenges with responsibilities to further assess and report on Government programs and financial regulatory reform efforts, among many other pressing issues. Our budget request has been carefully developed to represent the level of resources we need to continue effectively serving the important needs of the Congress by providing quality products in a timely fashion and to identify high opportunity areas for both eliminating waste as well as enhancing revenue across the Federal Government.

I believe that you will find our budget request fiscally responsible and essential to ensure that we can maintain our capacity to assist the Congress and produce results for the American people. We remain committed to providing accurate, objective, nonpartisan, and constructive information to the Congress to help it conduct effective oversight and fulfill its constitutional responsibilities.

Mr. Chairman, Ranking Member Hoeven, members of the subcommittee, this concludes my prepared statement. I appreciate, as always, your careful consideration of our submission and look forward to discussing our proposal with you.

APPENDIX I: HOW THE GOVERNMENT ACCOUNTABILITY OFFICE ASSISTED THE NATION, FISCAL YEAR 2011

Goal 1: Address Current and Emerging Challenges to the Well-Being and Financial Security of the American People

Identified savings of $3.7 billion by reducing unneeded payments to Medicare Advantage plans.

Identified the need for the Department of Health and Human Services to finalize guidance on how antivirals would be used during a pandemic.

Identified opportunities for cost savings and reduced risk to the Government in a series of reports on undefinitized contracts, use of blanket purchase agreements where discounts were not sought, and cost reimbursement contracts.

Improved consistency and compatibility of healthcare associated infection data.

Led the Social Security Administration to improve oversight of its Ticket-to-Work program.

Identified opportunities to enhance investigation of online child pornography.

Recommended ways to strengthen the Federal Reserve's management of emergency assistance to stabilize financial markets.

Developed a series of assessments of emerging technologies with important implications for the Nation.

Found regulatory weaknesses in Environmental Protection Agency's water-based lead testing and treatment program.

Informed improvements in air passenger rights to compensation for mishandled baggage.

Goal 2: Respond to Changing Security Threats and the Challenges of Global Interdependence

Encouraged enhanced desktop computer security to protect sensitive information, which 22 Federal agencies implemented.

Identified progress and remaining work to implement homeland security missions at the Department of Homeland Security 10 years after 9/11.

Led the Department of Homeland Security to scale back the flawed advanced radiation detector program—avoiding costs of $1.2 billion.

Identified challenges and recommended improvements in the Department of Defense's expanding cybersecurity mission.

Surfaced potential costs and risks of contract transition during drawdown from Iraq, resulting in benefits of $77.5 million.

Led Department of Defense to restructure the Joint Strike Fighter program—Department of Defense's most costly and ambitious acquisition.

Improved monitoring and evaluation of the Departments of State and Labor and United States Agency for International Development projects to combat human trafficking.

Goal 3: Help Transform the Federal Government To Address National Challenges

Provided timely information on the debt limit and budget controls to help address the long-term fiscal challenge.

Helped eliminate the Advanced Earned Income Tax Credit, avoiding $569 million in costs.

Suggested that the Congress extend the statute of limitations for examinations involving offshore financial activity.

Recommended that Office of Management and Budget establish realistic milestones for full implementation of the infrastructure needed to best use the electronic authentication capabilities of personal identify verification cards.

Identified 227,700 tax delinquents receiving Federal benefits to explore ways to increase collection of unpaid taxes.

Found ways to incorporate required data into Centers for Medicare and Medicaid systems to better detect improper payments.

Issued updated Government auditing standards to reflect recent developments in the accountability profession.

Recommended improvements to planning and implementation of Federal data center consolidation at 24 Federal agencies.

SOURCE: GAO.

APPENDIX II: SELECTED TESTIMONY TOPICS, FISCAL YEAR 2011

Goal 1: Address Current and Emerging Challenges to the Well-Being and Financial Security of the American People

Safety of medical devices
Departments of Defense and Veterans Affairs Care Coordination Program
Department of Veterans Affairs prevention of sexual assaults
State oversight of private health insurance rates
Potential overlap and duplication in Government programs
Incapacitated adults
Federal workers' compensation
Military and veterans disability system
Oversight of Department of Defense tuition assistance program
Securities lending in 401(k) plans
Pension Benefit Guaranty Corporation management
Financial literacy
Mortgage foreclosures regulatory oversight
Oversight of residential appraisals
Troubled Asset Relief Program
Interior's major management challenges
Federal oil and gas restructuring
Improvements needed for safe drinking water
Food and agriculture emergency preparedness
Airport and Airway Trust Funds
Traffic and vehicle safety
Use of American Recovery and Reinvestment Act transportation funds
Unneeded owned and leased Federal facilities
Department of Veterans Affairs real property realignment
Needed U.S. Postal Service legislation

Goal 2: Respond to Changing Security Threats and the Challenges of Global Interdependence

Department of Homeland Security 10 years after 9/11
Electronic employment eligibility verification
Aviation security behavior detection program
Maritime security U.S. counterpiracy action plan
Cross-border currency smuggling
Assessing national preparedness capabilities
Visa overstay enforcement
Combatting nuclear smuggling
Flood insurance reform
Efforts to address terrorist safe havens
Antidumping and countervailing duties
Diplomatic security training challenges
Department of Defense space acquisitions
Missile defense transparency and accountability
Department of Defense cost overruns
Joint Strike Fighter Program restructuring
Coast Guard Deepwater Program
Army's ground force modernization
Littoral combat ship acquisition strategies
Contract oversight of non-United States vendors in Afghanistan
Addressing urgent warfighter needs
Personnel security clearance process

Goal 3: Help Transform the Federal Government To Address National Challenges

Oversight and accountability of Federal grants
Reducing improper payments
Fiscal year 2010 U.S. Government financial statements
Department of Defense financial management challenges
Medicare and Medicaid fraud, waste, and abuse
Fraud prevention in Service-disabled veteran-owned small business program
Fraud prevention in the Small Business Administration's 8(a) program
Tax delinquent American Recovery and Reinvestment Act contractors
Protecting Federal information systems
Information technology investment oversight
Department of Veterans Affairs information technology
Federal information technology spending
Unfunded Mandates Reform Act requirements
Budget enforcement mechanisms
2010 census lessons learned
Value added taxes
Tax system complexity and taxpayer compliance
Government Performance and Results Modernization Act of 2010 implementation

SOURCE: GAO.

APPENDIX III: GOVERNMENT ACCOUNTABILITY OFFICE'S 2011 HIGH-RISK LIST

Strengthening the Foundation for Efficiency and Effectiveness

Management of Federal oil and gas resources (new).
Modernizing the outdated U.S. financial regulatory system.
Restructuring the U.S. Postal Service to achieve sustainable financial viability.

Funding the Nation's surface transportation system.
Strategic human capital management.
Managing Federal real property.

Transforming Department of Defense Program Management

Department of Defense Approach to business transformation.
Department of Defense Business systems modernization.
Department of Defense Support infrastructure management.
Department of Defense Financial management.
Department of Defense Supply chain management.
Department of Defense weapon systems acquisition.

Ensuring Public Safety and Security

Implementing and transforming the Department of Homeland Security.
Establishing effective mechanisms for sharing and managing terrorism-related information to protect the Homeland.
Protecting the Federal Government's information systems and the Nation's cyber critical infrastructures.
Ensuring the effective protection of technologies critical to U.S. national security interests.
Revamping Federal oversight of food safety.
Protecting public health through enhanced oversight of medical products.

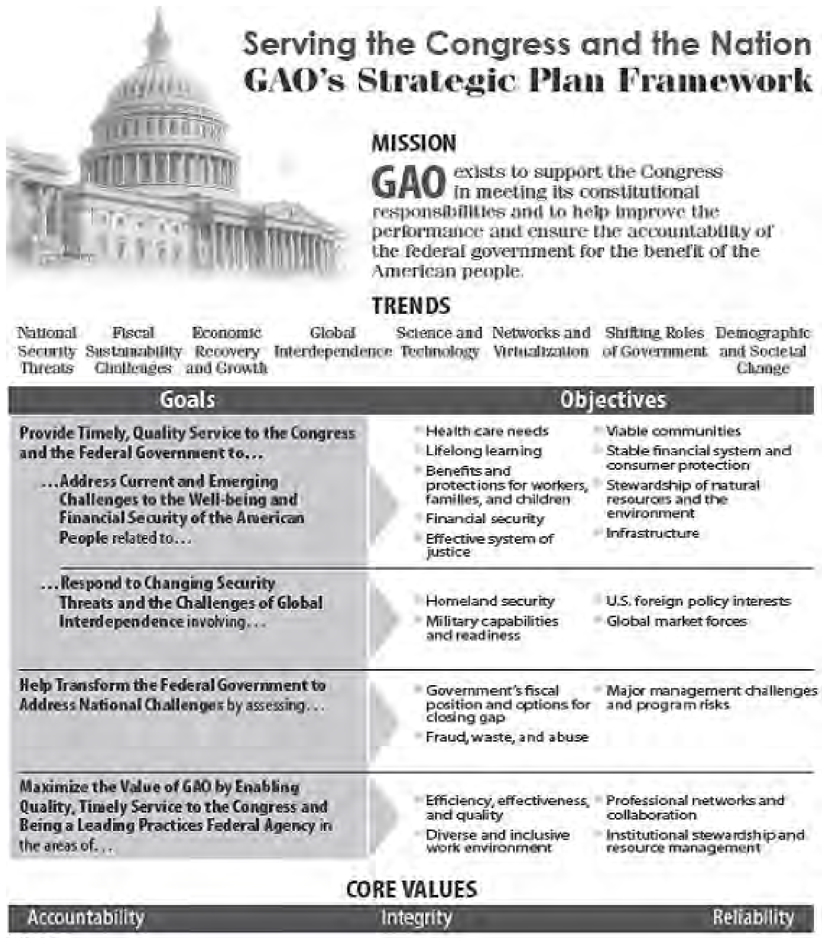
Transforming Environmental Protection Agency's Process for Assessing and Controlling Toxic Chemicals

Managing Federal contracting more effectively;
Department of Defense contract management;
Department of Energy's contract management for the National Nuclear Security Administration and Office of Environmental Management;
National Aeronautics and Space Administration acquisition management;
Management of interagency contracting;
Assessing the efficiency and effectiveness of tax law administration;
Enforcement of tax laws; and
Internal Revenue Service business systems modernization.

Modernizing and Safeguarding Insurance and Benefit Programs

Improving and modernizing Federal disability programs.
Pension Benefit Guaranty Corporation Insurance Programs.
Medicare program.
Medicaid program.
National Flood Insurance Program.

APPENDIX IV: GOVERNMENT ACCOUNTABILITY OFFICE'S STRATEGIC PLAN FRAMEWORK



Source: GAO.

Senator NELSON. Thank you, Mr. Dodaro.

And my ranking member is here, we'll certainly call on him for any opening remarks he might like to make.

STATEMENT OF SENATOR JOHN HOEVEN

Senator HOEVEN. Thank you, Mr. Chairman. Good to be here with you. I apologize for being late. We did have a couple votes on the floor that delayed things a little bit.

But thanks to all of you for being here today. More importantly, thank you for what you do. We appreciate it. You do an outstanding job, not only for the Senators, but for the people of this great country. And so I want to start out by saying thank you, we appreciate it.

As you know very well, we're in challenging times from a budgetary standpoint, and so it's incumbent on all of us to figure out how we reduce the deficit and the debt and get our financial situation in order.

And I bring my experience as a Governor, as does our chairman, and I know he probably had an opportunity to cut budgets, and I certainly did, too, particularly early in my career. And I remember there are two kinds of schools of thought.

One school of thought is everybody should take a proportional reduction. And the strength of that is that everybody is helping share the load, so there's a certain fairness from that standpoint.

And then, of course, the other kind of general concept is some programs you have to prioritize, and some programs merit more resources, and some programs merit less resources, and some programs should be eliminated. And that, obviously, has real merit in that you maximize the use of your resources by prioritizing.

And I think that goes very much to a lot of what you do, certainly at GAO and CBO, for example, you deal with that very issue, and it's very important.

My sense is we have to do some of both; All of us are going to have to and I don't mean just here in Washington, DC; I mean throughout our country. We have to all be a part of solving this problem, and so we have to share the load in that respect.

But then, at the same time, we have to do the very best job that we can prioritizing, times change, needs change, and programs change.

So for us to do the best possible job here, we have to both make sure everybody understands that they have to participate, they have to be part of picking up the load here. That's very important.

And then the other part is we have to recognize that there is a prioritization that we have to do that's important, and then we have to do the best job we can on that.

So the number that we're going to have to make work for the legislative branch is not a number that the chairman and I will decide. Certainly, we'll have input. The chairman might even have more than I do. But we'll have a number that we're going to have make work.

And it's my sense that for the legislative branch, the number that came to us in the administration's budget with an increase of 5.4 percent, we're going to have to make things work at less.

And so I guess the main message I'd start with is, we know you put a lot of thought and a lot of effort into this. We're still going to have to go through it and continue to evaluate and prioritize as best we can, and then find more savings, recognizing that that's just where we are in terms of our financial situation.

Now, with that said, you're the experts. And speaking for myself, and I think probably the chairman, too, we're going to look to you to tell us how to best do this. And we're going to work with you to do the best job we can.

Senator HOEVEN. Thank you.

Senator NELSON. Thank you, Senator Hoeven.

And I thought the "W.H." over with the administration stood for "White House." It stands for "white hat", offering 5.4 percent. Does that mean that we now have a different kind of hat to wear here?

And the thing in Washington about shared sacrifice is, every time it's discussed, it seems to me, that somebody wants your share and for you to sacrifice. That's shared sacrifice. And they're ready to sacrifice until your last dime.

So, anyway, we'll work together to get a budget so that we can continue to function at the level it needs to be and do it in, hopefully, the smartest way possible, because of the outstanding input that you've given us thus far. And I know there'll be additional input as we try to work through this.

So having said that, Ms. Vance-Cooks.

GOVERNMENT PRINTING OFFICE

STATEMENT OF DAVITA VANCE-COOKS, ACTING PUBLIC PRINTER

Ms. VANCE-COOKS. Chairman Nelson, Senator Hoeven, good afternoon, and thank you for inviting me here today to discuss the GPO's appropriation request for fiscal year 2013.

In the interest of time, as you have asked, I will briefly cover three points: first, our flat-line budget request; second, our emphasis on cost savings; and third, our commitment to technological improvements, all of which benefit the Congress and the American public.

First, our flat-line budget request. The mission of GPO is to keep America informed. Over the past 151 years, GPO has accomplished this mission by producing and distributing information products for all three branches of the Federal Government. GPO's request for fiscal year 2013 is for a total of $126.2 million. This is the same level of funding that we have for the current fiscal year.

As a result of a projected decrease in traditional printing, and in response to rapidly changing technological processes, we are proposing to shift a portion of our funds away from conventional printing and distribution activities toward an increased investment in technological improvements.

This strategy reflects our commitment to keep America informed by continuing to transform ourselves into a digital information platform and a provider of secure credentials.

We are reducing our request for the Congressional Printing and Binding appropriation by 8 percent, which is equivalent to $7.1 million. We are also requesting a small reduction in our Salaries and Expense appropriation. We want to take these reductions and apply them to our revolving fund, where they will be used to support the continued development of our information technology (IT) infrastructure, including our Federal Digital System (FDSys), which provides the public with online access to congressional and other information.

We are also requesting funds for necessary maintenance and repairs to our facilities, principally our fire suppression system and the ongoing work to renovate our elevators, both of which pose health and safety risks.

Point number two: GPO is, in fact, reducing the cost of operations. To generate cost savings, we conducted a buyout last year that resulted in the reduction of 250 positions. And with the additional reductions as a result of just general separations, we have reduced our workforce by 15 percent.

This is the lowest staffing level in the past century. Our organization has right-sized, and we are fortunate to have dedicated and committed employees who are willing to work around the clock to support the needs of the Congress.

We've cut back on overhead significantly, and we're reducing those costs to our fiscal year 2008 level.

We conducted the first-ever survey of congressional offices on their printing needs, and it resulted in cutting hundreds of copies of the Congressional Record and other documents which are printed daily.

We're even renting available space in our building to those agencies that need it, which helps us to reduce our costs.

Third is the issue of technology. GPO is meeting the challenges of the digital age by using technology in innovative ways to accomplish our mission of "Keeping America Informed", and it supports openness and transparency.

FDSys makes available more than 668,000 titles. We also see 13.1 million documents downloaded each month. And we have established ourselves as a leader in the authentication of electronic documents by using our digital signature capability.

We are the trusted provider of secure credentials for the Government, and we have entered the world of e-books and apps. We have a longstanding relationship with the Department of State in producing e-passports.

PREPARED STATEMENT

In conclusion, our flat-line budget request, our emphasis on cost savings, and our commitment to technological improvements are important factors in helping GPO to do more with less.

Chairman Nelson and Senator Hoeven, this concludes my opening remarks and I will be happy to answer any questions you have. Thank you.

[The statement follows:]

PREPARED STATEMENT OF DAVITA VANCE-COOKS

Mr. Chairman, Senator Hoeven, and members of the Senate Subcommittee on Legislative Branch appropriations: It is an honor to be here today to present the appropriations request of the Government Printing Office (GPO) for fiscal year 2013.

Our request is for the Congressional Printing and Binding appropriation and the Salaries and Expenses appropriation of the Superintendent of Documents, both of which are included in the annual legislative branch appropriations bill. These two accounts cover GPO's provision of congressional information products and services as authorized by law and our provision of public access to congressional and other Government information products through statutorily established information dissemination programs under the Superintendent of Documents.

All other GPO functions and activities—including the production of U.S. passports for the State Department as well as secure credentials for congressional and agency use, the procurement of information products and services in partnership with the private sector, the sales of Government information products and services to the public, and related operations—are financed on a reimbursable basis through GPO's business-like revolving fund, which also is authorized through the annual legislative branch appropriations bill.

BACKGROUND

GPO is the Federal Government's primary centralized resource for producing, procuring, cataloging, indexing, authenticating, disseminating, and preserving the official information products of the U.S. Government in digital and tangible forms. The agency is responsible for the production and distribution of information products for all three branches of the Federal Government, including U.S. passports for the Department of State as well as the official publications of the Congress, the White House and other Federal agencies, and the courts.

Along with sales of publications in digital and tangible formats to the public, GPO supports openness and transparency in Government by providing permanent public access to Federal Government information at no charge through our Federal Digital System (www.fdsys.gov), which today makes more 680,000 Federal titles available online from both GPO's servers and links to servers in other agencies, and sees more than 13.1 million documents downloaded every month. We also provide public access to Government information through partnerships with approximately 1,220 libraries nationwide participating in the Federal Depository Library Program. In addition to GPO's Web site, www.gpo.gov, we communicate with the public routinely via Twitter—twitter.com/USGPO; YouTube—http://www.youtube.com/user/gpoprinter; and Facebook—http://www.facebook.com/USGPO.

GPO first opened its doors for business 151 years ago, on March 4, 1861, the same day Abraham Lincoln was inaugurated as the 16th President. Our mission can be traced to the requirement in Article I, section 5 of the Constitution that "each House shall keep a journal of its proceedings and from time to time publish the same." We have produced every great American state paper—and an uncounted number of other Government publications—since President Lincoln's time, including the Emancipation Proclamation. Social Security cards, Medicare and Medicaid information, Census forms, tax forms, citizenship forms, military histories ranging from the "Official Records of the War of the Rebellion" to the latest accounts of our forces in Iraq and Afghanistan, emergency documents like the ration cards and the "Buy Bonds" posters used during World War II, the Warren Commission Report on President Kennedy's assassination, the Watergate transcripts, the 9/11 Commission Report, Presidential Inaugural addresses, Supreme Court opinions, and the great acts of the Congress that have shaped our society—all these as well as millions of other documents from the historic to the humble have been produced by GPO on their way to use by the Congress, Federal agencies, and the public. Last year, we opened a public exhibit on GPO's history that has received extremely positive reviews. I invite all of you and your staffs to come by for a visit.

For the Clerk of the House, the Secretary of the Senate, and the committees of the House and the Senate, we produce the documents and publications required by the legislative and oversight processes of the Congress, including the daily Congressional Record, bills, reports, legislative calendars, hearings, committee prints, and other documents, as well as stationery, franked envelopes, and other materials such as memorials and condolence books, programs and invitations, phone books, and the other products needed to conduct business of the Congress. We also detail expert staff to support the information product requirements of House and Senate committees and congressional offices such as the House and Senate Offices of Legislative Counsel.

GOVERNMENT PRINTING OFFICE AND DIGITAL INFORMATION TECHNOLOGIES

GPO's present and future are clearly being defined by digital technology, and digital technology itself has radically changed the way printing is performed today. This is especially true where the information products used by the House and Senate are concerned. GPO's conversion to digital databases for the composition of congressional publications occurred more than a generation ago. Today, the activities associated with creating congressional information databases comprise the vast majority of the work funded by our annual congressional printing and binding appropriation.

In addition to using these databases to produce printed products as required by the Congress, we upload them to the Internet via FDSys. Since we first went online with congressional information in 1994, we have provided the Congress and the public with the definitive source not only of legislative, but executive and judicial information online.

Our creation of digital databases of congressional information from which we can print and provide online public access has dramatically increased productivity and dramatically reduced costs to the taxpayer. As our budget submission shows, our digital production systems have reduced the level of the congressional printing and binding appropriation by more than two-thirds in constant dollar terms since 1980 while expanding our information capabilities exponentially.

GPO's congressional database systems also form the basic building blocks of other information systems supporting the Congress. Our congressional information databases are provided directly to the Library of Congress (LOC) to support its THOMAS system as well as the legislative information systems LOC makes available to House and Senate offices. GPO and LOC are also collaborating today on the digitization of previously printed documents, such as the Congressional Record, to make them more broadly available to the Congress and the public, and we are jointly developing a new process for updating the digital edition of the Constitution Annotated.

GPO's digital systems also support other key Federal publications, including the U.S. budget and, most importantly, the Federal Register and associated products, which we also produce. Our advanced authentication systems, supported by public key infrastructure, are an essential component for assuring the digital security of congressional and agency documents.

The other major products that GPO produces are U.S. passports for the Department of State, the premier component of our secure and intelligent documents business unit. At one time no more than a conventionally printed document, passports today incorporate a chip and antenna array capable of carrying biometric identification data, which with other security features has transformed this document into the most secure identification credential obtainable. We have also developed a line of secure identification "smart cards" to support the credential requirements of the Department of Homeland Security for certain border crossing documents, and our secure credential unit has been certified as the only government-to-government provider of credentials meeting the requirements of Homeland Security Presidential Directive 12 (HSPD–12).

GOVERNMENT PRINTING OFFICE IN PARTNERSHIP WITH INDUSTRY

Other than congressional and inherently governmental work such as the Federal Register, the budget, and secure and intelligent documents, we produce virtually all other information product requirements via contracts through a partnership with the private sector printing industry. In fact, our procurement operation handles approximately 75 percent of all work sent to GPO for production, currently amounting to $350 to $400 million annually. This system is one of the Government's longest running and most successful programs of utilizing the private sector, which is represented by more than 16,000 individual firms registered to do business with us, the vast majority of whom are small businesses averaging 20 employees per firm. Contracts are awarded on a purely competitive basis; there are no set-asides or preferences in contracting other than what is specified in law and regulation, including a requirement for Buy American. This partnership provides great economic opportunity for the private sector.

GOVERNMENT PRINTING OFFICE AND OPEN, TRANSPARENT GOVERNMENT

Producing and distributing the official publications of our Government fulfills an informing role originally envisioned by the Founders, when James Madison said:

"A popular Government without popular information, or the means of acquiring it, is but a Prologue to a Farce or a Tragedy, or perhaps both. Knowledge will forever govern ignorance, and a people who mean to be their own Governors, must arm themselves with the power which knowledge gives."

A key mechanism for this purpose is the Federal Depository Library program (FDLP), which today serves millions of Americans through a network of some 1,220 public, academic, law, and other libraries located in virtually every Congressional District across the Nation. For more than a century, these libraries have served as critical links between "We the People" and the information provided by the Federal Government. GPO provides the libraries with information products in online or tangible formats, and the libraries in turn make these available to the public at no charge and provide additional help and assistance to depository library users. One of the other programs we operate is in fulfillment of an international treaty. Under it, we distribute certain Federal publications to other governments abroad as designated by the LOC. In return, they send the LOC their official publications, which the Library then makes available for the use of the Congress and the public.

Along with these programs, we also provide public access to the wealth of official Federal information through public sales featuring secure ordering through an online bookstore for GPO sales publications and a partnership with the private sector to offer Federal publications as e-Books. We also operate effective and efficient information distribution programs for other Federal agencies on a reimbursable basis, including the General Services Administration (GSA) Consumer Information Center publications.

As for the results of fiscal year 2011, I am pleased to report that GPO's business-like operations and its record of savings for the taxpayer resulted in the generation of $5.6 million in net income for the year. As former Public Printer Bill Boarman noted in his annual report to the Congress, however, the achievement of this positive financial result was not foreordained. Instead, the financial condition of the agency earlier in the year and the fiscal realities of 2011 presented GPO with a number of serious challenges. Overhead costs had increased significantly in recent years and were projected to increase further, threatening our financial stability.

There was also a longstanding problem of nearly $30 million in unrecovered payments owed to GPO by Federal agencies.

In response, we worked closely with this subcommittee and its counterpart in the House to resolve GPO's funding for fiscal year 2011 at a level that was significantly lower than what was originally requested. We cut our annual spending plan for fiscal year 2011 as previously submitted to the Joint Committee on Printing by 15 percent. We held the line on salary increases consistent with the pay freeze ordered by the President, reduced the number of senior-level managers, and implemented controls on hiring, travel, overtime, and related discretionary accounts. Together these actions resulted in a significant reduction in overhead expenses. To address the problem of outstanding payments from Federal agencies, we created a multi-disciplinary task force, an effort that by yearend reduced the balance of outstanding payments by more than one-third.

To help the Congress reduce its printing costs, during fiscal year 2011 we conducted the first-ever survey of Senate and House offices on their continued need for daily printed copies of the Congressional Record and other documents. The survey resulted in an 18-percent reduction in the number of Congressional Record copies printed, the largest single-year reduction since GPO first introduced the online Congressional Record in 1994 (not counting the House's elimination of copies for public agencies and institutions designated by Representatives in 1995, the average annual reduction in the number of Congressional Record copies printed since 1994 has been 4 percent).

During fiscal year 2011, we also conducted a voluntary separation incentive program, or buyout, to reduce staffing in anticipation of lower appropriations and other revenue sources. The buyout targeted a reduction of 15 percent of the workforce and, in combination with other staffing reductions, we achieved 95 percent of that goal, reducing GPO's workforce by 312 positions to 1,920, the lowest level in more than a century.

Another cost-saving initiative has involved discussions with outside agencies over their potential use of available GPO space, which could significantly reduce our facilities expense, as recommended by this subcommittee in its report on our fiscal year 2012 appropriations. We now have an agreement with the Architect of the Capitol to expand its use of our space, and we are in discussions with other entities over their use of GPO space.

While we worked to reduce costs in fiscal year 2011, we also made a commitment to do more with less. We developed and released a Strategic Vision Plan that emphasizes customer service. The focus of the plan has begun to take hold as shown by the results of a recent survey of GPO's customer agencies. We gained the approval of the Joint Committee on Printing for an annual spending plan for fiscal year 2012 that will yield new efficiencies in GPO's services while reducing costs by 6.4 percent compared with last year's plan. We continued the development of FDSys as the Congress and Federal agencies move increasingly to the use of digital information products, and we added several new collections last year. At the request of the National Archives and Records Administration (NARA), we also used FDSys to support public access to the previously unreleased grand jury proceedings involving President Nixon, and recently we supported NARA again in releasing the audio tapes made on Air Force One as it returned to Washington following the assassination of President Kennedy.

We started a Facebook page for GPO, implemented a new pilot project to make Federal court opinions freely available online to the public, and expanded our partnership with Google Books to include Federal consumer-oriented information made available by the GSA as well as the first volume of the "Public Papers of President Obama". In November we released a mobile web application of our online "Member Guide", the first of its kind by GPO, providing the public with access on a variety of devices to photos and other information about Members of Congress, and in January we supported the Library of Congress in its development of a new Congressional Record app for the iPad, as requested by the Committee on House Administration. Recently, we issued a mobile web application for the U.S. budget, which received more than 77,000 hits in its first few days of use.

In summary, GPO's program of reducing costs while continuing to expand GPO's critically important information services to the Senate and House of Representatives, as well as Federal agencies and the public, is working and showing real and measurable benefits, and we plan to continue following this path.

FISCAL YEAR 2013 APPROPRIATIONS REQUEST

We are requesting a total of $126.2 million for fiscal year 2013 that will enable us to: meet projected requirements for GPO's congressional printing and binding operations during fiscal year 2013; fund the operation of GPO's statutory information dissemination programs; and continue the development of FDSys and implement other improvements to facilities infrastructure related to health and safety.

Our request represents no increase over the level of funding provided for fiscal year 2012 in Public Law 112–74. Within our flat funding request, we are proposing to shift approximately $7.3 million from the congressional printing and binding and salaries and expenses appropriations to the revolving fund in order to expand our investments in digital information technology projects, including projects supporting increased online access to congressional and other Federal information, modernization of GPO's composition processes supporting congressional work, and related initiatives.

CONGRESSIONAL PRINTING AND BINDING APPROPRIATION

We are requesting $83.6 million for this account, representing a decrease of about $7 million from the level of funding provided for fiscal year 2012.

The estimated requirements for fiscal year 2013 include a marginal price level increase due to projected increases in printing costs. However, this increase is more than offset by projected decreases in volume due principally to anticipated workload reductions for the Congressional Record, miscellaneous printing and services (this workload category increased in fiscal year 2012 in part due to Inaugural printing requirements), calendars, hearings, and bills, resolutions, and amendments. These workload decreases will also offset the production of the 2012 edition of the U.S. Code, which by law is issued in a new edition every 6 years.

SALARIES AND EXPENSES APPROPRIATION OF THE SUPERINTENDENT OF DOCUMENTS

We are requesting $34.7 million for this account, a decrease of about $300,000 from the level approved for fiscal year 2012.

The requested funding will cover mandatory merit and other pay increases for 114 FTEs, the same number as fiscal year 2012, as well as price level increases. The most notable workload increase will be for the production and distribution of copies of the U.S. Code for Federal depository libraries, since this is considered an essential FDLP publication. However these costs will be more than offset by a significant reduction in facilities and overhead costs formerly billed to this account resulting from the relocation of our depository distribution function from the main GPO buildings in Washington to our Laurel, Maryland, warehouse, as well as a reduction of other nonrecurring costs (including the FDLP's migration and modernization of legacy systems which was funded in fiscal year 2012), which will no longer be required to be funded in fiscal year 2013.

REVOLVING FUND

We are requesting appropriations of $7.8 million for this account, to remain available until expended, to fund essential investments in information technology development and facilities improvements. Our request represents an increase of $7.3 million over the level of funding provided for this account for fiscal year 2012.

The request includes $7.3 million for information technology development, including $3.9 million to continue developing FDSys, $1.5 million each for GPO's Composition System Replacement and Oracle business system projects, and $400,000 for information technology (IT) security improvements. These IT projects include components that will have a direct impact on the provision of digital information production and dissemination services for the Congress, such as the development of a composition system to replace GPO's aging Microcomp-based system, improved support for congressional publications ingested into FDSys, and digitization of the bound Congressional Record, a project that GPO is working on in partnership with LOC. In addition, we are requesting $500,000 for life/safety improvements for our buildings that include continued elevator repairs and renovation and new fire pumps.

Mr. Chairman, Senator Hoeven, and members of the subcommittee, this concludes my prepared statement. We deeply appreciate your support of our appropriations request for fiscal year 2012, and we look forward to working with you and your staffs in your consideration of our appropriations request for fiscal year 2013.

Senator NELSON. Thank you very much.

Dr. Elmendorf.

CONGRESSIONAL BUDGET OFFICE

STATEMENT OF DOUGLAS W. ELMENDORF, Ph.D., DIRECTOR

Dr. ELMENDORF. Thank you, Mr. Chairman, Senator Hoeven. I appreciate the opportunity to present CBO's budget request for 2013.

As you know, our mission is to provide the Congress with objective, impartial, and nonpartisan analysis of budget and economic issues. In fulfilling that mission, we rely on a highly dedicated and highly skilled workforce. As a result, more than 90 percent of our budget is compensation for our staff.

So the contours of our budget and staffing level are closely linked. Let me describe our budget request and its implications for our work. I'll be referring to the picture in front of you, which comes out of our budget request document.

Our proposed budget for fiscal year 2013, the far right bar on the graph, is $44.6 million. In light of the tight budget constraints facing the Government, this request represents an increase of only 1.9 percent, or $850,000 from the amount provided in fiscal year 2012, and an increase of only 1.2 percent, or $555,000, from the regular appropriation provided in fiscal year 2009.

As you know, congressional demand for CBO's estimates and analysis has been extremely high during the past few years. In particular, the surge in Federal debt and projected deficits has led to ongoing congressional efforts to make fundamental changes in budget policy, which has strained our resources in a number of areas.

We provided a tremendous number of estimates during the debate over appropriations for fiscal year 2011 that extended into the spring of last year, during the bipartisan negotiations last spring and summer about larger changes in policy linked to an increase in the debt limit, during the work of the Joint Select Committee on Deficit Reduction last fall, and during debates about many other possible changes in law.

Given the daunting outlook for the U.S. economy and the Federal Government's budget, we have no reason to expect that the Congress' interest in analyses from CBO will wane for the foreseeable future.

Despite that heavy workload, our funding for fiscal year 2012, as you know, is less than the amounts provided in the preceding few years. To reduce expenses, we have significantly curtailed salary increases and sharply cut spending on IT, data, training, and other areas. We've also stopped most hiring of new staff to replace people who leave.

As I mentioned, our requested funding for next year is only slightly more than was provided for this year and little more than was obligated 4 years ago. To operate the agency at that level of funding would require a combination of minimal increases in salaries; very limited spending on IT, data, training, and other things; and a reduction in the number of CBO analysts relative to the past few years.

Regarding the nonpay parts of our budget, we propose to spend only about one-half as much in fiscal year 2013 as we spent on average in the past few years. We would not be able to sustain such low spending through fiscal year 2014 without compromising the quality of our work in an important way.

Regarding the pay parts of our budget, we propose to cut staffing in fiscal year 2013 to about 235 people. I'm sorry to have to say that the reduction in staffing relative to levels we've had in the past few years would have a negative impact on the analysis we can provide to the Congress. Fewer analysts will mean fewer estimates and analyses of budget and economic policies.

As you know, we've already been unable to analyze many proposals that are sent to us, unable to serve committees as quickly as they or we would like, and unable to improve our modeling as much as we should. Reductions in our staffing would make those problems worse.

CBO is a fairly small organization relative to the scope of the topics on which we work. With only 235 people to cover the full range of budget and economic issues, and with most of those issues requiring a good deal of specialized knowledge, cuts in our staffing can leave noticeable weak spots very quickly.

For example, 1 of our 3 lawyers just retired and we cannot afford to hire another at this point. That represents a one-third drop in our legal staff. One of the four analysts who studied the macroeconomic effects of changes in taxes and Government spending will be leaving this summer. We're not sure if we can afford to replace her. And if not, that will represent a one-fourth reduction in our capability to do analysis in that area.

And there are other examples of this sort. And I am frankly worried that the consequences of cutbacks in our staffing will quickly become all too apparent to you and your colleagues.

PREPARED STATEMENT

That said, we certainly understand the restraints under which the Appropriations Committee is operating. We are very grateful for the support that you've always given to our work, and we will continue to make every effort to serve you and your colleagues as effectively as we possibly can with whatever resources you give us.

Thank you.

[The statement follows:]

PREPARED STATEMENT OF DOUGLAS W. ELMENDORF, PH.D.

Mr. Chairman, Senator Hoeven, and members of the subcommittee, thank you for the opportunity to present the Congressional Budget Office's (CBO) budget request for fiscal year 2013.

CBO's mission is to provide the Congress with objective, impartial, and nonpartisan analyses of budget and economic issues, including the information and cost estimates needed for the congressional budget process. In fulfilling that mission, CBO depends on a highly skilled workforce. About 92 percent of CBO's budget represents compensation for the agency's staff; another 5 percent is for information technology (IT) equipment and services; and the remainder is for data, training, office supplies, and other items. As a result, the contours of CBO's budget and the staffing levels of the agency have been and will continue to be closely linked.

CBO's proposed budget for fiscal year 2013 is $44.6 million. In light of the budget constraints facing the Federal Government, this request represents an increase of only 1.9 percent ($850,000) from the $43.8 million provided to CBO in fiscal year 2012 and an increase of only 1.2 percent ($555,000) from the regular appropriation of $44.1 million provided to CBO in fiscal year 2009.

Operating the agency in fiscal year 2013 with only slightly more funding than was provided for this fiscal year and little more than was obligated 4 years earlier would be possible only through a further reduction in the number of CBO analysts; minimal increases in salaries; and sharp cutbacks in spending on IT, data, training, and other items. Although CBO will continue to make every effort to serve the Congress as effectively as possible, the changes that would be required under the proposed budget would unavoidably diminish the number of estimates and analyses of budget and economic policies that CBO was able to provide.

FUNDING HISTORY

Between fiscal year 2001 and fiscal year 2008, the number of full-time equivalent positions (FTEs) at CBO averaged 230 FTE, and the number varied little from year to year. During that period, CBO's budget rose slowly, on balance, as Federal employees received salary increases and the cost of Federal benefits increased.

In 2008, CBO became concerned that it did not have sufficient resources to analyze policy changes regarding the delivery and financing of healthcare that were emerging as a critical issue in the Congress. In addition, the agency was delivering an increasing number of testimonies and formal cost estimates, providing a rapidly growing volume of informal estimates, and engaging in more frequent communications with Hill staff on a wide range of topics, so shifting a significant number of staff positions from other areas to the health area did not seem feasible.

Accordingly, CBO proposed to the Congress a multiyear plan to boost the size of the agency to nearly 260 FTEs, an increase of a little more than 10 percent. The Congress approved the first leg of that proposed increase in CBO's budget for fiscal year 2009. Analyses of competing healthcare proposals absorbed a huge share of CBO's resources, and the financial crisis and severe recession led to a jump in congressional requests for analyses, budget projections, and cost estimates in many other areas. Consequently, the Congress approved a 2-year supplemental appropriation for CBO during 2009 and also approved an increase in the agency's regular appropriation for fiscal year 2010. Making use of that additional funding, CBO averaged about 250 FTEs during 2010 (see Figure 1).

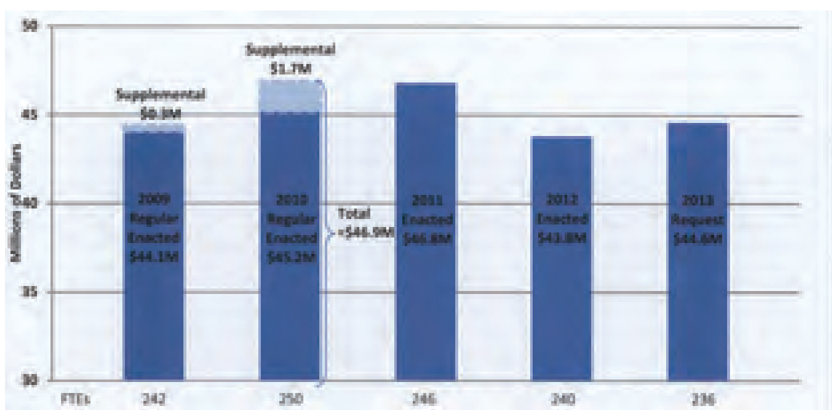


FIGURE 1. CBO'S FUNDING AND STAFFING FOR FISCAL YEARS 2009 THROUGH 2013

Congressional demand for CBO's estimates and other analysis has remained extremely high in the past few years. The enactment of major healthcare legislation in 2010 has increased, rather than diminished, the number of other proposals for changes in Federal healthcare programs, and it has made CBO's analysis of such proposals much more complex. In addition, the depth and duration of the economic downturn have generated significant demand for analyses of the effects of both enacted and proposed responses to those economic conditions. Moreover, the surge in Federal debt and projected deficits has led to ongoing congressional efforts to enact fundamental changes in budget policy, which have strained CBO's resources in many areas. CBO provided a tremendous number of estimates during the debate over appropriations for fiscal year 2011 that extended into the spring of the year, the bipartisan negotiations last spring and summer about larger changes in policies linked to an increase in the debt limit, the work of the Joint Select Committee on Deficit Reduction last fall, and the continuing debate about extending various provisions of law through the rest of 2012.

Despite that heavy workload, CBO's appropriation for fiscal year 2011 was less than the total funding available to the agency in fiscal year 2010, and its funding for fiscal year 2012 is less than the amount provided in fiscal year 2011. To reduce expenses in fiscal year 2012, CBO has significantly curtailed salary increases and sharply cut spending on IT, data, training, and other items. Given the large share of the agency's budget devoted to compensation, however, those changes do not, by themselves, reduce spending sufficiently. Therefore, CBO has also stopped most hiring of new staff to replace those who leave, and attrition has reduced the number of FTEs at the agency to about 242 currently; by the end of this fiscal year, CBO aims to be operating with 237 FTEs (generating an average for this year of 240 FTEs).

SOME DETAILS OF THE CONGRESSIONAL BUDGET OFFICE'S FISCAL YEAR 2013 BUDGET REQUEST

CBO expects that congressional demand for the agency's estimates and other analyses will remain high in fiscal year 2013. The agency's mission of providing nonpartisan budgetary and economic information to the Congress will remain the same. Fulfilling that mission will require providing reports on the budget and economic outlook, an analysis of the President's budget, long-term budget projections, options for reducing budget deficits, cost estimates, mandate statements, and scorekeeping tabulations. Fulfilling the agency's mission will also require providing in-depth analyses of a broad range of program and policy issues requested by committees.

The specific issues that the Congress will be addressing in 2013 are difficult to predict, but CBO's analyses are likely to include work on healthcare, policies for increasing economic growth and employment, energy policy, tax reform, reform of entitlement programs, infrastructure, defense policy, the Government's role in financial markets, and a wide variety of budget policy options. Altogether, CBO anticipates a workload of:

—Roughly 525 formal cost estimates, most of which will include not only estimates of Federal costs but also assessments of the cost of mandates imposed on State, local, and tribal governments or the private sector;

—Thousands of preliminary, informal cost estimates, the demand for which is growing as committees seek to have a clearer picture of the budgetary impact of proposals and variants of proposals before they formally consider legislation;

—Roughly 200 scorekeeping tabulations, including status reports for discretionary appropriations, estimates for individual appropriation acts, and compilations of direct spending and revenue effects for budget enforcement purposes; and

—About 130 analytical reports, testimonies, and other publications, which are generally required by law or prepared in response to requests from the chairmen and ranking members of key committees.

The demand for CBO's analyses currently exceeds, by a substantial margin, what the agency can produce with its current staff. Unfortunately, CBO is unable to analyze many legislative proposals that are sent by Members of Congress, unable to promptly complete in-depth analyses of many issues that are requested by committees, and unable to improve its modeling as much as would be desirable to capture the many channels through which proposals can affect the Federal budget, the economy, and the well-being of citizens. Further reductions in the size of CBO's staff would make those problems worse.

Nonetheless, recognizing the stringency of the Federal budget situation, CBO proposes to cut back to about 235 FTEs by the end of fiscal year 2013, about 6 percent fewer than the average staffing in 2010. That cut (which would give CBO an average for the year of 236 FTEs) would have several key consequences:

—First, a reduction to that staffing level by next year could probably be achieved by attrition, but that is not certain. If CBO does not experience sufficient attrition, then reaching that staffing level could require furloughs or layoffs—this year, next year, or both.

—Second, to have 235 FTEs by the end of next year would mean that most of the increase in CBO staffing set in motion in 2008 would be reversed. Yet the increase in demands on CBO related to analyzing healthcare costs and the burgeoning Federal debt has not been reversed.

—Third, because losses through attrition will undoubtedly not line up well with the places where the agency can most afford to lose resources, CBO may have some noticeable weak spots in its capabilities during the next few years.

In addition, CBO is not planning any across-the-board increase in salaries for employees in calendar year 2013, matching what it did in calendar year 2011 and is doing in calendar year 2012. The agency is also reducing further the size of performance-based pay raises it gives to employees who are not eligible for across-the-board increases.

CBO also proposes stark cuts in nonpay areas of its budget in fiscal year 2013. Relative to CBO's average outlays in fiscal years 2009 through 2011, IT spending next year would be about 40 percent less, spending on training would be one-third smaller, purchases of data would be reduced by more than 15 percent, and spending for other purposes would be cut significantly as well.

CBO's request supports the following:

—$31 million for pay of personnel compensation;

—$10.3 million for personnel benefits; and

—$3.3 million for IT, data, services, equipment, training, and other items.

The severe limits on salary increases and spending in the nonpay areas of the budget that CBO is proposing for fiscal year 2013 cannot be sustained through fiscal year 2014 without significantly sacrificing the quality of the CBO staff and the tools with which they work. Consequently, unless a larger increase in funding is made available to CBO in fiscal year 2014, the agency expects that it will implement further cutbacks in staffing that year and be forced to limit further the support that it provides to the Congress.

In closing, I would like to thank the subcommittee for the support it has provided CBO, enabling the agency to carry out its responsibilities to provide budgetary and economic information to the Congress.

Senator NELSON. Thank you.

Shall we do a 5-minute round?

Senator HOEVEN. Sure.

Senator NELSON. Mr. Dodaro, GAO, along with the other agencies of the legislative branch, I think have all done a remarkable job this year of finding a way to do more with less. And I don't think a single Member of this body has complained about any diminished quality in your work. I know you're very much concerned about delays and not being able to meet all the obligations, but if there is any complaining going on, it would have come to us. Perhaps it is going to Senator Schumer, since he's facing the responsibility of getting more done with less within the Senate. But I'm just not hearing things, so I think you've done an outstanding job of meeting the obligations, both as to the quality, the quantity, the timeliness of your work, and holding down the budget. So we do appreciate that.

GAO, like the LOC and GPO, participated in the VSIP program and the buyout program as a means of reducing costs. Neither the LOC nor GPO is asking to restore the FTE levels that diminished as a result of the program. But in your request, you ask for $31.3 million in order to hire 305 permanent staff during fiscal year 2013. Doesn't that in some way defeat the purpose of the early buyout?

Mr. DODARO. I don't think so, Senator. If you recall, when we did the buyout, we asked people to leave by the end of fiscal year 2011. At that point, we didn't really know what our budget was going to be. It wasn't until December last year that we knew what our budget would be. Before then there was a range of marks between the House and the Senate.

I was really concerned that we would have to lay off additional people and that we would have to furlough people, which would have affected our service to the Congress. So I was very much focused on maximizing our ability to provide quality services to the Congress, and in my view, that was a prudent decision to make.

Now, that being said, many of those people would have been retiring anyway at some point in the next year or two. My request is to build the workforce for the future. I think we're going to be in this fiscal situation for an extended period of time, and we need to replenish our workforce and bring in additional staff. As I was saying, I use the analogy of a college football coach not having any sophomores or freshmen coming in and all the seniors are beginning to retire. You're looking at the juniors and you're saying, "You better keep working really hard in order to provide those services."

I appreciate your comment about the quality of our work. We will never sacrifice quality at the GAO. It's too important to the decisionmaking in the Congress to do that. And so my request is to begin restoring that.

Our funding was reduced 2 percent from fiscal year 2010 to fiscal year 2011, and then 6 percent from fiscal year 2011 to fiscal year 2012. As Ranking Member Senator Hoeven mentioned, I think, we've done our part.

With our request, we would still be 5 percent less than the fiscal year 2010 level. I'm not asking for a lot. I think it's a prudent and wise investment for the future.

Senator NELSON. Now, LOC also, as I said, participated in that VSIP program. And they've indicated they're undertaking a "rightsizing review" before asking for additional staff in the future. In connection with trying to decide to replace your seniors with freshmen and sophomores, have you undertaken any particular review of those current staffing levels as you think about what your future needs are as well?

CONTINUING CONGRESSIONAL DEMAND FOR GOVERNMENT ACCOUNTABILITY OFFICE SERVICES

Mr. DODARO. Basically, that all starts from what the demand is from the Congress in terms of the requests for services. As I mentioned, I've been meeting with the chair and ranking members of every standing committee of the Congress to make sure that we identify the priority needs.

In recent times, we've been given additional responsibilities to audit, for example, the Federal Reserve and all their emergency lending facilities. We've also been given the responsibility to audit the new Consumer Financial Protection Bureau. We continue to receive more than 900 requests a year from the Congress for our services.

I believe that right now we can't meet all the demands from the Congress in a timely fashion. In order to meet the highest-priority needs of the Congress, in my judgement we need a staffing level of 3,250 people. We're not there yet, but we have been there, and I think at that time we were meeting those needs in a timely manner.

We have a workforce profile that we think matches the highest-priority needs of the Congress. We don't have a set production kind of issue that some of the other legislative branch agencies do. We get requests in every week, and they might relate to an emergency external situation or natural disaster that we have to respond to.

We have to be flexible since our workload is ever-changing. I think at the requested level, we're right-sized to meet the demands of the Congress both now and in the future. We have a strategic plan that looks out 5 years that we've vetted with the Congress in terms of changes in the environment and what we think are going to be the critical issues confronting the Congress and the Nation. We need to be prepared to meet those needs.

Senator NELSON. Thank you.

Senator Hoeven.

Senator HOEVEN. Thank you, Mr. Chairman.

I have a couple of questions. First would be, you were required to do zero-based budgeting and to go through that zero-based budgeting process. Did you find it helpful? And just describe whether you thought it was of value and if it helped you identify any savings.

REDUCING COSTS THROUGH ZERO-BASED BUDGET REVIEW

Mr. DODARO. Yes, we went through the zero-based approach, and we did find it helpful in reducing costs in our administrative areas.

As I mentioned in my opening statement, we've eliminated IT investments that were no longer necessary to meet our needs. We deferred a number of investments.

But we were able to identify particular areas where we had contractor support in the administrative areas, Senator, and so we were able to reduce our contractor administrative support quite a bit. We reduced our security guard services, for example.

We went through our budget line item by line item, and that exercise identified a number of areas for potential savings.

We also worked with our union and got ideas from them, and we posted an open Web site for any GAO employee who had cost-savings opportunities to make suggestions. You know, we're good at analyzing other people, so we tried to use that talent to help us. We received more than 600 suggestions from our employees.

We closed our library completely, and now we're reusing that space to free up other space so that we can rent and bring in additional revenue.

So the basic answer to your question is it was a good exercise. We found it helpful. It helped us identify savings. I think it was good.

IMPACT OF A HOLD-EVEN BUDGET

Senator HOEVEN. If you were given a hold-even budget, how would you go about meeting that? What changes would you make?

Mr. DODARO. I'm sorry, Senator, I didn't hear the first——

Senator HOEVEN. If you were given a hold-even budget, if we came back to you and said that you had to hold even, you had——

Mr. DODARO. Oh, hold even. Okay.

Senator HOEVEN [continuing]. The exact same level for funding for fiscal year 2013 as for fiscal year 2012, how would you go about achieving that?

Mr. DODARO. What I would do is to reduce our planned hiring to achieve savings through the attrition. In other words, we'd probably cut planned hiring in half.

We'd end up going down in an even level budget. Our staffing level would go down a little bit during the year.

We also would reduce some of the incentive programs that we have, such as the student loan reimbursement program. We think that's a very good program for retention purposes. We've had it in place several years. Last year, we were unable to afford it—but, I'd like to restore it in part.

Our plan was to restore it, but I'd restore it at a lower level if we were held flat. Then we'd look for other efficiencies to be gained.

That's how I'd do it at the hold-even level. Basically we'd be able to continue to keep most of our workforce replenished, but not as much as we'd like. We'd end the year at a lower staffing level.

As I was mentioning in my opening statement, we're at our lowest staffing level since 1935. I think if we add additional resources, there will be more returns to the Congress based on our recommendations, which could help the Congress find areas that they can cut or revenue enhancements.

We've got a great track record, and I think that investment in GAO provides good returns.

Senator HOEVEN. You were given additional work because of Troubled Asset Relief Program (TARP), and that should've subsided to some extent. Just comment on that, in terms of whether you've been able to find some cost savings because of the work that you're no longer having to do associated with TARP.

TROUBLED ASSET RELIEF PROGRAM

Mr. DODARO. Yes. The TARP law requires us to report every 60 days, and we've continued to do that. We've reduced our work in that area from more than $5 million to less than $2 million in our budget for next year, which is reimbursed by the Department of the Treasury. As we reduce TARP-related work, the staff is available to work on other mandates and requests.

There are several things that are continuing. One is the financial audit of the TARP financial statements.

Second, the law requires us to be engaged until every dollar is repaid or recouped under the bank and investment programs, so until the investments in AIG and General Motors are divested by the Department of the Treasury, for example.

Third, the Home Affordable Modification program has been extended to 2013. That's where they're trying to provide assistance to people in housing. The outlays continue under the TARP program in that area.

There are also 370 banks in the capital purchase program that haven't repaid their TARP money yet. We just issued a report most recently on those banks. They're not making their dividend interest payments according to the program, so the Government is at risk of not getting all of its money back from those banks. Most of the large banks have repaid, as you know, but the smaller banks haven't.

There's still activity under the TARP program. We've downsized our work as the TARP program has been downsized. We also received reimbursement for that TARP work from the Treasury Department, since the law that created TARP came outside of the normal appropriation cycle.

Senator HOEVEN. Of the total outlay from TARP, how much of that has been returned?

Mr. DODARO. I can provide that for the record.

Senator HOEVEN. Very good. Thank you.

Mr. DODARO. Sure.

LEGISLATIVE BRANCH OPPORTUNITIES FOR COST SAVINGS

Senator NELSON. Thank you.

As you know, the subcommittee is hoping to realize some cost savings and overall efficiencies by converting all of the legislative branch agencies' financial management systems under a single entity, the LOC.

The U.S. Capitol Police have successfully did this and has achieved significant cost savings as a result. We'll hear about that in the next hearing.

I'm asking you a question now, in your role as GAO, do you think that a way we can gain additional savings is by having, for example, the Architect of the Capitol convert to the LOC's financial management system?

Mr. DODARO. We were asked to look into that issue a few years ago, and as I recall, we felt it was feasible to be able to do that, but there really needed to be additional work done to make sure that it was going be in the best interest of the Congress. There needed to be a cost-benefit study done, and the requirements completely outlined to be able to do that.

I think there's an ability to cross-service. We outsource a lot of our financial management operations to the National Finance Center, for example. The Department of Transportation does some of our processing, as well. We don't try to do it all ourselves, and we go to those other service providers.

There's no reason it can't happen, but I would say it needs careful study before implementation.

Senator NELSON. But you're not aware of any study, current or recent, at least?

Mr. DODARO. I don't believe so, Senator. I mean, I'll go back and check and provide something for the record, if we have one.

Now, feasible and actually making it happen are two different things.

Senator NELSON. I understand that.

Mr. DODARO. I've seen enough financial system failures across the Government to know that it needs to be very carefully planned and managed.

If there's something we could do to provide assistance in that area, I'd be happy to do that. But, we don't have current study on that.

Senator NELSON. Have you thought about other areas where there may be some cost savings associated with the sharing of management programs and other similar programs?

Mr. DODARO. Within the legislative branch?

Senator NELSON. Within the legislative branch, yes.

Mr. DODARO. To be honest, Senator, we've been so focused on driving our own costs down, I haven't thought about how we could do that. I think it's fruitful to do that. I will give that some thought and provide additional information to you about it.

Senator NELSON. We want to use your good expertise in every way that we possibly can and at the same time, insist that you drive your costs down.

Mr. DODARO. Right. We're doing well on ourselves, and we'll try to help elsewhere.

IMPACT OF A FLAT-LINE BUDGET

Senator NELSON. I understand.

I think Senator Hoeven did raise the question, what would you do if you were looking at a freeze, a flat-line budget? And without forecasting where things are going, it might be a good idea if you look internally to see what positions you will need based on your discussions with the chairmen of the different standing committees, in order to try to get an idea of what requests are going to be coming your way and a prioritization.

I think that's always good to have, just in case. I'm not predicting that; I'm not suggesting that's what's going to happen. But advanced preparation probably would be well-advised.

Mr. DODARO. Right.

We're always thinking about how to allocate the resources to the different teams to support the committees. We do that on an ongoing basis.

We're big believers of contingency planning, and so we'll be prepared to do that.

If we go less than the hold-even level, we'll have to either furlough staff or do some reductions in force.

Senator NELSON. Well, we understand that, and we appreciate what you've done to this point and know that you're committed to making certain that the services to the Congress continue.

Thank you so much.

Any further questions? Would you like to lead off with general printing, if you have some questions?

ZERO-BASED BUDGETING

Senator HOEVEN. Certainly can, Mr. Chairman.

My first question, Ms. Vance-Cooks, would be the same question I asked Mr. Dodaro: If you would go through your zero-based budgeting process; what you thought of it; whether you identified savings; and whether it was useful?

Ms. VANCE-COOKS. Thank you.

The zero-based budgeting process was actually applied to the Salaries and Expense appropriation. And through that, we determined that we would see some savings in moving our depository library distribution platform from our headquarters to our Laurel warehouse.

This resulted in almost $250,000 to $260,000 in savings, because the space rental is much cheaper there.

Then when we looked at our Congressional Printing and Binding appropriation, we determined that it would be best to reduce it because we saw that, through the trends, printing is declining. It is decreasing.

But because of the fact that printing is declining, we realized that at the same time there needs to be a balance, because of digital technology. Print on paper, the actual ink on paper, is declining. But at the same time, people expect us to have online digital technology, because everything pretty much is now turning online.

Because of that, we realized that we needed to make sure that we invest in the future for our technological improvements. GPO's FDSys, as I mentioned earlier, is huge. It is an online system. It is free to the public.

But in order for us to keep pace with technology, we must have our infrastructure strengthened, and that's where we decided to put our request in terms of a zero-based budget.

NEED FOR THE GOVERNMENT PRINTING OFFICE

Senator HOEVEN. If you would compare and identify savings that we realize by using GPO versus basically just saying to each of the Members and the Senators, "Okay, here's a budget. You take care of your own printing. Find it where you can." and trying to outsource or utilize other services, rather than through GPO.

In other words, what I'm looking for is, why are we saving money doing it the way we do it?

Ms. VANCE-COOKS. That's a great question, Senator, and one that we're always asked.

The question is, if all that congressional and Federal agency information is out there on the Internet, why do we have GPO? Well, Sir, the quick answer is that we're the ones who put all that information on the Internet to begin with. We're the ones who create the digital files that are put up online. Through those digital files, organizations like LOC pull that data or can use the files we send to them so that they can build THOMAS.

Where conventional printing is concerned, it is much cheaper for us to print the documents than to download them and print them off of a laser printer.

Let me give you an example using the Congressional Record. The Congressional Record, say, on the average, might have 150 pages. We know that when we look at the cost, 70 percent of the cost of printing that Congressional Record is related to the prepress activities.

Prepress simply means that we're taking all of those files, we're taking the information whatever way it comes to us, whether it's through paper or whether it's just in a digital file, we're the ones who assemble it. We're the ones who collate it. We're the ones who proof it. We paginate it. We reproof it to make sure it is correct.

Once it's correct, it can then either go online or it can be printed.

The additional 20 percent of that cost is principally for make-ready work, or setting up the press and the binding line. Then an additional 5 percent, Sir, is what is paid for the incremental cost of paper. We have determined through a lot of studies that if we print it, when it comes off the press after that very first very first page, it only cost 1.3 cents a page.

But we also know, from a study that was conducted by Lexmark, that the minimum cost for printing from an office laser printer is almost 7 cents a page.

So with the example that I just gave, when we print the Congressional Record, in this case, the cost would be less than $2. But if you printed it from a printer in one of your offices, it could be more than $10.

So that's why we need GPO. Not to mention the fact that we work 24/7. We're in session when you are. When you leave the chamber, when the lights go out at night, we're still working, so that when you come back the next morning, that Congressional Record is online or it's in paper form, so that you can carry out the work of the legislative process. We print all of your congressional products. You need to have one source for all of that.

And then, last, we're the ones that provide authentication for that information. You can get it anywhere off the Web if you want. But if you want to make sure that the information used in the legislative process is authentic, it needs to from the GPO, because it will have the digital seal of approval on the left-hand side of that page, which indicates, through the chain of custody, we took care of it and it has not been tampered with.

REDUCTION IN CONGRESSIONAL PRINTING

Senator HOEVEN. Mr. Chairman, I do have a couple other questions. Would you like to go?

Senator NELSON. No, go ahead.

Senator HOEVEN. Okay.

Are we printing things that we should not be or that we don't need to be printing?

Ms. VANCE-COOKS. We asked that question last year when we issued our congressional survey. We started in May, and we actually sent the survey to all of the Member offices, where we asked them if they wanted to have the same number of copies of the Congressional Record, the Congressional Record Index, the Federal Register, and the Federal Register Index delivered to them. It was our way of being proactive and asking if the Congress needs all of the printed copies they were getting. As a result of that survey, we had an 18-percent reduction in the printed copies of the Congressional Record delivered to the Congress, the largest single annual reduction since we first put the Congressional Record online in 1994.

So the short answer to your question, Sir, is that we are continually working with the Congress to determine whether or not you need those particular copies or whether or not you need those particular products.

Senator HOEVEN. Has GAO ever done an evaluation of whether or not we're printing things that we don't need to print and whether or not we could disseminate the same amount of information as effectively at lower costs without printing some of these reports?

Ms. VANCE-COOKS. Yes, Sir. We have had multiple studies by GAO. We've had studies by the Congressional Research Service (CRS). In fact, we are now in the process of having a study conducted by the National Academy of Public Administration through CRS to talk about just the very thing you're describing. Our introductory meeting was last week.

And we have always had, through all of these studies, the same conclusion, which is that our business model is sound. It is effective. It is efficient. And it is cost saving.

POTENTIAL FOR ADDITIONAL SAVINGS

Senator HOEVEN. Good for you. I think it's important that you continue to assess it, because technology changes, and what you're doing has to evolve with it. And so, I think it should be something ongoing. I'm glad to hear that you're doing that.

Ms. VANCE-COOKS. Thank you.

Senator HOEVEN. I'm going to ask you the same question I'm going to ask each one of you: If we have to find further savings, where would you go? Do you have to go to cutting staff? Would you go to equipment? Where would you go to find savings if you have to do that?

Ms. VANCE-COOKS. If we have to do this, and of course you know I'm doing the agony thing, but if we have to do it, it would come from the funds we're requesting for capital investment, which is in our revolving fund.

The funds we're requesting for capital investments include two parts. One is for IT improvements and second would be for improvements to our building.

IT investments are is very important for us in terms of FDSys, because we must make sure that everything is online and that it is online quickly and that it is accurate. We recognize that we have a number of IT infrastructure issues that must be addressed.

Over the past few years, because of the delay in funding or not having enough funding, we've had to delay some of those projects. And because of the fact that we want to make sure that we're keeping pace with technology, that will suffer.

On the other side, in terms of the facilities, our building is aging. We do need a new fire suppression system, and we do need to renovate our elevators. I am very concerned about those two issues, because of the fact that they pose health and safety issues.

Senator HOEVEN. Thank you.

Ms. VANCE-COOKS. Thank you.

Oh, one other thing, Sir. I just received a note. I want to make sure to tell you that we only print what the Congress asks us.

Senator HOEVEN. I was pretty sure of that.

Ms. VANCE-COOKS. But I wanted to make sure that I gave it to you.

Senator HOEVEN. I was looking for ideas on maybe where we can go back to the Congress and say, "You don't need to print that."

Ms. VANCE-COOKS. That's right.

Senator NELSON. Thank you.

FEWER FULL-TIME EQUIVALENTS AT THE GOVERNMENT PRINTING OFFICE

In your estimate, it's by the end of fiscal year 2013, you'll have 250 fewer FTEs than you were operating with in fiscal year 2011. Is this a temporary reduction? Or is this a 1-year reduction, and next year you will be coming back asking for 100 to replace the 250 that you are down right now? Just trying to figure out what the trend line is on staffing that you're looking at.

Ms. VANCE-COOKS. Thank you. Actually, we're already there. We've lost 250 people through the buyout, and we lost another 65 through regular separations. So we're down about 312 positions.

We think that we will probably stay around that level. And the reason is because we're changing the skill level of the employees. Any selective hiring that we might do to replace some of the open positions are more along the lines of being technical.

Then on top of that, we are asking and making sure that we try to introduce as much technology as possible to take the place of employees. So I think that will be around the same.

Senator NELSON. Well, it's obvious that you're an agency in transition, and will continue to be in transition for some period of time. I commend the fact that you're making adjustments with that in mind.

You're stuck with paper at the present time. You'll be stuck with it for a long time. But you're also meeting your requirements on the technological side. That's important.

And I note that you said when our lights go off, your lights are still on. I have a feeling that Mr. Dodaro and Dr. Elmendorf still have their lights on, maybe even a little later into the night as well, with all the requests we keep asking for. I'm sure they feel the same way.

Well, thank you very much.

I will go to CBO for a second here with my time.

I want to commend you and your staff, Dr. Elmendorf, as well, in producing your budget request. I know it's a great pain, with all the requests that you're getting, and also recognizing that the spike in budgeting for salary and FTEs back a couple of years ago was temporary, and that you've taken the initiative to reduce staffing accordingly at the present time.

For tax analysis, for example, it may be one of the areas of increased congressional requests coming forward. With your reduced staffing, are you in a position where you think you have the right staff to deal with the tax issues that are likely to come up in this next year? Maybe not action, but a lot of talk about it, which means there'll be a lot of questions that will be thrown your way.

STAFFING

Dr. ELMENDORF. So, Mr. Chairman, we'll do the best we can with the staffing we have. But I would be much more comfortable about our capacity to meet the congressional demands if we were back at the staffing we had a few years ago. I mean, we do recognize, given the current appropriations discussions in the Congress, that we're not going back to that level of funding. But the demands have not really eased up. The demands weren't temporary.

So we're trying to make sure that we are allocating our staff in the areas of greatest congressional interest. The point that Senator Hoeven made about the importance of setting priorities, of deciding what really has to happen, is one that we're going through very intensively.

So we hope through that process to meet the highest-priority congressional demands. But as you know from your own experience with us, Senator, we can't get to anybody's requests as quickly as they would like and as quickly as they deserve, given the nature of the budget and economic problems that the country faces.

Senator NELSON. Without saying anything negative about any of our colleagues, some of them may have unusual expectations about how fast things get turned around under the best of circumstances. And only you are the ones that have to tell them that their requests and expectations are unusual. Neither of us have to do that. So I recognize that challenge.

Now, I think you've also spoken to our colleagues and committee chairs about what they're expecting to try to assess the demand that you're going to face not only currently, but in the future. Has that been helpful in trying to establish some level of priority on the kind of demands you're going to get?

Dr. ELMENDORF. I think it certainly has been helpful. We tried to stay in close contact with all the committees with whom we do work.

Of course, the members of the subcommittee and their staff can't exactly foresee what will come ahead either. But the conversations have been very helpful. What I fear is that when we have conversations with individual committees about their needs and our staffing constraints, I fear that they mostly believe that the shortfall in staffing will come out of somebody else's requests, not theirs. And we keep trying to say that there'll have to be some reduction in what we can do for the wide range of committees and for the leadership in the House and the Senate, as well.

So we're sending that message, I think, pretty clearly. And we're learning from these conversations what it is that the committees want us most to do. But that doesn't, as you know, it doesn't eliminate the tensions.

INFOMATION TECHNOLOGY REQUIREMENTS

Senator NELSON. I noticed in the budget that you are going to IT replacement, and that you proposed to fund IT expenditures at around 40 percent less than in the current year. In the budget proposals for the past several years, you've also had reductions in IT development and in support. What steps have you taken in the past to reduce those IT costs? What additional steps are you probably looking at right now to continue to reduce those costs, because, obviously, there has to be some give for that reduction to be in your budget?

Dr. ELMENDORF. Right. So we were able, in the preceding few years, to replace a fair amount of our IT equipment. We put in a new network at CBO and other important upgrades.

Senator NELSON. You were getting faster results, as I recall.

Dr. ELMENDORF. And in fact, we actually, literally, went out and bought some faster computers to turn around certain estimates more quickly.

What we're doing right now really is just not replacing things. And that's okay for a little while, but isn't okay on a sustained basis.

The same issue is true in our purchases of data. One cannot buy a year's worth of data or maybe 2 years' worth of data. But eventually we'll be giving you analysis that, if we proceed on that course indefinitely, give you analysis based on outdated information—we can't let that happen.

So what we think we're going to continue to do is to restrain our staffing levels to bring down staffing, because we can't end up in a situation where we have people without the support they need to do their jobs effectively.

NONPAY REDUCTIONS

Senator NELSON. Are you at the brink of deferral efficiency right now? In other words, can you keep deferring? Or have you reached the maximum level of deferrals, where from this point forward, it will adversely impact your ability to respond back?

Dr. ELMENDORF. So, I think any further reductions in our nonpay spending relative to what we have requested for next year would seriously affect our ability to provide the analysis that you need. And I think, moreover, even the level we're proposing in fiscal year 2013, we can't do again in fiscal year 2014.

And as we think about our purchase of data and IT equipment, and think about our staffing very crucially, we're looking not just at what you and your colleagues would do in fiscal year 2013, but where that will go in fiscal year 2014.

And I think in fiscal year 2014, we will need to spend more on these nonpay areas. As you know, they're only about 7 percent in our budget for next year. And that will have to go up in dollar terms in fiscal year 2014 in order to provide the support that people need. And what that means is that, unless our budget goes up in fiscal year 2014, then our staffing will go down further.

Senator NELSON. Senator Hoeven.

Senator HOEVEN. Thank you, Mr. Chairman.

Mr. Elmendorf, so if you have to find additional savings, you would go where? The IT budget? Is that what you're saying?

STAFFING REDUCTION

Dr. ELMENDORF. No. So if you held our budget flat in fiscal year 2013, with the level in fiscal year 2012, we would reduce staffing further——

Senator HOEVEN. Staffing?

Dr. ELMENDORF [continuing]. Than we proposed in the budget, because I think the nonpay complements have been squeezed as far as they can be squeezed in order to have the staff that we do have being effective at their jobs.

Senator HOEVEN. So if you had to reduce funding further, it would be a staff reduction?

Dr. ELMENDORF. It would be staffing. So if you held the budget flat rather than the 2-percent increase we're asking for, that would mean about five fewer FTEs for the year as a whole. Because we're starting at a level more than what we would be aiming for an average over the year, we would need to finish the year with fewer FTEs. So if you held the budget flat, we might aim to finish next year with about 225 FTEs rather than 235 FTEs.

IMPACT ON SERVICES

Senator HOEVEN. Okay, and then talk about the impact that would have on the services you provide.

Dr. ELMENDORF. So if you look at particular areas, and again there are a lot of areas we're asked to cover with fairly specialized expertise in different ones, so we have, for example, three analysts who work on agricultural issues. And they work around the clock, especially last fall when the Appropriations Committee was—when the Agricultural Committees were looking for ways to reduce the costs of agricultural programs.

Senator HOEVEN. I remember.

Dr. ELMENDORF. But if one of those people left or retired, we wouldn't, I think, replace him. And then we'd have two analysts in an area rather than three.

We have a significant team of people working on national security issues. The budget consequences of different national security choices seems to me as prominent a concern of the Congress today as it has been. But if our staffing goes down, we will have to reduce the number of people we have working on doing estimates of the budgetary consequences of different national security choices.

One of the areas that we are protecting as we think about different levels, and we are working very hard at how we would structure the allocation of people for different levels of total staffing, one area that I think we'll protect in that process is people working on health programs, because that is an area where the interest of the Congress really has surged over the past few years and has not abated.

Although a large piece of legislation was enacted, as you know, the congressional interest in either reversing that action or in building upon it is extremely high. Partly because of that law, the work we do in an area is now even more complicated than ever. So that's an area where we need to maintain the staffing that we have, even if our total staffing is cut back.

But that means, then, more severe cuts to a whole set of areas in which CBO has traditionally and continues to play a very important role in serving the Congress.

Senator HOEVEN. So it would translate into longer timelines to respond to requests for CBO scoring, studies, and so forth? Primarily, what the Congress would see, is a longer timeline in terms of getting that work done?

Dr. ELMENDORF. Longer timeline, and I think I would say fewer variations. So I think in many cases, the timelines are fairly fixed by the congressional process. But what would happen is that we'd be able to do less work with committees, in particular, as they are preparing legislation for markup in committee.

So, we do about 600 formal cost estimates a year. This is the estimate we prepare after committees have reported out legislation. But we do thousands of informal estimates as committees are discussing what legislation to send out of committee.

And those are often variations on different themes; and we would have to do fewer of those. In the case of the studies that we write and other analyses that do not have fixed timing, then, yes, we would just stretch out the scheduling. And it would take longer to get answers from us.

CONGRESSIONAL ASSISTANCE

Senator HOEVEN. Is there something the Congress could do that you think would be beneficial in terms of assisting you in what you do and how you do it to make it more efficient, more cost-effective? Probably in your case, because you're primarily people, more time-effective? And so, is there something in how we do this and how we request scoring that you think that you would recommend?

Dr. ELMENDORF. Well, so as we say when we talk to committees, more advanced warning for us of what issues are coming up and what alternative policies are being considered helps us do a more effective job. And I think most of the committees understand that and try to give us as much of a head start as they can.

I think beyond that the part of what makes our job hard is that the Congress tries to enact policies of different sorts, but does not, and then comes back around again later and tries one more time. So in the course of last year's discussions about fundamental changes in fiscal policy, we did an unbelievable amount of work that never saw the light of day and never made it into a formal cost-estimate, because legislation never really came to committees or to the floor of the Senate or the House for much of the work that we did.

So part of what takes time for us is that the Congress is wrestling with these issues. But that involves a certain amount of going back to policies we've estimated before and estimate them again with slight changes or against a new set of baseline economic and technical assumptions.

So if there were a more linear path for the Congress to get to the legislation it ultimately would enact, that would help us. But I don't think that's—that's not an operational suggestion. I think these are hard issues, of course. That's why the Congress is wrestling with them; and I don't have a lot of operational ideas on how to reduce that workload.

Again, I think we feel very bad when we have to say no, we can't look at this alternative policy that somebody has in mind, because it's a good thing for the Congress to be considering alternatives and to be trying to tackle the budget and economic issues that we face. So I can't suggest that you ask fewer questions.

And what worries me is our ability to provide the kinds of accurate and timely answers that you need.

WORK PROCESS

Senator HOEVEN. There's the process of what you do and there's the substance of what you do. You're talking about improving the process. That is something you have to evaluate all the time. I understand very well the point you're making.

It's a good one. A lot of this work doesn't necessarily translate into policy, yet it's the information people need to have in order to make decisions about what might be effective policy.

Substantively, I'm looking to see if there's any recommendations. I understand that that's a function of the Congress and the type of information they want, and how they want that provided, in a sense. But you being on the inside looking at how this machine works, seeing what your output is, do you have any recommendations on the substance of what you do? Where do we have you spending a lot of time but maybe not creating a lot of illumination?

I'm just looking for any of those kinds of recommendations.

Dr. ELMENDORF. So I think, in some cases, Senator, there is a request for us to look at more variations on different policies than reveal new information to the Congress. So sometimes variations reveal important aspects of how the world works or how Government policy can affect the world. Other times, I think, those variations don't reveal interesting information about how the world works or how Government policy can matter.

And I think sometimes when we're asked to do a lot of work on specific aspects of policies, that sometimes that goes beyond the point of diminishing returns.

But it is difficult—but that's a concern that I have, and I can have it after the fact. It's much harder to know when one begins a process, what variations will be interesting and informative and what won't be.

And it's not our place to tell the Congress what policies it should be exploring. So it's very difficult for us to try to guide that sort of process as it unfolds.

And even if after the fact it turns out that we went down some roads that weren't very helpful, it's much harder for us to know that or to say that at the beginning of the road.

Senator HOEVEN. Okay. I'm just looking for any recommendations you have that might enable you to do your job more cost and time effectively. Certainly, we would want you to bring those forward.

I think, de facto, some of the things you're talking about, arguably, sort themselves out on a resource basis.

In other words, if you have fewer people, you will do fewer scenarios, because you will have no choice. And I think that's what you're saying. I understand that.

Dr. ELMENDORF. Yes.

Senator HOEVEN. So those areas you do, do, that's what I'm saying, we want to be as efficacious as possible.

Dr. ELMENDORF. Yes, and I think that's right. And we do try, when we can foresee the consequences, we do try to advise committee staff that we should not look at this path, because this will look just like the other one. They should have us look over here. And when we can see that coming, we do try to do that.

But again, you should understand, very rarely do I get phone calls from the chairmen or ranking members of committees saying, well, you showed me too many options.

Senator HOEVEN. No, I understand.

Dr. ELMENDORF. And I get a lot of phone calls.

Senator HOEVEN. Yes, I absolutely understand that part.

And it should be. I mean, people have the right to ask for the information if they want certain information. I understand that perfectly. Just we're making sure that if there are ways for your team to work more effectively, and we can help there, we do it, because, de facto, you and I both know there's going to be a limit on how many people you're going to have, and that's going to limit the service that you can provide.

Dr. ELMENDORF. Yes. I understand.

Senator HOEVEN. Thank you.

No further questions, Mr. Chairman.

ADDITIONAL COMMITTEE QUESTION

Senator NELSON. Thank you, Senator Hoeven.

And I want to thank the witnesses and encourage Dr. Elmendorf to continue to work toward the illumination of the Congress.

Dr. ELMENDORF. We will, Mr. Chairman. Thank you.

[The following question was not asked at the hearing, but was submitted to the Office for response subsequent to the hearing:]

QUESTION SUBMITTED TO GENE L. DODARO

QUESTION SUBMITTED BY SENATOR JOHN HOEVEN

Question. Of the total outlay for the Troubled Asset Relief Program (TARP), how much of that has been returned?"

Answer. As reported in the Federal Government's financial statements, as of September 30, 2011, TARP had disbursed a total of $413.4 billion and $316.1 billion had been returned including $276.9 billion in repayments and $39.2 billion in income from dividends, interest, and warrants. Since that time, the Department of the Treasury has provided updated information. As of April 4, 2012, TARP had disbursed a total of $414.56 billion and $333.5 billion had been returned including $392.64 billion in repayments and $40.86 in income from dividends, interest, and warrants.

SUBCOMMITTEE RECESS

Senator NELSON. The subcommittee will stand in recess until 2:30 p.m. on March 22, 2012, when we will meet in this room to take testimony on the fiscal year 2013 budget request of the Secretary of the Senate, the Senate Sergeant at Arms, and the United States Capitol Police.

We stand recessed. Thank you.

[Whereupon, at 3:50 p.m., Thursday, March 15, the subcommittee recessed, to reconvene at 2:30 p.m., Thursday, March 22.]

LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 2013

THURSDAY, MARCH 22, 2012

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

The subcommittee met at 2:33 p.m., in room SD–124, Dirksen Senate Office Building, Hon. Ben Nelson (chairman) presiding.

Present: Senators Nelson and Hoeven.

U.S. SENATE

OFFICE OF THE SECRETARY

STATEMENT OF NANCY ERICKSON, SECRETARY OF THE SENATE

OPENING STATEMENT OF SENATOR BEN NELSON

Senator NELSON. The subcommittee will come to order.

Good afternoon, everyone, and welcome. My colleague and friend, the Ranking Member, Senator Hoeven, is on his way. He should be here shortly, and when he arrives, we will ask him to make any opening comments that he would like to make.

We welcome today, to take the testimony for the fiscal year 2013 budget request for the Secretary of the Senate, the Senate Sergeant at Arms, and the U.S. Capitol Police.

This is our final hearing for fiscal year 2013, and I would like to thank everyone for being here. I would like to thank Nancy Erickson, the Secretary of the Senate; Terrance W. Gainer, the Senate Sergeant at Arms (SAA); and Phillip D. Morse, Sr., the Chief of the United States Capitol Police (USCP).

This is our last hearing of the year for fiscal year 2013 budgets for the agencies of the legislative branch. In the near future, my ranking member and I, along with our colleagues, will begin making those tough funding decisions.

And I want to thank everyone today, particularly the witnesses and everyone else who has testified thus far before this subcommittee.

The testimony has been vital and will continue to be vital in helping us prioritize everybody's priorities. That is what the process is all about. Lean budgets do not mean that employees are not doing their job. It simply means that we are in tough economic times, and we have to ask our employees to do more with less.

The dedication and hard work of all of your staffs under these circumstances is commendable, and we mean that.

The Senate is a very demanding place to work, whether it is behind-the-scenes requirements that allow both Senate floor and the committees to proceed to operate smoothly, or maintaining the infrastructure that allows our staffs to do their jobs efficiently, or ensuring the safety of everyone who enters the Capitol Grounds against the daily threats and those who visit the Capitol Grounds, as well.

We're grateful to all of the men and women who keep the Senate operating flawlessly, except for the floor, and the Capitol a safe place to work and to visit every day.

Ms. Erickson, we are pleased to have you here this afternoon, and I look forward to your testimony. For fiscal year 2013, your office is requesting a total of $30.1 million, which is the same level of funding recently provided to your office in fiscal year 2012. You are requesting $4.2 million for the Senate Information Services (SIS) program, which was transferred to your office from the SAA in fiscal year 2011.

I look forward to hearing more about the specifics of your budget request, and how you are clearly doing more with less, because, obviously, that is what you are doing.

I also look forward to receiving an update on the progress of the new Senate payroll system.

Mr. Gainer, first I want to commend you for your handling of the recent mail threats. It was a matter of grave concern for all who work here and who visit here. We have come a long way since the anthrax attack, and your diligence in keeping our staffs who handle the mail safe is greatly appreciated by all of our colleagues across the entire Senate.

SAA's requests for fiscal year 2013 total $205 million, an increase of $1.7 million more than the fiscal year 2012 enacted level. I look forward to hearing your priorities, given the tight budget that you submitted.

Finally, Chief Morse, your fiscal year 2012 request totals $373.8 million, which is an increase of $34 million, or 10 percent more than the fiscal year 2012 enacted level.

Clearly, we're going to need to look carefully at the request, given how tight the budgets are going to be and continue to be in fiscal year 2013.

In particular, we will be reviewing your request for overtime, given that it is a 15-percent increase when you include your overtime costs that are in the Architect of the Capitol's (AOC) budget.

Further, your request for a total increase of $5.1 million in overtime is in addition to your request to increase your total number of sworn officers by 17. I look forward to receiving an update on the radio modernization project, as well.

In anticipation that Senator Hoeven will be here shortly, perhaps we can go ahead and begin with the witnesses. As always, we try to hold the statements to about 5 minutes, but it is not a hard-and-fast rule. It is just sort of a guideline.

With that in mind, Ms. Erickson, the floor is yours.

SUMMARY STATEMENT OF NANCY ERICKSON

Ms. ERICKSON. Chairman Nelson, I appreciate this opportunity to provide testimony on behalf of the Office of the Secretary. I ask that my statement, which includes our department reports, be included in the record.

In 1789, the first Secretary of the Senate, Samuel Otis, was tasked with legislative, financial, and administrative responsibilities that remain the hallmark of our organization today. While Otis founded the office, Secretary Asbury Dickins, who served from 1836 until 1861, was credited with stabilizing the office with a staff of six people.

After hearing Senator complaints about staff disorganization, Dickins prepared a manual of job descriptions and instructed his staff that their hours of business would be 9 a.m. until 3 p.m., until such later hour as the Senate may remain in session, and that it would be expected of a gentleman of the office to be ready at all times.

Today, I have the good fortune to be surrounded by a strong, but lean organization of men and women with institutional and subject expertise, who are always ready to serve the Senate, no matter the time of day. They are the people who support the legislative process, including the first female Senate parliamentarian; the people who process your office vouchers, I might add 23-percent faster than last year; the people who ensure our public Web site, www.senate.gov, is updated with the latest legislative and educational information; the people who counsel members and senior staff on employment laws, process staff security clearances, respond to staff research requests, implement the lobbying disclosure laws, and educate our Senate pages.

I recognize that you have asked our legislative branch agencies to lead by example again. Our budget request for fiscal year 2013 is $30,101,459. The salary budget represents an increase of $91,000 more than fiscal year 2012 as a result of the costs associated with the cost-of-living adjustment. No increase is requested for operating expenses, and we have not requested an increase in the operating budget for the SIS program.

From fiscal year 2008 to fiscal year 2011, our operating budget had remained flat, despite new statutory mandates. I believe this is a reflection of the careful spending decisions over the past few years.

In fiscal year 2012, our operating budget was cut 19 percent in order to shield cuts to the online research and new services provided to Senate staff through the SIS program. Despite the condition when the program was transferred from SAA to the Secretary's budget that there be a firewall between the SIS budget and the Secretary's budget, we knew the SIS program would not survive the magnitude of cuts last year. As a result, we felt we had no choice but to offer to take a larger cut in our operational budget in order to save online information services that Senate staff rely on to do their jobs.

I hope to keep the firewall next year.

Even though the SIS program was shielded from fiscal year 2012 budget cuts, because of vendor price increases, we were still required to cut two information contracts from the program. My staff has projected that the overall cost of providing the current mix of research services to the Senate through fiscal year 2016 could escalate at a rate as much 2.8 percent per year.

With respect to our financial responsibilities, the Disbursing Office staff, along with our colleagues in the SAA technical support office, is working closely with the vendor that was awarded the SAA contract to implement the PeopleSoft payroll software. We're working extremely hard toward a fall implementation.

I think it is fair to say that our staff is spread extremely thin while they continue with their enormous responsibilities to correctly administer the Senate's payroll twice a month.

Mr. Chairman and Senator Hoeven, the Senate generates a great many records, some published, some not. As Secretary, it is my responsibility to oversee the regular transfer of Senate Committee records to the National Archives, where they can be preserved both for the Committees' future use and for historical research. The archivists in the Senate Historical Office are also providing advice to the individual Senators on how and where to archive the records of their own offices.

The task has grown exceedingly more complex with the enormous expansion of electronic communications.

Recently, President Obama directed all executive branch agencies to reform their records management to improve performance, accountability, and increase Government transparency by better documenting their actions and decisions. I am pleased to report that the Senate began well before and is well ahead of the executive branch. The Senate has preserved an average of 3,000 to 4,000 feet of textual records for each Congress. Those papers have been supplemented by 2.6 terabytes of electronic records that are stored at the Center for Legislative Archives.

Finally, the Office of the Secretary continues to support the Senate's emergency preparedness program with our legislative partners. Our staff who support the chamber can vouch that years of training paid off on August 23, 2011, when an earthquake forced the temporary evacuation of the Capitol.

The Senate was scheduled to convene in a pro forma session that day and did so at a nearby alternate facility with the support of SAA and the party secretaries.

All materials required to support a session of the Senate had been remotely stored for just such an occurrence. Not since 1814 had the Senate relocated to an alternate facility to conduct business.

PREPARED STATEMENT

History happens every day in the Senate, and the Secretary's staff remains proud of our role in supporting the Senators and their staff in their important work, as well as preserving this institution's great history.

Thank you.

[The statement follows:]

PREPARED STATEMENT OF NANCY ERICKSON

Mr. Chairman, Senator Hoeven, and members of the subcommittee, thank you for your invitation to present testimony in support of the budget request of the Office of the Secretary of the Senate for fiscal year 2013.

It is a pleasure to have this opportunity to draw attention to the accomplishments of the dedicated and outstanding employees of the Office of the Secretary. The annual reports which follow provide detailed information about the work of each department of the office, their recent achievements, and their plans for the upcoming fiscal year.

My statement includes:

—presenting the fiscal year 2013 budget request;
—implementing mandated systems, financial management information system (FMIS), and the legislative information system (LIS);
—continuity of operations planning; and
—maintaining and improving current and historic legislative, financial, and administrative services.

PRESENTING THE FISCAL YEAR 2013 BUDGET REQUEST

I am requesting a total fiscal year 2013 budget of $30,101,459. The request includes $24,285,115 in salary costs and $5,816,344 for the operating budget of the Office of the Secretary. The salary budget represents an increase of $91,000 more than the fiscal year 2012 budget as a result of the costs associated with the annual cost of living adjustment. No increase is requested for our operating expenses. In addition, the operating budget for the administration of Senate Information Services (SIS) program that was assumed by this office in 2011 has not been increased.

OFFICE OF THE SECRETARY APPORTIONMENT SCHEDULE

Items	Amount available fiscal year 2012	Budget estimates fiscal year 2013	Difference
Departmental operating budget:			
Executive office	$444,495	$444,495	....
Administrative services	5,323,359	5,323,359	....
Legislative services	48,490	48,490	....
Total operating budget	5,816,344	5,816,344	....

IMPLEMENTING MANDATED SYSTEMS

Two systems critical to our operation are mandated by law, FMIS and LIS, and I would like to spend a few moments on each to highlight recent progress, and to thank the committee for your ongoing support of both.

Financial Management Information System

FMIS is used by approximately 140 Senate offices. Consistent with our strategic plan, the Disbursing Office continues to modernize processes and applications to meet the continued demand by Senate offices for efficiency, accountability, and ease of use. Our goals are to move to an integrated, paperless voucher system, improve the WebFMIS system, and make payroll and accounting system improvements.

During fiscal year 2011, specific progress made on the FMIS project included two upgrades of WebFMIS:

—FMIS 2011–2 was implemented in June 2011. This release included an enhancement to electronic invoicing that allows an office (or an auditor in the Disbursing Office) to split a single charge on an invoice into two accounting lines. The expense summary report (ESR) line entry module was also updated to implement some minor enhancement and corrections. Release 2011–2 also implemented the third of three major phases in WebPICS, which effectively replaces and improves ADPICS (the mainframe procurement application). The first two phases of WebPICS provided functionality for requisitions and vouchers. This release allowed purchase orders to be created, approved, and posted.

One of the larger changes in this release was the addition of online access to the month end ledger statements (Statement of Funding Authorization and Expense Activity). A pilot group was given access to their May 2011 statements first. After positive feedback, all offices were given access to their June 2011 statements, and paper distribution was eliminated.

—FMIS 2011–3 was implemented in August 2011. The most significant feature in release 2011–3 was the image viewer and repository that allows users to attach documentation to their vouchers. A pilot of three offices began attaching their supporting documentation electronically only—the paper vouchers themselves were still required to provide approving signatures. Unfortunately, system performance for the auditors fell less than acceptable levels, and Disbursing asked its pilot offices to suspend testing until the issue was resolved. The matter was quickly identified, and we are now positioned to scale up for a Senate-wide rollout. Initial testing at the end of the year showed a vast improvement.

The most significant improvement to WebPICS was the implementation of an insufficient funds limitation, on the submission and approval of requisitions. The entry of specific limits will be rolled out in 2012. After this release, the information technology (IT) section discontinued granting new procurement users access to mainframe ADPICS.

The computing infrastructure for FMIS is provided by the Sergeant at Arms (SAA). Each year SAA staff upgrades the infrastructure hardware and software. During 2011, SAA implemented two upgrades to the FMIS infrastructure. These included a maintenance update to the database (DB2), and a maintenance update to the mainframe operating system (Z/OS).

In October 2010, a task order for the adding document imaging and electronic signatures to WebFMIS was signed. This task order outlines work to be completed between then and spring 2013 in three phases. The revised schedule is:

—*Phase 1*.—Imaging only pilot—fall 2011;

—*Phase 2*.—Office imaging and signatures pilot (March 2012), and full roll-out (June 2012); and

—*Phase 3*.—Staffer imaging and signatures pilot (fall 2012), and rollout (spring 2013).

During 2008, the Disbursing Office and SAA worked together to develop detailed system requirements desired for our new payroll system. We reviewed several different products and in 2009 selected a new software program for the system. In March 2010, the Senate selected a system integrator to assist with implementing the new software. The system integrator began work on the project in November 2010 with a very aggressive implementation plan of 15 months.

—The Senate Payroll System (SPS) includes several phases. The initial phase is the implementation of functions for processing payroll and managing Senate office budgets and payroll projections. The second phase is to implement and conduct a pilot test for self-service applications which will allow Senate employees to enter and change certain personal data and benefits selections. The third phase will be replacement of the current Senate Office Personnel System (SOPS).

—The first phase of the project is currently scheduled to go live the first week of September. The systems integrator has experienced several delays in the course of the project. As the project lead, SAA has maintained a close review of contract expenditures and is working closely with the vendor to ensure costs remain within the existing contracted levels.

During the remainder of fiscal year 2012 the following FMIS activities are anticipated:

—Coordinating with SAA the timeframes for the implementation of the smart card ID project for electronic signatures;

—Continuing the implementation and the required updates to the Hyperion Financial Management application to provide the Senate the ability to produce auditable financial statements;

—Continuing the implementation of online financial reports;

—Participating in the yearly disaster recovery test;

—Implementing FMIS 2012–1, which includes imaging infrastructure upgrade and voucher printing fixes;

—Implementing FMIS 2012–2, imaging and signatures roll out—this release will provide capacity and stability enhancements to support rollout to all offices and committees, as well as enhancements to the pilot functionality based on feedback gained through user group meeting and training sessions and new ESR functionality;

—Continuing with SPS implementation, conversion, training and user acceptance, and parallel testing for Phase I; and

—Reviewing existing systems and develop a long-term modification and replacement plan for key financial systems.

Anticipated projects for fiscal year 2013:

—Implementing FMIS 2013–1, deployment of an imaging and electronic signatures pilot for staffers;

—Implementing FMIS 2013–2, deployment of an imaging and electronic signatures pilot for all Senate staff;

—Continuing to coordinate with SAA and participate in the yearly disaster recovery activities;

—Continuing to support the SAA in any upgrades to the infrastructure software and hardware; and

—Continuing with the postimplementation support for SPS and the roll out of Phase II—employee self-service.

A more detailed report on FMIS is included in the departmental report of the Disbursing Office.

LEGISLATIVE OFFICES

The Legislative Department provides support essential to Senators in carrying out their daily chamber activities as well as the constitutional responsibilities of the Senate. 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 the LIS system by the various offices of the Secretary.

Additionally, the Legislative Clerk acts as supervisor for the Legislative Department, responsible for overall coordination, supervision, scheduling, and cross-training. The department consists of eight offices:

—the Bill Clerk;
—Captioning Services;
—the Daily Digest;
—the Enrolling Clerk;
—the Executive Clerk;
—the Journal Clerk;
—the Legislative Clerk; and
—the Official Reporters of Debates.

Summary of Activity

The Senate completed its legislative business and adjourned on January 3, 2012. During the first session of the 112th Congress, the Senate was in session 170 days, conducted 235 rollcall votes and 5 live quorum calls. There were 185 measures reported from committees and 17 special reports submitted to the Senate. There were 402 total measures passed or agreed to. In addition, there were 1,467 amendments submitted to the desk.

Cross-Training and Continuity of Operations Planning

Recognizing the importance of planning for the continuity of Senate business, under both normal and possibly extenuating circumstances, cross-training continues to be strongly emphasized among the Secretary's legislative staff. To ensure additional staff are trained to perform the basic floor responsibilities of the Legislative Clerk, as well as the various other floor-related responsibilities of the Secretary, approximately one-half of the legislative staff are currently involved or have recently been involved in cross-training.

Each office and staff within the Legislative Department participated in numerous ongoing Continuity Of Operations (COOP) discussions and exercises, including an off-site mock session, throughout the past year. These discussions and exercises are a joint effort involving the Office of the Secretary, the party secretaries, the U.S. Capitol Police (USCP), and SAA.

Succession Planning

The average number of years of Senate service among the Secretary's Legislative Department supervisors is 22 years. It is critical that the Secretary's Legislative Department attract and keep talented employees, especially the second tier of employees just behind the current supervisors because of the unique nature of the Senate as a legislative institution. The arcane practices and voluminous precedents of the Senate make institutional experience and knowledge extremely valuable.

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 through the LIS. 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.

Assistance From the Government Printing Office

The Bill Clerk's Office maintains an exceptionally good working relationship with Government Printing 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 Bill Clerk's Office, for the printing of bills and reports, including the expedited printing of priority matters for the Senate chamber.

Legislative Activity

For comparative purposes, the following table provides summaries of the first sessions of the 111th and 112th Congresses:

	111th Congress, 1st Session	112th Congress, 1st Session	Percentage change
Senate bills	2,920	2,031	−30.44
Senate joint resolutions	25	33	+32.00
Senate concurrent resolutions	48	33	−31.25
Senate resolutions	387	351	−9.30
Amendments submitted	3,298	1,467	−55.52
House bills	382	188	−50.79
House joint resolutions	10	7	−30.00
House concurrent resolutions	67	23	−65.67
Measures reported	199	185	−7.04
Written reports	113	130	+15.04
Total legislation	7,449	4,448	−40.29
Rollcall votes	397	235	−40.81
House messages [1]	292	178	−39.04
Cosponsor requests	7,205	6,621	−8.11

[1] This number reflects how many messages from the House are typed up by the Bill Clerks for inclusion in the Congressional Record. It excludes additional activity on these bills.

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, the Senate Intranet.

General Overview

Captioning Services strives to provide the highest-quality closed captions. The overall accuracy average rate for the Office is a stellar 99.57 percent. This marks the 18th year in a row the Office has achieved an accuracy rate more than 99 percent. 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 completed and archived in electronic form. Also, newspaper and magazine subscriptions used for preparation and research were cancelled to achieve added cost savings and replaced with already available electronic copies.

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, in particular, continues to depend upon its availability, reliability, and contents to help them in the performance of their duties. The Senate caption log will undergo an upgrade during 2012, and work has begun to develop and enhance the software while maintaining the accuracy and dependability the Senate community has come to expect from the caption log.

Continuity of Operations Planning

COOP planning and preparation continue to be a top priority to ensure that the Office is prepared and confident about the ability to relocate and successfully function from a remote location in the event of an emergency. Continual updates and review of the COOP plan and discussion with staff throughout the year prepare individuals to have confidence if called upon to execute the plan. The Office participates with the Senate Recording Studio in two off-site location exercises related to COOP annually and also tests monthly the reliability of equipment and readiness of staff to relocate to additional sites in the event of an emergency.

DAILY DIGEST

The Office of the Senate Daily Digest is pleased to transmit its annual report on Senate activities during the first session of the 112th Congress.

Chamber Activity

The Senate was in session a total of 170 days, for a total of 1,101 hours and 44 minutes. There were five quorum calls and 235 record votes. (See the following chart for 20-Year Comparison of Senate Legislative Activity).

20-YEAR COMPARISON OF SENATE LEGISLATIVE ACTIVITY [1]

	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001
Senate convened	1/3	1/5	1/25	1/4	1/3	1/3	1/27	1/6	1/24	1/3
Senate adjourned	10/9	11/26	12/01	1/3/96	10/4	11/13	10/21	11/19	12/15	12/20
Days in session	129	153	138	211	132	153	143	162	141	173
Hours in session	1,091′09″	1,269′41″	1,243′33″	1,839′10″	1,036′45″	1,093′07″	1,095′05″	1,183′57″	1,017′51″	1,236′15″
Average hours per day	8.5	8.3	9.0	8.7	7.8	7.1	7.7	7.3	7.2	7.1
Total measures passed	651	473	465	346	476	386	506	549	696	425
Rollcall votes	270	395	329	613	306	298	314	374	298	380
Quorum calls	5	2	6	3	2	6	4	7	6	3
Public Laws	347	210	255	88	245	153	241	170	410	136
Treaties ratified	32	20	8	10	28	15	53	13	39	3
Nominations confirmed	30,619	38,676	37,446	40,535	33,176	25,576	20,302	22,468	22,512	25,091
Average voting attendance	95.4	97.6	97.02	98.07	98.22	98.68	97.47	98.02	96.99	98.29
Sessions convened before 12 noon	112	128	120	184	113	115	109	118	107	140
Sessions convened at 12 noon	6	6	9	2	15	12	31	17	25	10
Sessions convened after 12 noon	10	15	17	12	7	7	2	19	24	21
Sessions continued after 6 p.m.	91	100	100	158	88	96	93	113	94	108
Sessions continued after 12 midnight	9	7	3	1	....	....	....	....	2	3
Saturday sessions	2	2	3	5	1	1	1	3	1	3
Sunday sessions	....	....	....	3	....	1	....	....	1	....

20-YEAR COMPARISON OF SENATE LEGISLATIVE ACTIVITY—Continued

	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011
Senate convened	1/23	1/7	1/20	1/4	1/3	1/4	1/3	1/6	1/5	1/5
Senate adjourned	11/20	12/9	12/8	12/22	12/9	12/31	1/2	12/24	12/22	1/3/12
Days in session	149	167	133	159	138	189	184	191	158	170
Hours in session	1,043′23″	1,454′05″	1,031′31″	1,222′26″	1,027′48″	1,375′54″	988′31″	1,420′39″	1,074′40″	1,101′44″
Average hours per day	7.0	8.7	7.7	7.7	7.4	7.2	5.37	7.44	6.8	6.5
Total measures passed	523	590	663	624	635	621	589	478	569	402
Rollcall votes	253	459	216	366	279	442	215	397	299	235
Quorum calls	2	3	1	3	1	6	3	3	8	5
Public Laws	241	198	300	169	313	180	280	125	258	90
Treaties ratified	17	11	15	6	14	8	30	1	6	2
Nominations confirmed	23,633	21,580	24,420	25,942	29,603	22,892	21,785	23,051	23,327	19,815
Average voting attendance	96.36	96.07	95.54	97.41	97.13	94.99	94.36	96.99	95.88	97.08

Sessions convened before 12 noon	119	133	104	121	110	156	147	148	116	127
Sessions convened at 12 noon	12	4	9	1	4	4	4	2	6	4
Sessions convened after 12 noon	23	23	21	36	24	32	33	41	36	39
Sessions continued after 6 p.m.	103	134	129	120	129	144	110	152	116	120
Sessions continued after 12 midnight	8	2	3	3	4	4	2	2	1	1
Saturday sessions	......	1	2	2	2	1	3	5	2	2
Sunday sessions	......	1	1	2	......	1	1	4	1	1

[1] Prepared by the Senate Daily Digest—Office of the Secretary.

Committee Activity

Senate committees held a total of 939 meetings during the first session, of the 112th Congress, as contrasted with 827 meetings during the second session, of the 111th Congress.

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

Computer Activities

The Daily Digest staff continues to work closely with Senate computer staff to refine the LIS/document management system (DMS), including further refinements to the Senate Committee Scheduling application which will improve the data entry process.

ENROLLING CLERK

The Enrolling Clerks prepare, proofread, input amendments, and print all legislation passed by the Senate prior to its transmittal to the House of Representatives, the National Archives, the Secretary of State, the United States Claims Court, and the White House.

During the first session of the 112th Congress the Enrolling Clerk's office prepared the enrollment of 20 Senate bills (transmitted to the President); 4 Senate enrolled joint resolutions (transmitted to the President); 8 Senate concurrent resolutions (transmitted to the National Archives); and 143 Senate appointments (transmitted to the House of Representatives). In addition, 192 House of Representatives bills, 25 House Concurrent Resolutions, 7 House Joint Resolutions, and three conference reports were either amended, passed, or acted on by the Senate requiring the Enrolling Clerk's office staff to process hundreds of amendments in a tightly managed schedule prior to messaging the legislation to the House of Representatives for further action. In all, there were 69 messages delivered to the Clerk's office and 42 delivered to the House Chamber by the Enrolling Clerk's office relative to Senate action and passage of legislation. The Enrolling Clerk's office also delivered to the House Clerk's office of approximately 62 House enrolled bills and 4 House joint resolutions after they had been signed by the President pro tempore as customary.

A total of 402 pieces of legislation were passed or agreed to during the first session of the 112th Congress. Many other Senate bills were placed on the calendar, all of which were processed in the Enrolling Clerk's office including 61 Senate engrossed bills, 4 joint resolutions, 17 concurrent resolutions, and 234 Senate simple resolutions. 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. At the end of each Congress, the Enrolling Clerk's office carefully organizes all official papers sequentially in archival boxes, each labeled accordingly, accompanied by a report detailing the contents of each box which are then transmitted to the Senate Archivist for proper storage at the National Archives.

The Senate Enrolling Clerk's office is also responsible for transmitting the original files of all Senate bills and resolutions engrossed and enrolled in the Senate to GPO.

Continuity of Operations Planning

The Enrolling Clerks participated in two continuity of operations (COOP) exercises in 2011. In addition to testing printers for the COOP fly-away kits, the exercises also encompassed the important details of our operations necessary for the engrossment and enrollment of legislation involving the use of printers and specific paper stock supplied by GPO.

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 daily the 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.

Nominations

During the first session of the 112th Congress, there were 1,200 nomination messages sent to the Senate by the President, transmitting 20,517 nominations to positions requiring Senate confirmation and 23 messages withdrawing nominations sent to the Senate during the first session of the 112th Congress. Of the total nominations transmitted, 503 were for civilian positions other than lists in the Foreign Service, Coast Guard, National Oceanic and Atmospheric Administration, and Public Health Service. In addition, there were 3,469 nominees in the "civilian list" categories named previously. Military nominations received this session totaled 16,545 (5,983 B Air Force; 5,908 B Army; 3,405 B Navy and 1,249 B Marine Corps). The Senate confirmed 19,815 nominations this session. Pursuant to the provisions of paragraph six of Senate Rule XXXI, 12 nominations were returned to the President during the first session of the 112th Congress.

Treaties

There were four treaties transmitted to the Senate by the President during the first session of the 112th Congress for its advice and consent to ratification, which were ordered printed as treaty documents for the use of the Senate (Treaty Doc. 112–1 through 112–4).

The Senate gave its advice and consent to two treaties with various amendments, conditions, declarations, understandings and provisos to the resolutions of advice and consent to ratification.

Executive Reports and Rollcall Votes

There were five executive reports relating to treaties ordered printed for the use of the Senate during the first session of the 112th Congress (Executive Report 112–1 through 112–5). The Senate conducted 51 rollcall votes in executive session, all on or in relation to nominations and treaties.

Executive Communications

For the first session of the 112th Congress, 4,400 executive communications, 62 petitions and memorials, and 35 Presidential messages were received and processed.

Environmental Impact

In an effort to save money and eliminate the use of unnecessary paper, the Executive Clerk reduced the copies of treaties, executive reports of treaties, and the Executive Calendar printed for distribution as they are available online.

Online Archive of Executive Calendars

At the request of committees and the public for more information on past nominations and treaties, an archive of Executive Calendars from 1997 to present can now be viewed through Senate.gov. This historical information was compiled by the Senate Library through files provided by the Executive Clerk. The Secretary's Office of Web Technology was responsible to converting and placing the archived files on the Senate.gov Web page. Calendars created prior to 1997 will be placed in the online archive as they are converted.

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:

—all orders (entered into by the Senate through unanimous consent agreements);
—legislative messages received from the President of the United States;
—messages from the House of Representatives;
—legislative actions as taken by the Senate (including motions made by Senators, points of order raised, and rollcall votes taken);
—amendments submitted and proposed for consideration;
—bills and joint resolutions introduced; and
—concurrent and Senate resolutions as submitted.

These notes of the proceedings are then compiled in electronic form for eventual publication of the Senate Journal at the end of each calendar year. Compilation is efficiently accomplished through utilization of the LIS Senate Journal Authoring System. The Journal Clerk completed production of the 925-page calendar year 2010 volume in 2011, and it is anticipated that work on the calendar year 2011 volume will conclude by September 2012.

Continuity of Operations Planning

In 2011, in support of the Office of the Secretary's commitment to continuity of operations programs, the Office of the Journal Clerk participated in the annual Chamber Protective Actions/Briefing Center exercise, the alternate chamber exercise in May, and legislative staff-specific exercises. Real-world implementation of emergency procedures occurred when the Senate met in an alternate location in the immediate aftermath of the August earthquake. Additionally, monthly tests of BlackBerry emergency notification and laptop remote access procedures are conducted. The Journal Clerk continued the practice of scanning the daily Minute Book pages into a secure directory. The files are also copied onto a flash drive storage device weekly, and transported off-site each night. Although the actual Minute Books for each session of a Congress are sent to the National Archives a year following the end of a Congress, having easily accessible files, both on a remote server and on portable storage device, will ensure timely reconstitution of the Minute Book data in the event of damage to, or destruction of, the physical Minute Book.

Cost Savings

In 2011, the Office of the Journal Clerk undertook efforts to reduce already-conservative consumption of paper volume used in a traditionally paper-driven office. Lesser consumption of paper used in the office resulted from reduction in printing of draft copies of work product as updated, and from elimination of the paper copies of daily Minute Book pages used by the Journal Clerk team in production of the Senate Journal, by the Daily Digest office in compiling statistics, and the Senate Library, for reference by Senate staff. Instead, electronic copies are accessed via an office network drive and are emailed to the Library and Daily Digest staffs.

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 the Coordinator functions as the technical production manager of the Senate portion of the Record. The office interacts with Senate personnel on additional materials to be included in the Record.

On a continuing basis, all materials to be printed in the next day's edition of the Record are transmitted electronically and on paper to GPO. Much of the transcript of Senate floor proceedings and Morning Business is sent to GPO electronically to allow for production of the Record in a cost conscious and timely manner. In most instances, the paper copy of the Record is delivered by GPO within 2 to 3 hours of its content being placed on the Internet at approximately 7 a.m. every day.

The Chief Reporter, in conjunction with Senate office and committee staff, works to ensure compliance with the "2-page rule" to cut down on the printing costs of the Record by controlling the amount of extraneous printing to be done by GPO. As a result, these materials are often condensed so as not to exceed the rule and/or are cited and printed on Web sites with referencing so that they are available to the interested public.

The Official Reporters of Debate purchased three new ProCat Stylus stenotype machines for continuity of operations purposes. This purchase also allows this office to have a stenotype machine in reserve should a malfunction occur with a machine used for the daily floor proceedings.

PARLIAMENTARIAN

The Parliamentarian's Office 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, 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. The Parliamentarian or one of her assistants is always present on the Senate floor when the Senate is in session, ready to assist the Presiding Officer in his or her 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 himself whenever he performs his duties as President of the Senate.

The parliamentarians serve as the agents of the Senate in coordinating the flow of legislation with the House of Representatives and with the President, and ensure that enrolled bills are signed in a timely manner by duly authorized officers of the Senate for presentation to the President. The parliamentarians are a critical point of contact for emergency planning for representatives of the President.

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 floor of the Senate when time is limited or controlled under the provisions of time agreements, statutes or standing orders. The parliamentarians keep track of the amendments offered to the legislation pending on the Senate floor, and monitor them for points of order. In this respect, the parliamentarians reviewed more than 1,400 amendments during 2011 to determine if they met various procedural requirements (such as germaneness).

The Office of the Parliamentarian is responsible for the referral to the appropriate committees of all legislation introduced in the Senate, 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. During 2011, the parliamentarians referred 2,203 measures and 4,496 communications to the appropriate Senate committees. 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.

During 2011, as has been the case in the past, the staff of the Parliamentarian's Office was frequently called on to analyze and advise Senators on a great number of issues arising under the Congressional Budget Act of 1974, the Trade Act of 1974, the Congressional Review Act, and many other provisions of law that authorize special procedural consideration of measures.

In the early weeks of 2011, the parliamentarians held many meetings with the proponents and opponents of changes to the Senate's rules and procedures, and counseled all interested parties in the intricacies of both the content of these proposals and the disputed processes for bringing about these changes. The Parliamentarian's Office was also heavily involved in the legislative procedures to address the debt ceiling and has been interpreting the text of what eventually became the language of the law ever since. Finally, in October 2011, the Senate confronted the issue of Motions to Suspend the Rules in a postcloture procedural situation in which the ruling of the Chair, given on the advice of this office, was overturned creating a new precedent for the Senate.

The parliamentarians participated in multiple orientation sessions for new staff in 2011 as part of the ongoing effort to inform the Senate community about its various procedures and the avenues of assistance available to them. As in the past, the parliamentarians also conducted several briefings on Senate procedure to various groups of Senate staff and visiting international parliamentary staff, on a nonpartisan basis.

Continuity of Operations Planning

The parliamentarians have taken the lead in the Senate in analyzing the need for emergency procedural authorities of the Congress generally, and the Senate in particular. The parliamentarians have each been trained on and successfully remotely accessed the office's computers and hard drives, facilitating communications, research, and other work after hours, and enabling them to have the office function during possible emergencies. The Parliamentarian's Office continues to participate extensively in emergency preparedness training for the Senate Chamber.

Of note with respect to emergency procedures in 2011 was the earthquake that struck Washington, DC on August 23. The Senate was scheduled to hold a pro forma session that afternoon and of necessity was forced to hold a session outside of the Capitol building. The situation tested our emergency response protocols, and we are proud of our contributions that day to ensure the seamless functioning of the Senate in emergency situations.

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 United States Senate. The Senate Disbursing Office manages the collection of information from the 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 Senate 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 Senate Disbursing Office also manages the distribution of central financial and human resource information to the individual Member offices, committees, administrative and leadership offices in the Senate while maintaining the confidentiality of information for Members and Senate employees.

The organization is structured to enhance its ability to provide quality work; maintain a high level of customer service; promote good internal controls, efficiency, and teamwork; and provide for the appropriate levels of supervision and management. The long-term financial needs of the Senate are best served by an organization staffed with highly trained professionals who possess a high degree of institutional knowledge, sound judgment, and interpersonal skills that reflect the unique nature of the United States Senate.

Executive Office

The primary responsibilities, among others, of the Executive Office are to:

—oversee the day-to-day operations of the Disbursing Office;
—respond to any inquiries or questions;
—maintain a fully and properly trained staff;
—ensure that the office is prepared to respond quickly and efficiently to any disaster or unique situation that may arise;
—provide excellent customer service;
—assist the Secretary of the Senate in the implementation of new legislation affecting any of her departments;
—handle all information requests from the Committee on Appropriations and the Committee on Rules and Administration; and
—provide budget information and financial assistance to all accounting locations within the Senate.

During the first half of 2011, the Disbursing Office continued to offer administrative support to the Congressional Oversight Panel established by Public Law 110–343. Final payment from the Department of the Treasury was received in June, and this task order has been closed.

The Disbursing Office, GPO, the Committee on Rules and Administration, and the Secretary of the Senate webmaster held meetings to finalize the development of the online version of the Report of the Secretary of the Senate for the 6-month period ending September 30, 2011. On November 29, 2011, the online version of The Report was accessible on Senate.gov and the GPO Web site.

The Budget Control Act of 2011, Public Law 112–25, authorized the establishment of the Joint Select Committee on Deficit Reduction (JSC). Section 401(b)(5) of the act authorized the Senate to disburse the actual and necessary expenses of the JSC. The Senate Disbursing Office is responsible for the payment of the expenses and the House of Representative has been billed for its respective share. The expenses for the JSC ceased with the termination of the Committee on January 31, 2012.

The Financial Clerk and senior Disbursing management have been attending status meetings held by our payroll implementers and received 2 weeks of training on the new SPS. Disbursing is in the process of finalizing a final cutoff schedule for Phase I and is working closely with SAA, the project manager and the Committee on Rules and Administration to implement this new payroll system as seamlessly as possible.

Front Office—Administrative and Financial Services

The Front Office is the main service area for all general Senate business and financial activity. The Front Office staff maintains the Senate's internal accountability of funds used in the group's daily operations. The reconciliation of such funds is executed on a daily basis. The Front Office staff also provides training to newly authorized payroll contacts along with continuing guidance to all contacts in the execution of business operations. It is the receiving point for most incoming expense vouchers, payroll actions, and employee benefits related forms, and is the initial verification point to ensure that paperwork received in the Disbursing Office conforms to all applicable Senate rules, regulations, and statutes. The Front Office is the first line of service provided to Senators, officers, and employees. All new Senate employees (permanent and temporary) who will work in the Capitol Hill Senate offices are administered the required Oath of Office and Personnel Affidavit in the

Front Office. Staff is also provided verbal and written detailed information regarding pay and benefits. Advances are issued to Senate staff authorized for official Senate travel through the Front Office and cash and check advances are entered and reconciled in WebFMIS. After the processing of certified expenses is complete, cash travel advances are repaid.

Numerous inquiries are handled daily, ranging from pay, benefits, taxes, and voucher processing to reporting, laws and Senate regulations; and must always be answered accurately and fully to provide the highest degree of customer service. Cash and checks received from Senate entities as part of their daily business are handled through the Front Office and become part of the Senate's accountability of federally appropriated funds and are then processed through the Senate's general ledger system. The Front Office maintains the Official Office Information Authorization Forms that authorize individuals to conduct various types of business with the Disbursing Office. The Front Office also provides Notary services for Members and staff. Nearly 500 documents were notarized for Members during 2011. We anticipate a larger number of documents to be notarized in 2012 as it will be an election year. Such items that will be notarized in 2012 are absentee ballots and primary election ballots.

The Disbursing Office was relocated from August through November 2011 due to the Disbursing Office renovation project. Preparations for the move took months of planning, purging, archiving, and packing. The Front Office successfully conducted business as usual during the moves and renovation. Success during this transition was truly a team effort and many sacrifices were made as the Disbursing Office operated out of three different locations. Our return was equally successful and staff members are enjoying the modern facilities.

General Activities

Processed approximately 500 cash advances during the year and initialized more than 1,000 check/direct deposit advances.

Received and processed more than 20,000 checks.

Administered Oath of Office and Personnel Affidavits to more than 1,600 new Senate staff and advised them of their benefits eligibility.

Maintained brochures for 12 Federal health insurance carriers and distributed more than 3,000 brochures to existing staff during the annual Federal Benefits Open Season and to new Senate employees during their Federal Employees Health Benefits (FEHB) selection process.

Assisted employees with electronic resources for researching and comparing benefit plans and programs, as we continue to move away from paper.

Provided training sessions to 16 new and existing administrative managers and assisted them in getting their offices up and running.

For the first time since 2009, the Internal Revenue Service (IRS) increased the annual limit on elective deferrals. This resulted in approximately 900 employees filing new Thrift Savings Plan (TSP) elections in December alone. Many customers sought assistance from the Front Office with the TSP calculations.

The Front Office advises eligible staff of their TSP catch up provisions and advises enrollees of changes in their plans.

Due to the congressional changeover, there was a large volume of S. Res. 9 certifications to be processed and monitored. This required additional processing of documentation to facilitate the continuance of compensation to certified employees.

Payroll Section

The Payroll Section maintains the human resources management system (HRMS) and is responsible for processing, verifying, and warehousing all payroll information submitted to the Disbursing Office by Senators, committees, and other appointing officials for their staff, including appointments of employees, salary changes, title changes, transfers, and terminations. It is also responsible for input of all enrollments and elections submitted by Members and employees that affect their pay (e.g., retirement and benefits elections, tax withholding, TSP participation, allotments from pay, address changes, direct deposit elections, levies, and garnishments) and for the issuance of accurate salary payments to Members and employees. The Payroll Section is responsible for the administration of the Senate Student Loan Repayment Program (SLP) and for the audit and reconciliation of the Flexible Spending Accounts (FSAs) and Federal Employees Dental and Vision Insurance Program (FEDVIP) bill files received each pay period. The Payroll Section jointly maintains the automated clearing house (ACH) FedLine facilities with the Accounts Payable Section for the normal transmittal of payroll deposits to the Federal Reserve. Payroll expenditure, projection, and allowance reports are distributed electronically to all Senate offices semimonthly. The Payroll Section issues the proper withholding and agency contribution reports to the Accounting Department and transmits the proper TSP information to the National Finance Center. In addition, the Payroll Section maintains earnings records, which are distributed to the Social Security Administration and employees' taxable earnings records, which are used for W–2 statements. This section, is also responsible for the payroll expenditure data portion of the Report of the Secretary of the Senate and calculates, reconciles, and bills the Senate Employees Child Care Center for their staff employee contributions and forwards payment of those contributions to the Accounting Section. The Payroll Section provides guidance and counseling to staff and administrative managers on issues of pay, salaries, allowances, and projections.

General Activities

In January 2011, the Payroll Section conducted all year-end processing and reconciliation of pay records and produced W–2 forms for employees and Federal and State tax agencies. They also facilitated the imaging of those documents to the Document Imaging System. The Payroll Section maintained the normal schedule of processing TSP election forms. Other minor changes were made to the HRMS as the need arose as a result of regulated and policy changes.

A major objective of the Payroll Section is the design and implementation of a new Payroll System. The Payroll staff participated in Fit-Gap sessions, development and design sessions, and one-on-one meetings to share their system expertise with the system implementers. The staff received extensive training and helped to develop requirements, business processes, and specifications. The staff provided procedural guidance and input on document and report design, interfaces, and customizations. The Payroll Section began duplication of all Payroll system documents for parallel testing that will occur in 2012. Their continued participation, expertise, and dedication will be required as design, testing, and implementation efforts continue.

In April 2011, the Payroll Section began extensive research and preparation for a potential furlough, including working with the SAA on plans to cease Senate pay to employees in the event of such an event, and the contingencies based on the anticipated potential outcomes.

As a result of the 2011 congressional changeover, the Payroll Section provided assistance and guidance to the offices of the 13 incoming and 13 outgoing Members. The Payroll staff also worked with the staff of a resigning and appointed Senator and administered provisions of S. Res. 9.

Administration of the SLP includes initiation, tracking, and transmission of the payments; determination of eligibility; coordination and reconciliation with office administrators and program participants; provision of monthly SLP reports, fiscal year report to oversight committees; and administration of SLP repayment. Due to regulatory changes within the Department of Education, extensive vendor processing changes continue to be needed. This leads to a higher than usual need for payment tracking, reconciliation and check reissue. The SLP Administrator continues to improve processes for administration of the program and documenting procedures as well as implementation of procedural changes as required.

Employee Benefits Section

The primary responsibilities of Employee Benefits Section (EBS) are administration of health insurance, life insurance, TSP, and all retirement programs for members and employees of the Senate. This includes counseling, processing of paperwork, research, dissemination of information, and interpretation of retirement and benefits laws and regulations. EBS staff is also expected to have a working knowledge of the FSA program, the Federal Long Term Care Insurance Program (FLTCIP), and FEDVIP. In addition, the sectional work includes research and verification of all prior Federal service and prior Senate service for new and returning appointees. EBS provides this information for payroll input. It also verifies the accuracy of the information provided and reconciles, as necessary, when official personnel folders and transcripts of service from other Federal agencies are received. Senate transcripts of service, including all official retirement and benefits documentation, are provided to other Federal agencies when Senate Members and staff are hired elsewhere in the Government. EBS is responsible for the administration and tracking of employees placed in leave without pay to perform military service, including counseling with regard to continued benefits, TSP make-up contributions and reservist differential payments. EBS participates fully in the Centralized Enrollment Clearinghouse System (CLER) program sponsored by the Office of Personnel Management (OPM) to reconcile all FEHB enrollments with carriers through the National Finance Center. EBS is responsible for its own forms inventory ordering and maintenance, as well as all benefits, TSP, and retirement brochures, for the

Disbursing Office. EBS processes employment verifications for loans, bar exams, the Federal Bureau of Investigation, OPM, and the Department of Defense (DOD), among others. Unemployment claim forms are completed and employees are counseled on their eligibility. Department of Labor billings for unemployment compensation paid to Senate employees are reviewed in EBS and submitted by voucher to the Accounting Section for payment, as are the employee fees associated with FSAs. Designations of Beneficiary for Federal Employees' Group Life Insurance (FEGLI), retirement, and unpaid compensation are filed and checked by EBS.

General Activities

The year began with EBS finalizing retirement estimates and processing many retirement cases associated with 13 outgoing Senators and their staffs, as well as those staff on committees who were affected by the changes. All outgoing offices were given an "Outgoing Office Presentation" by a member of the EBS. Many regular retirement, death, and disability cases were also processed throughout the year.

EBS met with all new Senators to go over benefit choices available to them. New Members appointed numerous employees from the House of Representatives and the executive branch, and many other employees left with their outgoing Members, many of whom were appointed to positions in the executive branch. This caused a dramatic increase in appointments to be researched and processed, retirement records to be closed out, termination packages of benefits information to be compiled and mailed out, and health insurance enrollments to be processed. Transcripts of service for employees going to other Federal agencies, and other tasks associated with employees changing jobs were at a high level this year. These required prior employment research and verification, new FEHB, FEGLI, FSA, FEDVIP, Civil Service Retirement System, Federal Employees Retirement Service (FERS) and TSP enrollments, and the associated requests for backup verification. EBS also counseled many employees who were affected by these employment changes.

FLTCIP experienced significant plan changes in 2009 with unexpected rate increases and the creation of FLTCIP 2.0. Due to the significant changes in the plan, FLTCIP held an Open Season (OS) in the spring of 2011. EBS worked directly with our FLTCIP account manager, to inform Senate employees of the FLTCIP OS and what options were available to them. EBS attended meetings at OPM related to the FLTCIP OS and developed the Senate's plan for informing employees of their options. EBS created Senate wide emails announcing and reminding employees of the FLTCIP OS and what their options were and ordered OS materials including brochures and posters. EBS also created a 1-page summary of FLTCIP and the OS information to include in a mass mailing sent to all Senate employees. EBS worked with the Secretary's Webmaster to create an FLTCIP OS Webster page containing articles and links to assist employees with decisions regarding long-term care insurance as well as information on how to attend one of the webinars available to those who could not attend an in-person workshop. EBS organized two onsite workshops in which FLTCIP representatives explained what long-term care insurance is and what opportunities employees had during open season. The feedback from employees regarding these presentations was very positive. Our FLTCIP account manager was very pleased and impressed with our organized approach and the steps we took to inform Senate employees of the OS and stated that the Senate really went above and beyond to assist them with the FLTCIP OS.

With the design and implementation of a new Payroll System underway, EBS has been extensively involved in participation in fit-gap sessions, design sessions, training, procedural review meetings, developmental sessions, data clean-up, and conference room pilots. EBS staff have provided their expertise in SME meetings. The staff has participated in development of specifications, customizations, configurations, interfaces, and needed reports. The staff have drafted and collected documentation relating to procedures and in preparation for the various testing phases. EBS staff has provided and continues to provide expertise and feedback throughout this process.

Many employees changed health plans during the annual benefits open season. These changes were processed and reported to carriers very quickly. The Disbursing Office also hosted an Open Season Benefits Fair, which was informational and well-attended. The Benefits Fair included representatives from local and national FEHB plans, as well as representatives from FLTCIP, FSA, and FEDVIP.

Beginning January 1, 2011, the Affordable Care Act extended health benefits to children until age 26. The Health Care Reform changes also redefined dependent eligibility rules for both FEHB and FSA. EBS fielded many calls regarding these changes and also took all necessary steps to update our Web page on Webster and all literature given out by the Disbursing Office to reflect these very important changes.

EBS conducted agency-wide FERS seminars for Washington, DC area employees, as well as a live video seminar for offices located in the States. EBS attended inter-agency Benefits Officers and TSP meetings. This was especially important this year due to the many ongoing changes to many of the benefits programs, including the upcoming offering of a Roth investment option in the TSP program.

Disbursing Office Financial Management

Headed by the Deputy for Financial Management, the mission of Disbursing Office Financial Management is to coordinate all central financial policies, procedures, and activities; to process and pay expense vouchers within reasonable timeframes; and to provide professional customer service, training and confidential financial guidance to all Senate accounting locations. In addition, the Financial Management group 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 semi-annual basis, this group is also responsible for the compilation, validation, and completion of the Report of the Secretary of the Senate. Disbursing Office Financial Management is segmented into three functional departments:

—Accounting;
—Accounts Payable; and
—Budget.

The Accounts Payable Department is further subdivided into three sections:

—Vendor Administration;
—Disbursements; and
—Audit.

The deputy coordinates the activities of the three functional departments, establishes central financial policies and procedures, and carries out the directives of the Financial Clerk and the Secretary of the Senate.

Accounting Department

During 2011, the Accounting Department approved more than 55,000 expense reimbursement vouchers and vendor uploads including deposits for items ranging from receipts received by the Senate operations, such as the Senate's revolving funds, to cancelled subscription refunds from Member offices. General ledger maintenance also prompted the entry of thousands of adjustment entries that include the entry of all appropriation and allowance funding limitation transactions, all accounting cycle closing entries, and all nonvoucher reimbursement transactions such as payroll adjustments, budget uploads, stop payment requests, travel advances and repayments, and limited payability reimbursements. The Department continues to scan all documentation for journal vouchers, deposits, accounting memos, and letters of certification to facilitate both storage concerns and COOP planning. The section also completed the 2011 year-end process to close and reset revenue, expense, and budgetary general ledger accounts to zero.

The Disbursing Office also continued working with Member offices and the Senate Stationery Room to establish and design an online flag ordering system using the Department of the Treasury's Pay.gov system. The Member offices and Stationery went live in the production region of Pay.gov. As a result of this usage, we experienced almost a 30-percent increase in the volume of credit card transactions. Two more offices were slated to start using Pay.gov toward the spring of 2012, and the pilot is expected to expand to include additional offices during the upcoming year.

The Department of the Treasury's monthly financial reporting requirements includes a "Statement of Accountability" that details all increases and decreases to the accountability of the Secretary of the Senate, such as checks issued during the month and deposits received, as well as a detailed listing of cash on hand. Also, Disbursing provides the "Statement of Transactions According to Appropriations, Fund and Receipt Accounts," to the Department of the Treasury on a monthly basis. The statement is the summary of activity of all monies disbursed by the Secretary of the Senate through the Financial Clerk of the Senate. All activity by appropriation account is reconciled with the Department of the Treasury on a monthly and annual basis. The annual reconciliation of the Treasury combined statement is also used in the reporting to OMB as part of the submission of the annual operating budget of the Senate. The FAMIS system report, tested and implemented in 2010, was used in 2011 to calculate the Treasury Combined Statement which is used for the OMB budget submissions.

The Accounting Department continues to transmit Federal tax payments for Federal, Social Security, and Medicare taxes withheld from payroll expenditures, as well as the Senate's matching contribution for Social Security and Medicare to the Federal Reserve Bank through the IRS Electronic Federal Tax Payment System

(EFTPS). EFTPS is also be used to transmit the quarterly 941 reports to the IRS. Payments for employee withholdings for State income taxes were reported and paid on a quarterly basis to each State with applicable State income taxes withheld. System modifications installed in 2008 allow ACH payment of quarterly State taxes has resulted in a 64-percent participation rate by taxing jurisdictions. Twenty-seven of 42 tax jurisdictions are receiving their quarterly State tax payments via ACH. System modifications are necessary to transmit the remaining 15 tax jurisdictions via ACH because of the unique State requirements for their transmissions. Monthly reconciliations were performed with the National Finance Center regarding the employee withholdings and agency matching contributions for the TSP.

There are also internal reporting requirements, such as the monthly ledger statements. These ledger statements detail all of the financial activity for the appropriate accounting period with regard to official expenditures in detail and summary form. It is the responsibility of the Accounting Department to review and verify the accuracy of the statements before Senate-wide distribution. During 2011, the Accounting Department worked with the SAA computer staff to implement electronic distribution of these monthly reports. The reports have been distributed electronically since July 2011 as part of WebFMIS release 2011–2.

The Accounting Department, in conjunction with the Deputy for Financial Management and the Assistant Financial Clerk, continues to work closely with the SAA Finance Department in creating Senate-wide financial statements in accordance with OMB Bulletin 01–09, “Form and Content of Agency Financial Statements” and any updates required by OMB Circular A–136, “Form and Content of the Performance and Accountability Reports.” Work continues toward the implementation of the fixed asset system and the financial management software has been upgraded and the license renewed.

Accounting also has a budget division whose primary responsibility is compiling the annual operating budget of the United States Senate for presentation to the Committee on Appropriations. The Budget division is responsible for the preparation, issuance, and distribution of the budget justification worksheets. The budget justification worksheets for fiscal year 2013 were mailed to the Senate accounting locations and processed in November 2011. The budget baseline estimates for fiscal year 2013 were reported to OMB by mid-January 2012. The budget analyst is also responsible for the preparation of 1099s and the prompt submission of forms to the IRS before the end of the January.

Accounts Payable: Vendor Administration

The Vendor Administration Section maintains the accuracy and integrity of the Senate’s central vendor (payee) file for the prompt completion of new vendor file requests and service requests related to the Disbursing Office’s Web-based payment tracking system. This section also assists the IT department by performing periodic testing and by monitoring the performance of the vendor system. Currently, more than 17,300 vendor records are stored in the vendor file, in addition to approximately 10,000 employee records. Daily requests for new vendor addresses or updates to existing vendor information are processed within 24 hours of receipt. Besides updating mailing addresses, the section facilitates the use of ACH by switching the mode of vendor payment from paper check to electronic deposit. Whenever a new remittance address is added to the vendor file, a standard letter is mailed to the vendor requesting tax and banking information, as well as contact and email information. If a vendor responds indicating they would like to receive ACH payments in the future, the method of payment is changed.

All WebFMIS users are using the Staffer Functionality exclusively, and new offices are automatically established with it. Senate employees can electronically create, save, and file expense reimbursement forms, track their progress, and get detailed information on payments using this system. The most common service requests are for system user identification and passwords and for the reactivation of accounts. Employees may also request an alternative expense payment method. Employees can choose to have their payroll set up for direct deposit or paper check, but can have their expenses reimbursed by a method that differs from their salary payment method.

The Vendor section works closely with the Accounts Payable (A/P) Disbursements group to resolve returned ACH payments. ACH payments are returned periodically for a variety of reasons, including incorrect account numbers, incorrect routing numbers, and, in rare instances, a nonparticipating financial institution.

The Vendor section electronically scans and stores all supporting documentation of existing vendor records and new vendor file requests. When this section receives replies asking for ACH participation, the vendors are asked if they wish to be notified by email when payments are sent. Currently, more than 95 percent of ACH participants also receive email notification of payment.

During 2011, the Vendor section processed more than 2,100 vendor file additions, completed more than 2,700 service requests, mailed approximately 950 vendor information letters, and converted more than 400 vendors from check payment to electronic payment.

Accounts Payable: Disbursements Department

The Disbursements Department is the entry and exit point for voucher payments. The department physically and electronically receives all vouchers submitted for payment. It also pays all of these vouchers, as well as the items submitted by upload and the various certifications and adjustments that are submitted periodically. The department received approximately 108,000 vouchers. All of these items were paid by the department via Treasury check or ACH. Multiple payments to the same payee are often combined. As a result, 17,000 checks were issued, while 69,700 ACH payments were required. The volumes of both were down slightly from the previous year which is a reflection of newly elected Senators starting out and others leaving.

After vouchers are paid, they are sorted and filed by document number. Vouchers are grouped in 6-month "clusters" to accommodate their retrieval for the semi-annual Report of the Secretary of the Senate. Files are maintained in-house for the current period and one prior period, as space is limited, due mainly to the office renovation which took place in the fall. One result is that more documents are stored in the Senate Support Facility (SSF). The inventoried items are sorted and recorded in a database for easy document retrieval. Document retrieval missions increased, but were successfully conducted, and the department continues to work closely with warehouse personnel. The renovated area has led to more efficient use of space here and at the SSF.

A major function of the department is to prepare adjustment documents. Adjustments are varied, and include re-issuance of items held as accounts receivable collections, re-issuance of payments for which nonreceipt is claimed, and various supplemental adjustments received from the Payroll Department. Such adjustments are usually disbursed by check, but an increasing number are now handled electronically through ACH. The department maintains a spreadsheet that tracks cases of nonreceipt of salary checks, including stop payment requests and re-issuance.

The department also prepares the stop payments forms as required by the Department of the Treasury. Stop payments are requested by employees who have not received salary or expense reimbursements, and vendors claiming nonreceipt of expense checks. The Treasury Check Information System (TCIS) allows the department to electronically submit stop-payment requests and provides online access to digital images of negotiated checks for viewing and printing. Once a check is viewed, it is printed and may be scanned. Scanned images are then forwarded to the appropriate accounting locations via email. During 2011, approximately 500 digital images of negotiated checks were provided, and an additional 77 requests were received for stop payments. The stop payment volume is a significant reduction of 39 percent from 2010, and is attributable to increased ACH payment and TCIS check copy retrieval. TCIS saves the Disbursing Office time, a $7.50 processing fee for each request, is Web-based, and is accessible from multiple workstations in Disbursing.

Accounts Payable: Audit Department

The Accounts Payable Audit Section is responsible for auditing vouchers and answering questions regarding voucher preparation and the permissibility of expenses and advances. This section provides advice and recommendations on the discretionary use of funds to the various accounting locations; identifies duplicate payments submitted by offices; monitors payments related to contracts; trains new administrative managers and chief clerks about Senate financial practices and the Senate's Financial Management Information System; and assists in the production of the Report of the Secretary of the Senate. The Report was issued electronically for the first time in November 2011, concurrent with the printed version. The printed version is available as always, and the online version is available through the Senate and GPO Web sites.

The section is organized at three different levels. The first level is the supervisor. In addition to performing managerial tasks, the supervisor also audits and sanctions vouchers as needed, and coordinates testing related to system implementation and upgrades. Eleven auditors process all incoming vouchers and uploads, and 3 of them have the authority to sanction, on behalf of the Committee on Rules and Administration, vouchers not exceeding $100. They also sanction all travel and petty cash advances as well as non-Contingent Fund items such as Legal Counsel, Legislative Counsel, and the Office of Congressional Accessibility Services, as well as the for the Congressional Oversight Panel.

A major function of the section is monitoring the fund advances for travel and petty cash. Travel advances must be repaid within 30 days of trip completion and petty cash advances must be repaid whenever new funding authority is established. The system accommodates the issuance, tracking, and repayment of advances. It also facilitates the entry and editing of election dates and vouchers for Senators-elect. In addition to other functionality, an advance type of petty cash was created and is in use. Regular petty cash audits are performed by the section, and all petty cash accounts were successfully audited in 2011.

The Accounts Payable Audit Section processed more than 108,000 expense items in 2011. Audit sanctioned approximately 53,000 vouchers under authority delegated by the Committee on Rules and Administration. This translates to roughly 9,800 vouchers processed per auditor, and 10,500 vouchers posted per certifier. The voucher processing consisted of providing interpretation of Senate rules, regulations and statutes and applying the same to expense claims, monitoring of contracts, and direct involvement with the Senate's central vendor file. On average, vouchers greater than $100 that do not have any issues or questions are received, audited, and/or sanctioned electronically by the Senate Committee on Rules and Administration using WebFMIS, and are expected to be paid within 8 to 10 business days. These vouchers comprised approximately 50 percent of all vouchers, and, as in the previous year, Disbursing passed two postpayment audits performed by the Committee on Rules and Administration for items of $100 or less. In 2011, the average for Committee on Rules and Administration-sanctioned items was 4.83 days, and the average for Disbursing sanctioned items was 2.73 days, roughly 12-percent faster overall and 23-percent faster than the previous year.

Uploaded items are of two varieties:

—certified expenses; and

—vendor payments.

Certified expenses have been around since the 1980s, and include items such as stationery, telecommunications, postage, and equipment. Currently, the certifications include mass mail, franked mail, excess copy charges, Photography Studio, and Recording Studio charges. Expenses incurred by the various Senate offices are certified by SAA to the Disbursing Office on a monthly basis. The expenses are detailed on a spreadsheet which is also electronically uploaded. The physical voucher is audited and appropriate revisions are made. Except for telecommunications charges, concentrated effort is put forth to ensure certified items appear as paid in the same month they are incurred. Telecommunications charges usually run 1 month behind as the SAA must wait for the bills from external vendors.

Vendor uploads are used to pay vendors for the Senate Stationery Room, Senate Gift Shop and State office rentals, and refund security deposits for the Senate Page School. The methodology is roughly the same as that for certifications, but the payments rendered are for the individual vendors. Although these items are generally processed and paid quickly, the State office rents are generally paid a few days prior to the month of the rental, which is consistent with the general policy of paying rent in advance.

The Accounts Payable Audit Group provided training sessions in the use of new systems: the process for generation of expense claims and the permissibility of expenses. They also participated in seminars sponsored by the Secretary of the Senate, the SAA, and the Library of Congress. The section trained 13 new administrative managers and chief clerks and conducted five informational sessions for Senate staff through seminars sponsored by the Congressional Research Service (CRS). The Accounts Payable group also routinely assists the IT department and other groups as necessary in the testing and implementation of new hardware, software, and system applications. The implementation of WebFMIS 2011–1 enhanced document creation and document search. WebFMIS 2011–2 enhanced the expense summary report and electronic invoicing. WebFMIS 2011–3 allowed the SAA to use a Web-based system more extensively for purchase orders and requisitions and created new posting logic as well as increased system security.

The Accounts Payable Department has participated in the testing of the new imaging project that the IT department has been tasked with. The staff has provided valuable feedback to the IT department on system problems, system restraints, and areas that need improvement. A/P has devoted a lot of time in detailing system problems and reporting them to the IT department. There were several performance problems experienced during the first testing phase, resulting in the project's suspension until system performance could be improved.

The Accounts Payable Department has participated and helped to design an itinerary wizard. A/P consistently provided feedback about itinerary situations and variables to aid the IT department with this project.

Disbursing Office Information Technology

Financial Management Information System

The Disbursing Office Information Technology department provides both functional and technical assistance for all Senate financial management activities. Activities revolve around support of WebFMIS which is used by staff in all Senate accounting locations (i.e., Senate personal offices, committees, leadership and support offices, the Office of the Secretary of the Senate, the SAA, the Senate Committee on Rules and Administration Audit section, and the Disbursing Office).

Responsibilities of the department include:

—supporting current systems;
—testing infrastructure changes;
—maintaining contact with system users to ensure their needs are met;
—managing and testing new system development;
—implementing changes for the 112th Congress;
—planning upgrades to systems and hardware;
—managing the FMIS project, including contract management;
—administering the Disbursing Office's local area network (LAN); and
—coordinating the Disbursing Office's disaster recovery activities.

The Disbursing Office is the "business owner" of FMIS and is responsible for making the functional decisions about FMIS. The SAA Technology Services staff is responsible for providing the technical infrastructure, including hardware (e.g., mainframe and servers), operating system software, database software, and telecommunications; technical assistance for these components, including migration management and database administration; and regular batch processing. The office utilizes the support of a contractor, along with the SAA who are responsible for operational support and application development. The three organizations work cooperatively.

Highlights of the year include:

—supporting more than 4,800 FMIS users, of which 87 percent are staff preparing ESRs;
—implementing two releases of FMIS, including one pilot for attaching imaged documentation to vouchers, and completing the move to Web-based interfaces for the SAA;
—implementing an improvement to the WebFMIS reporting extract program;
—testing infrastructure changes that included upgrades to the Z/OS and the DB2;
—increasing the number of offices using the electronic invoicing module—there are now 41 offices participating;
—implementing changes for the 112th Congress;
—resuming the effort to convert all user identification to a format that does not include any portion of an individual's SSN—this effort will continue into 2012.

Supporting Current Systems

IT supports WebFMIS users in all accounting locations, the departments in the Disbursing Office (e.g., A/P, Accounting, Disbursements, Vendor Administration, and Front Office sections), and the Senate Committee on Rules and Administration Audit staff. The activities associated with this responsibility include:

User Support.—

—providing functional and technical support to all Senate FMIS users;
—staffing the FMIS help desk;
—answering hundreds of questions; and
—meeting with chiefs of staff, administrative managers, chief clerks, and directors of various Senate offices as requested;

Technical Problem Resolution.—Ensuring that technical problems are resolved;

Monitor System Performance.—Checking system availability and statistics to identify system problems and coordinate performance tuning activities such as those for database access optimization;

Security.—Maintaining user rights for all ADPICS, FAMIS, and WebFMIS users;

System Administration.—Designing, testing, and making entries to tables that are at the core of the system;

Support of Accounting Activities.—Performing functional testing and production validation of the cyclic accounting system activities. This includes rollover, the process by which tables for the new fiscal year are created, and archive/

purge, the process by which data for the just lapsed fiscal year are archived for reporting purposes and removed from the current year tables;

Support of the Senate Committee on Rules and Administration Postpayment Voucher Audit Process.—providing the data from which the Committee on Rules and Administration Audit staff selects a statistically valid sample of vouchers for $100 or less. In this way, the Committee on Rules and Administration Audit staff review vouchers sanctioned under authority delegated to the Financial Clerk; and

Training.—Providing functional training to all Senate FMIS users.

Testing Infrastructure Changes

SAA provides the infrastructure on which FMIS operates, including the mainframe, the database, security hardware and software, and the telecommunications network. Activities for changes to the infrastructure include testing of all functionality prior to implementation and validating critical functionality post implementation. During 2011, the SAA implemented two upgrades to the FMIS infrastructure. These included a maintenance update to the DB2, and a maintenance update to the Z/OS.

Maintaining Contact With System Users To Ensure Their Needs Are Met

Communicating with our large user base is critical to provide the excellent service. IT meets on a regularly scheduled basis with representatives from Accounting, A/P, and the SAA. In addition, IT meets with user groups as it gathers requirements for new functionality. Meetings are advertised, and users self-select to participate. This year, IT met with SAA users who prepare vouchers to discuss voucher and inquiry functionality developed in the third phase of "WebPICS", a Web-based front end to ADPICS with additional functionality developed to address SAA user needs.

Managing and Testing New System Development

During 2011, IT supervised development, performed extensive integration system testing, and implemented changes to FMIS subsystems. The implementation and production verification activities were completed over a weekend in order to minimize system downtime to users. Since 2006, multiple subsystem upgrades have been consolidated into 2 or 3 releases each year. This reduced the amount of regression testing required. In order to accurately reflect the variety of changes in each release, the releases are now numbered by fiscal year. During 2011, Disbursing implemented the following two major releases:

—FMIS r2011–2, implemented in June 2011; and

—FMIS r2011–3, implemented in August 2011.

FMIS 2011–2—June 2011

This release included an enhancement to electronic invoicing that allows an office (or an auditor in Disbursing) to split a single charge on an invoice into two accounting lines. This allows an office to distribute a charge across locations and/or split a charge into two expense categories.

The ESR line entry module was also updated to implement some minor enhancement and corrections, most notably:

—certain expense types now allow an optional location (it is no longer required); and

—ESR printing is disabled until after the ESR is submitted. This reduces the likelihood of submitting and printing different data.

Release 2011–2 also implemented the third of three major phases in WebPICS, which effectively replaces and improves ADPICS (the mainframe procurement application). The first two phases of WebPICS provided functionality for requisitions and vouchers. This release allowed purchase orders to be created, approved, and posted. One of the features included was direct requisition, which automatically directs the user to immediately create the purchase order. Other WebPICS improvements included the addition of commodity table maintenance, and functionality for the last two types of change orders. After implementing this release, the vast majority of ADPICS users were able to abandon the mainframe application in favor of the more user-friendly WebPICS.

One of the larger changes in this release was the addition of online access to the Month End Ledger Statements (Statement of Funding Authorization and Expense Activity). A pilot group was given access to their May 2011 statements first. After positive feedback, all offices were given access to their June 2011 statements, and paper distribution was eliminated.

Financial Management Information System 2011–3—August 2011

The most significant feature in release 2011–3 was the image viewer and repository that allows users to attach documentation to their vouchers (see more in the FMIS Imaging and Electronic Signatures section below). A pilot of three offices began attaching their supporting documentation electronically only—the paper vouchers themselves were still required to provide approving signatures. Unfortunately, system performance for the auditors fell below acceptable levels, and Disbursing asked the pilot offices to resume attaching paper documentation to their vouchers. In each case, they also continued to attach documentation electronically. The cause was quickly identified, which was the low resource availability for the image viewer when running in the mainframe environment. The solution, which is included in the first release for 2012, was to move the image viewer onto Windows virtual servers, which will also allow significant room to scale up for a Senate-wide rollout. Initial testing at the end of the year showed a vast improvement.

As part of the continuous effort to keep information secure, Disbursing implemented a limit of five unsuccessful login attempts for WebFMIS. Users whose accounts are locked after the fifth failed attempts must contact Disbursing to have their account unlocked and a new temporary password issued.

New staffer accounts are created automatically when an administrative director requests. The staffer profile feature improved to show administrative directors the date the staffer's account was created, date password last changed, and provides option to send request to reset staffer's password.

The most significant improvement to WebPICS was the implementation of an insufficient funds limitation, on the submission and approval of requisitions. The entry of specific limits will be rolled out in 2012. After this release, the IT section discontinued granting new procurement users access to mainframe ADPICS. This significantly simplifies user training and account maintenance.

Other WebPICS improvements included:

—a fix to purchase order viewer balance display;

—a fix to allow update to effective date and delivery date on requisitions while in approval phase; and

—fixes for preparing and approving vouchers from purchase orders.

Financial Management Information System Imaging and Electronic Signatures

During 2008, Disbursing implemented a prototype imaging system in which paper vouchers and supporting documentation were imaged by Disbursing staff and routed electronically. The hands-on experience of this prototype was especially useful in refining system requirements. Under the FMIS Imaging Product Analysis project, begun in 2009 and completed in 2010, software for the image database and image viewer was selected, and imaging and electronic signature requirements were finalized. This information was coordinated with a separate SAA smart ID card project. The smart cards will be used for electronic signatures.

In October 2010, a task order for the adding document imaging and electronic signatures to WebFMIS was signed. This task order outlines work to be completed between then and the spring 2013 in three phases:

—Phase 1: imaging only pilot—fall 2011 (originally spring 2011);

—Phase 2: office imaging and signatures pilot—winter 2012 (originally summer 2011), (extended pilot—combined with the initial pilot, originally winter 2012), and full roll-out (summer 2012); and

—Phase 3: staffer imaging and signatures pilot (winter 2012), and rollout (spring 2013).

Planning

The Disbursing IT department performs two main planning activities:

—schedule coordination: planning and coordinating a rolling 18-month schedule; and

—strategic planning: setting the priorities for further system enhancements.

Schedule Coordination

In 2011, this department continued to hold two types of meetings between Disbursing and the SAA to coordinate schedules and activities. These were:

—project specific meetings: a useful set of project-specific working meetings, each of which has a weekly set meeting time and meets for the duration of the project (e.g., archive/purge meetings and WebFMIS budget function meetings); and

—technical meetings: a weekly meeting to discuss the active projects, including scheduling activities and resolving issues.

Strategic Planning

During 2010 Disbursing drafted a 5-year schedule based on earlier meetings to "envision the future". This is still under discussion and review and will be affected by the schedule for implementing a new payroll system, which will require substantial changes to current systems, including the interface from payroll into the General Ledger (FAMIS) of payroll expenditures and projections, the interface from the payroll system into the master vendor file (in FAMIS), and the payroll reports provided to the offices via WebFMIS.

In 2011 the IT section decided to build a design backlog of FMIS features, where desired features are designed and planned well in advance of the release for which they are scheduled. This process has occurred at a strategic level for many years, but is now being implemented at a more tactical level. The design backlog will provide for a more continuous and fluid process for identifying, designing, building, testing, and implementing the features. This should result in a slightly faster design-build cycle.

Managing the Financial Management Information System Project

The responsibility for managing the FMIS project was transferred to the Disbursing IT department in 2003, and includes developing the task orders with contractors, overseeing their work, and reviewing invoices. In 2011, the Service Year 2012 Extended Operational Support task order was executed, which covers activities from September 2011 to August 2012.

Work also continued under the Service year 2011 Extended Operational Support (covering activities from September 2010 to August 2011).

Administering the Disbursing Office's Local Area Network

The Disbursing Office continued to administer its own LAN, which is separate from the network used by the rest of the Secretary's Office. It is used by more than 50 staff. Upkeep of the LAN infrastructure, including performing routine daily tasks and replacing equipment regularly, is critical to providing services. In addition, there are a number of specialized administrative applications that are housed on the Disbursing Office LAN. During 2011, LAN administration activities included:

—performing maintenance on the LAN;
—installing specialized software;
—maintaining projects for the payroll and benefits section; and
—upgrading existing workstations with appropriate upgrades including:
  —installation of an automated client software cataloging and updating program. This software provides a more aggressive approach toward applying software patches that address vulnerabilities in our platform; and
  —imaging critical PCs for easy recovery from hard disk crash or other PC failure.

Maintaining Projects for Payroll and Employee Benefits Sections

During 2011, Disbursing supported three specialized applications for the Payroll and Employee Benefits Sections:

—imaging system, developed by SAA staff, that electronically captures and indexes payroll documents submitted at the front counter, and is critical for the Payroll and Employee Benefits sections;
—CLER application, a health insurance benefits validation service; and
—retirement benefit software, which enables benefits counselors to easily estimate retirement benefits based on different scenarios, is also supported.

Continuity of Operations Planning

Disaster recovery activities are an important part of Disbursing's COOP Plan. We work closely with SAA to coordinate our planned exercises. Basic tests were performed to ensure our recovery capabilities with more extensive plans for testing in 2012.

ADMINISTRATIVE OFFICES

CHIEF COUNSEL FOR EMPLOYMENT

The Office of the Senate Chief Counsel for Employment (SCCE) is a nonpartisan office established at the direction of the Joint Leadership in 1993 after enactment of the Government Employee Rights Act (GERA), 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 employing offices 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 lawsuits;
—Court-ordered alternative dispute resolutions;
—Occupational Safety and Health Act (OSHA) compliance;
—Union drives, negotiations, and unfair labor practice charges;
—Americans with Disabilities Act (ADA) Compliance;
—Layoffs and office closings in compliance with the law;
—Management training regarding legal responsibilities; and
—Preventive legal advice.

Litigation; Mediations; Alternative Dispute Resolutions

The SCCE provides legal advice to and defends Senate employing offices in all court actions, hearings, proceedings, investigations, and negotiations relating to labor and employment laws. The SCCE handles cases filed in the District of Columbia and cases filed in any of the 50 States.

Compliance With the Occupational Safety and Health Administration and the Americans With Disabilities Acts

The CAA mandates that, at least once each Congress, OOC shall inspect each Senate office to determine whether each office complies with the OSHA and the public accommodation portion of the ADA. The CAA authorizes the OOC to issue a public citation to any office that is not in compliance.

The SCCE provides legal assistance and advice to each Senate office to ensure that it is complying with the OSHA and the ADA. The SCCE also represents each Senate office during OOC inspections and advises and represents each Senate office when a complaint of an OSHA or ADA violation is filed against the office or when a citation is issued.

In 2011, the SCCE pre-inspected 1,977 Senate rooms and work areas to ensure that Senate offices are complying with the OSHA and the ADA. The SCCE conducted pre-inspections of member offices, SAA, offices of the Secretary of the Senate, the Senate Child Care Center, the Webster Hall Page Facilities, and offsite buildings used by the Senate.

At the conclusion of the OOC's inspection process, Senate offices had no significant ADA problems and no citations were issued in 2011. The OOC has not yet issued a report regarding its OSHA inspections.

Management Training Regarding Legal Responsibilities

The SCCE regularly conducts legal seminars for the managers of Senate offices to assist them in complying with employment laws, thereby reducing their liability.

In 2011, the SCCE gave 85 live, legal seminars to Senate offices, including, among others:

—The Congressional Accountability Act of 1995: Management's Rights and Obligations;
—Conducting the Interview: Effective and Legal Methods of Getting the Best Employees for Your Office;
—Maintaining a Harassment-Free Workplace;
—Management Staff Beware: Your Office Can Be Sued: Employment Laws You Must Comply With;
—The Genetic Information Non-Discrimination Act: Practical Guidance for Managers;
—A Manager's Guide to Preventing and Addressing Harassment in the Workplace;
—But He Interviewed So Well: How to Interview Job Applicants, Check References and Backgrounds, and Give References;
—Military Service Academies Interview Training; and
—Diversity in the Workplace.

In addition to the previously mentioned 85 seminars, the SCCE conducted a series of monthly seminars covering all major employment laws that govern Senate offices. The purpose of the seminars was to educate all Senate management staff about their responsibility to ensure that their respective offices comply with the CAA. The series was open to all chiefs of staff, staff directors, administrative directors, chief clerks, and office managers. Individuals who complete the series receive a certificate of completion signed by the Secretary of the Senate. The SCCE, working with the Senate Recording Studio, streamed these monthly seminars to State offices so that all State managers could participate and to allow staff members in Washington, DC to view the seminars from their offices. In addition, the SCCE rebroadcast each of its monthly seminars on the SCCE Web site to accommodate managers who were unable to attend the initial seminars. Further, the SCCE online registration technology was used extensively by Senate management staff in 2011 to register online for attending the seminars in the series.

The SCCE also held 11 1-hour, lunchtime meetings, referred to as "Brownie Brown Bags", open to all office managers and administrative directors of member offices and all chief clerks of committees. The purpose of the Brownie Brown Bags is to allow attendees to ask the SCCE attorneys any legal issues they would like to discuss. These meetings have been well-attended.

Legal Advice

The SCCE meets daily with Members, chiefs of staff, administrative directors, office managers, staff directors, chief clerks, and counsel at their request to provide legal advice. For example, on a daily basis, the SCCE advises Senate offices on matters such as disciplining and terminating employees in compliance with the law; handling and investigating harassment complaints; accommodating the disabled; determining wage law requirements; meeting the requirements of the Family and Medical Leave Act (FMLA); management's rights and obligations under union laws and the OSHA; management's obligation to give leave to employees for military service; veterans' rights; and interviewing, hiring and counseling employees. In 2011, SCCE had more than 2,544 client legal advice meetings.

Also, the SCCE provides legal assistance to Senate offices to ensure that their office policies, supervisors' policies, intern policies, job descriptions, interviewing guidelines, and performance evaluation forms comply with the law. In 2011, the SCCE significantly revised or prepared 197 policy manuals for Member offices and committees.

To keep clients abreast of legal developments, the SCCE prepares and distributes timely client alerts to all Senate offices and committees explaining the impact of newly enacted employment-related laws. In 2011, the SCCE prepared and distributed eight such alerts.

Union Drives, Negotiations and Unfair Labor Practice Charges

In 2011, the SCCE reviewed one union contract and provided guidance to managers and supervisors regarding their legal and contractual obligations under union contracts.

Environmental Impact and Cost Savings

In 2011, for the third consecutive year, the SCCE continued with its project of eliminating a significant amount of hard copy legal reference materials to further benefit the environment, cut costs, and clear valuable office space. This project has resulted in cost savings of more than $9,200 and has reduced the area required for storing our hard copy legal reference materials from 129 square feet to 50 square feet.

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;
—collection surveys;
—exhibits; and
—matting and framing for the Senate leadership.

Senate Library

As mandated in the 1990 Senate Library Collection Condition Survey, the office continued to conduct an annual treatment of books identified by the survey as needing conservation or repair. In 2010, conservation treatments were completed for 173 volumes of a 7,000-volume collection of House hearings. Specifically, treatment involved recasing each volume as required, using alkaline end sheets, replacing acidic tab sheets with alkaline paper, cleaning the cloth cases, and replacing black spine title labels of each volume as necessary. The Office of Conservation and Preservation will continue preservation of the remaining 3,410 volumes.

Preservation

The Office of Conservation and Preservation completed 106 volumes of House and Senate hearings and Congressional Records for the Senate Library. These books were rebound with new end sheets and new covers using the old spines when possible.

Committees

Conservation and Preservation assisted the Committee on the Budget, Select Committee on Ethics, and the Joint Economic Committee with their books being sent to GPO for binding.

Exhibition

Conservation and Preservation assisted the Senate Historical and Curator's offices in the installation of a new exhibition to mark the 150th anniversary of the Civil War. The exhibition replaced the Inauguration exhibit in the Senate wing's first floor connecting corridor.

CURATOR

The Office of Senate Curator, on behalf of the Senate Commission on Art, develops and implements the museum and preservation programs for the United States 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.

Collections: Commissions, Acquisitions, and Management

Forty-nine objects were accessioned into the Senate collection this year. A large number of the items catalogued included tickets, invitations, programs, and other ephemera related to events in which the Senate participated. The Curator's office actively collects contemporary artifacts in an effort to preserve and document the present for future generations. Other items added to the collection included three historic writing tables, several historic chairs, three memorial drapes and two vases used on the desks of Senators who have passed away, mementos from the 1985 Presidential Inauguration, a 1892 wax seal used by the Secretary of the Senate on envelopes, a diagram of the Senate Chamber from the 78th Congress, and a painted plaque previously displayed in the Vice President's Ceremonial Office.

The new Architectural Fragment collection, comprising original, significant, or unique objects or building fabric removed from Senate spaces, was created in 2011. The collection was established to better understand the architecture, ornamentation, and decoration of Senate spaces within the Capitol complex; to serve as a resource for historic reconstructions; and to enhance knowledge of the Senate. It is based on similar collections at other historic sites, and standard museum management procedures and documentation have been established for the Senate's collection.

Twenty-nine new foreign gifts were reported in 2011 to the Select Committee on Ethics and deposited with the Senate Curator's office on behalf of the Secretary of the Senate. The office currently is responsible for 217 foreign gifts, which are catalogued and maintained in accordance with the Foreign Gifts and Decorations Act. Appropriate disposition of 26 foreign gifts was completed following established procedures.

The Curator's office continued to work with the Capitol Visitor Center (CVC) project staff, Architect of the Capitol (AOC) representatives, and their consultants to resolve problems with the heating, ventilating, and air conditioning (HVAC) equipment in the Curator's two CVC collection storage spaces. In February 2011, project staff turned one room to the AOC, following successful completion of testing for its new HVAC system. It is the largest storage space for the Senate collections available in the Capitol complex and has provided much needed temporary storage for items during renovations of spaces in the Senate, as well as for long-term storage. Testing for the HVAC system in the second room was successfully completed in November 2011 and final preparation of the room is underway. The space will provide cooler temperature storage for paper-based items, in support of the Curator's mission to preserve the Senate's significant collections. Procedures and policies have been established for use of the two rooms, and include disaster preparation plans.

The office continued its multi-year project to photograph all objects for the collection database. More than 250 objects were photographed and a total of 252 images out of 4,598 were resized for consistency. Staff also worked with the Senate Photographic Studio and the AOC Photography Branch to capture special events and projects, such as moving art and the extensive work in the Old Senate Chamber. Such documentation is important for recordkeeping, disaster preparedness, use on Senate.gov, and for publications promoting the Senate's collections.

In keeping with scheduled procedures, all Senate collection objects on display were inventoried this year, noting any changes in location. In addition, as directed by S. Res. 178 (108th Congress, 1st Session), the office submitted inventories of the art and historic furnishings in the Senate to the Senate Committee on Rules and Administration (Rules Committee). The inventories, which are submitted every 6 months, are compiled by the Curator's office with assistance from the SAA and the AOC's Superintendent of Senate Office Buildings (Superintendent). This year the Curator's office worked with the SAA to physically inventory all of the assets listed in the Senate's historical furnishings inventory. More than 800 objects were inspected and their location verified. As part of this internal review effort, the Curator's office developed a master list of assets and established procedures for adding and deleting objects from the inventory. This documentation is part of the Curator's standard procedures and applies equally to all collections under the auspices of the Commission on Art. Next year the Curator's office will work with the SAA and the Superintendent to ensure their policies and procedures for historic items are consistent with the Senate Curator's Collections Management Policy.

Staff worked with the SAA Cabinet Shop to complete a comprehensive survey of the writing boxes that are part of the Senate Chamber desks. The project included collecting detailed information on the construction, size, and mode of attachment to the top of each desk, along with condition information. During the 19th century, mahogany writing boxes were added to the desktops to provide more space for books and papers. Today, only one desk—the "Webster Desk"—lacks a writing box. Many of the writing boxes have sustained damage over the years from daily use, and the survey is part of a comprehensive effort to preserve the desks. The survey results were used to create prioritized reports and computerized drawings that will guide the Cabinet Shop's efforts to refurbish the writing boxes.

The Curator's office continued to advance documentation and care of the historic Russell Senate Office Building furnishings by surveying the mirrors. Fourteen historic mirrors were identified, recorded, assessed, and added to the Senate collection. Guidelines were drafted and shared with the Superintendent to ensure proper protection of the mirrors during building projects and housekeeping. Information on the significance of the mirrors and care practices will be provided to the occupants. The historic Russell Senate Office Building mirrors have been included in the established maintenance program conducted by the Curator's staff.

Of special interest as it regards the Russell Senate Office Building furnishings are the historic flat-top desks. Beginning with the 110th Congress, the Curator's office has conducted a yearly inventory and inspection of these desks. Each desk location and occupant information is added to the Curator's database, which documents the use and location of the remaining 62 historic desks.

Electronic recordkeeping and collection guidelines related to the Senate's Capitol historic mirrors again received considerable attention. In 2010, the paper files and the database entries were addressed, and this year the effort expanded to the electronic files and digital images of all 94 mirrors. The electronic records were reviewed and updated based on established registration and file standards. Another initiative that improved the mirror collection administration was the approval of a scope for the collection. With a clear scope in place, the office reviewed existing objects and will deaccession those few without historic significance.

The official Senate chinaware was used at 12 receptions for distinguished guests, both foreign and domestic, including a tea for the President of Mexico, luncheon for the King of Jordan, and tea for the Prime Minister of New Zealand. The Secretary's chinaware was used at three receptions sponsored by the chairman of the Senate Foreign Relations Committee.

Conservation and Restoration

Providing for the conservation needs of the Senate's historic clock collection continues to be a priority. Although the floor clock in the Vice President's Ceremonial Office was originally scheduled for conservation this year, the Seth Thomas perpetual calendar clocks in the collection became a priority. The floor clock received some interim treatment in 2009 to repair problems with the second hand, and has been running accurately ever since, whereas the calendar clocks, which date to the late 19th century, have had ongoing problems, especially related to their calendar functions. The earthquake on August 23 caused both calendar clocks to stop running, and after they were restarted, their timekeeping was erratic. In addition, the paint on the dials of one of the clocks was actively flaking, making prompt conservation treatment imperative to stop further losses. The clocks were conserved and are now in working order.

The most prominent and extensive project the Curator's office undertook this year was the renovation of the Old Senate Chamber. Prior to the start of this effort, two iconic works of art that were displayed in the room beginning in the 1830s—the gilded *Eagle and Shield* and the 1823 painting by Rembrandt Peale, *George Washington*, (Patriœ Pater)—were removed for conservation. In 2010, a comprehensive review of records pertaining to both art works began and was used to develop a report outlining the history of their treatments and placement during their time in the Capitol. These histories, along with condition analyses conducted by conservators in 2004, provided necessary information to solicit treatment proposals. Conservation experts from the Senate Curatorial Advisory Board and the National Gallery of Art aided in the process. Three separate conservations were undertaken, one for treating the *Eagle and Shield*, and one each for the painting and the frame of *George Washington*, (Patriœ Pater). Treatments for the painting and the frame were completed, and the portrait will remain in storage until the renovations in the Old Senate Chamber are completed. Treatment for the *Eagle and Shield* requires more time, and it will return to the Capitol in spring 2012.

The office completed the restoration of the eight Senate Reception Room Flemish oak benches purchased in 1899. This project was undertaken as part of the Reception Room restoration project. Over time, the original carved back panels were removed, the seats and backs upholstered, and the benches poorly refinished multiple times. The conservation sought to return the furnishings to their original appearance. The process included research into the original carved panels and finish, and the difficult repair of the extensive upholstery damage. The benches returned to the Capitol in September, and the Curator's office is working with the SAA to ensure proper housekeeping and handling practices regarding these historic benches.

Regular care of the Senate's gilded objects was a priority in 2011. A program to provide routine, on-site professional care for the Senate's gilded mirror and picture frames, as well as other gilded objects, continued. Eleven gilded pieces were treated. Additionally, to increase the skill and knowledge of the Curator's office, several staff participated in hands-on training related to basic gilded frame repair. This will reduce the need for professional conservators, improve the response to urgent repairs, and save the Senate time and money.

Historic Preservation

The Senate's historic preservation program seeks to formulate a solid preservation policy reflective of the Senate's interests and the need to preserve the Capitol's historic fabric and historical artistic intent. Through various initiatives, the preservation program has positioned itself as a valuable resource for the Senate, ensuring that all projects are carefully considered and weighed in light of sound preservation practices.

The Curator's office continued to work closely with the AOC and the SAA to review, comment, plan, and document Senate-side construction projects (many of which are long-term initiatives) that involve or affect historic resources. Such construction and conservation efforts included smoke purge system installation, Senate Reception Room wall and ceiling restoration; scagliola conservation; third floor plaster repair; Brumidi Corridors restoration; Strom Thurmond Room wall and ceiling restoration; fire grate installation; storm window installation; Republican Whip's suite improvements; first responder radio system; and ceiling repairs. Through this work, the Curator's office was able to ensure that the highest preservation standards possible were applied to all Capitol projects. In order to provide further protection to the Senate's architectural elements, the Curator's office drafted guidelines for the preservation of restored spaces and the protection of historic assets.

The protection of public spaces and historic assets remained a focus of the Curator's office, with continued participation in a working group (whose other members are the SAA, the AOC, and the Rules Committee) to devise uniform furnishings and protection solutions. In the areas with conserved and faux scagliola, the office continued working with the SAA and AOC to stop unauthorized furniture storage and to install much needed protective measures. Related to this charge, the rounds program, which was established in 2007 to monitor the collections on display, was expanded to include maintenance issues. The program now helps identify preventable damage so staff can address the root cause. The rounds program also reports needed maintenance, so public spaces can look their best for Capitol staff and visitors.

The pilot phase of the Senate Reception Room wall conservation was successfully completed. The original wall decoration comprised a very complex pattern of surface treatments with delicate toned glazes and precise application methods. Over the years, layers of overpaint obscured the original fresco, and conservation was necessary to reveal the true colors. Throughout the pilot project, the Curator's office kept Capitol staff and visitors informed through regularly updated signage. The Reception Room restoration and rehabilitation project is a joint effort between the Senate Curator and the AOC Curator, and includes various work in the room. In addition to restoring the historic Reception Room benches, the Curator's office developed a furnishing plan for the room, based on use surveys. As a first step, one of the historic benches was replaced with a row of chairs, thus allowing easy access to a closet and better use of the space by Members and Senate staff. The office is also working with the Senate Committee on Rules and Administration, the AOC, and the SAA on various furnishing initiatives for the room.

The office continued to assist the AOC in the procurement process for a 5-year plan for finishing the Brumidi Corridors restoration. Curator's staff reviewed the proposal request and will serve on the selection board. Similarly, the office was involved in the procurement for the Strom Thurmond Room restoration and subsequent treatment.

The Curator's office provided significant input on the AOC smoke purge project. After requesting an air flow study to better predict how air will move through the building and at what speed, the Curator's office engaged a team of environmental and art experts to review the project plan, identify potential threats to Senate art, establish an area of impact during construction and testing, and determine appropriate levels of protection measures. Curator's staff developed an art protection needs document, detailing expectations, and presented it to the AOC. In reaching agreement with the AOC, conversations centered on physical protection, climate control, and dust control. An updated set of art protection specifications were drafted and incorporated into the scope of work, thus ensuring a satisfactorily plan of protection for the Senate's art treasures during this complex project, which is scheduled to begin in 2013.

Historic Chambers

During 2011, the Curator's office, with assistance from the AOC and SAA, initiated a long anticipated project to address major plaster repairs in the Old Senate Chamber, which had been restored in 1970. The initial scope included removing failing areas of plaster and lead paint, patching, and repainting with the existing 1975 colors. Additionally, the Curator's staff requested paint analysis, which had never been undertaken in the room, in order to better understand the chamber's architectural history and to increase the Senate's knowledge of the space. Given the long history of major work in the room, early paint layers were not expected to be discovered, but to everyone's great surprise they were. Working closely with the AOC's historic preservation officer, the Curator's office combined microscopic paint analysis with exposures of target paint layers and archival research to identify an historic paint scheme. The early colors consisted of a warm gray on the ceiling, a slightly darker version of the gray on the walls, and a cream color on the trim. The effect will be a monochromatic scheme in contrast to the highly accented style used in the 1975 restoration which featured shades of peach and salmon with metallic highlights. Given this new knowledge, it was decided to repaint the chamber to a more correct historic appearance. Along with painting the walls, ceiling, and trim, the project expanded to include repainting the extensive 1975 faux marble, badly yellowed due to multiple layers of varnish.

With the support of the Senate Commission on Art, the Old Senate Chamber was closed and the task of repairing and repainting the room began. One exciting discovery was an original section of marble cornice that had been painted over. The marble was stripped and cleaned and it will remain exposed. Throughout the project, the Curator's office has continued to conduct extensive research as new questions arise that require immediate curatorial decisions. The staff is overseeing the schedule to ensure all tasks are completed and that thorough documentation occurs, both photographic and written. Justification for each and every decision and action is important for the historic record.

The Old Senate Chamber project is on schedule, and the new and more historically correct chamber will be reopened to the Senate and public in March 2012.

The Curator's staff continued to maintain the Old Senate and Old Supreme Court Chambers and coordinated periodic use of both rooms for special occasions. The staff worked with USCP to record after-hours access to the historic chambers by current Members of Congress. Sixty-eight requests were received from Members for after-hours access to the Old Senate and Old Supreme Court Chambers.

Loans to and From the Collection

A total of 66 historic objects and paintings are currently on loan to the Curator's office on behalf of Senate leadership and offices in the Senate wing of the Capitol. The staff returned two loans, accessioned one loan into the collection, coordinated seven new loans, and renewed loan agreements for 54 other objects. More than 20 loans are projected to be renewed next year.

The Curator's office was proud to have contributed the Senate's only landscape painting, *Niagara, Table Rock-Winter* by François Régis Gignoux, to the Smithsonian American Art Museum exhibition *The Great American Hall of Wonders*. The show examined the 19th-century American belief that the people of the United States shared a special genius for innovation. The exhibition featured 161 objects and ended January 8, 2012.

Publications and Exhibitions

A new exhibition was installed in the Hart Senate Office Building atrium highlighting the maquette, or model, of Alexander Calder's monumental sculpture *Mountains and Clouds*. It is the sculptor's last project and his only creation combining a separate mobile and stabile in a single sculptural work. The display explores the commissioning of the sculpture, the career of Calder, and the ongoing care and conservation of the sculpture itself. The display was the result of a collaborative effort coordinated by the Curator's office with the Secretary's Office of Preservation and Conservation, the SAA Printing, Graphics and Direct Mail branch (PGDM), the AOC Sheet Metal and Paint Shops, and the Creative Services Division of GPO. The exhibit was built using in-house resources at minimal cost to the Senate.

The office continued to increase its presence on Senate.gov this year by supplementing the Senate collections already featured with information on new objects. More than 30 artifact pages were added to the sections on decorative art, ephemera, and graphic art. Objects highlighted include ballot boxes, Sévres vases, inkstands, Argand lamps, stereographs, and gallery tickets for the 1868 Andrew Johnson impeachment trial.

Collaborations, Educational Programs, and Events

A painting of Senator William H. Frist by artist Michael Shane Neal was unveiled in the Old Senate Chamber on March 2, 2011, as part of the Senate Leadership Portrait Collection.

In conjunction with the Office of Web Technology and the Senate Historical Office, the Curator's staff developed a comprehensive bibliographic and publications site, combining various lists in one and organizing publications by subject. Viewers may now access all bibliographies and available publications from links throughout the art and history section of Senate.gov site.

Curator's staff assisted with numerous CVC-related projects throughout the year, including participating in the morning briefings to the Capitol Visitor's Service, conducting exhibition lectures for the public, reviewing exhibition text and images, and evaluating products and publications for the CVC gift shop.

The Curator's staff also gave lectures on the Senate's art and historical collections to various historical groups and art museums, as well as to members of the USCP Chamber Division. The office continued to assist with the Secretary's Senate staff lecture and tour series, and was a regular contributor to UNUM, the Secretary's newsletter.

Office Administration and Automation

The Senate Curatorial Advisory Board for the 112th Congress was empanelled. Two new and five returning members were welcomed. Composed of respected scholars and curators, this 13-member board provides expert advice to the Commission on Art regarding the Senate's art and historic collections, preservation programs, and review and acquisition of new objects for the collection. As an improvement to the Senate Curatorial Advisory Board empanelment procedures, the staff developed a standardized system to chart the appointment process for future board members.

The Curator's office coordinated with staff from the Government Accountability Office (GAO) as they conducted an audit of the Senate Preservation Fund: Audit of fiscal years 2009 and 2010. The final result of the audit was that the Commission on Art and the Secretary of the Senate continue to be in compliance with all applicable laws and operating standards as deemed by GAO.

In the area of file management, the Curator's office continued to advance the implementation of the new organizational matrix, file naming protocols, and improved project documentation through a series of file work days. This effort has greatly improved the usability of the office resources, streamlined office recordkeeping, and enhanced research capabilities.

The Rights and Reproductions program was improved by subscribing to the Large File Transfer System, a program administered by the SAA. This allows Senate collection images to be transmitted to customers digitally, providing cost and time savings as well as an environmental alternative to mailing disks.

Continuity of Operations Planning

In the area of COOP, the office conducted monthly exercises to develop the ability to work remotely. The exercises proved effective in identifying problems and troubleshooting issues in advance of a true emergency.

Objectives for 2012

Conservation and preservation of the Senate's collections continue to be a priority, and several major projects are planned for 2012. The office has already contracted with a professional conservator to restore two companion tables that were purchased around 1860 for the Vice President's Ceremonial Office. Repair and treatment is also planned for the 100 inkwells and 100 sanders in the Senate Chamber desks. Over time these containers have suffered from daily use, resulting in heavy corrosion, loose or broken hinges, and chipped or missing glass liners. The containers are no longer used as originally intended, and treatment will focus on cleaning and stabilizing the containers. The office will continue to expand the care of the Russell mirrors by completing the comprehensive, on-site conservation of one of the impressive committee room mirrors. Repair work will begin on the Senate Chamber desk writing boxes.

A major initiative will begin to provide on-site conservation treatment to preserve the collection of historic furnishings that are in daily use by the Senate. Of particular note in the collection are the Senate Chamber desks. In August 2011, Curator's staff visited the Department of State to observe and consult about a similar program in place for the furnishings in the Diplomatic Reception Rooms. A multistep procurement process, coordinated through the SAA Procurement Office, began in fall 2011 to select conservation studios with the required experience and technical ability to provide periodic condition assessments and treatment for the collection. As a result of this program, ongoing care of the Senate's historic furnishings will be provided on a regular basis, to maintain their appearance and ensure their preservation for future use. The contract is anticipated to be in place before the end of 2012.

In conjunction with the AOC's work in the Senate Reception Room, the Curator's office will oversee the refinishing and reupholstering of the existing table and six chairs in the room. Similarly, during the wall conservation in the Strom Thurmond Room, the office will restore the historic 19th century overmantel mirror.

Several sculpture moves are anticipated for 2012, including:

—moving the original marble pediment sculpture, *Justice and History*, from its location in the Senate subway area to the vestibule outside the Old Supreme Court;

—moving the three plaster reliefs made by Lee Lawrie from their location in the Senate subway area to the main corridor on the third floor of the Capitol; and

—relocating the marble bust of George Washington to the entrance of the President's Room.

These new locations will help preserve the objects by offering more protected environments, and will provide more convenient and enjoyable viewing for staff and visiting public.

The four sculptures currently in the Senate subway area will receive conservation treatment to repair damage to their surfaces in conjunction with their planned moves. Of particular concern to *Justice and History*, is the grease now coating the surface due to its current proximity to the Senate subway.

All of the prints in the Senate collection will be re-housed using advanced archival methods and materials. Advantages to this project include sturdier protection for individual prints, front and back viewing capabilities, and easier access to objects.

The Curator's staff will confer with the AOC regarding preservation issues related to Senate restoration and remodeling projects, establish project records as appropriate, disseminate project information to the Senate, develop preservation projects at the request of the Senate, conduct condition inspections, and arrange necessary maintenance. The bulk of the office's project management will involve advancing the restoration and rehabilitation of the Brumidi Corridors, the Senate Reception Room, and the Strom Thurmond Room. The brochure for the Strom Thurmond Room will be updated following the completion of the restoration work.

An exhibit will be mounted for four Constantino Brumidi paintings. These oil-on-canvas sketches, painted as studies for Capitol murals, will be displayed in a public area so staff and visitors can appreciate these important works of art.

The office will assist the Joint Congressional Committee on Inaugural Ceremonies in various capacities for the 2013 Presidential Inauguration.

In the area of COOP preparedness, the office will conduct its annual table top exercise, and will continue with its series of remote desktop exercises to best prepare staff for an emergency situation.

EDUCATION AND TRAINING

The Joint Office of Education and Training provides employee training and development opportunities for all Senate staff in Washington, DC and the States. There are two branches within the office:

—Education and Training; and

—Health Promotion.

The Education and Training branch is responsible for providing management and leadership development, training on human resource issues, writing, editing, legislative research and time management, as well as offering technical training support for approved software packages and equipment and new staff and intern orientation in either Washington, DC or the State offices. This branch provides training as instructor-led classes, one-on-one coaching sessions, specialized vendor provided training, video teleconferencing, webinars, Internet-based training, documentation, job-aids, and quickcards. The Health Promotion branch provides seminars, classes and screenings on health and wellness issues. This branch also coordinates an annual health fair for all Senate employees and plans blood drives every year.

Capitol Hill Training Events

The Office of Education and Training offered 1,058 classes and events on Capitol Hill in 2011, drawing more than 12,000 participants. The registration desk handled more than 25,000 email and phone requests for training and documentation.

The previous total includes 160 customized training sessions for 2,667 staff members. These sessions ranged from in-depth training of Senate office system administrators, conflict resolution, and organizational development. The office provides individual consultation on Web site development and office systems training, as well as classes in résumé and interviewing skills building for staff whose Members have announced their retirements.

The Senate's intern program is also a focus of the office. The office provides training for intern coordinators as well as 10 orientation and training sessions for approximately 1,225 interns.

The biannual Senate Services Expo for Senate office staff had 36 presenters from the offices of the Secretary of the Senate, SAA, AOC, USCP, and the Library of Congress providing an overview of their services to 260 staff. This is part of the orientation for new staff and the aides to the Senators-elect in addition to the eight orientation sessions held January through March.

State Training Events

The Office of Education and Training provided 94 learning opportunities and training sessions to State office for which 2,625 State staff registered.

The office continues to offer the State Training Fair Program and video teleconferencing and webinars as a means to train State staff. In 2011, one session of the State Training Fair was attended by 40 State staff. In addition, 42 State administrative managers and directors attended the State Directors Forum, 57 State staff participated in a Constituent Services Forum, and 41 staff attended the Outreach Conference.

Education and Training also provided advanced all-staff meeting facilitation to more than 30 offices that were attended by more than 500 staff. Additionally, the office offered 20 video teleconferencing classes for which 718 State staff registered and 22 webinars that were attended by 200.

To date, 826 State and Washington, DC staff have registered and accessed a total of 1,780 different lessons and publications using Internet-based training covering technical, professional, and language skills. This allows staff in both Washington, DC and State offices to take training at their convenience. Education and Training also provides 64 Senate-specific self-paced lessons that have been accessed more than 4,800 times.

Health Promotion

In the Health Promotion area, approximately 2,000 staff participated in 64 activities throughout the year. These activities included:

—lung function and kidney screenings;

—eight blood drives;

—the Health and Fitness Day;

—seminars on health related topics; and
—the Annual Senate Health Fair.

Cost-Saving Measures

This office reduced each of our Washington, DC-based State training sessions by one-half day to reduce per diem costs to the offices. We have added to our catalog of self-paced training to allow State and Hill staff to learn at their own time and place. Video teleconferencing and webinar training offerings have also been expanded. Education and Training continues to distribute documents electronically to reduce paper costs.

Continuity of Operations Planning

This office has upgraded the video and audio in the spaces used as the Emergency Operations Centers for SAA and Secretary of the Senate. We have begun work with the SAA Continuity and Emergency Preparedness Operations Office to provide staffing for alternate office space, alternate computing center, and alternate chamber support. Our office is also working with the Senate Employee Assistance Program Office to develop, deliver, and staff our response to emotionally challenging events.

GIFT SHOP

Since its establishment in 1992 (2 U.S.C. 121d), the Senate Gift Shop has continued to provide outstanding service and products that maintain the integrity of the Senate while increasing the public's awareness of its mission and history. The Gift Shop serves Senators, their spouses, staffs, constituents, and the general public, including many visitors to the U.S. Capitol complex. The products available include a wide range of fine gift items, collectibles, and souvenirs created exclusively for the U.S. Senate.

Facilities

In addition to providing products and services from three physical locations, the Gift Shop has an online presence on Webster, the Senate's intranet. The Web site currently offers an increasing selection of products that can be purchased by phone, email, or by printing and faxing the order form provided on the site. 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 via phone or fax, and special order and catalogue sales via in-person visit, email, phone, or fax.

The Gift Shop maintains two warehouse facilities. The bulk of the Gift Shop's stock is held in the Senate Storage Facility (SSF), an offsite warehouse. While SAA is in charge of the overall management of the SSF, the director of the Gift Shop has responsibility for the operation and oversight of the interior spaces assigned for Gift Shop use. Storing inventory in this centralized, climate-controlled facility provides protection for the Gift Shop's valuable inventory in terms of physical security as well as improved shelf life for perishable and nonperishable items alike.

The second Gift Shop warehouse is maintained within the Capitol complex. This facility serves as the point of distribution of merchandise to the Gift Shop store and the Capitol Gift Shop counter, both of which have limited storage space. This warehouse accommodates the Gift Shop's receiving, shipping, and engraving departments, as well as supplying the inventory sold through the administrative and special order office.

Sales Activities

Sales recorded for fiscal year 2011 were $1,608,728.55. Cost of goods sold during this same period was $1,216,191.66, accounting for a gross profit on sales of $392,536.89.

In addition to tracking gross profit from sales, the Senate Gift Shop maintains a revolving fund and a record of inventory purchased for resale. As of October 1, 2011, the balance in the revolving fund was $3,149,788.37. The inventory purchased for resale had an end of the year value of $3,101,301.

Additional Activity

Government Accountability Office Audit

At the request of the Secretary of the Senate, in September 2010, GAO conducted an inventory observation and audit of the Gift Shop financial operations. The formal results of this audit were received in April 2011. The established departmental procedures and policies implemented on a daily, monthly, and annual basis proved to be instrumental in the Gift Shop's achieving a positive review. The recommendations provided by GAO at the conclusion of their observation had either already been implemented or have been adapted.

Environmental Fair

The Gift Shop participated in the 2011 U.S. Senate Environmental and Energy Fairs sponsored by AOC. Environmentally friendly products that were displayed included wooden flag and desk boxes, wooden pens, custom-designed wrapping paper produced from recycled paper, aluminum water bottles, Nalgene BPA-free water bottles, biodegradable travel mugs, and a travel mug produced from 100-percent U.S. natural corn products.

Selected Accomplishments in Fiscal Year 2011

Official Congressional Holiday Ornaments

The Official 2011 Congressional Holiday Ornament features a view of the east front of the Capitol backed by a translucent blue window. The ornament is crafted of layered cutwork brass with a 24 karat gold finish and multicolored enamel detailing.

Sales of the 2011 holiday ornament exceeded 26,000 ornaments, of which more than 6,400 were personalized with engravings designed, proofed, and etched by Senate Gift Shop staff. This is an increase in engraved ornaments of more than 12 percent. This highly successful effort was made possible by the combined efforts of our administrative, engraving, and store staffs.

Candlesticks

The Members' staircases in the Capitol feature railings that are masterworks of bronze casting. The banisters of the railings, embellished with finely detailed foliate decoration, have been replicated in miniature as 12-inch tall solid pewter candlesticks. They are available in either a polished silver or a matte gold finish, and are sold singly or in sets of two.

Webster Intranet Site

The Web site continues to expand with the addition of new merchandise, photographed with assistance from the Senate Photography Studio. Product descriptions are written in-house.

The Gift Shop contributes an article highlighting products and services to each issue of the Secretary's UNUM newsletter. In turn, the Web site links to the electronic version of UNUM, a practice that has increased traffic to the Web site and may be responsible for an increase in the use of Gift Shop services by State offices.

Projects Recently Produced and New Initiatives for 2012

Capitol Visitor Center

The Senate Gift Shop continues to supply them with a wide variety of inventory product, offering service when needed and advice on purchase order, invoice, and operational processes.

Congressional Plate Series

The latest 8-year, four-plate series of the 112th, 113th, 114th, and 115th Congress has been produced. The 112th plate is currently being offered for sale. The plates for each of the future congresses will be made available during that respective congressional session. The designs depict art and architecture from four of the most historically significant rooms in the Capitol:

—the Senate Appropriations Room;
—Old Senate Chamber;
—Old Supreme Court Chamber; and
—President's Room.

Laser Engraver

Recently purchased and soon to be installed, the laser engraver will allow the Senate Gift Shop to expand engraving services to include additional materials including wood, acrylic, glass, plastic, stone, marking metals, and anodized aluminum.

New Color Printer

The Senate Gift Shop acquired a color printer which prints in quantity on card stock, allowing in-house production of educational inserts for merchandise in smaller quantities than would be possible using outside printers. This results in cost, time, and resource savings.

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 Office staff advises Senators, officers, and committees on cost-effective disposition of their noncurrent office files and assists researchers in identifying Senate-related source materials. The historians keep extensive biographical, bibliographical, photographic, and archival information on the more than 1,900 former and current Senators. The staff edits for publication historically significant transcripts and minutes of selected Senate committees and party organizations, and conducts oral history interviews with key Senate staff. 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 develops and maintains all historical material on the Senate Web site, Senate.gov.

Editorial Projects

Sesquicentennial of the Civil War

In connection with the commemoration of the 150th anniversary of the Civil War, the Historical Office published and distributed a booklet on "The Senate's Civil War", which is also available to the public for purchase in the CVC gift shops, an arrangement that reduced printing costs. The historians, working with the Office of the Senate Curator, designed and mounted a 13-panel exhibit in the Senate wing of the Capitol exploring the role played by the Senate and its Members during the war years. The historians have also posted online and updated monthly features relating to the Senate's Civil War experiences on the Senate's Web site, and have worked with the CVC staff in selecting items for display related to the Civil War and Reconstruction.

Documentary Histories of the U.S. Senate

The Historical Office continued working on its online documentary history series, which presents case studies and primary-source documentation for all contested Senate elections, censure and expulsion cases, impeachment trials, and major investigations. Intended for use within the Senate and by the general public, these documentary histories are particularly valuable for teachers who seek to include primary-source documents in their lesson plans. This project also allows the Historical Office to update case studies of past events and add recent case studies, eliminating the need for new print editions of past publications, reducing costs, and paper use. Existing case studies in three categories (contested elections, censures, and expulsions) of this five-stage project have been completed and posted on Senate.gov, with new revisions and updated cases added throughout this year. Substantial progress also has been made in the remaining two categories (impeachment trials and investigations). Three case studies were added into the investigations category, on the Truman Committee, the investigation into air and ocean mail contracts, and the investigation of the attack on Pearl Harbor.

States in the Senate

The States in the Senate project, featured on Senate.gov, highlights persons and events in each State's history that relate to the U.S. Senate, which informs Senators, staff, and constituents alike. Historians and staff have collaboratively created timelines and compiled selected illustrative images for each of the 50 States. A Web design for the project was created in partnership with GPO and the Office of Web Technology that provides an interactive timeline for each State with links to relevant documentary and visual material, along with a table of Senators from each class with service dates. Staff entered data and collected more than 1,000 images for all of the States.

Administrative History of the Senate

The associate historian continued to prepare a historical account of the Senate's administrative evolution since 1789. This study traces the development of the offices of the Secretary of the Senate and SAA, considers 19th and 20th century reforms that resulted in reorganization and professionalization of Senate staff, and looks at how the Senate's administrative structure has grown and diversified.

Rules of the United States Senate, Since 1789

In 1980, Senate parliamentarian emeritus Floyd M. Riddick, at the direction of the Senate Committee on Rules and Administration, prepared a publication containing the eight codes of rules that the Senate adopted between 1789 and 1979. In the 1990s, the Senate Historical Office staff, in consultation with Dr. Riddick, developed a project to incorporate an important feature not contained in the 1980 publication. Beyond simply listing the eight codes of rules, the Office's goal is to show how—and why—the Senate's current rules have evolved from earlier versions. The Senate's historian emeritus has continued work on this project, which will contain eight narrative chapters outlining key debates and reasons for significant changes. Appendices will include the original text of all standing rules and, for the first time in one publication, all changes adopted between each codification.

Biographical Directory of the U.S. Congress, 1774–Present

The Historical Office continues to expand and update the *Biographical Directory of the U.S. Congress* as needed, including adding new Member biographical entries and bibliographical citations that incorporate recent scholarship. The Senate historians work closely with the historical staff of the House of Representatives to maintain accuracy and consistency in this joint Senate-House database, and to promote this valuable resource among historians, teachers, students, and the public. Senate and House historians and technical staff for the House of Representatives continue to collaborate on a planned update of the online site in appearance and functionality and have approved a new template and overall appearance for the Directory. The Senate archivist and her deputies continue to expand and revise the "Research Collections" aspect of the database, taking advantage of new resources on archival collections.

Senate Manual and Congressional Directory

The Historical Office has assisted the Senate Committee on Rules and Administration with the preparation of the statistical data sections of the *Senate Manual* and the *Congressional Directory*. Staff worked to research, edit, and revise statistical information on the 1,931 Senators who have served since 1789, along with Senate officers, executive Cabinet members, and sessions of Congress.

Party Conference Minutes, 1965–1977

Previously, the Historical Office staff edited, indexed, and published the Minutes of the Senate Democratic and Republican Conferences covering the years prior to 1964, and they are currently preparing a similar volume for the Democratic Conference including its minutes from 1965 to 1977. After January 1973, verbatim transcripts were prepared for each Conference meeting, considerably enlarging the documentation. This project has involved scanning and editing 2,869 pages of transcripts for 102 meetings of the Conference and inclusion of an index and explanatory annotations. With the approval of the Conference, the minutes will be published, and a similar editorial project will be proposed for the Republican Conference minutes for this time period. The office has scanned an additional 3,115 pages of transcripts for the 73 conferences between 1977 and 1982, for future publication.

Dirksen Senate Office Building Exhibits

Senate historians, working with the staff of the Senate Curator and the Senate Library, continue to prepare new exhibits for the entrance room to SDG–50 in the Dirksen Senate Office Building. The first exhibits dealt with the life and career of Senator Everett M. Dirksen and on the design and functioning of the office building named in his memory. These are being replaced with exhibits on the changing design of Senate committee rooms in the Capitol and Senate office buildings, and on some of the notable investigations held by Senate committees.

Oral History Program

The Historical Office staff conducts a series of oral history interviews to record personal recollections of various Senate careers. Interviews were conducted with former Senator Edward E. (Ted) Kaufman, who previously served as chief of staff to Senator Joseph R. Biden, Jr.; Richard Murphy, who served on the staff of Senator Hugh Scott; Barry Piatt, former communications director for Senator Byron L. Dorgan; Rufus Edmisten, deputy counsel to the Watergate committee; and Barbara Hines, one of the Senate's first female pages. An interview with Senate telecommunications personnel was released for research. The complete transcripts of 35 interviews conducted since the 1970s have been posted on Senate.gov. That site features a different oral history interview series each month, including digital audioclips along with the interview transcripts. The Historical Office has worked with the National Archives to digitize past oral history interviews, which had been archived on magnetic tape, for preservation purposes. Digitization also allows for inclusion of short audio segments on Senate.gov. For UNUM, the Secretary of the Senate's newsletter, the staff has created a regular series entitled "Senate Voices", which includes excerpts from the oral histories with a contextual introduction.

Member Services

Educational Outreach

The historian and associate historian delivered a series of "Senate Historical Minutes" at the weekly Democratic and Republican Conference luncheons. These "minutes" highlighted significant events and personalities associated with the Senate's institutional development. Many of them are now included on Senate.gov as "Historical Minute Essays".

Members' Records Management and Disposition Assistance

Whenever Senators announced their retirements, the Senate archivist held meetings with their staffs to discuss schedules for closing and to ascertain specific archiving needs. A new "closing an office" notebook was compiled to better address the numerous and recurring issues involved in preserving a Senate collection. H. Con. Res. 307, adopted on June 20, 2008, serves as the introduction to the notebook and has proved to be an effective outreach tool to Senators and their senior staff. As a result of these meetings, some Senators have hired archivists to assist with this specialized process; others have dedicated staff to perform the necessary work. All offices appear to be working more closely with their selected archival repository. This planning has become increasingly valuable in the digital era.

Eighteen offices closed at the end of the 111th Congress. This presented a good opportunity to observe recordkeeping practices in 18 percent of Members' offices. While some offices still relied on paper to transact business, the majority used a variety of electronic systems. Senators increasingly used computer notepads to view their daily briefing memos. Senators have also made use of social media, particularly YouTube, Facebook, and Twitter. Offices showed variations in levels of understanding how to preserve these files, and were curious about what services a research repository can provide. These insights led to an Office Archives Toolkit specifically designed for new offices. Amid the demands of setting up the office, staff can begin to create filing systems that not only can be of immediate use but can lead to long-term archival preservation. The Toolkit contains 18 readily accessible "tools" ranging from an office policy statement to a records management control table. It includes suggestions for the systems administrator, personal records management advice, and archiving email strategies sandwiched in between. The Toolkit is available in hard copy, on a disk or on the Senate's intranet, Webster. The Toolkit points out that from the start there will be archival records in the form of constituent communications that need to be managed. It also covers what Senators should look for in an archival repository and what they should keep for their research collections.

The archivist made extensive revision of the *Records Management Handbook for U.S. Senators and Their Archival Repositories*. Archival guidance in the form of "Quick Cards" were updated and augmented by a fourth card on social media communications archiving. A staff exit-interview form designed to provide better context of their records, was supplemented by a new checklist for locating records among portable media.

The Senate archivist held a series of brown-bag lunch discussions for archivists in committees and Senators' personal staffs. These focused on records management, storage and electronic records. Informal meetings of Capitol Hill Archivists and Records Managers (CHARM) focused on description standards, electronic records description, and improving capture of email.

The archivist listserv serves as an effective means for updating archival staff about records management and archival guidance. The Senate archivist continues to work with the repositories receiving senatorial collections to ensure the adequacy of documentation and the transfer of records with adequate finding aids, helping to lower costs for the receiving repositories and providing guidance on electronic records. The archivist and Senate historian presented a talk on the history of the Senate's archives to Senate staff. The talk was also presented to a graduate class on documentation at the University of Maryland.

Committee Records Management and Disposition Assistance

The Senate archivist provides Senate committees with staff briefings, guidance on preservation of information in electronic systems, and instructions for the transfer of permanently valuable records to the National Archives' Center for Legislative Archives. A survey conducted of the committees' electronic archiving revealed that almost all committees had voluminous electronic record backlogs that require archival review. The backlogs fall into three categories:

—files of committee staff that have departed the committee;
—share drives; and
—accumulated email.

Because of the Senate's increasing employment of electronic records, the Senate archivist continues to encourage committees to hire their own archivists. Over the past year, the Committee on the Budget and Select Committee on Indian Affairs added archivist positions, making a total of nine archivists on eight committees. The result has been a positive improvement in the quality of historical documentation of these committees.

There remains a danger of losing electronic records that are sitting in backlogs. This year the archivist began offering direct electronic records processing assistance to committees and is currently working on electronic records backlogs of six committees, some dating from the 1990s. Thirteen of the 17 committees (75 percent) are engaged in archiving electronic records. The Senate now has 2.5 terabytes of data stored at the National Archives and Records Administration's Center for Legislative Archives. There is a growing gap between the documentary qualities of the records being archived from committees that have archivists as opposed to those without archivists or those that have not sought specific help with their electronic records.

Direct processing of electronic records rendered valuable insights about contemporary staff record-keeping. Close evaluation of staff email accounts for the purposes of description, revealed some unusual gaps indicating that staff members were not totally aware of how to use the email archive folder function. These were addressed with targeted guidance. Dealing with large digital backlogs also has allowed for a refinement of the description of digital records.

Working with the Office of Senate Security, the archivist created an appraisal chart specifically for classified records. The chart is designed for use by security officers and archivists to identify historically valuable classified records and to eliminate the hundreds of feet of such material regularly sent in multiple copies to the Senate. A top concern is the preservation of the classified notes staff take at briefings, usually the only record of such meetings.

Three new archives IT initiatives began during the past year. A large file transfer system for transferring records accessioning and description documentation to the Center for Legislative Archives was implemented and has cut down substantially on the use of paper. The archivists compiled specifications for a Senate archives virtual server that eventually can archive electronic records. The archivists also worked with the Center for Legislative Archives Holding Maintenance System to provide better tracking of loans back to the Senate.

The Senate Committee on Rules and Administration has accepted a gift of five original Senate Appropriations Committee ledgers covering the period from 1870 to 1909. The ledgers were purchased privately by an antiquarian bookseller, who then donated them back to the Senate. They provide an inventory of appropriations "by item and by Congress" and fill a significant gap in the historical record of the committee. The five ledgers are divided as follows:

—Agriculture;
—Army;
—Fortifications;
—Pensions; and
—Post-Office;
—Diplomatic and District of Columbia;
—Legislative;
—Military Academy; and
—Naval and Sundry Civil Appropriations.

During 2011, the Senate archivist oversaw the transfer to the Archives of 607 accessions of Senate records totaling 2,303 cubic feet of textual records and 732.78 gigabytes of electronic records. The archivist and deputy archivists responded to 155 requests for loans of archived records back to committees. Responsibility for archiving the records of the Joint Select Committee on Deficit Reduction was assigned to the Senate archivist, who briefed the committee staff as the office was setting up. Archiving of those records continues into 2012.

Advisory Committee on the Records of Congress

This 11-member permanent committee, established in 1990 by Public Law 101–509, 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. Its membership representing the Senate includes the Secretary of the Senate, who is chairing the panel during the 112th Congress; the Senate Historian; and appointees of the Secretary and the Majority and Minority Leaders. The Historical Office furnishes support services for the Advisory Committee's regular meetings. The archivist and deputy archivist served as appointed members of the Next Generation Finding Aid Task Force established by the Advisory Committee to develop criteria to improve the finding aids for the Senate's archival records. The task force's report, which was approved by the Advisory Committee at its June meeting, outlines significant steps needed to bring finding aids to Senate collections up to contemporary standards. Implementation of its recommendations began with training for the archivists in metadata, EAD, EAC–CPF, DACS, and Archivists

Toolkit, all standards and systems required to automate accessioning and description of the Senate's historical records. A Task Force on a New Descriptive Tool has been created to compile system requirements for a new accessioning and description system. When fully implemented, the system will streamline the description, accessioning, and management of the Senate's archival collections from their origin within committees to their use for research.

Educational Outreach

The Historical Office's correspondence with the general public has increasingly taken place through Senate.gov. The historians maintain and frequently update the Web site with timely reference and historical information, and each month select related material to be featured on the site. During the past year, the Office responded to more than 1,500 inquiries from the public, the news media, students, family genealogists, congressional staffers, and academics, through the public email address listed on Senate.gov. The diverse nature of their questions reflected varying levels of interest in Senate operations, institutional history, and former Members.

Working closely with the Webmaster's staff, the historians have substantially redesigned all the principal pages of Senate.gov, to better utilize the online environment to provide timely, accurate, and interesting historical material. Beginning in October 2011, the historians began monthly thematic presentations of historical essays, images, cartoons, and statistics, along with exhibition of primary-source documents from the National Archives, Library of Congress, and other sources, to better serve Senators, staff, and the public. Underway are major revisions to the online oral history collection and the "historical minutes", to make these valuable features more interesting and easier to navigate.

Staff presented seminars on the general history of the Senate, Senate committees, women Senators, Senate floor leadership, relations between the press and the Senate, the U.S. Constitution, the history of Senate impeachment trials, and notable Senate investigations. The historians also participated in Senate staff seminars and conducted briefings for specially scheduled groups. The associate and assistant historian met with teachers from the National Council for the Social Studies, and offered specialized tours to Senate staff, including a tour of Capitol locations associated with the Civil War.

Photographic Collections

The Senate photo historian consulted with other image professionals in planning the renovation of the collection space, to create an environment conducive to the preservation and access of the image collection. She successfully oversaw the physical transfer of the Senate's image collection to the newly renovated office space, and arranged for the transfer of thousands of historic negatives to the Center for Legislative Archives.

The photo historian ensured history-focused photographic coverage of the contemporary Senate by photographing Senate committees, collecting formal photo portraits of new Senators, and capturing significant Senate events in cooperation with the Senate Photographic Studio. She provided timely photographic reference service by phone and email, while cataloging, digitizing, relocating, and expanding the Office's 40,000-item image collection. She assisted several Senate offices in creating collages of all the Senators who previously served in that seat.

The photo historian assisted in the creation and production of the brochure, "The Senate's Civil War", selecting images to illustrate the text and sought permissions to use the images, and collaborated with the historical editor and GPO staff to design and publish the brochure. The photo historian also selected and obtained an estimated 1,500 images for the upcoming online exhibit, "States in the Senate", for its illustrated timelines.

The photo historian collaborated with the Senate Curator's Office, the Center for Legislative Archives, and the Senate Office of Conservation and Preservation to select and obtain historic images and documents for the Senate Committee on Rules and Administration.

As the founder of CHARM, an informal group of Senate archivists, the photo historian planned tours and professional development events for committee and member archivists, and planned its 10th anniversary luncheon.

Continuity of Operations Planning

As the Historical Office's COOP Action Officer and Emergency Coordinator, the Senate photo historian continued to update the Office's COOP plan in the emergency preparedness database. She made regular back-ups of the office's electronic records to store off-site in a secure environment. She trained new staff members and interns in the Office's emergency evacuation procedures. She updated staff members' contact information in the ALERTS system. She provided SAA's Continuity and Emergency Preparedness Office with an after-action report after the August 2011 earthquake incident and worked to ensure that staff members have the resources needed to work off-site in the event of an evacuation of the office.

Capitol Visitor Center

The historians supplied information and guidance to the staff of the CVC related to the educational component of the exhibition gallery. They have provided material and general editorial review for a new Web-based training program for staff and tour guides. They made regular presentations on the history of the Senate in training seminars for Senate staff and interns, and gave morning briefings to the Capitol Guide Service. They gave exhibit talks in the CVC, contributed to the training of visitor assistants who guide visitors through the exhibition gallery, worked with exhibit staff to plan rotations of documents and images, and advised the CVC staff on its educational outreach programs.

HUMAN RESOURCES

The Office of Human Resources was established in June 1995 by the Secretary as a result of the CAA. The office focuses on developing and implementing human resources policies, procedures, and programs for the Office of the Secretary of the Senate that fulfill the legal requirements of the workplace and complement the organization's strategic goals and values.

These responsibilities include:

—recruiting and staffing;
—providing guidance and advice to managers and staff;
—training; performance management;
—job analysis;
—compensation planning, design, and administration;
—leave administration;
—records management;
—maintaining the employee handbooks and manuals;
—internal grievance procedures;
—employee relations and services; and
—organizational planning and development.

The Human Resources staff administers the following programs for the Secretary's employees:

—the Public Transportation Subsidy program;
—SLP;
—FMLA program;
—parking allocations; and
—the summer intern program that offers college and other postgraduate students the opportunity to gain valuable skills and experience in a variety of Senate support offices.

Human Resources staff has completed migration of eligible commuters to the Smart Benefits Program, which is operated by the Washington Metropolitan Area Transit Authority.

Recruitment and Retention of Staff

Human Resources has the ongoing task of advertising new vacancies or positions, screening applicants, interviewing candidates, and assisting with all phases of the hiring process. Human Resources staff coordinate with SAA Human Resources Department to post all SAA and Secretary vacancies on the Senate intranet, Webster, so that the larger Senate community may access the posting from their own offices. In an effort to reach a larger and more diverse applicant pool, the department uses multiple posting forums to reach potential applicants for employment. As a result, the Human Resources Department processed more than 3,000 applications for vacancies in the Secretary's Office, including review of applications, coordinating scheduling of candidates for interview, sending out notices to both successful and unsuccessful candidates, and finalizing new hire paperwork. All new hires also receive orientation from the Human Resources staff when they come on board.

Training

In conjunction with the Senate Chief Counsel for Employment, staff continues to develop and deliver training for department heads and staff. Training topics include sexual harassment, interviewing skills, FMLA administration, and an overview of the CAA. Human Resources staff also works with different department employees on topics specific to their group in outreach efforts to enhance teamwork in the workplace.

Veterans Employment Opportunity Act of 1998

In 2011, the rights and protections of the Veterans Employment Opportunity Act of 1998 (VEOA) became applicable to the Office of the Secretary of the Senate through the CAA. Eligible veterans now receive hiring preferences over nonveterans for most of the job openings in the Secretary's Office and can seek legal redress if they believe they have been denied their veterans' preference rights. Consistent with its new obligations under the VEOA, the Secretary's Office has identified more than 204 VEOA preference-eligible positions within its organization, has instituted a process for proper application of the veterans' preference law and, to date, has invited preference-eligible veterans to apply for 19 job openings.

Congressional Internship for Individuals With Intellectual Disabilities

In February 2012, the Office of the Secretary of the Senate received approval to participate in a unique internship program for students with intellectual disabilities—the Congressional Internship Program for Individuals with Intellectual Disabilities. The internship program, which lasts 12 weeks, gives students with intellectual disabilities the same educational and enrichment opportunities typically afforded to congressional interns here in our Nation's capital. Interns work for one 2-hour session each week. The interns work with their congressional offices, as well as job coaches specifically trained to assist the students, to complete various office tasks as assigned.

Interns

Human Resources manages the Secretary's internship program. From posting vacancies, conducting needs analyses, communicating, screening, placing and following up with all interns, the staff keeps a close connection with these program participants in an effort to make the internship most beneficial to them and the organization.

Operation Warfighter

In December 2010, Human Resources, on behalf of the Secretary, received approval to host Wounded Warriors from DOD's Operation Warfighter (OWF) program. The unpaid internship program is open to all wounded and ill servicemembers assigned to a Military Treatment Facility, an Army Warrior Transition Unit, the USMC Wounded Warrior Regiment, the Air Force Wounded Warrior Program, or the Navy Safe Harbor Program. The program positively impacts the recuperation process, and provides meaningful activity outside of the hospital environment that positively impacts wellness.

Combined Federal Campaign

The office has again taken an active role in the Combined Federal Campaign for the Senate community at-large. The office serves as co-directors of the program. The staff participates in kick-off meetings, identifies key workers in each office, and disseminates and collects necessary information and paperwork.

INFORMATION SYSTEMS

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

Mission Evaluation

The primary mission of the Information Systems Department is to continue to provide the highest level of customer satisfaction and computer support for the office of Secretary of the Senate. 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.

Fiscal Year 2011 Technology Initiative Summary

The department technology initiatives concentrated in four specific areas:

—Improvements in workflow process, efficiency, and security;
—Deployment of improved hardware and software technologies;
—Business continuity planning and disaster recovery improvements; and
—Network Perimeter and End Point Security Awareness.

Improvements in Workflow Process Efficiency and Security

Each Secretary of the Senate department has adopted IT security policies and improved procedures for the handling and migration of business-related electronic documents. In partnership with the SAA Security and Operation staff, educational awareness training is now mandated for all staff, intern, and contractor personnel. Each department head is required to assess the data involved, how it might be accessed on a variety of devices, and insures all data is encrypted when migrated out of the office environment.

Since November 2008, Information System staff has worked in partnership with SAA development staff testing improved access methods of virtual private networks. In 2010, new technology was implemented to provide the Senate community with improved access to their office workstations when working from home or outside of the office. Improved Web-based secure access is now available to establish secure network routing to an employee's office workstation when working remotely.

Improved security token hardware and software was installed in 2011 to ensure compliance with evolving security standards and to minimize threats to the Senate network.

Implemented and installed an improved version of legislative reporting in order for staff to run LIS reports via a Web browser session. This feature allows all of the reporting features of the existing clerk LIS application and eliminates the installation of client software at each workstation. Additionally it provides the Senate Library staff additional research tools when accommodating requests from the senate community.

Deployment of Improved Hardware and Software Technologies

Completed third phase of network printer hardware replacement program by replacing all color network printers with improved high-speed models that reduce energy use up to 50 percent with instant-on technology.

Improved BlackBerry devices support by utilizing new Web-based administrative tools to manage devices, and applied backup process in managing service accounts. This provides a much quicker response to securely lock down devices in the event of a misplaced or stolen device.

Upgraded the reporting functionality for the hardware server application which remotely deploys system and application patches for server and workstation hardware. Improved reporting means higher levels of asset management and additional accuracy when deploying patches to hardware systems.

Completed laptop hardware upgrades for all department head staff and legislative floor dais staff. Upgraded all COOP laptop hardware located on campus at the emergency operations center and at the leadership coordination center. Replaced and refreshed all COOP laptop hardware located at multiple offsite locations.

Retired three hardware servers in the Office of Public Records and virtualized the primary office database applications. This project, in part, minimized the impact of the office renovations in August 2011, providing the staff the ability to continue business as usual in their alternate location.

Completed 21 major LIS software upgrades and installed updated LIS application software in all legislative clerk offices, alternate computing facility, and offsite home laptop locations. Virtualized the LIS applications for the Senate Library staff which streamlined the availability of application for LIS users. Added LIS web reporting functionality to allow staff to retrieve reports via a secure Web browser.

Retired hardware server in the office of Human Resources. Virtualized the human resource information system application and relocated the application to an existing platform located at the datacenter in Postal Square (higher availability).

Replaced three hardware platforms at the primary computing facility (PCF) and upgraded the BlackBerry Exchange server hardware platforms to a virtual infrastructure. This was accomplished for the Secretary of the Senate, Disbursing, and SCCE offices. Additionally, three hardware platforms for each respective office were retired at the alternate computing facility (ACF). These ACF servers are the major active directory server for each office and critical in the failover capability when moving network resources to an alternate location.

Upgraded unclassified workstations in the Office of Senate Security. Finalized the design and delivery of a new improved SharePoint server hardware platform for the office classified network. This new design will accommodate the increase workload with the room reservation system, and provide additional efficiency using a virtual server instance to manage classified data.

Information Systems staff initiated new technologies to reduce ongoing application support cost by introducing a "virtual application" in the office. Virtual applications are installed once and available on a centralized server and need not be installed multiple times on all workstations. The first application candidate for all staff use is an XML editing application and this is now hosted as the first Secretary "thin application" for staff use.

Evaluated multiple portable teleconferencing solutions to be used by the executive office staff.

Implemented a low-cost computing terminal emulation hardware solution for the Office of Public Records, the Office of Printing and Document Services, and the summer internship program. This evolving hardware technology is a network appliance that replaces the standard office personal computer with a low-cost hardware device. Multiple appliances can then be networked to a single host to run software applications. A cost saving is realized not only in foregoing the purchase of additional personal computers, but also with the reduction of ongoing support for the additional system patches and updates.

Business Continuity Planning and Disaster Recovery Improvements

Replaced all laptop hardware for department heads, the Disbursing Office, and SCCE.

Added portable servers in the Disbursing office at the ACF. This solution provides a nightly scheduled backup and a replica of the Hart location data to the ACF facility.

Upgraded legislative staff with improved laptop hardware at the dais chamber location for a more streamlined and secure connection to the Senate network.

Created a "virtualized" and encrypted software solution for the Senate Enrolling Clerk in order to process legislation when staff reside offsite. Virtualization of mission critical workstation applications provides for a way to lower the support time and cost required to keep offsite laptops updated with current software revisions. It also provides a more efficient process to migrate existing applications to numerous systems thus making it available to a wider range of key personnel who require the application access.

Parallel in completing the Enrolling Clerk virtual host project, Information System staff partnered with GPO technical staff to provide two functional offsite hardware printers for use during a COOP event. This functionality provides the Enrolling Clerk staff the ability to print multiple types of parchment style documents for delivery to the White House in the event of an office closure or relocation.

Updated and migrated the Member accountability client application to function with the SAA Windows SQL 2008 Server platform. Configured four virtual hosts, one reserved specifically for training purposes, and one virtual "always on" instance that resides at the PCF datacenter. Configured and made this available virtual solution for the Secretary of the Majority and the Secretary of the Minority offices.

Demonstrated the capability during the COOP offsite exercise in May 2011 to transfer data files directly from the Official Reporters of Debate Stentura device to GPO. During a COOP event key personnel may not always be available, and this test functionality eliminated three personnel in the floor proceeding data transfer process. The test data transferred to GPO was compiled successfully by their staff to produce the Congressional Record for the exercise.

Configure http protocol "quick links" on the improved Senate Web portal appliance for staff to remotely connect to the office workstation. Presently 70 percent of the staff has some method of secure remote access to Senate network resources.

In the event GPO "fails-over" their operation at North Capitol Street, NW. changes to the legislative file transfer process to support transactions between the Secretary's office and GPO have been implemented. A secondary backup (encrypted) file transfer method has also been implemented between GPO, the Senate Office of Legislative Counsel, and the Office of the Secretary. Demonstrated secure file transfer capability during the May 2011 offsite exercise.

In partnership the SAA Security Operations Center, selected and tested COOP offsite laptops operation using the Senate vulnerability assessment software tool. This software tool is now available to the Senate community. Future testing in 2012 will involve the testing of the Executive office workstation.

IT staff continue to monitor email spam filtering applications. Present rate of undesirable email messages average 6,000 messages per day, which is approximately a 30-percent reduction from fiscal year 2010. Email messages to staff who are no longer employed by the Secretary's office continue to be removed from the messaging server.

Information Systems staff continue to monitor network security ensuring best practice information is available to all staff. Developed global security server policies to automatically lock computer terminals after 1 hour of application inactivity.

Staff continues to provide a BlackBerry scanning service for staff prior to travel outside of the United States.

Staff continues to manage the alerts notification database for all Secretary staff. Database information is verified nightly to ensure email, voice, and BlackBerry personal identification number information is valid and will function during an emergency.

After implementation of the Lumension Deployment server, Information Systems staff continues to maintain the inventory of all applications for 300 workstation installations. The office now has the ability to review in real time which systems require application updates, and can deploy security patches without interruption to the business owner.

Ongoing and Future Projects in 2012

As server and laptop hardware nears the end of the maintenance lifecycle, replace older hardware servers with virtual server solutions. All active directory server hardware was updated in fiscal year 2010. PCF and ACF domain controllers were virtualized for fail-over capability in 2011.

Evaluate new Senate active directory enterprise solution for Secretary of the Senate, Disbursing Office, and SCCE.

Migrate to next generation of Microsoft Exchange E-mail Server. This was accomplished in January 2012.

OFFICE OF INTERPARLIAMENTARY SERVICES

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

The statutory interparliamentary conferences are:

—NATO Parliamentary Assembly;
—Mexico-United States Interparliamentary Group;
—Canada-United States Interparliamentary Group;
—British-American Interparliamentary Group;
—United States-Russia Interparliamentary Group;
—United States-China Interparliamentary Group; and
—United States-Japan Interparliamentary Group.

In 2011, IPS was responsible for organizing the following interparliamentary conferences:

—the U.S.-China Interparliamentary Group;
—the Mexico-U.S. Interparliamentary Group; and
—the British-American Parliamentary Group.

As in previous years, all foreign travel authorized by the Majority and Minority Leaders is arranged by the IPS staff. In addition to delegation trips, IPS provided assistance to individual Senators and staff traveling overseas. Senators and staff authorized by committees for foreign travel continue to call upon this office for assistance with passports, travel arrangements, and reporting requirements.

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 assists staff members of Senators and committees in filling out the required reports.

IPS maintains regular contact with DOD, the Department of State and foreign Embassy officials. The office staff organizes visits for official foreign visitors and assists them in setting up meetings with leadership offices. The staff continues to work closely with other offices of the Secretary of the Senate and SAA in arranging programs for foreign visitors. In addition, IPS is consulted by individual Senate offices on a broad range of protocol questions. Occasional questions come from state officials regarding congressional protocol.

On behalf of the Senate Majority and Minority Leaders, IPS 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.

Continuity of Operations Planning

IPS regularly reviews its COOP plan with ongoing discussions, updating materials kept offsite, evaluating evacuation procedures, and working from remote sites.

LEGISLATIVE INFORMATION SYSTEM PROJECT

LIS is a mandated system (section 8 of the 1997 Legislative Branch Appropriations Act, 2 U.S.C. 123e) that provides desktop access to the content and status of legislative information and supporting documents. The 1997 Legislative Branch Appropriations Act (2 U.S.C. 181) also established a program for providing 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. Several components of the LIS have been implemented, and 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. The LIS Project Office manages the project.

Background: Legislative Information System Augmentation Project

An April 1997 joint Senate and House report recommended establishment of a data standards program, and in December 2000, the Senate Committee on Rules and Administration and the Committee on House Administration jointly accepted XML as the primary data standard to be used for the exchange of legislative documents and information. Following the implementation of LIS in January 2000, the LIS Project Office shifted its focus to the data standards program and established LIS Augmentation Project (LISAP). The over-arching goal of the LISAP is to provide a Senate-wide implementation and transition to XML for the authoring and exchange of legislative documents.

The current focus for LISAP is the continued development and implementation of the XML authoring system for legislative documents produced by the Office of the Senate Legislative Counsel (SLC), the Office of the Enrolling Clerk, the Senate Committee on Appropriations, and GPO. The XML authoring application is called LEXA, an acronym for the Legislative Editing in XML Application. LEXA replaces the DOS-based XyWrite software used by drafters to embed locator codes into legislative documents for printing. The XML tags inserted by LEXA provide more information about the document and can be used for printing, searching, and displaying a document. LEXA features many automated functions that provide a more efficient and consistent document authoring process. The LIS Project Office has worked very closely with the SLC, the Enrolling Clerk, and the editorial and printing staff of the Committee on Appropriations to create an application that meets the needs for legislative drafting.

Legislative Information System Augmentation Project: 2011

The LIS Project Office continued to provide support to the SLC, the Senate Committee on Appropriations, and the Senate Enrolling Clerk in their use of LEXA for drafting, engrossing, and enrolling. In addition, drafters in the Committee on Commerce began using LEXA in mid-2011 to create measures in XML instead of locators. With the addition of the Commerce drafters, it is now possible that all measures in the second session of the 112th Congress will be produced in XML. In addition, GPO uses LEXA to complete measures for printing. Several new features and fixes were added in LEXA releases to make the drafting process faster, more efficient, and more consistent. LIS staff trained new drafters and interns in the use of LEXA.

Changes to LEXA included upgrading all users to Xmetal 6.0 and to Perl 5.8.9 libraries. Xmetal is the underlying software for LEXA, and the 6.0 version is compatible with Vista and the 32-bit version of Windows 7. Perl is the main programming language used in building the LEXA application. The upgrade projects required extensive testing of LEXA on multiple operating systems including XP, Vista, and Windows 7.

Several new features and improvements were made to LEXA in the past year. One new feature allows a user to easily create a valid XML document from multiple XML documents. The Enrolling Office often has to work with very large documents, and changes were made to speed up the printing of large documents. The project to convert, edit, and print the compilations of existing laws continued with improvements to printing to portable document formats and quicker access to open compilations from an index document. Several enhancements were made to correctly set form, endorsement, and printing parameters for bills reported by the Senate Committee on Appropriations. New document templates and printing procedures were created for the Committee on Commerce. Because the text of new documents can come in many different formats, an important update to LEXA is improvements in copying non-XML-formatted text and pasting into LEXA in a valid XML format. The previous paste process added the text, but a great deal of time and effort was required to conform the document to valid XML.

Continuity of Operations Planning

Several procedures have been implemented to provide for COOP. All source code and data files are backed up nightly to a drive in the office, and each LIS Project Office staff member carries an encrypted flash drive containing the office COOP plan, documentation, and the most recent version of LEXA. All the software and documentation required to create the development environment and a LEXA end user environment are available in duplicate copies of the LIS Project Office fly-away kit. The COOP plan and the fly-away kits are updated frequently, and one fly-away kit is kept in an off-site location. Regular testing of the ability to work remotely is conducted via Senate laptops and personal computers to ensure that application development and user support can continue if access to the office is not possible.

Legislative Information System Augmentation Project: 2012

The LIS Project Office will continue to work with and support all the Senate offices now 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. Several offices within these organizations will participate in two projects. The LIS Project Office is working with staff from the Legislative Computer Systems (LCS) in the Office of the Clerk and GPO on a pilot project to create and print committee reports in XML. A second group project to collaborate on changes needed for using XML for codification bills and the U.S. Code includes participants from the Law Revision Counsel, the Senate and House Legislative Counsel, and LCS.

Xmetal 7.0 will be released in 2012, and the LIS Project Office will conduct extensive testing before upgrading LEXA users. Xmetal 7.0 will be certified to operate on the 64-bit version of Windows 7, and it will provide interfaces to content management systems. Following the Xmetal upgrade, testing will begin on an interface between Xmetal and Sharepoint and on upgrading to the .Net4 framework.

LIBRARY

The Senate Library provides legislative, legal, business, and general information services to the United States 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, history, and biography; 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, the Senate's intranet.

The Library marked 140 years of service to the Senate with the complete transfer of the SIS program from the SAA, a full program review, the launch of a redesigned FrontPage portal to include all electronic resources available Senate-wide, the release of a new State NewsWatch portal focused on regional and local news sources, the upgrade and replacement of the Senate's Westlaw custom search interface, the continued development of a redesigned custom search interface for LexisNexis, the full implementation of new internal processes and a Web-based application to log SIS support requests, and the issuance of new contracts for the procurement of online research services for the delivery beginning in fiscal year 2012.

Senate-wide access to several specialized products was terminated as of December 31, 2011. In light of price increases incurred in several online products, overall Senate usage of these news and research services did not justify the cost of continuing access. Available SIS program funds were reallocated to preserve Senate-wide access to core services identified in the Senate research services survey conducted in November 2010. These changes in service were authorized by the Secretary of the Senate with the approval of the Senate Committee on Rules and Administration and are a consequence of reductions in program funding.

The Library's 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 continues to meet the Senate's increasing demand for information.

Notable Achievements

Successful outreach efforts contributed to an increase in Library usage in the following areas over the past year:

—the Library catalog experienced a 24-fold increase in visits from 3,804 Senate staff;

—patron computer accounts are up 66 percent; and

—online book requests are up 23 percent. Loans of audiobooks increased 13 percent and travel books by 46 percent.

Targeted efforts to reach underserved State staff and interns were rewarded with a total of 830 staff participating in 150 classes, tours, and webinars. This represents a 65-percent increase in the number of training opportunities offered and a 119-percent increase in the number of staff trained.

The Library catalog now provides Senate staff with desktop access to more than 39,649 full-text electronic documents and online resources, an increase of 15 percent more than 2010.

Library staff and interns completed the retrospective digitization of Senate Executive Calendars from 1997 to the present, creating the only digital archive of this material with the goal of making it publicly available.

Catalog records for confirmation hearings on appointments to the Federal judiciary and the armed forces have been enhanced to allow searching by the names of all individual nominees.

Three well received display cases were completed on *African Americans in the Civil War*;*Philip Reid and the Slaves Who Built the Capitol*; and *19th Century Gilded Book Bindings in the Senate Library*.

The online Senate Services Directory (Red Book) was released on Webster, featuring a new taxonomy developed by the Library in collaboration with the Office of Web Technology and the Sergeant at Arms' Assistant Sergeant at Arms (ASAA)/ Chief Information Officer (CIO) Office.

Senate Library Inquiries, Online Book Requests, and Patron Accounts

The increase in requests for online materials, the availability of new and enhanced database offerings, and the expanded availability of resources on the Web have not dampened the overall demand for high-quality Library resources and services. Librarians answered 25,123 walk-in and email reference requests in 2011.

Senate staff continued to demonstrate an increasing preference for Web-accessible resources. Use of Library-created resources on Webster increased to 184,551 page visits, an increase of 108 percent from 2010. Links to the Library's Hot Bills, appropriations, and cloture table content from LIS added 13,954 page visits while referrals from LIS to FrontPage and the Library's Web site totaled 6,924. Usage statistics for Library's popular Virtual Reference Desk on Senate.gov are not available for 2011 as a consequence of a change in the overall site architecture.

The January launch of the Library's new FrontPage electronic resources portal marked a seamless transition of the site from the SAA to the Library. The new portal received 82,016 page visits in its first year. Senate staff turned to SIS program support 147 times for help with accounts, resource access, and custom news profile requests. Program staff logged an additional 150 requests with program vendors related to program site maintenance and support during 2011.

The Library received 818 online book requests in 2011, a 23-percent increase more than the previous year. The increase can be attributed to the online book request form on the Library catalog, as well as to the promotion of online topical bibliographies that highlight the Library's collections of audiobooks, travel books, and new books. Audiobook loans increased by 13 percent, travel books increased by 46 percent, and new books decreased by 8 percent from 2010 levels.

ONLINE BOOK REQUESTS

	Number
2006	127
2007	192
2008	332
2009	489
2010	666
2011	818

Seventy-two percent of the Library's patrons are Senate office and committee staff members while the remaining users include support office staff, members of the accredited press, and government agencies.

A total of 889 new patrons were registered in 2011, a decrease of 10 percent more than the number of new staff registered in 2010. Targeted outreach to Senate interns resulted in an increase of 63 percent in the number of intern borrowing accounts during the same period.

Other activities for 2011 included setting up 458 new computer accounts for our patron workstations, a 67-percent increase from 2010, as well as providing the following document printing and delivery services:

INFORMATION SERVICE SUPPORT ACTIVITIES, 2011

Category	Total
Circulation:	
Document deliveries	4,391
Item loans	3,371
Pages printed:	
Microform pages printed	648
Photocopies	51,278
Document delivery total	59,688

Senate Library Content Creation

Senate.gov Web site Content

A new page, New Senators, 2001–present, was launched in May that lists all new Senators by Congress as they are sworn in, including Senators whose service begins at the start of a Congress as well as those whose service begins later that year or during the second session. The table is arranged in reverse chronological order by Congress and Senate service start date.

Dates of Sessions of the Congress, present to 1789 was revised in November. The page lists the convening and adjournment dates for both the House and Senate for every session of Congress beginning in 1789.

Senate Webster Content

Senate Information Services Program Content

The Library's new SIS FrontPage portal was launched in January with the collaboration of the Office of Web Technology featuring a tabbed format highlighting online resources for news, legislative, legal, and general policy research. Key parts of the site include a display of current course offerings and a graphical ad that are linked to current service promotions. The addition of a linked program news page provides an efficient and timely means to alert users to changes in SIS program services.

A new portal, State NewsWatch, focused on regional and local news sources, was also launched in January. The site was created in response to an expressed need by Senate staff for more access to local news. The design was the result of a collaborative effort of a team of Library staff and the platform vendor. In 2011, Senate staff viewed 28,561 pages on the site that now includes all news feeds authorized for redistribution by SIS program vendors.

A revised Senate Westlaw custom search interface was released in August. The new site highlights frequently used business, news, legislative, and legal content. Development was a collaborative effort between a team of Library staff and the vendor.

Senate Library Web Site Content

A Library team revised and updated the Library training related pages on the Library's Web site to create a unified page presenting Library and SIS vendor course offerings, to modify course listings to accommodate the new webinar format, and to provide a link to the Library's monthly promotional flyer. All training related pages on the Library's site received 27,424 visits from Senate staff.

Other Digital Content

Library staff completed the first phase of the retrospective digitization of the Senate Executive Calendars from 1997 to the present in response to staff requests for older editions of the calendar. Work will continue on the digitization of the remaining Executive Calendars in the Library's collection. This collaborative project between the Library, the Senate Executive Clerk, the Office of Web Technology, and the LIS Project Office will build a complete digital collection from the Library's bound editions and form the basis for a future online digital archive available on Senate.gov and Webster.

In anticipation of an update to Senate Committee Print 99–95, Senate Cloture Rule, substantial improvements were made to the Library's XML cloture tables by adding Congressional Record volume and page numbers for each motion and vote from 1917 to the present. Summer interns collaborated on this project helping with research and data entry.

Senate Knowledge Base

The Senate knowledge base is an institutional repository of data to support the Webster site taxonomy project and Webster search enhancement. To date, 1,129 document records, 1,960 term records, and 480 organization records in the Senate knowledge base are supporting the Webster taxonomy and search projects. The 45-percent increase in the number of terms and 19-percent increase in the number of documents created this year is a result of a restructuring of the database to support the online Senate Services Directory (Red Book) and reporting for "keymatches".

Webster Online Services Directory (Red Book)

The online Services Directory was launched in January as a joint effort between the SAA ASAA/CIO office and the Library. The online directory combines Web page links to internal and selected external services, links between related terms and services, along with contact information contained in the Red Book. The Red Book was a printed directory (last published in November 2010) created by the Senate telephone operators as a finding aid for commonly requested numbers and services. The online Senate Services Directory is driven by a completely new taxonomy that is managed through the Senate knowledge base.

Webster Search Enhancement

Librarians improve Webster search results by analyzing popular search terms and matching them with topically relevant pages or search engine "keymatches" (which are managed through the Senate knowledge base). This improves the chances a searcher will find what he or she is looking for on Webster. During 2011, 237 "keymatches" were established and 719 changes were made to update Web page links.

Instruction and Outreach Programs

Reference librarians conduct a wide variety of classes and tours for Senate staff, including Insider's Guide to Webster, Introduction to LIS, Research Tools on Your Desktop, Services of the Senate Library, and Got Questions? Targeted efforts to reach underserved State staff and interns were rewarded with a total of 830 staff participating in 150 classes, tours, and webinars. This represents a 65-percent increase in the number of training opportunities offered and a 119-percent increase in the number of staff trained. Library trainers offered no cost Web-based training using Watson conference sessions targeted at State staff. Webinars proved to be extremely popular with State office staff, which constituted the majority of the 190 session attendees.

SIS program sponsored vendor training was expanded to include both in person and Web-based training from LexisNexis and Westlaw in an effort to reach underserved State staff.

A new course offering titled "Using the Legislative Information System (LIS)" was taught to 50 participants as part of the Legislative Survival Guide training series in collaboration with the Joint Office of Education and Training in the fall of 2011.

The Library gave numerous tours to outside library professionals including each semester's Senate Page School class, law library interns from the Library of Congress, Catholic University library school students, Federal Depository librarians, CRS librarians, and a group of visiting Special Library Association member librarians. The Library also participated in the CRS District State Institute, instructing 30 State staff, and participated in the Senate Services Fair, making contact with 60 Senate staff.

Efforts to reach Senate staff more directly though the use of small graphics with links to featured resources in staff email signatures and by engaging mobile device users with quick response (QR) codes in promotions in posters and flyers resulted in 378 click throughs on email signatures and 42 page views using mobile devices. The QR codes and email signatures change monthly to coordinate with the Library's overall promotional program. In 2011, a total of 24 Webster ads for Library services were run and 660 flyers were distributed.

Monthly book displays and online bibliographies highlight the Library's collections and stimulate interest in reading new titles. Five new bibliographies were created during the year, including *From the Gilded Age to the Information Age*; *September 11: A Look Back*; *Bill of Rights: Then and Now*; *Award Winning Books from the Senate Library*; and *War Stories: Remembering Veterans*. The graphical ads featured on Webster that linked to the reading lists have resulted in 2,023 downloads of the new bibliographies and an increase in books requested online and in the number of books loaned. October's *Award Winning Books from the Senate Library* proved to be the most popular with staff, accounting for 1,150 downloads. The Library's *Great Reads for New Senate Staff* continued to draw in readers as did the Library's 140th anniversary promotional list *From the Gilded Age to the Information Age*. The Library's permanent online bibliographies, travel guides, and style guides received 28,718 visits from Senate staff.

Collection Development

Audiobooks

The Library acquired 45 new audiobook titles in 2011, bringing the total number to 170 titles. Designed to assist users with diverse needs, including those who may be visually challenged, as well as to draw patrons into the Library, the program remains popular with patrons whose 902 loans were equivalent to circulating each item in the collection more than five times over. An online bibliography of audiobooks on Webster contains links to the catalog and the online book request form.

New Digital Resources

The overall number of searches using the Serials Solution A–Z list was 3,156, 60 percent of which were the result of users finding and using SIS program content from LexisNexis, ProQuest, and Westlaw. The 26-percent decline in usage following the launch of the State NewsWatch platform in January was because of improved access to State and local newspapers and Library efforts to focus training on and increase user awareness of the new site. Content was updated to include two new databases that resulted from changes in vendor offerings.

The Library added the Bar Journals Library to its Hein Online subscription expanding digital access for librarians to more than 80 journal titles, and also subscribed to the online version of the legal encyclopedia *Corpus Juris Secundum* on Westlaw which provides a thorough, contemporary statement of American laws as derived from reported cases and legislation. Senate-wide access was provided to the 2011 e-book edition of the *Gale Directory of Publications & Broadcast Media*. These resources increase the scope of material available and the efficiency with which reference librarians can answer questions from Senate staff.

The Library began offering Senate-wide access to a legislative histories database on the ProQuest Congressional platform. The legislative histories database provides information on all hearings and reports associated with a law and provides direct links to the full text of these congressional documents.

Government Documents

As a participant in GPO's Federal Depository Library Program, the Library receives selected categories of legislative, executive, and judicial branch publications. The Library received 8,997 Government publications in 2011. In response to the trend of issuing Government documents in electronic format, 5,206 links were added to the Library catalog, bringing the total number to 39,649, an increase of 15 percent more than last year. The links provide Senate staff desktop access to the full text of each document.

ACQUISITIONS, 2011

Category	Total
Congressional documents	7,048
Executive and judicial branch publications	1,949
Books (including audiobooks and e-books)	841
Electronic links	5,206
Total acquisitions	15,044

Legislative Validation

The Library's Legislative Validation Clerk verifies and edits the accuracy and consistency of data and legislative information published by Secretary of the Senate staff in LIS, DMS, the Congressional Record, Senate.gov, and Webster. The clerk's work also requires the verification of selected Congressional Record Index entries (print and electronic) and includes comparing electronic entries made by legislative staff or data entry clerks from various agencies with the printed Congressional Record Index and notifying the offices of discrepancies.

Between January and December 2011, the Legislative Validation Clerk submitted 271 corrections out of hundreds of thousands of verified legislative actions that took place during the year.

LEGISLATIVE VALIDATION CLERK CORRECTIONS, 2011

Office	Number submitted
Bill, Enrolling, Executive, Journal, and Legislative Clerks	88
Reporters of Debates, Morning Business Editor, and Daily Digest	146
GPO and Library of Congress—LIS	37
Total corrections	271

Cataloging

The Library's productive cataloging staff draws on years of experience to produce and maintain a catalog of more than 217,000 bibliographic items. During 2011, they added 4,673 new titles to the catalog (an increase of more than 25 percent from the previous year) and performed 28,137 record maintenance and enhancement activities (an increase of 18 percent from the previous year), including correcting subjects and names that have become obsolete and retrospectively adding links to full-text content and book jacket images to existing records.

Catalogers' time and skills at categorizing and describing content are increasingly in demand for taxonomy-related projects designed to enhance Webster. These include creating the records that drive functionality in the new online Red Book Senate Services Directory, analyzing logs of unsuccessful searches to create "keymatches" that target Webster search results, and developing a topical framework to support the development of news alerts, improve content organization, and enhance the effectiveness of predefined searches in Senate NewsWatch and the InfoViewer client.

Catalogers created 623 bibliographic records for Senate hearings not yet printed using information in the Congressional Record Daily Digest and the combined hearings schedule on Webster. This includes field hearings that are not listed in the Daily Digest. These records provide preliminary access for Senate staff and remain in the catalog until the printed hearing is received and cataloged.

The catalog is updated nightly to ensure that Senate staff will retrieve accurate and current information on Library holdings. The addition of 740 book jacket images in 2011, an increase of 38 percent, enhanced the catalog's visual appeal.

2011 was a milestone for the Library catalog, marking its first-time availability to Senate users via remote access through the Senate's virtual private network gateway. Visitors to the catalog increased 24 fold as a result of promotional efforts to highlight the Library's collection coupled with this expanded access. The Library catalog was used by 3,804 Senate staff accounting for 7,210 visits in 2011.

Library Automation

An upgrade to the Library's integrated library system was installed in September. Among the many fixes, the patch provided support for various fields and codes recently introduced by the Library of Congress, including a new genre/form thesaurus code and new fields intended to support the future implementation of the Resource Description and Access (RDA) cataloging rules. The OCLC Connexion software, used to create bibliographic records for the catalog, was also upgraded on Technical Services staff computers in October.

The Library purchased a Cognos report writer authoring license as an add-on for the integrated library system. This product will enable Library staff to write structured query language queries against the cataloging and circulation database to create custom reports as needed, facilitating catalog maintenance projects, streamlining data exports from the catalog, and improving the gathering of statistics.

The Library and the Information Systems Office worked with SAA staff to upgrade and fully implement a Web-based, off-the-shelf call tracking application to log, track, and route incoming SIS support requests. Clearly defined processes and procedures were also established to monitor email and telephone requests and establish data entry and statistical requirements prior to use. The result has been efficient tracking of calls, vendor support requests, and prompt response to the needs of Senate staff.

Preservation, Binding, and Collection Maintenance

Technical Services staff continued to participate in book repair training sessions led by the director of the Office of Conservation and Preservation. Trainees repaired 281 volumes, making significant progress in the preservation of the Library's bound book collection.

The Library continues to preserve and protect rare and fragile print materials in its collections using commercial binding services procured through GPO. In 2011, a total of 48 volumes were sent out for binding, and 153 volumes were completed, with excellent results.

Budget

Budget negotiations with database vendors resulted in flat or reduced pricing for online research services and subscriptions. Budget savings from price reductions in 2011 online research services and cuts in subscriptions totaled $6,000. After 14 years of budget monitoring, savings total $155,013. This continual review of purchases eliminates materials not meeting the Senate's current information needs. This oversight is also critical in containing and offsetting cost increases for core materials and for acquiring new materials.

Special Projects

UNUM, Newsletter of the Office of the Secretary of the Senate

UNUM, the Secretary's quarterly newsletter, has been produced by Senate Library staff since October 1997 and is distributed throughout the Senate and to former staff and Senators. It serves as an historical record of accomplishments, events, and personnel news in the Office of the Secretary of the Senate. Highlights from the 2011 UNUM issues include articles on letters donated by Senator Fred Harris that shed light on the process for choosing the "Famous Five" Senators whose portraits now hang in the Senate Reception Room; a feature on the Senator Bill Frist leadership portrait; an article on the 20th anniversary of the Office of Captioning Services; book reviews on Civil War books and on "great reads for new Senate staff"; an article by Senate Associate Historian Betty Koed setting the record straight about the Russell Senate Office Building basement as a horse stable; and the continuation of the "Senate Voices" series prepared by the Historical Office that contains excerpts of oral histories of former staffers.

National Library Week

James Swanson, author of *Bloody Crimes: The Chase for Jefferson Davis and the Death Pageant for Lincoln's Corpse*, was the featured speaker at the Library's 13th annual book talk in honor of National Library Week with 90 people in attendance. Other events included a book display, *Rarities and Oddities of the Senate Library*, and a well-attended dessert reception.

Display Cases

Hallway display cases continue to educate staff and visitors alike while highlighting the Library's collections. Display cases featured this year include:

—*African Americans in the Civil War*;
—*Philip Reid and the Slaves Who Built the Capitol*; and
—*19th Century Gilded Book Bindings in the Senate Library*.

Cooperative Projects

Hearing Universal Resource Locator (URL) data from the Library catalog is exported weekly to provide LIS and THOMAS with full-text links to Senate hearings. The Library contributed 2,905 new Senate hearing links to the LIS database during 2011, a 176-percent increase more than 2010.

Major Library Goals for 2012

Implement a rebuilt Senate NewsWatch platform to accommodate anticipated changes in news feed delivery with better integration and presentation of available State and local news content on the site.

Continue team evaluation and enhancement of instructional course offerings, review available applications to create online course offerings, and expand Web-based training opportunities to reach State staff.

Complete project to create an online archive of the Senate Executive Calendar, in collaboration with the Senate Executive Clerk and the Office of Web Technology.

Complete and release a redesigned LexisNexis customized user search interface for the Senate.

Begin the collaborative development of a topical framework for Senate NewsWatch to support the development of news alerts, improve content organization, and enhance the effectiveness of predefined searches in Senate NewsWatch and the InfoViewer client.

Create and install two new displays for the entrance to the Dirksen Senate Auditorium, SDG–50, under the direction of Senate Committee on Rules and Administration in collaboration with the Office of Senate Curator and the Senate Historical Office.

Prepare for the anticipated implementation of new cataloging rules, called RDA by the Library of Congress and other libraries worldwide in 2013.

Begin project to improve access to the Library's collection of unpublished Senate hearings on microfiche by adding item-level records to the catalog with links to full-text content.

SENATE LIBRARY ACQUISITIONS STATISTICS FOR CALENDAR YEAR 2011

	Books		Government documents		Congressional publications				Total
	Ordered	Received	Paper	Fiche	Hearings	Prints	Bylaws	Reports/ Documents	
January	21	63	108	49	320	15	65	227	847
February	18	72	60	80	311	42	137	107	809
March	14	48	401	72	335	39	123	141	1,159
1st Quarter	53	183	569	201	966	96	325	475	2,815
April	12	64	103	83	239	30	91	140	750
May	14	45	68	11	257	20	110	165	676
June	15	41	82	70	232	11	112	208	756
2nd Quarter	41	150	253	164	728	61	313	513	2,182
July	26	131	39	2	283	7	169	294	925
August	35	90	83	70	452	7	109	171	982
September	74	63	66	85	283	9	88	226	820
3rd Quarter	135	284	188	157	1,018	23	366	691	2,727
October	23	105	95	79	228	6	99	166	778
November	20	50	52	82	188	10	100	197	679
December	22	69	97	12	188	14	92	185	657
4th Quarter	65	224	244	173	604	30	291	548	2,114
2011 Total	294	841	1,254	695	3,316	210	1,295	2,227	9,838
2010 Total	299	761	1,589	699	3,719	135	1,210	2,726	10,839
Percentage change	−1.67	+10.51	−21.08	−0.57	−10.84	+55.56	+7.02	−18.31	−9.24

SENATE LIBRARY CATALOGING STATISTICS FOR CALENDAR YEAR 2011

	S. Hearing numbers added to LIS	Bibliographic records cataloged								Total records cataloged
		Books		Government documents			Congressional publications			
		Paper	Audio/ E-Books	Paper	Fiche	Electronic	Hearings	Prints	Documents/ Publications/ Reports	
January	17	80	3	19	....	19	174	126	103	524
February	64	47	4	10	....	19	185	55	47	367
March	18	39	5	4	18	9	273	170	61	579
1st Quarter	99	166	12	33	18	47	632	351	211	1,470
April	40	16	4	3	31	10	158	38	47	307
May	13	12	9	....	....	10	206	9	28	274
June	48	13	2	3	....	13	140	60	61	292
2nd Quarter	101	41	15	6	31	33	504	107	136	873
July	47	24	1	6	....	10	120	74	74	309
August	73	40	6	4	3	26	315	76	65	535
September	7	41	11	4	....	7	227	73	55	418
3rd Quarter	127	105	18	14	3	43	662	223	194	1,262
October	10	63	6	2	....	9	89	3	156	328
November	38	34	7	3	5	23	163	1	121	357
December	....	41	6	7	1	16	174	1	137	383
4th Quarter	48	138	19	12	6	48	426	5	414	1,068
2011 Total	456	450	64	65	58	171	2,224	686	955	4,673
2010 Total	312	338	46	58	7	122	1,796	234	1,135	3,726
Percentage change	+46.15	+33.14	+39.13	+12.07	+728.57	+40.16	+23.83	+193.16	−15.86	+25.42

SENATE LIBRARY DOCUMENT DELIVERY STATISTICS FOR CALENDAR YEAR 2011

	Volumes loaned	Materials delivered	Facsimiles	Micro-graphics center pages printed	Photocopiers pages printed
January	245	433	26	50	4,629
February	251	361	25	47	4,652
March	249	369	41	11	3,996
1st Quarter	745	1,163	92	108	13,277
April	255	415	19	63	3,570
May	239	388	14	85	3,089
June	296	307	22	101	5,696
2nd Quarter	790	1,110	55	249	12,355
July	273	328	17	101	5,256
August	339	313	28	64	2,998
September	331	366	19	52	3,879
3rd Quarter	943	1,007	64	217	12,133
October	298	385	15	22	5,776
November	296	361	16	47	3,002
December	299	365	9	5	4,735
4th Quarter	893	1,111	40	74	13,513
2011 Total	3,371	4,391	251	648	51,278
2010 Total	3,251	4,349	223	857	71,983
Percentage change	+3.69	+.97	+12.56	−24.39	−28.76

PAGE SCHOOL

The United States Senate Page School exists to provide a smooth transition from and to the students' home schools, providing those students with as sound a program, both academically and experientially, as possible during their stay in the Nation's capital, within the limits of the constraints imposed by the work situation.

Summary of Accomplishments

Accreditation by the Middle States Commission on Secondary Schools continues through April 2013. The midpoint re-accreditation process began with review of the standards by staff in the fall of 2011.

Two page classes successfully completed their semester curriculum. Closing ceremonies were conducted on June 10, 2011, and January 27, 2012, the last day of school for each semester.

Orientation and course scheduling for the spring 2011 and fall 2011 pages were successfully completed. Needs of incoming students determined the semester schedules.

English usage pre- and post-tests were administered to students each semester and the results were reviewed by faculty to determine what usage instruction or remediation was needed.

A general study skills tutorial was presented to all students, and study skills sessions were provided to identify students in need of training in specific areas.

Faculty and staff provided extended educational experiences to pages, including 21 field trips, four guest speakers, opportunities to play musical instruments and vocalize, and foreign language study with the aid of tutors. Summer pages took eight field trips to educational sites and heard two guest speakers as an extension of the page experience. In addition, a panel of former pages spoke with current pages during the fall semester. They presented their views on the value of the program and advice on how to make the experience meaningful.

Fourteen pages took 27 Advanced Placement (AP) exams in eight subjects for qualification in scholarship programs.

The community service project embraced by pages and staff in 2002 continues. Items for gift packages were collected, assembled, and shipped to military personnel serving in various locations. Pages included letters of support to the troops.

All Page School staff attended continuing education and training classes.
New tutors were trained in evacuation procedures.
All Page School staff attended continuing education and training classes.
Communication among SAA, Secretary of the Senate, Party Secretaries, Page Program, and Page School is ongoing.
Equipment purchased included an Optoma Projector for enhanced teaching and communication in social studies classes, three power supply units for the science laboratory, an electronic lab for science classes, dry erase board overlays for use in math and social studies classes, and additional copies of a novel for English classes.

Continuity of Operations Planning

The evacuation plan and COOP have been reviewed and updated. Pages and staff continue to practice evacuating to primary and secondary sites. Pages participated in escape hood training.

Summary of Plans

Our goals include:
—Individualized small group instruction and tutoring by teachers on an as-needed basis will continue to be offered, as well as optional academic support for students preparing to take AP tests.
—Foreign language tutors will provide assistance to students.
—The focus of field trips will be sites of historic, political, and scientific importance which complement the curriculum.
—English usage pre- and post-tests will continue to be administered to students each semester to assist faculty in determining needs of students for usage instruction. Pre- and post-tests will be devised to administer to students each semester to assist faculty in determining course placement and achievement in both math and science.
—Staff development options include attendance at seminars conducted by Education and Training and subject matter and/or educational issue conferences conducted by national organizations.
—The community service project will continue.
—Continuation of the work for re-accreditation will proceed.

PRINTING AND DOCUMENT SERVICES

The Office of Printing and Document Services (OPDS) serves as liaison to GPO for the Senate's official printing, ensuring that all Senate printing is in compliance with title 44, United States 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 miscellaneous 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.

Printing Services

During fiscal year 2011, OPDS prepared 3,568 requisitions authorizing GPO to print and bind the Senate's work, exclusive of legislation and the Congressional Record. Since the requisitioning done by OPDS is central to the Senate's printing, the office is uniquely suited to perform invoice and bid reviewing responsibilities for Senate printing. As a result of this prepared office's cost accounting duties, OPDS is able to review and assure accurate GPO invoicing as well as play an active role in helping to provide the best possible bidding scenario for Senate publications.

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 miscellaneous printed products, as well as monitoring blank paper and stationery quotas for each Senate office and committee. OPDS also coordinates a number of publications for other Senate offices, such as the Curator, Historian, Disbursing, Legislative Clerk, Senate Library, as well as the U.S. Botanic Garden, USCP, AOC, and the CVC. These tasks include providing guidance for design, paper selection, print specifications, monitoring print quality, and distribution. Last year's major printing projects included:
—Semi-Annual Report of the Secretary of the Senate;
—The Senate Civil War brochure;
—The U.S. Senate Leadership Portrait Collection brochure;
—The U.S. Senate Appropriations Committee brochure;

—The Senate Manual;
—Authority and Rules of Senate Committees;
—2011 Senate Telephone Directory;
—Senate gallery passes and visitor badges; and
—CVC tour tickets and informational brochures.

Hearing Billing Verification

Senate committees often use outside reporting companies to transcribe their hearings, both in-house and in the field. OPDS processes billing verifications for these transcription services to ensure that costs billed to the Senate are accurate. OPDS utilizes a program developed in conjunction with the Sergeant at Arms Computer Division that provides greater billing accuracy and information gathering capacity; and adheres to the guidelines established by the Senate Committee on Rules and Administration for commercial reporting companies. During 2011, OPDS provided commercial reporting companies and corresponding Senate committees a total of 894 billing verifications of Senate hearings and business meetings, a 9-percent increase more than fiscal year 2010 levels. More than 62,920 transcribed pages were processed at a total billing cost of $573,974.

During fiscal year 2011, the office processed all file transfers and billing verifications between committees and reporting companies electronically ensuring efficiency and accuracy. Department staff continues training to apply today's expanding digital technology to improve performance and services.

Secretary of the Senate Service Center

The Service Center within OPDS is staffed by experienced GPO detailees who provide Senate committees and the Secretary of the Senate's Office with complete publishing services for hearings, committee prints, and the preparation of the Congressional Record. These services include keyboarding, proofreading, scanning, and composition. This allows committees to decrease, or eliminate, additional overtime costs associated with the preparation of hearings. Additionally, the Service Center provides work for GPO detailees assigned to legislative offices during Senate recesses.

Document Services

The Document Services Section coordinates requests for printed legislation and miscellaneous publications with other departments within the Secretary's office, Senate committees, and GPO. This section ensures that the most current version of all material is available, and that sufficient quantities are available to meet projected demands. The Congressional Record, a printed record of Senate and House floor proceedings, Extension of Remarks, Daily Digest and miscellaneous pages, is one of the many printed documents provided by the office on a daily basis. In addition to the Congressional Record, the office processed and distributed 7,770 distinct legislative items during the first session of the 112th Congress, including Senate and House bills, resolutions, committee and conference reports, executive documents, and Public Laws.

The demand for online access to legislative information continues to be strong. Before Senate legislation can be posted online, it must be received in the Senate through OPDS. Improved database reports allow the office to report receipt of all legislative bills and resolutions received in the Senate which can then be made available online and accessed by other Web sites, such as LIS and Thomas, used by congressional staff and the public.

Customer Service

The primary responsibility of OPDS is to provide services to the Senate, but documents are also made available to the general public and other Government agencies. During 2011, more than 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 each time 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. Recorded messages, fax, and email operate around the clock and are processed as they are received, as are mail requests. The office stresses prompt, courteous customer service while providing accurate answers to Senate and public requests.

On-Demand Publication

The office supplements depleted legislation when needed by producing additional copies in the DocuTech Service Center, staffed by experienced GPO detailees who provide Member offices and Senate committees with on-demand printing and binding of bills, reports and other legislation. On-demand publication allows the department to cut the quantities of documents printed directly from GPO and reduces waste. In particular the decrease in the number of documents routinely received by Senate Committees during the last quarter of 2011 increased the need for DocuTech services. OPDS anticipates that need to further increase over the next year. The office produced 132 on-demand jobs for committees during 2011, a 94-percent increase more than the previous year. Total jobs run on the DocuTech increased 62 percent more than 2010. The DocuTech is networked with GPO, allowing print files to be sent back and forth electronically. This allows OPDS to print necessary legislation for the Senate floor, and other offices, in the event of a GPO COOP situation.

Accomplishments and Future Goals

Over the past year, OPDS has faced challenges by providing new services for customers and improving existing ones. Of particular note is the office's commitment to help "green" the Senate. During 2011 more than 12.9 million sheets of 100-percent recycled paper were ordered by Senate offices, representing a 235-percent increase in the use of recycled paper over the previous year. Additionally, the office anticipates its print-on-demand capabilities will continue to grow in 2012, answering the Senate's needs in light of decreased GPO distribution of legislative documents. The office works diligently to track document requirements, monitor print quantities, and reduce waste and associated costs.

The office continues working with the GPO on behalf of its customers to improve efficiency and help answer the evolving needs of the Senate. Focus on COOP planning and emergency preparedness will continue.

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 of 1995 (LDA), 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 provides for the inspection, review, and publication of these documents. From October 2010 through September 2011, the Public Records office staff assisted more than 2,000 individuals seeking information from reports filed with the office. This figure does not include assistance provided by telephone or email, nor help given to lobbyists attempting to comply with the provisions of LDA, as amended. In addition, the office works closely with the Federal Election Commission, the Senate Select Committee on Ethics, and the Clerk of the U.S. House of Representatives concerning the filing requirements of the aforementioned acts and Senate rules.

Fiscal Year 2011 Accomplishments

The office continued to implement S. 1, the Honest Leadership and Open Government Act, which amended the LDA and the Senate Code of Conduct. The office posted two LDA guidance updates and concentrated on developing additional research tools to assist with LDA compliance issues, referring 305 cases of potential noncompliance to the U.S. Attorney for the District of Columbia. The Senate Office of Public Records continued to test COOP plans and pandemic response plans.

Plans for Fiscal Year 2012

The Public Records office will continue to assess technology infrastructure needs, as well as continue to work with the Clerk of the House of Representatives (Clerk) and her staff to semiannually review and update the LDA Guidance as needed. Additionally, the office will work with the Clerk to initiate a review and update of the LDA filing system. The office will also continue to develop and implement educational information and tools that will help all report filers comply fully with the law and assist customers in accessing the information they seek.

Automation Activities

During fiscal year 2011, the Senate Office of Public Records continued to work with SAA to enhance database performance for all issue areas and improve public query programs.

Federal Election Campaign Act, as Amended

The act requires Senate candidates to file quarterly and pre- and postelection reports. Filings totaled 4,740 documents containing 394,676 pages.

LDA, as Amended

The LDA requires semi-annual contribution reports, and quarterly financial and lobbying activity reports. As of September 30, 2011, there were 4,738 registrants representing 18,510 clients. The total number of individual lobbyists disclosed on 2011 registrations and reports was 13,609. The total number of lobbying registrations and reports processed was 124,849.

Public Financial Disclosure

The filing date for Public Financial Disclosure Reports was May 16, 2011. The reports were made available to the public and press by June 15, 2011 as required by statute. Public Records staff provided copies to the Select Committee on Ethics and the appropriate State officials. A total of 3,765 reports and amendments were filed containing 23,923 pages. There were 293 requests to review or receive copies of the documents.

Senate Rule 35 (Gift Rule)

The Senate Office of Public Records received 223 Gift Rule/Travel reports during fiscal year 2011.

Registration of Mass Mailing

Senators are required to file mass mailing reports on a quarterly basis. The number of pages submitted during fiscal year 2011 was 380.

STATIONERY ROOM

The Senate Stationery Room is the provider of office and administrative supplies, health and personal security supplies, personalized stationery, and special order items for official Government business. The Stationery Room serves all Members, both current and retired; support offices, and other authorized organizations.

The Stationery Room fulfills its mission by:

—Utilizing open market, competitive bid or General Services Administration (GSA) schedules for supply procurement.
—Maintaining sufficient in-stock quantities of select merchandise in order 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.
—Managing all accounts receivable and accounts payable reimbursement.
—Ensuring the integrity and security of all funds and Government assets under our control.

	Statistics	
	Fiscal year 2011	Fiscal year 2010
Gross sales	$3,535,526.90	$3,343,167.00
Sales transactions	36,198	44,626
Purchase orders issued	6,041	6,354
Vouchers processed	6,441	7,022
Office deliveries	6,578	5,986
Number of items delivered	142,132	136,021
Number of items sold	351,408	390,528
Total cartons received offsite	25,192	22,583
Total of all items received	161,431	149,762
Average office deliveries per day	27	25

Fiscal Year 2011 Overview

Wireless Point of Sale System

During fiscal year 2011, the Stationery Room purchased mobile point-of-sale licenses for three existing MC–70 handheld computers. Used primarily for inventory control and merchandise ordering, the MC–70 can now be used as a wireless mobile sales station. These devices are used in conjunction with the Stationery Room's retail management system (RMS) and can be deployed at times of extremely heavy sales volume to shorten checkout lines or to improve customer service with "concierge" type personal shopping, whereby the sales associate can accompany the customer around the store, scan the desired items, finalize the sale, and package the order for delivery.

Credit Card Acceptance

Continuing to improve customer service, the Senate Stationery Room began accepting credit card payments for in-store purchases. The stand-alone terminals utilized to process payments via local area network connection are secure and compliant with industry standards. No fees are incurred by the Stationery Room or the customer. Purchases are accepted from all Members, staff, and others who are authorized.

Credit Card Payment for Flags

Utilizing the Pay.gov service offered by the Department of the Treasury, the Stationery Room began to accept flag requests and payments online from constituents. Five offices are currently utilizing this service, and feedback has been very positive. Wait time for the constituent has been drastically reduced, payment inaccuracies have been almost eliminated, and the workload for office representatives is much more manageable. The service will eventually be offered to all offices.

Permit Mailing of Flags

With the assistance and support of SAAs' PGDM branch, the Stationery Room has begun the transition from using a postage meter to mail flags to a much more economical permit mailing and manifest process. PGDM personnel will utilize their experience with this process (already in use by several other offices) to mail flags, saving the Stationery Room approximately $2,000 per year in fees for rent, maintenance, and supplies. Additionally, the Stationery Room will realize savings in general postage fees and, while no accurate estimate is possible until the process is fully operational, these savings could amount to several more thousand dollars each year.

WEB TECHNOLOGY

The Department of Web Technology is responsible for the Web sites that fall under the purview of the Secretary of the Senate:

—the Senate Web site (Senate.gov)—available to the world;
—the Secretary's internal Web site (Webster.senate.gov/secretary)—available to the Senate Staff;
—central portions of the Senate Intranet (Webster.senate.gov)—available to the Senate Staff; and
—the Senate Legislative Branch Web site (Legbranch.senate.gov)—available to the Senate, House of Representatives, Library of Congress, AOC, GAO, GPO, Congressional Budget Office (CBO), and USCP.

The Senate Web Site—Senate.gov

The Senate Web site content is maintained by more than 30 contributors from seven departments of the Secretary's office and three departments of SAA. Content team leaders regularly share ideas and coordinate the posting of new content. All content is controlled through the Secretary's Web content management system (CMS) managed by the Office of Web Technology.

Major Additions to the Site in 2011

Civil War Sesquicentennial Exhibit.—This exhibit has provided a continuing series of online features exploring the Senate's wartime experiences. The components of this exhibit have been updated monthly to highlight various events, people, and locations related to the Senate during the war and connecting users to rich historical information throughout the site.

Nine featured documents were also added as part of the Civil War exhibits. These provide pictures of the original historic documents, portable document format versions of the text, and in some instances transcripts. These documents are a great primary source reference and range in topics from Charles Sumner's speech on the Trent Affair to Civil War era petitions.

http://www.senate.gov/artandhistory/history/common/civil__war/CivilWar.htm

http://www.senate.gov/artandhistory/history/common/civil__war/Petitions__FeaturedDoc.htm

http://www.senate.gov/artandhistory/history/common/civil__war/TrentAffair__FeaturedDoc.htm

Civil War Chronology Based on the interactive display created for the Senate Chronology page, this tab-based exhibit groups Civil War-related Senate events on a yearly basis. This page has a great wealth of knowledge displayed in a small amount of space with a useful display leveraging Web 2.0 technologies that appeals to a wide audience.

http://www.senate.gov/pagelayout/history/one__item__and__teasers/CivilWar__chronology.htm

Civil War Senate Virtual Reference Desk Page.—The virtual reference desk provides links to all the various features that comprised the Civil War Sesquicentennial Exhibit along with additional resources relating to the Senate and the Civil War. The page is useful to many different audiences and conveniently organizes this vast information set by chronology, featured documents, historical minutes, powers and procedures, and Senators.

http://www.senate.gov/reference/Index/Civil__War__Senate.htm

Historical Senate Floor Reports.—Legislative floor reports are now available for the previous 5 legislative days. An archive of previous reports is also now available online and is being incorporated to other ongoing projects to increasing their usefulness and accessibility.

http://www.senate.gov/pagelayout/legislative/g__three__sections__with__teasers/legislative__home.htm

Report of the Secretary of the Senate.—In conjunction with the Disbursing Office, Web Technology enabled online electronic access of the Report of the Secretary of the Senate. The display housing the links will expand nicely to serve as a hub to access various Secretary Reports for many upcoming years, while ensuring accuracy and security of the information via GPO's electronic certification and hosting.

http://www.senate.gov/legislative/common/generic/report__secsen.htm

Executive Calendar Archive.—Web Technology created new display, upload method, and automatic updating routines to display historic executive calendars. The archive goes back to 1997 and includes star prints and multiple versions for the same day when they exist. The fully automated system does not require any human intervention for the updates to appear nightly.

http://www.senate.gov/legislative/LIS/executive__calendar/2011/exec__calendar.htm

Custom 404 Page.—The new advanced error page provides more options for missing content through providing a listing of current Senators by State, access to the search box, webmaster email, and general navigation. In revamping the global error page, we provide assistance to public users accessing the central, Committee, and Member sites that may have lost their way.

http://www.senate.gov/pagelayout/general/one__item__and__teasers/file__not__found.htm

This Week in Senate History.—Senate.gov added an exciting new interactive slideshow displaying what happened on a particular date in Senate history. The repurposing of this legacy content makes it much more interesting for the user, provides more information on a single page, links to related content, and utilizes Web 2.0 technologies.

http://www.senate.gov/pagelayout/history/g__three__sections__with__teasers/origins.htm

Officers and Staff.—This revamped historical section includes richer content and a more visually pleasing display. Pictures are now associated with various categories making browsing more intuitive and interesting. Greater depth of content is provided for each officer section in an easier to update format.

http://www.senate.gov/pagelayout/history/one__item__and__teasers/officers.htm

Party Leadership.—Newly developed side-by-side images helped rework this historical section and maintain equal emphasis on multiple parties. The visually pleasing display presents updated content in a useful and interesting way, and the new format is much easier to maintain and update for content authors.

http://www.senate.gov/pagelayout/history/one__item__and__teasers/leader.htm);

Senators.—Leveraging new content templates and organization methods, the new historical Senators page provides an even greater wealth of information on previous Members than was available online before. The new format makes access easier and more logically presents information about featured Senators and distinctions.

http://www.senate.gov/pagelayout/history/one__item__and__teasers/senators.htm

Timepieces.—The Decorative Arts section on Senate.gov was expanded to include timepieces of the Senate. These artifacts were added as individual pages then grouped using an advanced browse list with a searching feature as well.

http://www.senate.gov/artandhistory/art/common/collection__list/Timepieces.jsp

Information About the Archives.—New pages were added on various aspects of archiving in the Senate, related reports, and other useful resources for scholars. Complex reports broken down by section facilitating quick browsing and more robust searching, making pages useful and relevant to a wide audience.

http://www.senate.gov/artandhistory/history/common/generic/Information__about__Senate__Archives.htm

Enhanced Calendars and Schedules Virtual Reference Page.—The greatly improved calendars and schedules virtual reference page makes finding information on the various Senate calendars much easier for all audiences. Also, now included are useful links to similar House information and resources to find out more about schedules, adjournments, and recesses.

http://www.senate.gov/reference/Index/Calendars__schedules.htm#BrowseExecutiveCalendars

New Officers and Treaties Virtual Reference Pages.—The virtual reference pages continue to be some of the most popular and useful on the public site. The new versions of the officers and treaties provide a great wealth of information in well-organized and easy to use matter.

http://www.senate.gov/reference/Index/Officers.htm

http://www.senate.gov/reference/Index/Treaties.htm

Senate Art and History Publications.—The new display groups all Senate Art and History publications in one place making them much easier to locate and take advantage of the cleaner bibliography displays.

http://www.senate.gov/reference/bibliography/Art__History/index.shtml

Privileged Nominations.—The new report lists privileged nominations received. Initially, the report is posted as a simple text file in the same manner as other nominations on Senate.gov. Web Technology is working with the LIS/DMS group to make this XML-based and the foundation for a new format for delivering reports that will provide greater flexibility for display.

http://www.senate.gov/pagelayout/legislative/one__item__and__teasers/nom__priv.htm

Biographies and Oral Histories.—Seven featured biographies and five oral histories conducted by the Senate Historical Office were added to Senate.gov this year.

http://www.senate.gov/pagelayout/history/one__item__and__teasers/featured__biographies.htm

http://www.senate.gov/pagelayout/history/g__three__sections__with__teasers/oralhistory.htm

Homepage Feature Articles.—

—What Happens When a New Congress Begins?

—Locate Senate Speeches

—Discover the Senate Chamber Desks

—Locating Senate Legislation

—Notable Senate Investigations

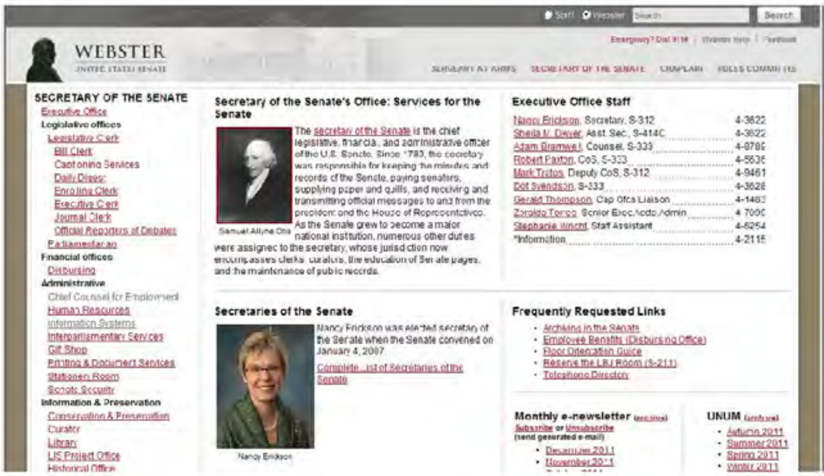
—Focus on the Constitution: The Seventeenth Amendment

—Learn about the Senate: Officers & Senate Leaders

—Advice & Consent: Treaties

—The Senate and the Second World War

Secretary's Intranet—Webster.senate.gov / secretary



The Secretary of the Senate intranet (http://webster.senate.gov/secretary) continued to expand in information and services offered. Web-based order forms were maintained, expanded, and enhanced for the requesting of specific legislative documents, class registration, blank paper, room reservations, and stationery product suggestions.

The catalog-based ordering system developed for the Stationery Office continues to be a large success. The system is managed with the content directly from the Stationery Office's existing Microsoft RMS, which underwent several successful inventory updates during this past year. For the 2011 calendar year, 145 orders were successfully placed and filled using the online order form.

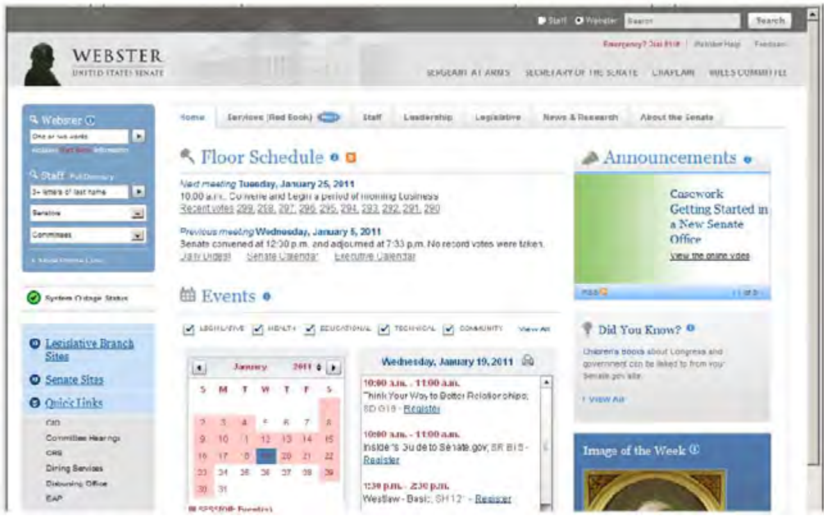
Web Technology added on-demand videos for required sexual harassment courses on the SCCE site on Webster. These videos are required to be viewed annually by Senate staff and interns. Having the video on the intranet facilities the timely consumption of this seminar by all staff.

A new Archiving in the Senate section adds many useful sources regarding archiving. Utilizing Web 2.0 technologies we were able to display lots of information in a small amount of space and have it still be useful to a wide range of audiences (http://webster.senate.gov/secretary/departments/Historical__office/Archiving/archiving__services.htm).

Frontpage, the Web portal for SIS, continued to be heavily utilized. Adjustments were made to accommodate information architecture changes to guarantee consistent access on and off campus. A newly launched interface for news.senate.gov was put in place seamlessly to the users and an enhanced class registration system was launched.

A new survey template was developed and utilized for internal use. The survey, http://webster.senate.gov/secretary/library/survey/westlaw__survey.htm, was successfully used to collect information on a newly launched Westlaw interface. It was designed and developed in a way to easily be repurposed for any subject.

Webster Central Web site—Webster.senate.gov



In conjunction with SAA, Chaplain, and Senate Committee on Rules and Administration, Web Technology continued administering, managing, and enhancing the central section of Webster. We were happy to partner with the SAA and the Senate Library to add a unique services directory search. This was accomplished through the creation of a separate Google onebox that enables automated creation of indexes based on XML files.

Enhancements made to the floor schedule include an RSS feed and direct population of the information on the home page from the same source file used on Senate.gov. These are both good examples of how management of content on the central site continues to be streamlined by repurposing additional files that are already updated through existing systems on Senate.gov. The expansion of repurposed data continues to reduce duplicative efforts, increase consistency, relevancy, and timeliness of data displayed on Webster. Standardizing XML across both sites and having them integrated into the CMS was essential to making this possible.

Senate Legislative Branch Web site (Legbranch.senate.gov)

The legislative branch server is accessible by the Senate, House of Representatives, Library of Congress, AOC, GAO, GPO, CBO, and USCP. The Office of Web Technology maintains a basic Web site for a Capitol Hill email messaging working group managed by the SAA. In the future the server will be used to share more information with other Capitol Hill entities.

Accomplishments of the Office of Web Technology in 2011

States in the Senate Project. Worked extensively over the past year with the Historical Office and GPO in the design and implementation of a new stand-alone site for States (http://www.senate.gov/states). The interactive exhibit will be useful to many different audiences and provides information about each State's history that relates to the U.S. Senate in a fun and interesting manner. Links to contact information for Senators from each State have contact information linked to, which will further aid constituents with connecting to their Senators. Dynamic pieces of content are pulled from existing lists, making updating much more fluid, timely, and accurate.

Senate Floor Webcast on Senate.gov. In a joint project with the SAA's Chief Information Officer and Senate Recording Studio and the Committee on Rules and Administration, launched live streaming video of its floor proceedings, along with a searchable archive of previous proceedings (http://www.senate.gov/floor). An internal clipping tool was also developed for staff, greatly streamlining the process of generating and posting a video clip from the Senate floor to a Member's Web site or social networking site.

SCCE Seminar streams added to SCCE internal Web site. The streaming service allows for viewing of live events and on-demand viewing of previous sessions in a secure manner. Worked in conjunction with SAA, Senate Recording Studio, and SCCE to establish procedures to easily produce, publish, and control the various streams from yearly seminar serious. This is the first system of its kind at the Senate and sure to be used for future developments.

Electronic Report of the Secretary of the Senate available online for the first time (http://www.senate.gov/legislative/common/generic/report__secsen.htm). Completed a year-long initiative with the Disbursing Office, GPO, and the Senate Committee on Rules and Administration on the generating, authenticating, securing, and publishing of the report. The implemented solution guarantees accurate and valid information is available for this first online report and all future versions.

Senate.gov Web Audit. Audited pages regularly; updating, enhancing, and correcting pages; verifying content; and reviewing individual page designs throughout Senate.gov for accessibility and usability. Additionally, attended training on the latest advances in coding techniques to ensure accessibility and applied them to our sites.

Constantly monitored data feeds from the LIS/DMS system ensuring content on Senate.gov was current and all processes were functioning properly. This is of vital importance regarding information such as Committee hearing schedules, vote data, and Member contact information.

Responded to approximately 1,204 emails from the general public regarding senate.gov sites. Worked with various content providers, Web support groups, SAA, Member, and committee offices to make suggestions and resolve issues. This marks a slight increase from the previous year.

Continually reviewed and adjusted search operations and canned matches for both Senate.gov and Webster based on user tendencies and requests. A major addition was the creation and maintenance of a new Google onebox for services (Redbook) recently released. Also, investigated other search technologies as alternatives to existing searches and as ways to accomplish potential future projects.

Conducted user testing with Senate staff and interns to increase understanding of current Web site interactions, desires, and best practices.

Helped organize Capitol Hill-wide Webmaster meetings, where best practices were shared across entities. Regularly gave presentations and facilitated conversations during meetings.

Continually trained and practiced working from remote locations to be prepared should the need arise. All staff members are fully capable of accomplishing their job functions from any location with Internet access. This was accomplished largely through configuring virtual machines that mimic workstations on office laptops. Regardless of which staff member uses which laptop, the experience will be ubiquitous and consistent with being in the office. Additionally, completed new emergency action plan and director completed the eight course Emergency Coordinator Certificate Program.

Aided the Senate Library in aspects of SIS transition. The new FrontPage interface exposes many more resources in an easy to use manner. In leveraging advances in Web 2.0 technologies we are able to take greater advantage of available space and provide robust information concisely. Through designing and developing the system in XML and leveraging the CMS, it is easy for nontechnical users to update and maintain.

Worked extensively with the Senate Library in the continued development, implementation, and maintenance of taxonomies utilizing the knowledge base system. Participated in the planning, design, development, and administration for including the "Red Book" data in the knowledge base and then on Webster.

Maintained virtualized production and development server for the Secretary's intranet. Also, maintained virtualized production server for the Secretary's dedicated Google onebox server and transfer mechanisms to keep indices current.

Administrated content management system constantly throughout year and resolved issues as they arose. Modified existing system for enhancement requests and changes in general Senate information architecture for both production and development systems. Resolved tricky update bug to ensure the CMS worked with most recent security updates to our computer systems. Ensured continuity of operations with fully functional alternate computer facility system.

Implemented new coordinated monthly features across Senate.gov, highlighting various topics. Worked in conjunction with Historical Office, Curator's Office, and the Senate Library to produce and publish interesting content about historical events with current significance. Generating this fresh content also helped emphasize other sections of the public site by incorporating many useful hyperlinks.

Aided in the generation of a printed cloture brochure containing information up to the 110th Congress. Worked in conjunction with the Congressional Research Service, GPO, Senate Committee on Rules and Administration, and the Senate Library to provide mapping of XML content on senate.gov to print version. This marks the first time GPO has produced a printed document on XML-based senate.gov content. Utilizing the content in XML greatly simplified the overall workflow and ensured the accuracy of information across delivery mediums.

A major architecture change was made to the hosting of the central site in 2011. We worked closely with the SAA as a proof of concept for a distributed network approach to hosting Senate Web content for the public. This project has been highly successful and guarantees greater security of our site and even faster response times to users. This approach, fine tuned through the central site, is being implemented to Member and Committee sites. The change in architecture has made our methods for capturing Web statistics obsolete. We are currently exploring new ways to capture this information.

Senator NELSON. Senator Hoeven, are there any opening remarks you might like to make?

STATEMENT OF SENATOR JON HOEVEN

Senator HOEVEN. Thank you, Mr. Chairman, I would like to make some remarks.

I apologize for being late, and I appreciate the opportunity be with you and want to thank all of you for coming in today, but also for the really great job you do.

I've been here only a little more than 1 year, but I have to tell you, I am impressed with the work you do and your people. They don't treat it as just a job. They care about what they do, and it shows. That is a reflection of them and their good work, but it is a reflection of your leadership, too.

So I do thank you for that, and I appreciate it very much.

As a way of starting my comments, I want to note that this will actually be the last hearing that Senator Nelson has as chair of the Legislative Branch Subcommittee, so I just want to take a minute to recognize him for his service here.

I actually first got to know Senator Nelson when he was elected Governor of his State. He, of course, served two terms as Governor of Nebraska. When I met him, he was just transitioning from his governorship to coming down here and serving in the Senate. I can remember, I was a new Governor or maybe I was just running, I'm not sure. But I had come to Washington, DC for some event and met him. Our States have a lot in common, strong agriculture background.

But what I would say, having observed Senator Nelson, is that he really brings a grounded, common-sense attitude and approach, he is easy to work for and with, and he is very straightforward in how he handles things. I think as I have observed the legislative branch now over the past year, it has made for a very, very good working relationship.

I think that has enabled all of you and others that are in the legislative branch to do the outstanding job that you do. It has helped support you in that effort, and particularly helped do it at a time when it's really tough with the budget situation.

It's one of those situations where we're going to have to do more. You're going to have to continue to do more. That is a reality, and you know that, and we know that.

My observation, though, would be that you are doing a good job at finding savings, even when it is tough and in these circumstances. You're doing a good job.

My overall sense is that, in terms of discretionary spending, you are doing your share and what has to be done to address the discretionary spending issues. I think there are other drivers of our debt and deficit that are much bigger factors, which I won't go into here, but that we're going to have to address. We're going to have to try to find ways to do more in terms of generating savings to really get on top of the challenge we face.

So, number one, thank you, Senator Nelson, for your leadership on the legislative branch. I appreciate the opportunity to work with you.

I appreciate the great job all of you do. We are going to have to continue to find more savings. As you know, we will get a topline number, and we'll have to work to get there.

You did it last year, and you did a good job. We'll work with you to do the best job again this year in finding savings while doing the best job we can with the dollars we have, in terms of trying to accomplish all the things, and covering all the bases that you have to cover in your very important tasks.

Senator NELSON. Thank you, Senator Hoeven, for those kind remarks. I want to thank the audience for their suppressed applause when you said it was my last hearing.

Before you arrived, I already leaked out the word "cheap" in introducing Chief Morse, so I appreciate you not using that word to describe me, but I have been described that way more than once.

I appreciate working with you, because we've created a partnership here where we can work together and share ideas. Which makes this job a lot easier from this side of the bench, and I think it makes it a lot more doable from the other side, to know that we are all going to work together to get through where we are, because we're all in it together. And if we begin to think otherwise, then it is very hard for you to function and it is impossible to function over here, so I want to thank you very much for those nice remarks.

Senator HOEVEN. Absolutely. Thank you, Senator.

Senator NELSON. Thank you.

Sergeant at Arms Gainer, the floor is yours.

Sergeant at Arms and Doorkeeper

STATEMENT OF TERRANCE W. GAINER, SERGEANT AT ARMS

Mr. Gainer. Thank you very much, Mr. Chairman and Ranking Member Hoeven, for the opportunity to appear before you today on behalf of the Sergeant at Arms team and to present our budget request for fiscal year 2013.

I do ask that my written testimony be submitted and made part of the record.

Senator Nelson. It will be.

Mr. Gainer. Thank you.

Before I begin, in addition to my two colleagues here, I would like to acknowledge in the audience House Sergeant at Arms Paul Irving, who is new to his position, and Ken Eads, who is representing the AOC. They are here because of our partnership in our oversight of the police department and here to affirm the work that the Chief has been doing.

As to my office, our primary goals for fiscal year 2013 are to maintain a safe and secure environment, to support the Senate's information and communications technology infrastructure, and to deliver printing, parking, photography, mail delivery, and other services to the Senate community in an efficient, cost-effective manner.

The budget request, as you indicated for this year, totals a bit more than $205 million. This is an increase of $1.7 million, or 0.8 percent more than last year's budget.

As I went through some of the remarks my staff was preparing, I noticed that probably every paragraph we mentioned something about tough budget.

I do want to talk a little bit about how we are maintaining what we do and our slight budget increase.

Aside from additional funding for the State office security programs, which is $1.2 million, our overall expense budget would decline next year. The tragic shooting of Congresswoman Giffords and the recent white powder letter event that you referred to are just two examples of the necessity for this extra security.

This increase is fully offset within our overall expense budget. Mr. Chairman, and Senator Hoeven, as you know, the Sergeant at Arms budget was reduced by nearly 7 percent in the current fiscal year. We have worked through the impact of that reduction. However, continued reductions in our budget will eventually have an adverse impact on the way we support our customers, especially in the areas of information and communications technology.

We have had to reduce our services, scale back allocations, reduce our subsidies for some services, and defer the critical improvements that are required to keep pace with continued demands for improved technology. At some point, the price will be paid.

And even today, the Stop Trading on Congressional Knowledge (STOCK) Act, which the Senate passed this afternoon and sent to the White House, places new and expensive burdens on our department. This legislation requires the Sergeant at Arms to create and deploy a new electronic financial disclosure application and database that will allow the public to search, sort, and download filers' financial information. As worthy as the policy goals of this legislation are, they do come with a cost. We estimate that it will cost approximately $1.5 million to develop the system and another $200,000 a year to maintain it.

The range of services we provide to the Senate take place both here in Washington and in the 454 State offices.

My written testimony covers our accomplishments and challenges during the past year. Allow me to share some highlights.

We are more than one-third of the way through the installation of the new Watson phone system and are on track to complete the project by the end of this fiscal year. This is one of the largest communication projects in the history of my office, replacing a more than 30-year-old telephone system. The new system is based on modern, expandable, and cost-efficient technology.

The new system's redundancy and flexibility will prove invaluable in a continuity of operations event and in accommodating the Senate's many changes, while reducing the cost by more than $2 million annually. Working with Members and other stakeholders, we adopted a schedule that reduced installation time from 3 years to less than 1 year.

We had other major successes in the information technology (IT) realm this year, including our ongoing server virtualization project, where we reduce energy, maintenance, and support costs by running more than 800 servers in a virtual environment.

Our help desk team continued to perform extremely well, and they achieved a customer satisfaction rate of 99 percent.

We successfully processed 356 million email messages during the past calendar year while protecting our customers from spam and malicious messages.

We also completed a major upgrade of our messaging infrastructure that significantly increased mail storage capacity, while reducing overall costs.

We continue to update and expand the tools available to Senators and staff can use to stay connected with one another and the people they represent. We are supporting the latest Apple and BlackBerry smart phones and tablets as well as enhancing email functionality on the Apple iPhone and iPad to include file editing and local file storage. These functions were demanded by many Members and staff.

We upgraded our already robust videoconferencing capabilities to make it significantly more reliable and resilient in the instance of a catastrophic event.

We also improved our IT security posture. Despite numerous and extensive attempts, the Senate has not suffered any major compromises of information security over the past year.

Our emergency plans and procedures ensure the safety of Senators, staff, and visitors within our facilities, and equip them with the necessary tools to respond to any emergency.

Mr. Chairman, the SAA always tries to be good stewards of the funds appropriated to us. As you know, this subcommittee granted us approval 2 years ago to relocate our printing, graphics, and direct-mail printing function from Postal Square here on Capitol Hill to a new facility in Landover, Maryland. From July through September 2011, the relocation was completed in a two-part move without any break in service to the Senate. This new facility, which was completed on time and under budget, projects a net cash flow of $2.8 million, which means a 3.6-percent return on investment over 20 years.

Fifty-nine staffers now work in Landover, and they remain committed to providing exceptional service in a state-of-the-art facility.

Another cost-saving project involves our cabinet shop, which we will move from the basement of Postal Square to a space in the Government Printing Office on North Capitol Street. This move will not only improve the working environment of our employees, it will also generate a saving of $2.4 million over the first 20 years, reflecting a 64-percent reduction in cost.

The Senate Post Office processed the second-highest volume since the year 2000. During the past year, the Senate Post Office received and tested 18.5 million items to the Senate offices, including U.S. mail, internal mail, packages, and courier items.

During the same time period, the Senate Post Office off-site staff intercepted 383 suspicious pieces of mail that were addressed to Senators with the intent to disrupt Senate business. All suspicious items were reported to USCP and investigated by them and their partners.

Our dedicated postal employees, as you mentioned, Mr. Chairman and Mr. Hoeven, did a great job on intercepting those pieces of mail, working with USCP, the Senate Post Office, and the Federal Bureau of Investigation (FBI) to ultimately bring that offender to justice.

For the convenience of retail customers, our Senate Post Office began accepting credit cards, which has improved service and increased overall sales.

Our five Senate appointment desks, processed nearly 200,000 visitors during this past year, and we have had the second-highest issuing of badges for those visits that we've had in 25 years.

The Senate Recording Studio produced 1,300 television shows, 1,100 radio productions, and 845 Senate committee hearings. They also played a vital role in launching a new service, the live streaming of the Senate floor to the public online at www.senate.gov.

Our offices work closely with the Secretary of the Senate, USCP, AOC, the Senate Committee on Rules, and this subcommittee to provide quality of service to the Senate.

I think our team do an outstanding job. They are industrious. They are smart and honest. And I am very grateful for the leadership of the Deputy Sergeant at Arms, Martina Bradford. And I would just like to acknowledge Chris Dey, our chief financial officer (CFO). He has served me and my predecessors for more than 20 years. He is an unbelievable CFO. This is the fifth agency I have been in, and fourth one in which I have had a leadership role. I've never worked with a finer individual than Chris. He does a great job.

PREPARED STATEMENT

We're here to serve you and answer any of your questions. Thank you.

Senator NELSON. Thank you.

[The statement follows:]

PREPARED STATEMENT OF TERRANCE W. GAINER

INTRODUCTION

Mr. Chairman and members of the subcommittee, thank you for inviting me to testify before the subcommittee today. I am pleased to report on the progress the Office of the Senate Sergeant at Arms (SAA) has made over the past year and our plans for the coming year.

For fiscal year 2013, SAA respectfully requests a total budget of $205,447,000. This is a modest increase of $1.7 million, or 0.8 percent more than the fiscal year 2012 enacted level. This budget will allow us to maintain the high level of service we provide to the Senate community, while continuing to be good stewards of the public's resources. Mr. Chairman, as you know the SAA is currently operating under a 7-percent reduction less than last year's funding level. Our funding was cut by $4 million in salaries and $11 million in expenses from the fiscal year 2011 level. We understand the tremendous economic challenges this subcommittee is facing and we are committed to doing our part to reduce costs and streamline our operations.

Although we have taken extraordinary steps to mitigate the impact of this reduction, continued decreases in our budget have had an adverse effect on the way we support our customers, especially in the areas of information and communications technology. We have had to reduce services, scale back allocations, and reduce our subsidies for some services, as well as defer the capital improvements that are required to keep pace with continued demands for improved technology. In addition, the pending STOCK Act, S. 4038, would place new and expensive burdens on SAA, if enacted. For example, this legislation would require us to create and deploy a new electronic financial disclosure application and a data-base that will allow the public to search, sort, and download filers' financial information. We estimate that it will cost approximately $1.5 million to develop the system and $200,000 annually to maintain it.

In developing our proposed fiscal year 2013 budget and our operating plans, we are guided by priorities framed in our Strategic Plan. These priorities include ensuring the U.S. Senate is as secure and prepared for an emergency as possible, and providing the Senate with outstanding service and support, including the enhanced use of technology.

Our emergency plans and procedures are designed to ensure the safety of Senators, staff, and visitors within our facilities and to equip Senate staff with the necessary tools to respond to any emergency situation. Throughout 2011 we were committed to improving these procedures using industry best practices, training, and lessons learned through exercises and scheduled events. We made significant strides to ensure staff preparedness through enhanced Emergency Action Plans, mobility-impaired evacuation procedures, internal relocation actions, and the annual Chamber Protective Actions exercise.

Our preparedness efforts during the past year placed a premium on our interaction with Senate offices. During 2011, 100 percent of Senate offices possessed a customized Emergency Action Plan based on their unique circumstances and needs. Over this past year, 85 percent of all Senate office Emergency Action Plans were reviewed and validated using guidelines set forth by the Occupational Safety and Health Administration (OSHA) and the Congressional Accountability Act (CAA). With a goal of maintaining current levels of protection while holding down costs, my office, together with the House SAA, requested an analysis of the current supply of emergency escape hoods to determine whether their shelf life could be extended. The results of the analysis showed the escape hoods were still effective and the procurement of replacements could be postponed for another year. This allowed us to defer more than $4.5 million in fiscal year 2013.

This year we continued our server virtualization efforts, whereby we reduced energy, maintenance, and support costs by running more than 800 servers in a virtual environment. Our Help Desk team continued to perform extremely well, with a customer satisfaction rating of more than 99 percent at the very satisfactory or excellent level. Our telecommunications modernization effort has moved into the deployment phase; we are now in the process of installing the new Watson phones in all

Senate offices. We are about one-third complete, including all Members' offices in the Russell Senate Office Building. We will complete installations in Member offices by Memorial Day, and the remainder of all Senate offices by the end of the current fiscal year.

In addition, we successfully processed 356 million email messages during calendar year 2011, while protecting our customers from spam and malicious messages. We also completed a major upgrade of our messaging infrastructure that significantly increased email storage capacity yet reduced overall costs. We continued to upgrade and expand the tools that Senators and staff can use to stay connected with one another and their constituents. We are supporting the latest Apple and BlackBerry smartphones and tablets and enhancing email functionality on the Apple iPhone and iPad to include file editing and local file storage. We upgraded our already robust video conferencing capabilities to make them significantly more reliable and resilient in the event of a catastrophic event. We also continued to evaluate new equipment and vendors to ensure that office equipment offerings stay current. In addition, we launched a new, highly anticipated application that allows offices to review their equipment inventories online and submit corrections electronically, as well as to report stolen or lost equipment and request moves. We also improved our IT security posture, to ensure that the Senate does not suffer any major compromise of information security.

I am also pleased to report that the Committee Hearing Room Upgrade Project, which began in 2003, will be completed later this year. This project provides the Senate community with greater flexibility and audio/visual capability for committee hearings. This subcommittee has been very generous over the years in allowing us to use end-of-year Senate carry-over funds to accelerate this important project. When completed in June, your constituents will have far more extensive access to Senate committee and subcommittee hearings than ever before.

Mr. Chairman, as you know, this subcommittee granted us approval 2 years ago to relocate our Printing, Graphics, and Direct Mail (PGDM) main printing function from the Postal Square building, on Capitol Hill, to a new facility in Landover, Maryland. In September 2011 the two-phase relocation was completed without any break in services to the Senate. This new facility, which was completed on time and under budget, projects a net positive cash flow of $2.8 million, a 3.6-percent return on investment over 20 years. Fifty-nine staffers now work in the Landover facility and remain committed to providing exceptional service to the Senate from this state-of-the-art facility.

My organization continues to be a good steward of taxpayers' dollars. Our productivity increased to unprecedented levels, exemplified by the Senate Post Office processing the second-highest volume of mail in the last decade, surpassed only by 2009. This past year, 2011, was another busy year within the Capitol and for the SAA units that support Capitol operations. From 2007 through 2011, the Senate was in session an average of 178 days a year, a 19-percent increase more than the previous 10 years. Once again, SAA staff responded to this increased activity with professionalism, diligence, and outstanding customer service.

For example, personnel staffing the five Senate Appointment Desks processed nearly 195,000 visitors to the Capitol during 2011. The total number of visitor badges issued was the second highest in any year since the appointment desks were created more than 26 years ago. Additionally, our Doorkeepers assisted more than 211,000 visitors to the Senate Gallery.

The Senate Recording Studio helped Senators communicate more efficiently with their constituents back home. During 2011, we produced 1,330 shows from our television studios and more than 1,100 radio productions, as well as broadcast coverage of 845 Senate committee hearings—all increases from 2010. The Recording Studio also provided 1,102 hours of gavel-to-gavel coverage of Senate floor proceedings, and played a vital role in launching a new service: the live streaming of the Senate floor to the public online at www.senate.gov.

These are just a few examples of how the SAA continues to respond to the challenges of more activity and more demands with reduced resources. Our customer satisfaction levels remain high.

As you can see, the SAA team continually works toward the vision of our Strategic Plan: Exceptional Public Service. Exceeding the Expected.

Leading the efforts of the SAA is an outstanding senior management team including Martina Bradford, who serves as my Deputy; Republican Liaison Mason Wiggins; General Counsel Joseph Haughey; Legislative Liaison Nancy Olkewicz; Assistant Sergeant at Arms for Continuity and Emergency Preparedness Operations Rich Majauskas; Assistant Sergeant at Arms for Intelligence and Protective Services Mike Stenger; Assistant Sergeant at Arms and Chief Information Officer (CIO) Kimball Winn; Assistant Sergeant at Arms for Operations Bret Swanson; Deputy

Assistant Sergeant at Arms for Capitol Operations Kevin Morison; 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.

We are grateful for our relationship with USCP. I value the input of the other members of the Capitol Police Board—newly appointed House Sergeant at Arms Paul Irving, serving as Chairman; Architect of the Capitol Stephen T. Ayers; and USCP Chief Phillip D. Morse, Sr., who is an ex officio member of the Capitol Police Board.

SAA also works with other organizations that support the Senate. I would like to take this opportunity to mention how important their contributions have been in helping us achieve our objectives. In particular, we work regularly with the Secretary of the Senate (SOS), AOC, and the Office of the Attending Physician. When appropriate, we coordinate our efforts with the United States House of Representatives and the agencies of the executive and judicial branches. I am impressed by the people with whom we work and greatly appreciate the quality of the relationships we have built together.

I am very proud of all the men and women of the SAA team who help keep the Senate running. While serving as Sergeant at Arms, I have seen their great work and devotion to this institution. Our employees are among the most committed and creative in Government. A perfect example of this occurred last August 23, when a 5.8 magnitude earthquake shook the Washington, DC, region and forced the evacuation of the Capitol—just 30 minutes before a scheduled pro forma session of the Senate. Working with leadership and the SOS, our personnel relocated to the briefing center at the Postal Square building and made it ready for Senate business. Thanks to the hard work, ingenuity, and practice of our staff, Senator Coons was able to gavel in the historic session—the first routine session of the Senate held outside the Capitol in 197 years—at just after 3:30 p.m., about 1 hour after the session was originally scheduled to start.

As always, my staff and I are grateful for the support and guidance of your subcommittee, the full Committee and the Senate Committee on Rules and Administration.

CONTINUITY AND EMERGENCY PREPAREDNESS OPERATIONS

Emergency Planning

Our emergency plans and procedures are designed to ensure the safety of Senators, staff, and visitors within our facilities and equip them with the necessary tools to respond to any emergency situation. Throughout 2011 we were committed to improving these procedures using industry best practices, training, and lessons learned through exercises and scheduled events. We made significant strides to ensure staff preparedness through enhanced Emergency Action Plans, mobility-impaired evacuation procedures, internal relocation actions, and the annual Chamber Protective Actions exercise.

The central document that reflects our preparedness efforts across the Senate is the Emergency Action Plan. In 2011, 100 percent of Senate offices possessed a customized Emergency Action Plan based on their unique circumstances and needs. Over this past year, 85 percent of all Senate office Emergency Action Plans were reviewed and validated using guidelines set forth by OSHA and CAA. Significant areas of improvement included the addition of office-specific shelter-in-place locations, emphasis on using the secondary assembly area as an AIRCON assembly point, internal relocation actions, and AIRCON threat procedures.

Accommodating staff with accessibility needs is outlined in each office's Emergency Action Plan and is an integral part of our training efforts. A major enhancement to our program was the addition of Victim Rescue Unit (VRU) public caches at each emergency staging area, with each cache containing eight VRUs. The VRU is a special smoke hood that is issued to self-declared mobility-impaired staff members and their "buddies" for use in an evacuation emergency. Another addition to our mobility impaired program for 2011 was a new ADA-accessible exit located at 1st and C Streets, NE. We trained Senate staff on the location of the new exit and have updated all Russell Senate Office Building Emergency Action Plans to reflect this new ADA-accessible exit. We also collaborate with the House of Representatives to promote emergency preparedness among our special needs community. In December, we jointly hosted a seminar with the House Office of Emergency Management on emergency planning for individuals with access and functional needs.

The protection and preparedness of Senators, staff, and visitors within the Senate Chamber continues to be a focus. Each year we test and validate the Chamber Protective Actions Guide by conducting a full-scale exercise. The guide serves as a comprehensive summary of the complementary actions each organization will take if the

Chamber is required to evacuate, shelter-in-place, relocate, or don escape hoods. The 2011 exercise addressed evacuation due to an AIRCON threat and procedures to shelter in place. Additional areas of emphasis for this exercise included setting up portable comfort stations, Doorkeepers' duties in the Capitol Visitor Center (CVC) gallery check-in room, fourth floor ALERTUS notification system activation, and transportation of mobility-impaired Senators to the briefing center during an AIRCON evacuation. The addition of a transportation capability for Senators represents a further refinement in our plans and capabilities that was previously absent.

Emergency Communications and Accountability

We continue to improve notification and communication programs to ensure devices and systems are ready to support the Senate during local or large-scale emergencies. The Accountability and Emergency Roster System (ALERTS) is the primary alert and notification system that provides a single interface for delivering emergency email, PIN, and voice messages to the Senate community. Key achievements during 2011 included training 128 Office Emergency Coordinators on ALERTS and remote check-in procedures, updating emergency contact information for all Member offices, increasing the number of Senators receiving ALERTS notifications from 35 to 51, and signing up all Senate chiefs of staff to receive ALERTS and be listed on the emergency contact list.

We conducted monthly emergency notification tests for staff and biannual tests for Senators in conjunction with the USCP, SOS, party secretaries, and other stakeholders. These tests are designed to ensure our emergency messaging system is reaching all intended recipients. We conducted monthly communications tests with executive branch agencies to verify contact information for each other's continuity sites.

In 2010, we introduced the ALERTS Dashboard to provide the Senate and USCP with real-time accountability data through a user-friendly graphic interface. This year we extended this capability to the USCP Command Center SAA duty desk. This provides the USCP Command Center with real-time accountability data for incidents that occur both after hours while the Senate is in session and during normal duty hours. We consistently reinforce the importance of accountability with Senate staff by conducting remote check-in drills and training using BlackBerry devices.

We provide "watch standers" in the USCP Command Center after normal business hours when the Senate is in session or during emergency incidents and special events. Watch standers are trained to use the Senate Dialogic and Chyron systems to assist USCP as necessary and provide senior leadership with amplifying information regarding ongoing events. Because we rely on these two systems, the Dialogic Communicator System was upgraded to improve our voice messaging connectivity to desk and mobile phones. Upgrades were made to the Chyron Cable TV Alert System to provide the capability to broadcast over digital and high-definition channels. We are developing a new Chyron Web interface for 2012 that will improve our capability to edit and review alert messages during an emergency and release them faster to the Senate community.

We procured and installed WebEOC Mapper Professional, a geospatial information system that provides Senate emergency managers with the ability to create a dynamic, geographically based operating picture of an incident and its effects. Multilayered mapping has proven to be a highly effective emergency management technique for government and law enforcement agencies throughout the country, and we successfully used this feature during the last State of the Union Address. Recent improvements to the core emergency operations center management application provide better situational awareness during emergencies and special events and were used to a limited degree following the August 2011 earthquake. These improvements include the ability to track the setup of individual rooms in continuity facilities as they become available and to track and report on the locations of contingency staff.

Information sharing between legislative and executive branch emergency managers was further improved through the installation of a Homeland Secure Data Network (HSDN) terminal in February 2011. Our mission requires access to classified email, messaging, data analysis, and collaboration tools along with law enforcement, emergency management, and National Capital Region intranet resources. The use of HSDN assists in intelligence gathering, situational awareness, decisionmaking, and event reporting.

Training and Equipment

Training and outreach programs are designed to provide interactive classroom and personalized instruction to the Senate community. These valuable programs give staff a wealth of preparedness and life-safety awareness information to enhance office and personnel preparedness. This year, we conducted 246 training sessions in which more than 5,000 staff were trained on a variety of preparedness topics. We initiated an Office Emergency Coordinator (OEC) certification program in 2008 for staff that completed requisite emergency preparedness courses. In 2011, 15 staff members received this certification.

The culmination of our emergency preparedness training and outreach programs is the Senate's annual National Preparedness Day observance held each September as part of National Preparedness Month. This event invites members of the National Capital Region emergency management community to set up equipment displays, provide program capability awareness training, and demonstrate new products. More than one dozen regional emergency preparedness partners participated in this past year's event.

One of the keys to our preparedness posture is the continued management and support of emergency protection and communication equipment in each Senate office. Every office is issued escape hoods, emergency supply kits, and wireless emergency annunciators. These annunciators allow offices to receive notifications from USCP to shelter in place, deploy to their designated internal relocation site, receive situational updates, or use specified equipment to evacuate the building. The SAA ensures functionality of all equipment through an annual inventory and operations check of assigned equipment, and replacement of faulty or expired items. More than 270 offices and more than 28,000 pieces of equipment were inventoried in the past year. Enhancements to the equipment preparedness posture included additional emergency equipment for Continuity of Operations vehicles.

In 2011, we released an updated version of the Roadmap to Readiness, which included a condensed Emergency Response Guide and portable pocket guide providing concise critical emergency information. The Roadmap to Readiness is a comprehensive guide designed to provide offices with the necessary tools to create emergency plans for Washington, DC, and State offices. It also outlines ways to educate and train staff to respond appropriately in emergencies. New Web-based training classes on personal preparedness and shelter in place have been developed to provide staff with the means to educate themselves from the convenience of their desktops. Additionally, we developed a new Web site that provides staff with the resources and information required to begin preparing for emergencies.

The Senate Emergency Operations Center (EOC) is utilized during emergencies and special events to coordinate information, resources, and our response efforts. Training for EOC staff is critical for understanding roles and responsibilities. During 2011, two exercises and several training classes were conducted to provide staff with the opportunity to improve their skills.

Exercises

We continue to manage a comprehensive exercise program that ensures Senate plans are practiced and validated regularly. The Test, Training, and Exercise (TT&E) Program administered by the SAA serves to validate our ability to respond in times of crisis as well as identify areas where better planning and procedures would be beneficial. As the August 2011 earthquake event demonstrated, nearly every Senate support organization has a role and responsibility that supports successful implementation of Senate emergency plans. It is important that each organization knows and is able to execute its respective tasks. A viable Senate TT&E program provides training and includes practicing individual and group responsibilities as well as overall emergency plans on a regular basis to ensure preparedness to implement those plans. Our program is outlined in an annual guidance document that is coordinated with stakeholders and that I sign jointly with the Secretary of the Senate. This document provides overarching guidance for three TT&E program areas:

—a 6-year exercise program that focuses on areas relating to our key capabilities;
—regular TT&E-supporting activities that occur throughout the year; and
—a calendar of annual exercises that reflects contingency program goals and objectives.

During 2011, in collaboration with the SOS, we led several joint exercises with the USCP, AOC, Office of the Attending Physician, party secretaries, and other key congressional stakeholders. Primary among these were the Chamber Protective Actions; Briefing Center; Alternate Office Space; and alternate Chamber exercises. We completed more than 20 exercises, tabletops, tests, and guided discussions in 2011, covering all aspects of emergency response including Offsite Alternate Chamber; Emergency Operations Center; Chamber Protective Actions; Briefing Center; Transportation; Contingency Telecommuting, Accountability Measures; Evacuation; Internal Relocation; Mass Casualty; Alert Notification; Continuity of Government; and

Alternate Office Space. We successfully exercised an offsite alternate Chamber to test our abilities to quickly set up a contingency facility away from Capitol Hill in a timely manner. An offsite emergency operations center exercise was conducted to test the ability to quickly move staff to a location distant from Capitol Hill and begin operations. The general exercise format included functional capabilities demonstrations and tabletop scenarios designed to test the Senate's ability to function during an event that requires relocating to alternate facilities or contingency sites. After-action reports were generated for each of our exercises to document lessons learned for future plan improvement. We plan to conduct more than 15 exercises during 2012 in addition to numerous training events and smaller-scale tests and drills designed to maintain and strengthen existing capabilities while addressing emerging needs.

Continuity of Operations

In 2011, we focused on developing contingency transportation and site-specific plans while continuing to refine and validate other existing plans and procedures. We continued collaborating with Member offices and committees to develop internal COOP plans and train staff accordingly. We acquired new transportation assets and developed accompanying activation and operations plans. We worked with our counterparts in the House to develop the Personnel Accountability System to enhance accountability during contingency transportation. The program is now in the final stages of development.

A full-scale exercise at the Postal Square Briefing Center was conducted to validate movement of Members to a safe and secure environment in the aftermath of an incident. We also improved plans to utilize alternate office space in the event the Senate is no longer able to occupy its regular office building work space. COOP materials and vital records were placed at contingency facilities and on classified networks for convenient access. We acquired space in the Ford House Office Building for use as a briefing center should Senators evacuate to the House side of the Capitol complex in an emergency. We also recently negotiated with the Government Printing Office for use of their auditorium and conference rooms for Senate and House briefing centers.

We finalized the first edition of an Alternate Office Space Plan that establishes set-up and operational procedures for the COOP space. Our focus has been on establishing and validating connectivity to the Senate network, and working with USCP security teams on establishing access control requirements for the facility when the Senate is operating there. We successfully tested our planning assumptions by conducting a functional exercise at the alternate site.

Maintaining a viable COOP program is critical to the Senate's ability to continue performing constitutionally mandated functions during local emergencies. Our team worked closely with Member offices and committees to produce individualized COOP plans utilizing a simplified template which was designed and tested within my departments. The resulting COOP template is a simplified and proven tool for use by Member and committee offices throughout the Senate.

We conducted an exercise that validated that facilities at our offsite location could be used as an alternate Chamber and identified additional improvements to enhance the facilities' capabilities.

We established the COOP Council to assist planners in all SAA departments with the development of coordinated plans for our COOP sites. The inclusion of key stakeholders in a forum where critical decisions may impact our operations during emergencies is essential while planning for contingencies.

Continuity of Government

To assist in coordinating plans and resolving issues affecting the House of Representatives as well as the Senate, we developed a Congressional Contingency Planners Group that meets monthly to coordinate Continuity of Government planning for the House and Senate. That planning group has worked through issues concerning strategy, design, and plan implementation. We expect this effort to continue to help resolve issues as we encounter them in the joint planning environment.

We are working with the House, USCP, and others to consolidate our separate operational plans into a single coordinated plan. Progress has been made, but additional work must be done to finalize the plans. This will require all parties involved to remain focused on the objective—a consolidated operational plan.

We developed and implemented the concept of a Continuity of Government Council to provide invaluable planning guidance and internal coordination at the executive level for continuity planners. This has been extremely valuable in helping guide the development of site and activation plans.

INTELLIGENCE AND PROTECTIVE SERVICES

The Intelligence and Protective Services division of the Office of the Sergeant at Arms represents the integrated plans and programs for:
- —Execution of law enforcement support and coordination;
- —Security of the Senate as both an institutional body and a campus; and
- —Protection of Members and staff in the District of Columbia and their State offices.

Security Policy and Planning

The State Office Readiness Program is a single security and preparedness resource that mirrors programs currently available to Washington, DC offices. Nearly two-thirds of the 450 State offices located across the United States occupy office space in commercial buildings with no internal security. The remaining offices are located in Federal buildings with some level of building security, but may be routinely targeted for disruptive activity. Violent incidents in and around State offices, including the January 8, 2011, shooting that critically injured U.S. Representative Gabrielle Giffords, have increased State office awareness of, and participation in, this voluntary but critical program. Participating offices are provided with a variety of security enhancements including secure reception areas to screen visitors, emergency duress buttons, burglar alarm systems, and closed-circuit camera systems. SAA pays for installation, maintenance, and alarm monitoring services including annual inspections and equipment testing.

During 2011, 333 or 73 percent of State offices received direct assistance in completing or updating their Comprehensive Emergency Plan (CEP). The CEP combines security, emergency preparedness, and Continuity of Government processes into one document. It meets CAA requirements and prepares offices to continue services during an event with minimal negative impact. A streamlined template and an online component to enter preliminary plan information allow us to offer CEP assistance to the remaining offices not currently participating in the program.

State office hazard overviews were completed or updated for 349 offices during 2011; these identify natural or manmade hazards to be considered during plan development. Additionally, 79 new State offices received program briefings and emergency equipment similar to Washington, DC offices. A monthly Office Emergency Coordinator (OEC) bulletin is distributed to all State offices and State OECs complete a certification program. Online and video teleconferencing security and preparedness training is now regularly offered to State office staff.

Security enhancements were provided for 90 State offices during 2011. The program has provided security enhancements in 86 percent of all State offices including 90 percent of offices located in commercial spaces and 76 percent of offices located in Federal buildings. Additionally, more than 300 State office alarm systems were tested and inspected this year.

For 2012 the focus of the State Office Readiness Program is on using an all-hazard risk assessment to survey State offices and offering security enhancements to nonparticipating offices. Site visits and collaboration with USCP, GSA, Federal Protective Service, and U.S. Marshals Service representatives will continue.

Police Operations

The Senate Campus Access Program coordinated inspections of construction vehicles and special deliveries with the USCP during recent renovations at the Sewell-Belmont House. The program also processed 795 special requests for vehicle clearances, deliveries, and bus access during 2011. Additionally, we developed the successful Committee Hearing Security Assistance Program to provide a single point of contact to coordinate USCP coverage at committee hearings. We collaborated with USCP and other law enforcement agencies to monitor and secure special events such as the State of the Union Address, Senatorial party retreats, summer concert series, and various joint sessions of Congress.

The SAA Duty Desk continues to assist in the USCP Command Center by utilizing staff to monitor and track security events and incidents within the National Capital Region during normal business hours and after hours while the Senate is in session. Staff members monitoring these events provide direct and timely information necessary to make key decisions. The program provides a cost-saving measure as it uses existing full-time equivalents (FTEs) with appropriate communication training instead of vendor support.

The January, 2011 shooting of Representative Giffords prompted our office to greatly expand monitoring law enforcement investigations involving threats to Members. Our goal is to provide updates to affected offices from case opening through adjudication. We routinely process Senate office requests for local law enforcement assistance at public events and coordinate security evaluations and assessments with the USCP.

Intelligence and Threat Assessment

Our office recognizes the value of identifying potential security risks early, so that appropriate awareness, mitigation, and prevention strategies can be deployed. The Threat Assessment Program proactively identifies and analyzes open-source online information in order to detect potential security threats targeting the Senate community and to enhance situational awareness of possible security risks. The program is fundamentally designed as an effective security and prevention tool to assess and mitigate risks in collaboration with the USCP.

We have been reviewing open-source information and creating daily threat reports since December 2011. A total of 283 incidents, an average of almost 7 incidents per work day, were reported between December 2011 and February 2012. Each incident was reviewed and an average of 2 incidents per work day, or a total of 86 incidents in 3 months, was forwarded to USCP for follow-up investigation. This program has allowed us to provide important early warnings and situational awareness of possible security risks. It has also guided protection and prevention efforts regarding specific threats against Senators, possible civil disobedience activities regarding specific topics, and cyber threats to online Senate assets.

The Threat Assessment Program is a tool designed to help us collaborate with the USCP and other partner agencies to stay ahead of the curve in a constantly changing threat environment. The program was initiated as a pilot effort to test processes and evaluate outcomes. The next key step is to properly evaluate the program. We have engaged the National Academy of Public Administration as an experienced, knowledgeable, and independent organization to conduct the formal program evaluation.

Even though a formal evaluation has not been completed, it is clear the Threat Assessment Program has elevated situational awareness of security-related issues and events among my organization, USCP, and Member offices. The program supports the Senate's collective safety and prevention efforts.

INFORMATION TECHNOLOGY

Enhancing Service, Security, and Stewardship

We continue to provide a wide range of effective IT solutions to facilitate the Senate's ability to perform its legislative, constituent service, and administrative duties; to safeguard the information and systems the Senate relies upon; and to be ready to respond to emergencies and disruptions. As in our other areas, we also emphasize stewardship—the careful use of all of our resources, including the funding we are provided, our personnel, and the external resources that we consume—in all aspects of our IT operation.

As we do each year, we have updated, and are performing under, our 2-year Information Technology Strategic Plan. The current version, under which we will be operating in fiscal year 2013, continues to emphasize our five strategic IT goals and their supporting objectives that drive our programmatic and budgetary decisions:

Secure.—A secure Senate information infrastructure.

Customer-Service Focused.—A customer service culture top-to-bottom.

Effective.—IT solutions driven by business requirements.

Accessible, Flexible, and Reliable.—Access to mission-critical information anywhere, anytime, under any circumstances.

Modern.—A state-of-the-art information infrastructure built on modern, proven technologies.

Our fourth strategic IT goal—Accessible, Flexible, and Reliable—may be the most far-reaching of the five goals. This goal undergirds everything we do from a technology standpoint. We must ensure that almost every system and every service we deploy can withstand disruptions to our operating environment, can be reconfigured if necessary to cope with disruptions, and can be used regardless of the user's location. We continuously re-evaluate existing services and systems to identify areas for improvement and make those improvements as soon as we can, in an effort to ensure the Senate can continue to do its work under any circumstances.

From a budgetary standpoint, more than one-half of the CIO organization's fiscal year 2013 request will cover the installation and support of the equipment acquired by offices through the economic allocation, and for other programs that benefit offices directly. One-third will be devoted to providing services at the enterprise level, such as information security, the Senate data network, email infrastructure, and telephone systems. The remainder is almost equally divided between supporting the office of the Secretary of the Senate with payroll, financial management, legislative information, and disclosure systems; and our own administrative and management systems.

ENHANCING SERVICE TO THE SENATE

Customer Service, Satisfaction, and Communications

Our IT strategic plan stresses customer service as a top priority, and we actively solicit feedback from all levels and for all types of services. For instance, we ask for customer feedback on every Help Desk ticket opened. In major contracts that affect our customers, we include strict service levels that are tied to the contractors' compensation—if they do well, they get paid more; if they do poorly, they get paid less. Because of reductions to our budget, we have had to relax the service level requirements, reducing services to our customers. During the past year, the percentage of on-time arrivals for the IT installation team never dropped less than 99 percent. The percentage of Help Desk calls that were resolved during the initial call averaged 57 percent, and 99 percent of customer surveys rated the IT Help Desk and installation services as either "very satisfactory" or "excellent". We expect this excellent level of performance to continue through fiscal year 2013.

We satisfy our customers' demands for the latest in mobile wireless technology by keeping our catalog up to date with the latest offerings. Last year, we made available several new models of iPhones, iPads and BlackBerry devices, as well as enhanced iPhone and iPad email and tools integration that include secure intranet browsing, and document editing and storage features. We will continue to offer the Senate community the latest smartphone technology as well as add MiFi mobile hotspots to our technology catalog in fiscal year 2013. Our CIO staff also continues to work extensively with third-party software providers to enhance our iPhone and iPad corporate email client. Finally, we continue to monitor and test Android devices for support with the goal of supporting these devices when we can do so with adequate security.

In fiscal year 2013 we will continue to communicate effectively with our customers through a well-developed outreach program that includes IT newsletters, periodic project status reviews, IT working groups, weekly technology and business process review meetings with customers, and joint project and policy meetings with the Committee on Rules and Administration, the Senate Systems Administrators Association, and the administrative managers steering group.

Robust, Reliable, and Modern Communications

We provide robust, reliable, and modern data network and network-based services that the Senate relies upon to communicate electronically within and among offices on Capitol Hill and in the States; to and from other legislative branch agencies; and through the Internet to the public, other agencies, and organizations.

We continue to make progress toward modernizing the Senate's entire telecommunications infrastructure to provide improved reliability and redundancy in support of daily and emergency operations, and to take advantage of technological advances to provide a more flexible and robust infrastructure. We completed the replacement of the main telephone switch this year, and have processed more than 3 million phone calls since it came online. We are currently installing up to 250 new telephones a week in Senate offices and are scheduled to complete the Watson phone migration by the end of the current fiscal year. Moving forward, we will replace systems such as the cloakroom alerts and conference services systems over the coming year. We are securing the Watson implementation with the same high level of diligence as we secure the whole of the Senate's IT infrastructure. We also conduct rigorous vulnerability testing on Watson, which exemplifies our proactive and preventive approach to information security.

Our wired and wireless data network forms the core of our IT infrastructure. This past year we improved the ability of Members and staff to gain access to the Senate network remotely, which is a critical function for our customers and a key to success for our support organizations. We integrated client-based and clientless remote access services into a single platform. We did this without any significant effects on our customers, while improving our internal efficiency.

In 2011, we also enhanced the security of the Senate's wireless LAN or "WiFi" service by introducing a new network—Odyssey—that supports a more secure authentication mechanism and allows us to support mobile devices such as the Apple iPhone and iPad. Over the course of the next year, we will continue to enhance our wireless network by replacing more than 700 access points.

We continued reducing costs for the wide area network services that support State offices, achieving a $200,000 reduction in fiscal year 2012; less than the fiscal year

2011 cost. A portion of this reduction results from better contract pricing for services in Alaska.

In order to support our new PGDM facility in Landover, Maryland, we invested in a direct fiber-optic connection, both to provide high-speed service to the location and to save money in the long-term less than the cost of a leased connection. We received favorable monthly pricing by using the same contract and vendor that provides us "dark fiber" service to the Alternate Computing Facility (ACF) and other locations off Capitol Hill. The direct fiber-optic connection to this new facility closely matches the connection PGDM had while on Capitol Hill and does so at a reduced cost. The monthly rate for our direct dedicated connection is approximately 40 percent less than comparable shared bandwidth with a contract commitment of 10 years. Because it is a private connection, we also eliminated the need for security equipment, which is necessary when using a commercial-based service. We plan to extend this service to the nearby Senate Support Facility to substantially increase the level of network service there.

We continue to make effective use of our investment in performance monitoring equipment to manage service levels on our connections to the Internet. This has allowed us to keep service capacity levels constant, without sacrificing performance for our customers. However, we will not be able to ensure this critical resource meets our customers' demand indefinitely without additional funding.

Because our data network is vital to everything we do, we must continue to invest in performance monitoring equipment to proactively identify and resolve problems within the network as quickly as possible, including before our customers recognize a problem exists. This also allows us to use statistical information for trend analysis purposes so that we can be in front of the need for additional network capacity. With more than 1,500 devices supporting our enterprise data network, it is imperative that our CIO organization be well positioned to identify problems (fault management), traffic levels (performance management) and modifications (change management).

We use many tools in our efforts to monitor the health of the Senate data network, which spans Capitol Hill, more than 450 State offices, and two data centers. We processed more than 1,800 incident tickets during calendar year 2011 and more than 1,400 network change requests associated with data center services. As 2011 was the first year of the 112th Congress, with attendant changes in Senate membership, we provided 90 new State office connections and decommissioned 60 others.

In partnership with other legislative branch agencies, our CIO organization participated in the replacement of the legislative branch intranet known as CapNet. This private network provides all legislative branch agencies the ability to communicate with each other without traversing the Internet. The Senate has been one of the leading voices in promoting the value of this network for inter-agency communications and business services. The replacement of older technology enables the entire legislative branch to maintain existing services and expand into new services. Our CIO organization led the effort to develop the redundant CapNet solution centered at the Alternate Computing Facility. In combination with the new primary network, we are well-positioned to support new and expanding inter-agency services in a highly available environment.

Another significant undertaking in 2011 was the upgrade of all of the Senate's data network chassis equipment. This upgrade was essentially a replacement of 100 chassis units spread across the Senate campus to ensure we remained well-positioned for growth within the data network. The upgrade also provided additional redundancy and increased power supplies to support power over Ethernet for the new Watson phones.

Also in support of telecommunications modernization, we designed and implemented a quality of service architecture to ensure that voice services are prioritized as they traverse the data network. Due to its real-time nature, it is critical to the quality of a phone call that the corresponding data traffic be properly processed and not be delayed by other non-real-time communications.

In addition to our robust messaging infrastructure that processed approximately 356 million Internet email messages during the past calendar year, we also support effective communication through the use of videoconferencing. Our videoconferencing infrastructure processes an average of 300 video calls per day when the Senate is in session. Recent enhancements include the ability to call anyone in the world through a secure, publicly available client, as well as to make a point-to-point call into a multipoint call regardless of bandwidth or whether the system has multipoint capability installed. We are also strengthening the resiliency of the core services we currently provide by designing and deploying a high-availability infrastructure for those core services. This will result in less downtime and increased reliability.

This past year we upgraded the Microsoft Office Communicator application to Microsoft's latest product, Lync, enabling a convenient multi-party desktop sharing feature and preparing the environment so we can deliver additional unified communication capabilities such as integrated audio and Web conferencing. More than 5,000 people in 80 offices take advantage of the service.

In a more visible effort, we collaborated with the Secretary of the Senate and the Committee on Rules and Administration to offer, beginning with the second session of the 112th Congress, the ability to view Senate sessions live on computers and many common mobile devices via senate.gov. The public also will be able to use our video archives as a powerful research tool by utilizing keyword searches for topics of interest.

The new streaming capability enhances the ability of Members and committees to incorporate video into communications with constituents by offering the live video of floor activity on their official Web sites. We also introduced a video clipping tool, to enable staff to capture video segments from archived sessions to post on their official Web sites.

The Large File Transfer System (LFTS), which has been in use for nearly 2 years, has streamlined the process of sending large files. Currently, 45 offices use it to correspond with other offices in the Senate as well as with external entities, including other government agencies, the media, and constituents. For example, during the weeks and months following the Deepwater Horizon oil spill in the Gulf of Mexico, the Committee on Environment and Public Works used LFTS to send and receive video files containing extensive footage of the incident. In addition, the Senate Recording Studio uses the LFTS to send video files to Senators' offices not only on Capitol Hill, but also in their home States. Since January 2011, LFTS has processed more than 3,800 files with 500 gigabytes of data.

Web-Based and Customer-Focused Business Applications

As in past years, we continue to add functionality to TranSAAct, which is our platform for moving business online. Based on the business requirements of offices and the Committee on Rules and Administration, we continue to develop TranSAAct to eliminate paper-based manual processes and move them to the Web. Because it is built on an extensible modern database framework, TranSAAct allows indefinite expansion as new requirements are identified. This year we completed several enhancements to TranSAAct, giving staff the ability to make telecommunications service requests online, and integrating with the asset management system to allow administrative managers and chief clerks to view the assets assigned to their office. They can report inaccuracies and lost or stolen items and generate reports on the fly. We also started development of a depot to house the forms and documents that chief clerks use, with links to a collection of how-to documents and checklists for chief clerks to collaborate on best practices. We look forward over the coming months and years to moving additional business processes to the Web; delivering increasing functionality to administrative staff; and reducing the time, paper, and errors associated with the current manual processes.

We are working in collaboration with the Secretary of the Senate to replace the current payroll system with a new one that is built on a modern technological platform. It will provide additional capabilities to benefit members and employees, office management and the Secretary's staff. We plan to implement Phase I of the new system, which replaces the current payroll functionality, later this year. Phase II will follow that implementation and will provide self-service capabilities to Members and employees.

We expanded the services of other Web-based applications such as a program that more than 60 offices use on their Web sites for accepting service academy nomination requests, intern applications, budget requests and other types of applications and requests. To date, constituents have submitted more than 24,000 different requests through this system. We also modernized CapFOR, the application that allows offices to request services from our Capitol Facilities department.

We provide numerous Web-based systems to enhance the productivity of office staff, such as one for the Placement Office that allows external applicants to electronically submit job applications for positions in Senate offices. Currently, there are more than 36,000 accounts in the system. We provided significant enhancements to the lobbyist registration application to create more robust search functionality as well as improve the application's overall performance. Committees extensively use streaming video to broadcast their hearings over the Internet. This year we transitioned from Flash video to the more ubiquitous MPEG4 video standard. This is a huge improvement—using the MPEG4 standard allows us to stream and archive video in high definition with only a minimal increase in bandwidth usage.

Showcasing and Promoting Modern Information Technology in the Senate

We will continue to highlight new technologies in the Information Technology Demonstration Center through demo days, which have been well-attended in the past. After products are tested and validated in our technology assessment laboratory, they are then available for staff to try in the Demo Center. The demo days feature live demonstrations of new and emerging technologies.

In order to perform technology assessments, feasibility analysis, and proof of concept studies, and to ensure we are considering technologies that will directly support the Senate's mission, we continue to improve the capabilities in our technology assessment laboratory. Technologies and solutions are vetted and tested here prior to being announced for pilot, prototype, or mass deployment to the Senate. To ensure we focus on the most relevant technologies and solutions, the Technology Advisory Group, consisting of CIO staff and our customers, performs high-level requirements analysis and prioritizes new technologies and solutions for consideration for deployment in the Senate.

We continue to work toward providing unified communications capability, tying together voice, video, and data communications into a single tool. This allows the user to choose the best communication option available—based on the capabilities of the device they are using and the preferred method of communication.

We will continue these efforts in fiscal year 2013 to ensure that the Senate is always well-equipped to perform its functions. To keep our customers informed of our efforts, we publish the results of our studies on the emerging technology page of the CIO's area on Webster.

ENHANCING SECURITY FOR THE SENATE

Enhancing Security Through System and Information Resiliency

As I mentioned earlier, we build security, accessibility, flexibility, and reliability into every system and service. We continue to test our technology in scenarios in which our primary infrastructure and primary work locations have become inaccessible. This includes the simulated loss of our primary data and network facilities, as well as simulated loss of staff work spaces. All mission-essential Senate enterprise information systems continue to be replicated at our ACF, using our upgraded optical network and storage area network technology. We have created a high-availability videoconferencing infrastructure that operates simultaneously at the primary and alternate facilities. This allows for automated recovery from a loss of either the primary or alternate facility without loss of core videoconferencing network services. We also upgraded the redundant active directory domain controllers in the ACF to the latest operating system. The new servers were deployed in virtual machines, removing more than 20 physical servers from the facility. We conduct a variety of exercises to ensure we are prepared from an IT standpoint to cope with events ranging from a burst water pipe, to a pandemic, to an evacuation of Capitol Hill. These exercises demonstrate our ability to support mission-essential systems under adverse conditions, and the ability to support substantial numbers of people working from home. We continue to exercise the ability to support our Senate customers in the event of an emergency situation which may limit our ability to get to work. This includes weekly and monthly exercises designed to ensure technical support is available from the ACF and other remote locations. Our diligence in this initiative has proved worthwhile during various weather events.

With the knowledge that the business of the Senate continued and that State office locations were not affected by the weather in Washington, DC, our staff continued to support the Senate community remotely throughout these events. This included answering the phones from home-based locations, highlighting the capabilities that our current migration to IP telephony will bring to the rest of the Senate.

Securing our Information Infrastructure

As I have described in previous testimony, active and aggressive adversaries continue to target Senate information and technology assets. These adversaries use increasingly sophisticated tools, techniques, and procedures; rapidly shift their attack methods in response to new countermeasures; and continually refine their targeting of Senate information. Our key strategy to meet this threat has been to improve our coordination with other Federal agencies to share and adopt current best practices. We have greatly improved and expanded our relationships with other agencies over the past year. In addition we have undertaken a number of other efforts that we will continue throughout this fiscal year.

Training on information security awareness is mandatory for every member of my staff. The information we provide in this training helps our staff better identify and respond to suspected attempts to gain unauthorized access to Senate resources. We have also made this training available to the rest of the Senate community, and have received positive feedback.

We continue to develop and conduct individual threat briefings for system administrators, office leadership, and other staff to educate them on the evolving threat environment and to recommend services that we provide at no cost to help them reduce their risk. We incorporate current best practices into our general awareness materials that we provide through Webster and in-office presentations. In the last year our training and awareness briefings have paid off as office staff members are better equipped to detect and respond appropriately to possible malicious events.

Last year's inclusion of an IT security briefing in the new system administrator training process was a great success. In these briefings we inform new system administrators of our services and help them enroll, so that they may make the best use of our offerings soon after they are hired. We also help system administrators identify critical systems under their control that our adversaries would consider high-value targets. This asset identification enhances situational awareness for continuity of operations by allowing us to focus our efforts on protecting IT assets for which we have actionable threat intelligence. We work to continuously improve the quality of our training and, using office feedback regarding such training, we have improved both content and delivery.

Two other programs that support situational awareness and help us maintain a common operating picture (giving stakeholders at all levels the same relevant information) are the vulnerability assessment and systems management services. Together, these programs help us identify and remove threats as quickly as possible.

Our Systems Management Service (SMS) allows an office to automatically apply critical security patches to non-Microsoft software, saving staff time and effort and improving the security posture of the individual workstations in an office. It has been widely accepted with 134 offices enrolled, which is nearly 97-percent participation. We saw an immediate decrease in the average security vulnerability of systems as the service was implemented. SMS serves as an excellent enhancement to our vulnerability assessment (VA) program and to Windows Server Update Services, (WSUS) which automatically patches Microsoft software. The vulnerability assessment program, SMS, and WSUS combine well to serve as a "success enabler" for offices by giving them the tools they need to continuously assess and improve their IT security posture. We are looking at expanding our SMS service within the next year to better reach perimeter systems, such as laptops that remotely connect to the Senate network. We will also seek to provide automated update capability for operating system and third-party software security updates to Apple systems.

Our objectives call for maintaining strong relationships with our customers and improving customer care processes. The Senate community enthusiastically received both the SMS and the VA programs, which operate synergistically to mitigate operational cybersecurity risk. We devote considerable effort to helping the Senate community maximize their benefit from the VA and SMS programs. We pay careful attention to the feedback from offices concerning these vital programs, and this attention to detail helps us strengthen our relationships with those we serve and protect in the Senate community.

We also provide our staff and contractors with the tools, training, and skills necessary to quickly respond to potential threats. These ongoing skill training initiatives support our commitment to develop and nurture an agile CIO team. Because we are continuously leveraging and augmenting our knowledge base as technologies evolve, we quickly and productively respond to the challenges that new technology poses.

To detect, defend against, and pre-empt threats when possible, we are employing new operating concepts to protect networks and systems. An example of our evolving conceptual innovation is that we employ and continuously monitor a strong core of layered defenses. This defensive posture enhances IT security. If our adversaries create a challenge at one layer, we have multiple, robust security layers making it difficult for them to successfully navigate all the security layers.

We strongly believe that integrating key concepts from the Department of Defense's Active Defense doctrine with our strategic goals bolsters our cybersecurity posture. As a result, we awarded a new cybersecurity contract to a provider with extensive defense sector experience. The new service provider is now applying its security experience to the protection of Senate information assets. The contractor has already taken the initiative to reconfigure network monitoring tools for improved performance.

As mentioned earlier, we share our awareness material and best practices with other agencies and adopt useful material and practices they have shared with us. We have achieved improved cybersecurity as a result of this cooperation, always with a view toward proactive risk prevention. Sharing information with other government agencies and the private sector also helps us fulfill our objectives of pre-empting threats. Such cooperation enables us to put other agencies' experiences to good use in effectively and confidently pre-empting threats that may not yet have reached us.

Using best practices from other Federal agencies also helps us ensure that the cybersecurity services we offer are aligned with and support the Senate's business needs. We continue to expand our reach in partnership with other government agencies and the private sector in implementing reciprocal mutual trust mechanisms for exchanging email. These mutual trust mechanisms guarantee that we can trust messages that originate in participating agencies, and they can trust that our messages are genuine as well. We described this trust program in last year's testimony, and we continue to expand our exchange of encrypted messages with more agencies and public-private partnerships.

Many Members and committees have embraced social media services and technology, and are increasingly using these services to communicate with constituents. Consequently, we forged direct partnerships with leading social media companies to ensure quick and effective communications with them. As a result, we are able to provide the quickest possible cybersecurity response when required. In this way we enable our community to maintain the confidence of constituents that each message is actually from the member or committee.

We have also faced significant challenges. For instance, last March we learned of a security breach associated with the company that is a major supplier of user authentication devices, RSA. This affected the Senate because we make extensive use of RSA's SecurID tokens and the breach compromised the security of these tokens. In June, RSA initiated the replacement of all "hard tokens", or SecurID devices. We were tasked with replacing more than 2,500 SecurID tokens for our customers. Additionally, we were able to reduce the number of tokens in service by almost 1,100 units, working with each office to identify tokens that were no longer being used. This saved the Senate approximately $43,000 in device costs alone and, by reducing the overall count, allowed us to avoid a more costly upgrade in license support.

In an effort to protect data past the useful life of the systems it is stored on, this past year we upgraded our on-site degausser to one that is better able to erase data from increasingly denser media and which will support future improvements and refinements to tapes and disks as the data density increases. The model we have is also the only degausser approved by the National Security Administration that can accommodate multiple drives per cycle.

We continued our BlackBerry scanning program designed to detect security intrusions on wireless devices used during international travel. In fiscal year 2011, we upgraded our scanning software from AutoBerry to Fixmo's Sentinel, allowing us to scan up to 10 devices simultaneously. This past year, we scanned more than 370 BlackBerry devices, some multiple times, and found no discrepancies that we could not resolve. In fiscal year 2013 we will continue to seek ways to improve and enhance our scanning program.

ENHANCING STEWARDSHIP

Stewardship of our resources is integral to everything we do. We are always looking for ways to improve our processes or technologies so that we save time, money, electricity, paper, and other resources. Our CIO organization is a good steward of the fiscal resources of the Senate, consistently and continuously improving the services offered to our customers while seeking only modest increases in funding. Many of these initiatives can save an office hundreds or thousands of dollars in costs that would otherwise be paid out of their official accounts. As most of these initiatives save money due to a reduction in the purchase of some commodity, they also fit in with our efforts toward environmental stewardship. Following are some examples of our efforts to enhance fiscal and environmental stewardship:

—We completed a major upgrade of our messaging infrastructure that significantly increased email storage capacity yet reduced overall costs. The upgrade also provided for further consolidation and virtualization of the Senate's messaging environment, reducing by more than half the physical servers in use. Improvements in high-availability capabilities have further reduced service disruptions for routine maintenance, and a change to leverage native email archiving features resulted in additional cost savings in software maintenance, administrative support, and storage.

—Our SMS for automated deployment of applications and updates to workstations and servers reduces the maintenance burden on users and aids in maintaining a secure systems baseline. Almost every office currently uses this service.

—We have continued our virtualization efforts, where we now reduce energy, maintenance, and support costs by running more than 800 of our servers in a secure, virtual environment. We will continue an aggressive campaign to virtualize every server that can be virtualized.
—Offices have taken great advantage of our virtual machine infrastructure that allows us to centrally host their file and application servers on shared hardware at our primary and alternate facilities. This greatly increases server hardware efficiency, and, through system duplication and data replication, offers enterprise class data redundancy and recovery in the event of a critical local failure or crisis. The virtual solution also relieves offices of considerable noise and excess heat, and increases usable working area for staff. It also removes the single point of failure from existing office servers and meets continuity of operations and data replication requirements for approximately one-half the cost of existing solutions. To date we are providing 97 Member and committee offices with a total of 131 virtual servers. Virtual servers running in the data center consume only 25 percent of the energy of a comparable number of physical servers. This means a reduction in power consumption and air conditioning requirements, saving Senate funds, while enhancing our ability to provide reliable and redundant services. Fewer servers used by the Senate also mean fewer servers that need to be disposed of at the end of their lives. This is greening on a national scale.
—Work continues on offering offices the ability to host their constituent support systems and SharePoint collaboration systems offsite or in a virtual environment. This will provide offices the opportunity to operate without any physical servers in their offices. Three offices are currently participating in the pilot test for this effort.
—We continue to use our catalog to highlight the energy-efficient aspects of our supported IT and general office equipment, and we participated in the Senate Environmental and Energy Showcase.
—We continue our efforts to dispose of surplus electronic equipment through such initiatives as the Computers for Schools program. Last year we fulfilled 35 Member office requests and packed and shipped 775 surplus computers to eligible public schools. We send other surplus equipment to the GSA for redistribution or resale.
—We also ensure that the devices we recommend to the Senate meet the applicable ENERGY STAR guidelines and, where feasible, the guidelines for the responsible manufacture of IT equipment.

OPERATIONS

PRINTING, GRAPHICS, AND DIRECT MAIL

PGDM provides high-level, direct customer support to the Senate community through photocopying, graphic design, printing, mailing, archiving, logistics, and security. During fiscal year 2011, in an ongoing effort to continuously improve and serve Senate offices, PGDM introduced 10 new products and services:
—retractable signs;
—pocket folders;
—Quick Response (QR) codes;
—CD/DVD high-level production;
—transportation of Library of Congress (LOC) books;
—Constituent Services System (CSS) letter address validation reports;
—full-color CSS letter printing;
—secure scanning;
—Section 9 mail imaging; and
—panel panoramic picture printing.

As a good steward of fiscal resources, PGDM garnered notable savings for the Senate. We saved more than $1.1 million in postage costs by pre-sorting 6.9 million pieces of outgoing Senate franked mail; $55,000 in postage by using new software to identify 124,960 undeliverable addresses before they were introduced into the United States Postal Service mail stream; and approximately $687,000 by producing 7,731 charts in-house for Senate floor proceedings and committee hearings.

PGDM continued to improve operations and responded to 65,810 individual Senate job requests in fiscal year 2011, an increase of 8 percent more than fiscal year 2010. PGDM met Senate office demands for archiving by scanning and digitizing 3.8 million pages of Senate documents during fiscal year 2011, an increase of 23 percent more than fiscal year 2010. PGDM recently expanded its document scanning service to include special requests for very large volumes of documents from Members' storage attics and from the Suitland storage facility. In one such request, PGDM converted more than 451,000 documents from paper to digital media. This conversion service helps offices organize documents from their desktop and reclaim scarce storage space.

PGDM's document management system, OnBase, continues to gain popularity among Senate office staff. This service, which allows offices their own private document management space, imported more than 78,500 documents to individual office accounts during fiscal year 2011 compared to 27,600 in fiscal year 2010, an increase of 184 percent.

Senate offices increased requests for CD/DVD production by 16 percent—PGDM produced 7,383 CDs/DVDs in fiscal year 2011 as compared to 6,361 in fiscal year 2010. PGDM offers secure disposal for obsolete documents, and during fiscal year 2011, we shredded and disposed of 4,615 boxes of obsolete documents as compared to 3,898 boxes in fiscal year 2010, an increase of 18 percent. Printing volumes PGDM-wide totaled more than 30 million printed pages during fiscal year 2011, and more than 4 million pages were produced utilizing self-serve copy centers. In an effort to assist Member offices to more efficiently direct constituent mailings, PGDM can individually address and seal mail pieces simultaneously. In fiscal year 2011, PGDM individually addressed 1,649,794 mail pieces to target specific constituents, as compared to 1,354,304 in fiscal year 2010, an increase of 22 percent.

PGDM's commitment to teamwork and excellent customer service extends to its legislative branch partners as well. Collaborative work with AOC fulfilled 94,045 flag requests during fiscal year 2011, an increase of 14 percent compared to fiscal year 2010. By working in tandem with the Government Printing Office, PGDM delivered more than 2 million documents (Pocket Constitutions, Our Flag, Our American Government, etc.) to requestors.

Through effective communication and teamwork, PGDM's Senate Support Facility upheld the SAA mission for operational security during fiscal year 2011 by receiving 1,006,337 items from the USCP off-site inspection facility and transferring them to the Senate Support Facility. This process eliminated 460 truck deliveries to the Capitol complex, reducing traffic, and allowing the USCP to focus on other aspects of safety.

PGDM is committed to assisting the USCP with innovative methods of managing crowds and access for special events taking place on Capitol Hill. PGDM provides large format printing of signs and banners for major events, plus security enhancements for tickets, badges, and placards through the use of hologram foil stamping and clear toner technology that cannot be easily reproduced.

During fiscal year 2011, SAA successfully relocated 2 of the 3 sizeable sections that make up PGDM. The Logistics and Operations section was relocated in early fiscal year 2011 to allow for structural renovation on the lower level of the southwest corner of the Russell Senate Office Building. Later in the year, the Printing, Mailing, and Archiving sections were relocated from the Postal Square building to Landover, Maryland, to improve efficiency of production and reduce facility lease costs. This relocation will generate substantial savings in the years to come.

During fiscal year 2011, PGDM's Logistics and Operations staff worked very closely with the AOC to relocate the PGDM Logistics and Operations section from SR–B31F to the Hart Senate Office Building loading dock, now SH–B08. Construction of the Hart Senate Office Building location began in early January and was completed by early April. PGDM and AOC staff collaborated on the design of the space to efficiently accommodate material, documents, and staff in less square footage than had been available in SR–B31F.

From July through September 2011, PGDM relocated its main printing, mailing, and archiving facility from the basement of Postal Square to the new Landover Print Facility (LPF). This facility, which was completed on time and under budget, projects a net positive cash flow of $2.8 million, a 3.6-percent return on investment over 20 years. All equipment and the significant PGDM computer infrastructure was re-established at Landover without any break in services to the Senate. During this move, PGDM produced more than 1,577,400 mass mailing pieces and more than 704,200 town meeting notices as well as standard printing requests that happen year-round. Fifty-nine staffers now work at LPF, and they remain committed to providing exceptional service to the Senate from this state-of-the-art facility.

CENTRAL OPERATIONS

Smart Card Programs—ID Office

The implementation of Homeland Security Presidential Directive (HSPD) 12, the Policy for a Common Identification Standard for Federal Employees and Contractors, will significantly impact Senators and staff whose State offices are located in Federal buildings across the country. While the legislative branch adoption of

HSPD–12 is optional, compliance will allow Senators and staff unhindered access to work freely within Federal facilities. Staffers from the ID Office and Technology Development Services are collaborating with executive branch counterparts to implement compatible access cards to paid staff within the 112th Congress.

Although a substantial cost is associated with system architecture, we continue to explore advantages of Smart Card deployment. Sophisticated Smart Card credentials can provide multiple functions beyond current "flash pass" identification badges. While maintaining proximity technology used in USCP's current physical access control system, digital certificates on Smart Cards may be used for encryption of personally identifiable information exchanged with executive branch agencies in the processing of constituent casework. Other future benefits within the Senate community for digital certificates include digital signatures on financial documents and a secure, single network sign-on.

The ID Office continues to research the expanding field of biometric security and study potential applications for this enabled technology.

Parking Operations

Having implemented numerous changes to policies and procedures at the beginning of the 112th Congress, the Parking Operations team continues to seek areas of improvement. Parking Operations has increased monitoring of parking usage in order to effectively manage the Senate's limited number of spaces and maximize space utilization. Enhancements to TranSAAct, SAA request processing application, and modifications to SPARK, the Senate Parking Operations' management system, have improved customer service experiences for office administrators.

Parking operations continues to accommodate all permit holders, even though repair and renovation projects frequently impact parking spaces. Projects such as sidewalk replacement, window repair, steam tunnel rehabilitation, and building revitalizations resulted in a temporary reduction of available spaces in almost every parking area during calendar year 2011. Parking operations continues to work with USCP and the District of Columbia government to reach viable solutions regarding appropriate enforcement measures in order to ensure spaces are available to permit holders.

Transportation and Fleet Operations

Transportation and fleet operations safely and securely procures, manages, and maintains SAA vehicles; provides transportation information to offices; and manages the Senate Parking Shuttle service. The SAA fleet includes trucks, vans, buses, SUVs, and a handicapped-accessible van to support the Senate community. Transportation and Fleet Operations is responsible for completing work orders, equipment installations, tag/registration renewals, and vehicle inspections for all fleet vehicles. Fleet staff transported more than 20,500 passengers through the SAA Fleet Shuttle service in fiscal year 2011.

Transportation and Fleet Operations is a leader in "go green" initiatives with flex-fuel/E–85 vehicles, gas-electric hybrids, all electric vehicles, Segway Personal Transports, diesel exhaust fluid-certified trucks, and a MAXXFORCE-equipped diesel engine with Exhaust Gas Recirculation (EGR) to meet the latest EPA standards.

Photography Studio

The Photography Studio provides photography and imaging services for Senate offices, capturing more than 74,000 photo images and producing more than 95,000 photo prints in fiscal year 2011. The studio's popular image archiving service was used to scan, organize, and transfer more than 47,000 photo images for archiving purposes in fiscal year 2011.

In fiscal year 2011, the Photo Studio converted photo print production to chemical free, inkjet printing systems, eliminating the use of photo chemicals for the majority of the photos produced. The Photo Browser application continues to provide Senate offices a secure location to store and organize photos with the capability to download and upload photos, as well as place orders for photo prints through a Web-interface.

OFFICE SUPPORT SERVICES

The Office Support Services team continues to ensure all SAA services to Senate offices are provided efficiently through timely communication, and consistently meet high-quality standards.

Office Support Services staff serve as liaison between Senators' State offices and the commercial or Federal landlords. The State Office Liaison oversees 450 State offices and assists Members in negotiating leases for commercial and Federal office space and mobile offices in their home States.

Staff continue to consult Members, leadership, and committees regarding the most efficient use of office automation, and analyze functional operations and workflow in Senate offices to determine how new office technology might improve efficiency and productivity. We continue to provide training on Office Application Manager, a secure Web-based, user-friendly application that allows Senate office staff to create and manage online forms such as service academy nominations, flags, internships, and fellowships.

During fiscal year 2011, Customer Support assisted 16 newly elected Senators and one appointed Senator in setting up DC offices. The State Office Liaison negotiated 101 leases for State Senate offices, including 72 in new commercial space, 27 in new Federal buildings, and 82 renewals. Customer Support and the State Office Liaison have begun preparations for upcoming elections by ensuring all documentation and procedures are current.

SENATE POST OFFICE

The Senate Post Office continues to be a good steward of taxpayers' dollars as it continues to elevate performance. Productivity increased in unprecedented levels, exemplified by processing the second-highest volume of mail since 2000, surpassed only by 2009. For the convenience of our retail customers, the Senate Post Office began accepting credit and debit cards in February 2011. Our customers have praised this service upgrade and overall retail sales exceeded $946,000.

Mail remains a key medium for constituents to communicate with Senators and their staff. During fiscal year 2011, the total volume of mail addressed to the Senate's Washington, DC offices was significant. The Senate Post Office received, tested, and delivered 18,432,995 safe items to Senate offices, including 11,703,600 pieces of U.S. Postal Service (USPS) mail; 6,729,395 pieces of internal mail routed within the Senate and to/from other government agencies; 72,108 packages; and 302,122 courier items. Mail received by the Senate has increased substantially over the past 3 years as compared to the nationwide trend showing USPS mail volumes declining.

All mail and packages addressed to the Senate's DC offices are tested and delivered by Senate Post Office employees. During fiscal year 2011, highly trained Senate Post Office off-site mail staff intercepted 383 suspicious pieces of mail that were addressed to Senators with the intent to disrupt Senate business. All suspicious items were reported to USCP and investigated.

Senate Post Office management has also worked with the Committee on Appropriations and the Committee on Rules and Administration to build and operate one of the best facilities within the Government to process time-sensitive documents delivered to the Senate. The Congressional Acceptance Site ensures all same-day documents are xrayed, opened, tested, and are safe for delivery to Senate offices. During fiscal year 2011, more than 300,000 items were successfully tested with zero safety incidents. Working in conjunction with the USCP, the Senate Post Office was able to upgrade xray technology and redesign monitoring stations to improve the flow of mail intake.

The Senate's method for processing mail has become the model for other Government agencies.

The Senate Post Office has demonstrated its procedures and showcased its facilities for some of the Nation's allies, as well as other government agencies, including the Department of Defense, Department of Homeland Security, FBI, and the Secret Service. Organizations that know the most about mail safety cite our highly trained staff and the Senate mail facilities as among the most efficient and secure in existence.

Additionally, Senate Post Office staff worked collaboratively with its scientific subject matter experts to introduce the first device designed to provide Senate staff who work in State offices with a level of protection when handling mail. The scientific subject matter experts believe that the Postal Sentry, if used properly, provides the best level of protection to State offices and their staff should they receive mail containing a potentially harmful substance. The Senate Postmaster has requested that all Senate State office staff utilize the Postal Sentry mail processing system whenever mail is opened in their offices. All newly elected Senators' State offices have been equipped with the Postal Sentry and many other Senators have opted for the device as well. Currently, 268 State offices have the Postal Sentry, an increase of 30 units since 2010.

The Senate Post Office initiated a recycling program of the Tyvek suits utilized by Post Office Mail Specialists when testing the mail. To date more than 4,000 pounds of Tyvek suits have been successfully recycled.

CAPITOL FACILITIES

Capitol facilities serves the Senate community by providing a clean and professional work environment through its Environmental Services branch. This branch cleans Capitol spaces, moves Capitol furniture, and provides special event setups in the Capitol—including 10 event spaces in the CVC Senate expansion space among other service requests. To meet cyclical customer demands during peak event setups and furniture moves, Capitol facilities ensures labor cost efficiency by supplementing the full-time workforce with contracted labor in place of additional FTEs. This resulted in a third-year cost savings of $150,000.

During fiscal year 2011, Capitol facilities completed 3,532 special event setups in the Capitol and CVC Senate expansion space. Service requests from Capitol offices for moving furniture and supplies totaled 4,735, an increase of nearly 3 percent more than fiscal year 2010. Staff also completed 520 service calls to Capitol offices for minor repairs, furniture touch-ups, and lock changes by the Cabinet Shop, an 18-percent increase more than fiscal year 2010.

The Furnishings branch provides framing services to all Senators and committees. Demand for framing services increased by nearly 14 percent more than fiscal year 2010 with a total of 4,031 orders completed. The branch also provides custom cabinets and other high-quality furniture, carpeting and draperies to Capitol offices. During fiscal year 2011, the Cabinet Shop designed, built, and installed 165 pieces of furniture including cabinets and a work station in the highly visible area outside the Senate Lobby near the Clay painting.

Capitol facilities, with the assistance of the Senate Curator, Senate Historian and other individuals responsible for the appearance of the Capitol public spaces, was able to produce a set of furnishing standards to ensure a cohesive appearance of furniture built for Capitol public spaces in the future. These standards have been approved by the Committee on Rules and Administration and are being used for other projects. To support SAA "green" initiatives, Capitol facilities implemented a recycling program for sawdust generated by the Cabinet Shop. Sawdust is now converted into compostable material for the U.S. Botanic Garden.

CAPITOL OPERATIONS

Senate Appointment Desks

Personnel staffing our five Senate Appointment Desks collectively processed 194,776 visitors during 2011. The total number of guest badges issued was the second highest in any year since the appointment desks were created more than 26 years ago. Our appointment desk system enables visitors to the Capitol to be processed in an efficient, safe and customer-friendly manner.

Capitol Appointment Desk staff alone processed 40,094 guests through the North Door in 2011, up more than 7 percent from the 37,577 guests in 2010. Another 57,499 visitors entered the Capitol through the CVC with its state-of-the-art security features and accommodations. Processing visitors through the CVC Appointment Desks has improved safety, reduced wait time for official business visitors entering the Capitol through the North Door, improved visitor flow, and reduced congestion within the Capitol proper.

Assisting guests with getting to the Capitol and CVC from the Senate office buildings is an important role of the Senate Appointment Desks. In 2011, 88,053 guests entered the Capitol via the Russell Appointment Desk, including 69,914 who were destined for the CVC. This represented the most badges issued by personnel at the Russell Appointment Desk in its history. Another 13,804 visitors entered through the Hart Appointment Desk. Begun as a pilot project in May 2010, the Hart desk was made permanent in 2011. We have worked collaboratively with the Senate Committee on Rules and Administration, USCP, and the AOC to design a secure and welcoming process for staff who escort Senate guests to the Capitol from the Hart building. This desk is now contributing to the safe and efficient processing of visitors from the Senate office buildings.

DOORKEEPERS

Facilitating the Needs of the Senate

Our Doorkeepers play an important role in supporting the Senate. Doorkeepers provide access to those with Senate floor privileges and enforce the rules of the Senate while facilitating the needs of Senators, Senate floor staff, and Pages. They also assist the tens of thousands of people who visit the Senate Gallery each year. Demands on our Doorkeepers, and expectations for excellence, have increased in recent years. From 2007 through 2011, the Senate has been in session an average of 178 days. This represents a 19-percent increase from the 150 average days the Senate was in session from 1996 through 2006.

Doorkeepers train and regularly exercise procedures for performing their duties outside the Senate Chamber. As a result, when the Capitol was evacuated due to an earthquake last summer, our team stood ready to support the historic offsite pro forma session that took place that day in the Postal Square building.

Doorkeepers provide exceptional support for a number of special events attended by Senators, their families, and special guests. In 2011, these events included the swearing in of Senators elected for the 112th Congress, the reenactments that followed in the Old Senate Chamber, and the movement and seating of Senators during the 2011 State of the Union Address and three Joint Sessions of Congress conducted in the House of Representatives. Congressional tributes and Congressional Gold Medal ceremonies also require the services of Doorkeepers who assisted with professionalism and poise at these historic events which included the 50th Anniversary of the Inaugural Address of President John F. Kennedy, the September 11th Congressional Remembrance Ceremony, the Apollo 11/John Glenn Congressional Gold Medal Ceremony, and the Japanese-American World War II Congressional Gold Medal ceremony.

Improving the Senate Gallery Visitor Experience

For many people who visit the Capitol, sitting in the Senate Gallery is a highlight. Doorkeepers ensure their experiences are memorable and safe. Last year, Doorkeepers assisted 211,004 visitors in viewing the Senate Chamber both when the Senate was in session and when it was in recess. Reopening the Gallery during scheduled recesses has provided thousands of people with the opportunity to take in the beauty of the Chamber and see where the "world's greatest deliberative body" conducts its business. The increased use of pro forma sessions in recent years has also provided our Doorkeepers with the opportunity to educate visitors about the practice and purpose of this procedure.

Doorkeepers routinely collaborate with USCP and CVC representatives at working group meetings and information sharing sessions with Senate office staff in an effort to provide the best possible experience to our visitors. As part of that effort, Doorkeepers have become increasingly skilled at welcoming visitors to the Capitol and educating them on the history of the Senate Chamber. The visitors' experience has improved over the past year as a result of continued training for the Doorkeeper staff and the development of handout materials. The feedback that we have received from Senate Gallery visitors has been consistently positive. Senate Gallery visitors regularly comment on our Doorkeepers' ability to process groups in an efficient, friendly, and helpful manner.

SENATE RECORDING STUDIO

Expanded Broadcast Capability

The Senate Recording Studio had another busy and productive year in 2011. Staff produced a total of 1,330 television shows for Senators, a 25-percent increase from the year before. Radio productions increased as well, from 1,074 in 2010 to 1,108 in 2011. Additionally, last year, we provided 1,102 hours of gavel-to-gavel coverage of Senate floor proceedings and broadcast coverage of 845 Senate committee hearings. Recording Studio staff successfully tested, installed, and commissioned eight new high-definition cameras on the Senate floor which replaced the first generation high-definition cameras that were installed more than a decade ago. In an era of rapidly changing technology, the Recording Studio strives to stay abreast of the latest solutions that will allow the Senate to stay accessible to the public and enable Senators to communicate with their constituents across the country.

Noteworthy Efforts and Groundbreaking Firsts

Support of major congressional events is another important role for the Recording Studio. This past year, our Recording Studio provided full coverage of the Apollo 11/John Glenn Congressional Gold Medal ceremony and transmitted the coverage to the National Aeronautics and Space Administration (NASA) to air on NASA TV. Similarly, coverage of the Japanese-American WWII Veterans Gold Medal ceremony was shared with the Department of Defense for airing on the Pentagon Channel, as well as to the CVC overflow rooms (Congressional Auditorium, North and South Orientation Theaters), allowing more than 1,000 guests to view the ceremony. These collaborative efforts highlight the important work of the Recording Studio beyond coverage of Senate floor business.

The Senate Recording Studio demonstrated its flexibility, commitment, and expertise on the afternoon of August 23, 2011, when an earthquake forced the evacuation of the Capitol complex just 30 minutes before a scheduled pro forma session in the

Chamber. Recording Studio staff quickly assembled at the Postal Square building and were ready to capture the extraordinary session when it was gaveled in a short time later. Studio staff ensured the continuity of the public's access to witness the Senate conduct its business, despite the unique and challenging circumstances.

In 2011, the Recording Studio began providing support for the live streaming of the Senate floor, on www.senate.gov. Studio staff played a vital role in upfront planning, technical specifications, and installing, testing, and maintaining equipment in the Recording Studio. They worked closely with the SAA CIO, Senate Committee on Rules and Administration, and the contractor to make sure this innovative service went online smoothly and on time. Now, anyone with access to a computer can witness the Senate at work with the click of a mouse.

Reducing Costs by Leveraging Technology

The Committee Hearing Room Upgrade Project, which began in 2003, continued through 2011. This project provides the Senate community with greater flexibility and audio/visual capability for committee hearings. State-of-the-art technology being installed includes digital signal processing audio systems and broadcast-quality robotic camera systems, improved speech intelligibility, and software-based systems that are configured based on individual committee needs. This project is scheduled for completion in June of this year.

In conjunction with the Committee Hearing Room Upgrade Project, the Recording Studio installed technologies to enhance our ability to provide broadcast coverage of more hearings simultaneously without having to add staff. As a result of these efficiencies, staff has been cross-trained in several areas of the Recording Studio's operation in an effort to maximize the talents of each individual and do more without adding staff.

MEDIA GALLERIES

The Senate Media Galleries comprise the Senate Daily Press Gallery, the Senate Periodical Press Gallery, the Press Photographers' Gallery, and the Senate Radio and Television Gallery. The unique structure of the four Media Galleries requires them to work closely with their respective Standing and Executive Correspondents' Committees, SAA, USCP, and the Senate Committee on Rules and Administration in order to facilitate media arrangements and credentials for the more than 7,000 members of the media who cover Senators, Senate committees, and related media events on Capitol Hill.

The growth of 24-hour news outlets and Web sites, and the explosion of social media, has made the demand for news constant. As a result, the Congress is being covered more vigorously and in greater depth than ever before. Given this new dynamic, the staff of the Media Galleries has worked hard to accommodate the ever-changing technology environment that shapes how the news media do their job and how Americans get their news. For example, the four Media Galleries worked with the office of the SAA CIO to upgrade the technical infrastructure, including incorporating Wi-Fi in all four galleries and across the Senate campus. This wireless system is secure, and can be accessed only through a log-in script. Committee press secretaries, in particular, appreciate that the wireless system aids in the press coverage of their hearings. In addition, the credentialing process has been enhanced, taking into account recent technological advances in the media industry and the security needs of the Capitol.

Senate Daily Press Gallery

Our Daily Press Gallery staff provides the growing ranks of reporters with background information on legislation on a daily basis. Chief among their responsibilities is assisting Senators and staff in making information available to the public and generally assisting the press dedicated to covering the Congress. Our Daily Press Gallery staff monitors Senate floor activities and schedule changes, prepares for big events and ceremonies, and researches and assesses the flood of new credential applicants in conjunction with the Standing Committee of Correspondents. Any given day, the Daily Gallery staff will monitor and assist with access on the Capitol's second floor and other locations where news is breaking, facilitate coverage of major hearings, and answer numerous press inquiries on legislation, floor action, and parliamentary procedure from media and Senate staff.

Reaccreditation of Gallery members occurs every year, and in 2011 approximately 1,800 reporters were credentialed for the Daily Press Gallery alone. As we head into a Presidential election year, the Gallery is gearing up to credential reporters for the Democratic and Republican national conventions. This past year, staff conducted site visits to each city where the respective conventions will be held. Gallery staff must have intimate knowledge of the locale and the positions their members will have to cover the events. Planning for the 2013 Inaugural ceremonies, which draws more interest and requests for credentials than in a non-Presidential election year, has also begun.

Senate Periodical Press Gallery

The Senate Periodical Press staff focuses much of its work on supporting media arrangements and logistics for Senate committee hearings. In 2011, Gallery staff worked with new committee and Senators' press secretaries to familiarize them with the Gallery's functions at committee hearings. Regular collaboration allows various Senate committees to set up media arrangements for a number of widely-viewed hearings, including confirmation hearings for all Presidential nominations, Senate budget consideration, and Senate Committee on Appropriations events. In addition to hearings, Senate Periodical Press Gallery staff also works to monitor press conferences, stakeouts, Rotunda events and various other media events in the Capitol and Senate office buildings throughout the year.

The Periodical Press Gallery staff maintains a daily Senate floor log on its Web site, which has become a valuable resource to both Gallery members and Senate staff. The log tracks legislative activity, votes, and schedule updates in order to assist reporters covering the Senate and staff monitoring floor activity. In the past 2 years, the Gallery's Web site has attracted nearly 140,000 page views from more than 53,000 unique visitors. Traffic to the Web site continues to grow, with an all-time high of 16,000 page views in January 2012.

The Senate Periodical Press Gallery handles press accreditation for the National Presidential Nominating Conventions. This is a year-long process that involves logistical planning and coordination with the Executive Committee of Periodical Correspondents and the Democratic and Republican Convention Committees. Immediately following the conventions, the Senate Periodical Press Gallery manages press accreditation for the Presidential Inaugural Ceremonies.

Coordination between the Executive Committee of Periodical Correspondents, Gallery staff, Senate Committee on Rules and Administration staff, and Senate Sergeant at Arms staff has already begun.

Press Photographers Gallery

The primary role of the Press Photographers Gallery is to credential photographers and to assist at news events at the Senate. Gallery staff also has the unique responsibility of assisting at large news events and hearings in the House of Representatives. The demand for news images has increased dramatically in recent years, as Web-based publications have expanded and social media has gained in popularity. Today, deadlines for images are immediate, as organizations and publications strive to have the latest pictures available for online publications. These radical changes in how events are captured have increased the number of photographers covering Capitol Hill on a daily basis. Ten years ago, a "big" event might attract 10 to 12 photographers. Today, it is standard to have 10 photographers at a routine event while a popular hearing will draw between 20 and 30 photographers, and a large event, such as the State of the Union Address, can attract more than 50 photographers.

The Press Photographers Gallery was involved with a number of events in 2011 including the State of the Union Address; a portrait unveiling ceremony for Senator Frist in the Old Senate Chamber; three Joint Sessions of the Congress with Australian Prime Minister Julia Gillard, Israeli Prime Minister Benjamin Netanyahu, and the President of the Republic of Korea, Lee Myung-bak; debt ceiling meetings involving Vice President Biden, as well as numerous hearings in both the House and Senate on the subject; and two Congressional Gold Medal Ceremonies in Emancipation Hall.

Senate Radio and Television Gallery

The staff of the Radio and Television Gallery works closely with Senate staff and more than 3,600 credentialed members of the electronic media to facilitate coverage of Senate news and events in and around the Capitol. Senate staff relies on Radio and Television Gallery personnel for information on legislative business and press conference details in the Gallery's state-of-the-art studio.

In an effort to address new requirements for electronic media coverage of Senate events, improvements were made in the technical infrastructure of Senate committee hearing rooms and other news event locations throughout the Senate campus. For example, in a collaborative effort with the Senate Committee on Rules and Administration, Gallery staff oversaw the installation of fiber optic cable in 18 Senate committee rooms. Several meeting rooms in the Capitol and the Senate wing of the CVC were also outfitted with fiber optic cable. This project allows reporters and

Senate staff ease and flexibility with transmitting information during meetings, hearings, and media events.

In 2011, Gallery staff, along with the staff of the Senate Committee on Rules and Administration, AOC, and media representatives, finalized installation of fiber connectivity in the Russell Rotunda media area. The scope of the project not only encompassed the installation of new fiber optic cable but also the upgrading of the rotunda's electrical infrastructure. The Russell Rotunda media area is used daily by Senators for conducting interviews and has become a favored interview location for Senators following the State of the Union Address and other major events.

The Radio and Television Gallery was given an opportunity to demonstrate its technical prowess and organizational acumen in 2011, when on July 27, Brian Williams and several NBC News camera crews were granted unprecedented access to the Capitol to produce a special report entitled, "Taking the Hill: Inside Congress". Working with the Committee on Rules and Administration, Radio and TV Gallery staff organized the placement of cameras throughout the Senate campus and provided the necessary oversight with respect to broadcast coverage rules. Along with interviewing Members, NBC's crews chronicled a "day-in-the-life" of Senate staff while they performed their essential services in supporting Capitol operations.

SENATE OFFICE OF EDUCATION AND TRAINING

The Senate Office of Education and Training provides training and development opportunities for Senate staff in Washington, DC and the States. There are two branches within the office:

—the Education and Training branch; and

—the Health Promotion branch.

The Education and Training branch provides training opportunities for all Senate staff in areas such as management and leadership development; human resources management; legislative and staff information; new staff and intern orientation; and training support for approved software and equipment used in Washington, DC, and State offices. This branch also coordinates and provides major training events for State and DC staff.

Training and education are provided through instructor-led classes; one-on-one coaching sessions; specialized vendor-provided training; Internet and computer-based training; webinars; video teleconferencing; informal training and support services; documentation, job aides; and quickcards.

The Health Promotion branch provides seminars, classes and screenings on health and wellness issues. This branch also coordinates an annual Health Fair for all Senate employees and plans blood drives throughout the year.

Capitol Hill Training

The Office of Education and Training offered 1,058 classes and events in 2011, drawing more than 12,000 participants. This office's registration desk handled more than 25,000 email and phone requests for training and documentation.

The above total includes 160 customized training sessions for 2,667 staff members. These sessions ranged from in-depth training of Senate office system administrators to conflict resolution and organizational development. We provided individual consultation on Web site development and office systems training. We provided specialized training for many of the newly elected Senators' offices.

The Senate's Intern Program is also a focus of the office. We provide training for intern coordinators as well as ten orientation and training sessions for approximately 1,225 interns.

Annually, we provide a Senate Services Expo for Senate office staff. This year we had 36 presenters from our office as well as the offices of the Secretary of the Senate, AOC, USCP, and LOC providing an overview of their services to 260 staff. This is part of the orientation for new staff and the aides to the Senators-elect. During the first quarter of this year, we held eight orientation sessions for chiefs of staff and administrative directors with a total attendance of 105.

State Office Training

The Office of Education and Training provided 94 learning opportunities to State offices for which 2,625 State staff registered. Our office continues to offer the State Training Fair Program and video teleconferencing and webinars as a means to train State staff. In 2011, a session of a State Training Fair was attended by 40 State staff. We also conducted the State Directors Forum, which was attended by 42 State administrative managers and directors, and a Constituent Services Forum attended by 57 State staff. We introduced a conference for outreach staff that was attended by 41 staff. We also provided advanced all-staff meeting facilitation to more than 30 offices; more than 500 staff members attended. Additionally, the office offered 20 video teleconferencing classes, for which 718 State staff registered, and offered 22 webinars that were attended by more than 200.

We provide sources of Internet-based training covering technical, professional, and language skills and an online research library of 30,000. This allows staff in both DC and the States to take training at their convenience. To date, 826 DC and State office staff have registered and accessed 1,780 different lessons and publications using this training option. Education and Training also provides 64 Senate-specific self-paced lessons that have been accessed more than 4,800 times.

Health Promotion

In the Health Promotion area, 2,000 staff participated in 64 health promotion activities throughout the year. These activities included lung function and kidney screenings, eight blood drives, the Health and Fitness Day, seminars on health-related topics, and the Annual Senate Health Fair. We also coordinate Weight Watchers, yoga, and Pilates sessions using the revolving fund for health promotion.

We continue to develop job-specific training and resources for Senate staff. Currently we are developing training for Legislative Directors, Legislative Correspondents, Schedulers, and Chief Clerks. We are also developing training specifically for those who regularly interact with Senate floor staff.

We will be working with the SAA technical staff to develop and build a new Learning Management System. This will provide Senate staff with a user-friendly method for finding and registering for training. It will become a part of our Education and Training portal which will provide a variety of means for staff to obtain the training they need.

We will expand online training options for Hill and State staff. We are planning for additional training for security and mental well-being in the State offices, job-specific training and, as the need arises, training on floor policy and procedures.

Cost-Saving Impacts

The Office of Education and Training reduced each of our DC-based State training sessions by one-half day to reduce per diem costs to the offices without sacrificing quality. We have added self-paced training modules to our catalog to allow State and Hill staff to learn at their own time and place. Video-conferencing and webinar training offerings have also been expanded.

EMPLOYEE ASSISTANCE PROGRAM

Our Employee Assistance Program (EAP) offered a variety of services to pages, interns, staff, and their family members. In 2011, nearly 1 in 20 Senate employees utilized the services of an EAP counselor; 170 employees took a mental health online screening; 3,489 employees attended an EAP training activity; and 1,489 employees accessed resources for personalized information and referrals addressing childcare, parenting, adult care, aging, education, legal concerns, or financial issues.

Early problem recognition and referral is a critical component of the EAP. To that end, EAP counselors work closely with Senate managers and supervisors. Through presentations, handouts, and individual consultations, the EAP supports managers and supervisors who are addressing challenging employee or staff issues. In 2011, EAP consulted with more than 175 managers or supervisors.

An invaluable characteristic and goal of EAP services is to utilize outreach to effectively reach our client base. Working toward this goal in 2011, EAP renovated our Web site, providing a more interactive and user-friendly resource. These changes included confidential mental health screenings, an increased number of self-paced training modules, and greater access to mental health, management, and trauma response resources. In addition to refining our Web site, EAP continued to update materials on a wide array of mental health topics while offering a variety of time-sensitive and community-focused training programs, including video teleconferencing programs for State offices. Last year EAP also continued to hone, expand, and utilize the skills of the 32-member Senate Peer Support Team through a series of presentations, trainings, and informational lectures.

With regard to specific incidents in 2011, EAP responded to a multitude of events, including the emotional needs and concerns that arose from the shooting of Representative Giffords; the 10th anniversary of 9/11; the offices impacted by the May tornadoes; the offices impacted by the June floods; the deaths of employees and the family members of employees; and employees who requested support after other critical incidents.

APPENDIX A—FINANCIAL PLAN FOR FISCAL YEAR 2013

OFFICE OF THE SERGEANT AT ARMS—UNITED STATES SENATE—EXECUTIVE SUMMARY

[Dollars in thousands]

	Fiscal year 2012 budget	Fiscal year 2013 request	Fiscal year 2013 vs. fiscal year 2012	
			Amount	Increase/ decrease (percentage)
General operations and maintenance:				
Salaries	$73,000	$75,274	$2,274	3.1
Expenses	79,874	79,567	(307)	−0.4
Total, general operations and maintenance	152,874	154,841	1,967	1.3
Mandated allowances and allotments	44,786	44,414	(372)	−0.8
Capital investment	....	....	....	....
Nondiscretionary items	6,062	6,192	130	2.1
Total	203,722	205,447	1,725	0.8
Staffing	959	957	(2)	−0.2

To ensure that we provide the highest levels and quality of security, support services, and equipment, we submit a fiscal year 2013 budget request of $205,447,000, an increase of $1,725,000 or 0.8 percent compared to fiscal year 2012. The salary budget request is $75,274,000, an increase of $2,274,000 or 3.1 percent, and the expense budget request is $130,173,000, a decrease of $549,000 or 0.4 percent. The staffing request is 957.

We present our budget in four categories:

—General operations and maintenance (salaries and expenses);

—Mandated allowances and allotments;

—Capital investment; and

—Nondiscretionary items.

The general operations and maintenance salaries budget request is $75,274,000, an increase of $2,274,000 or 3.1 percent compared to fiscal year 2012. The salary budget increase is due to a cost-of-living adjustment, merit funding, and other adjustments.

The general operations and maintenance expenses budget request for existing and new services is $79,567,000, a decrease of $307,000 or 0.4 percent compared to fiscal year 2012.

The mandated allowances and allotments budget request is $44,414,000, a decrease of $372,000 or 0.8 percent compared to fiscal year 2012. This budget supports State office rents, $18,022,000; purchase of computer and office equipment, $11,504,000; voice and data communications for Washington, DC and State offices, $7,035,000; procurement and maintenance of Member office constituent services systems, $4,115,000; State office security enhancements, $2,147,000; and wireless services and equipment, $1,351,000.

No capital investments are requested in fiscal year 2013.

The nondiscretionary items budget request is $6,192,000, an increase of $130,000 or 2.1 percent compared to fiscal year 2012. The request funds projects that support the Secretary of the Senate:

—contract maintenance for the Financial Management Information System, $3,283,000;

—support for the payroll system, $2,299,000; and

—maintenance and necessary enhancements to the Legislative Information System, $610,000.

UNITED STATES CAPITOL POLICE

STATEMENT OF PHILLIP D. MORSE, SR., CHIEF

Senator NELSON. Chief Morse.

Chief MORSE. Chairman Nelson, Ranking Member Hoeven, I am honored to be here today, and I appreciate the opportunity to present the United States Capitol Police (USCP) budget request for fiscal year 2013. I also ask that my written testimony be entered into the record.

Senator NELSON. It will be.

Chief MORSE. First, I would like to thank the subcommittee for its sustained and unwavering support for the men and women of the USCP. You and your staffs have continued to generously support both our mission as well as our personnel.

Due in large part to your support and the support of the Capitol Police Board, the department continues to successfully execute our mission with a strong operational presence and under established business practices, controls, and efficiencies.

Our fiscal year 2013 budget request provides for those critical mission and mission support requirements necessary for the department to address the security of the Congress, so that it may conduct its constitutional responsibilities in an open and safe manner without disruption from crime or terrorism.

Our mission-focused request is grounded in USCP strategic goals that describe our mission and help us frame our budget planning: assessing the threat to the Capitol community; taking proactive measures to mitigate the threat so as to prevent disruption to the legislative process, responding in the event of a disruption so the Congress can continue to operate; and supporting USCP missions through constructive internal business processes and controls that foster effective and efficient mission delivery.

This budget is strong in support of those goals with modest increases in initiatives to address identified risks and threats. Yet it is flexible enough to achieve and maintain solid mission-critical results with efficient use of the resources provided to the department.

In addition, it contains requests for a few new initiatives that provide additional security for the Capitol. Finally, there is an emphasis in this request to ensure the necessary level of training for the department staff in 2013, which has been deferred in previous fiscal years.

The department's fiscal year 2013 request totals $374 million and represents an overall increase of 10 percent, or $34 million more than the fiscal year 2012 enacted funding level of $340 million.

This request includes salary funding to support 1,775 sworn and 370 civilian employees, as well as overtime funding to support mission requirements that exceed the utility provided by our funded personnel to include the 2013 Presidential Inauguration.

The second area of detail that I wish to provide today is an overall net increase in our requested general expense budget. It includes hiring, outfitting, and training new sworn personnel; supplies and equipment; life-cycle replacement for critical systems and assets; and, management systems.

While we are requesting an overall increase more than the fiscal year 2012 funding levels, a portion of this general expense funding increase is related to new initiatives totaling $4.9 million.

Additionally, we are requesting $800,000 in general expense funding to support security and law enforcement activities associated with the 2013 Presidential Inauguration.

The department continues to use management and budget planning methodology, which we call force development 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, the fiscal year 2013 budget went through multiple layers of review and validation, and is traceable to supporting documentation for each budget element.

I'm pleased to report that we recently received an unqualified or clean opinion on our fiscal year 2011 financial statements.

In addition, my staff and I have worked with the Office of Inspector General over the past 5 years to close audit recommendations to improve our programs and operations. We had 189 recommendations. We have 38 remaining, and we closed 27 just in the past 6 months.

Finally, operationally for this fiscal year, the department has screened nearly 3 million visitors to the Capitol complex. It has effected more than 300 arrests, conducted more than 54,000 K–9 sweeps, and screened more than 13,000 vehicles. In fiscal year 2011, the department screened more than 10 million visitors, effected 900 arrests, and conducted more than 160,000 K–9 sweeps.

These are just a few examples of the many operational elements that are conducted daily to ensure the success of the department's core mission. I want to thank all the men and women of the USCP for their dedicated service.

We are well aware and we understand the economic climate that affect our country, the legislative branch, and the entire Federal Government. I want to assure you that the USCP will successfully adapt our resources and continue to safeguard the congressional community with the resources available.

PREPARED STATEMENT

Again, I want to express my appreciation for allowing me to appear today, and I will be glad to answer any questions that you have at this time.

[The statement follows:]

PREPARED STATEMENT OF PHILLIP D. MORSE, SR.

Chairman Nelson, Ranking Member Hoeven, and members of the subcommittee, I am honored to be here today, and I appreciate the opportunity to present the United States Capitol Police (USCP) budget request for fiscal year 2013. I am joined here today by Assistant Chief Thomas Reynolds, who was recently promoted to lead our operational elements of the USCP, and Mr. Richard Braddock, our Chief Administrative Officer, as well as some of the members of my executive management team.

First, I would like to thank the subcommittee for its sustained and unwavering support for the men and women of the USCP. You and your staffs have continued to generously support both our mission as well as our personnel—not just in a monetary way, but also in private and public recognition of our role and responsibilities. The security and protection of this great institution is not only our job, but we consider it a sacred duty and privilege to serve you, the congressional staff, and the millions of visitors from every corner of the world who come to the U.S. Capitol complex every year. Due in large part to your support and that of the Capitol Police Board, the USCP continues to successfully execute our mission with a strong operational presence and under established business practices, controls and efficiencies.

Specifically, I would like to express our appreciation to the subcommittee and the Congress for providing the necessary salaries and general expenses funding for fiscal year 2012 to support our personnel and operations, while absorbing several activities within our base funding, such as the conventions and pre-Presidential Inauguration planning.

As I begin my testimony, I would like to emphasize that my management team and I are keenly aware of the economic situation our Nation continues to face. I understand the responsibility I have to submit a budget request that is not only accurate, but that is reasonable, based on only critical requirements necessary to mitigate and address threats and risks. Our fiscal year 2013 budget request provides for those critical mission and mission-support requirements necessary for USCP to address the security of the Congress, so that it may conduct its constitutional responsibilities in an open and safe manner without disruption from crime or terrorism.

To do so, USCP utilized our Force Development Business Process, which develops our budget based on analysis of threats and risks, while involving multiple levels of the organization in the process, to include coordination and vetting of our budget with the Capitol Police Board.

Our mission-focused request is grounded in the USCP strategic goals that describe our mission and frame our budget planning:

—assessing the threat to the Capitol community;
—taking proactive measures to mitigate the threat so as to prevent disruption to the legislative process;
—responding in the event of a disruption so that the Congress can continue to operate; and
—supporting the USCP's mission through constructive internal business processes and controls that foster effective and efficient mission delivery.

This budget is strong in support of those goals—with modest increases and initiatives to address identified risks and threats—yet it is flexible enough to achieve and maintain solid mission-critical results with efficient use of the resources provided to USCP.

The proposed fiscal year 2013 budget contains a base budget that will address and mitigate identified security challenges that may potentially affect the safety of the Capitol complex and our ability to keep up with the changing security environment and threat level. In addition, it contains requests for a few new initiatives that provide additional security for the Capitol. Finally, there is an emphasis in this request to ensure the necessary level of training for USCP's staff in fiscal year 2013.

Over previous fiscal years, USCP has greatly reduced its training activities in order to meet other mission requirements within available funding. Training has been limited to only those areas that are critical and mandatory as required by law, rule, or regulation; or necessary to meet core mission activities. This budget includes the overtime funding that specifically relates to the training needs of sworn staff to give them the time needed to be offline and receive training in a number of key areas. In addition, training costs are being requested for what USCP has deemed as mandatory or mission-essential training. This includes resources to develop a qualified pool of eligible succession sworn and civilian candidates. With this emphasis, USCP will ensure that the workforce is prepared to address our mission using current and emerging methods, as well as be well suited to address leadership needs into the future.

We realize that USCP's funding levels have grown in recent years, as opposed to other legislative branch entities, due to requirements set forth to support an expanding mission load, such as the merger with the Library of Congress (LOC) police to include absorbing the jurisdiction over LOC buildings and grounds, and the opening of the Capitol Visitor Center. Both of these activities resulted in additional protection responsibilities for the security operations of this critical addition to the Capitol. In the upcoming year, we will also be gaining an additional protective responsibility with the opening of the Federal Office Building 8 (FOB8) scheduled to reopen in fiscal year 2013. An additional fiscal dynamic we are managing is our implementation of a complex Radio Modernization Project. Further, USCP is managing the need to implement critical life-cycle replacement for key security and technical systems within limited available funding. We realize that the subcommittee has limited resources with which to support all legislative branch entities and will continue to prudently request and execute the resources needed to meet this challenge.

At this time, I would like to offer the subcommittee an overarching summary of our fiscal year 2013 request. I will follow this summary with a discussion of specific budget items of particular significance to you and USCP.

USCP's fiscal year 2013 request totals $374 million and represents an overall increase of 10 percent, or $34 million more than the fiscal year 2012 enacted funding level of $340 million.

The first subject area for which I would like to provide more detail is in the area of personnel salaries and overtime.

USCP's fiscal year 2013 personnel request reflects our continuous efforts at all levels of management to effectively manage our existing resources to achieve the best possible balance of staff-to-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 of a dynamic congressional community.

To operate within our current budget, we are currently carrying out our mission requirements with 1,775 of our 1,800 sworn positions and 370 of our authorized 443 civilian positions, and with only limited training. Much of our overall increase allows the USCP to operate at our current staffing levels.

With regard to our funding request related to personnel, we are requesting an overall increase of 9 percent more than the fiscal year 2012 enacted funding levels, which include funding for two new civilian positions for the Office of Inspector General, as well as new sworn positions to address operational requirements.

USCP's current sworn strength does not entirely provide the necessary resources to meet all our mission requirements within 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 postcoverage, projected unscheduled events such as demonstrations, late sessions, holiday concerts, et cetera, and unfunded requirements that occur after the budget is enacted, such as unforeseen critical emergency situations.

Thus, mission requirements in excess of available personnel must be addressed through the use of overtime, identification of efficiencies such as postrealignment and/or reductions, technology, and cutbacks within the utility, such as reductions in the number of hours provided for training. To address some of these mission drivers, we continue to work closely with the Capitol Police Board and our oversight committees to review such options to offset mission requirements where possible, such as closing lower-priority doors, which will reduce the total hours at posts and overtime costs needed to perform those activities.

Over the last 2 years, we have also been very strategic in the hiring of civilian positions to best align our resources to our needs. In particular, vacancies in the civilian ranks are reviewed biweekly to prioritize requirements for backfilling operational and mission-support vacancies. Through this process, USCP continually monitors and justifies the needs of every civilian position as it becomes available. With this comes increased responsibility of onboard staff and a greater need to invest in training to gain and maintain skills needed to perform these duties.

With that in mind, our requested fiscal year 2013 personnel costs support the current funded staffing levels of 2,145 positions, as well as a request for 19 sworn and civilian positions previously mentioned. This will result in an increase from 2,145 to 2,164, which is still less than our authorized levels.

At current staffing levels, USCP's fiscal year 2013 basic and Inauguration overtime projection of approximately $36.5 million reflects an increase more than the $33.4 million that was provided for basic and convention overtime in fiscal year 2012. This increase primarily is a result of operating at fewer officers than our current authorized strength.

Other requested increases to overtime include an additional $1.5 million in funding to take staff offline for additional training requirements, and $400,000 for the overtime needed for the FOB8 initial operations until new officers are trained and deployed. These items bring the total fiscal year 2013 overtime request to $38.4 million which is an increase of $3.3 million more than the total fiscal year 2012 overtime level of $35.1 million.

The second area of detail that I wish to provide today is an overall net increase in our requested general expenses budget, which includes hiring, outfitting, and training of new sworn personnel; supplies and equipment; life-cycle replacement for critical systems and assets; and management systems; et cetera. While we are requesting an overall increase more than the fiscal year 2012 funding levels, much of the increase request is for new initiatives to address identified threats and risks, and for support of the 2013 Presidential Inauguration.

A portion of this general expense funding increase is related to new initiatives totaling $4.9 million. Additionally, we are requesting $800,000 in general expense funding to support security and law enforcement activities associated with the 2013 Presidential Inauguration.

With your support, USCP continues to successfully perform our operational mission and has achieved several key accomplishments over the last year that have resulted in greater efficiencies for USCP, which include addressing several administrative challenges and improving corresponding business practices.

Operationally, so far this fiscal year, USCP has screened more than 3 million visitors to the Capitol complex; affected more than 300 arrests; conducted more than 54,000 K–9 sweeps; and screened more than 13,000 vehicles. In fiscal year 2011, USCP screened more than 10 million visitors, affected more than 900 arrests; and conducted more than 160,000 K–9 sweeps. These are just a few examples of the many operational elements that are conducted daily to ensure the success of USCP's core mission.

As I mentioned briefly, USCP continues to use a management and budget planning methodology which we call the "Force Development 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. We also expanded the process for program evaluations for selected existing programs. For the process that led to the fiscal year 2013 budget request, the Investment Review Board reviewed an additional 20 of USCP's existing programs than were selected in the previous fiscal year. In addition, in order to ensure the accuracy of our budget request, the fiscal year 2013 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 to address issues which have arisen and by providing the evidence necessary to close findings. In particular, I am pleased to report that we recently received an unqualified or "clean" opinion on our fiscal year 2011 financial statements. Further, we are working on the resolution of a number of recommendations in order to achieve efficiency and effectiveness of our administrative programs through long-term resolution of areas of concern. The long-term resolution of the remaining recommendations related to internal controls, business processes, and material weaknesses remain of the highest importance to our management team.

As I mentioned in the beginning of my testimony, we are well aware of and understand the economic climate that affects our country, the legislative branch and the entire Federal Government, and I want to assure you that USCP will successfully adapt our resources and continue to safeguard the congressional community within the resources available.

I appreciate the opportunity to appear before you today and would be glad to answer any questions you may have at this time.

Senator NELSON. Thank you very much, Chief Morse.

Why don't we do 5-minute questions, if that is okay, Senator Hoeven?

Senator HOEVEN. Sure.

Senator NELSON. Ms. Erickson, first of all, again, I want to commend you for taking extraordinary steps to control costs and submitting such a lean budget.

You took on the SIS Program in fiscal year 2011 at a funding level of $4.2 million, and you have been able to hold that funding to the same level in fiscal year 2012.

Can you give us some ideas of what the impact, positive or negative, of holding to such a no-growth level has had on the implementation of the program?

Ms. ERICKSON. Sure. Well, the historic cost for this program has been an average of 3- to 5-percent increase every year.

And I just want to say, I am extremely proud of our Senate library staff as well as Terry's procurement staff, who have been tough negotiators with these online vendors that provide our services to the Senate.

And the contracts that we negotiate are on a calendar year basis, not on a fiscal year basis, so for example, we were negotiating a 5-year contract with these vendors during fiscal year 2011 when we were in a continuing resolution, so as a result, the SIS program was subject to the 5-percent cuts. We were working with less money, and as a result, we had to cut two information services from the program, limiting business and economic resources for Senate staff.

I think it's fair to say that we are providing core services right now, and I think the Senate is getting a very good deal.

To give you an example, one of the services that we cut was charging the Senate $25 per user. The industry rate is $12,000 per user. If your office manager now wants to purchase this information service for their Senate office, they will be charged $900 per user. So you can see that the enterprise model produces a good deal for the Senate.

We expect a $27,000 shortfall in fiscal year 2013. We anticipate that since our funding is multiyear, the cost savings we achieved in the past 2 years will be able to make up that difference.

But I have to say, going forward in fiscal year 2014, we welcome sitting down with your subcommittee, as well as the Rules Committee, to have a discussion about the long-term future of this program.

Senator NELSON. Well, I would agree that you can make some adjustments to get to where you are, but going forward, it is going to require some discussion back as to what the real demands and needs are, so I appreciate that.

On the payroll replacement project, first, you and Terry may want to respond. The disbursing office and the SAA technical support division have been implementing a new payroll project. How is this working? Is it working very well?

First, Nancy.

Ms. ERICKSON. Sure. Well, as you know, we're replacing a system that uses mainframe technology. And I was reminded recently by one of Terry's staff, who told me that nowadays when they hire people in their technology departments, they can't find people anymore who have training and experience in mainframe technology.

It is very complex project that we are working on together, jointly. I believe we have gone about it in a very methodical manner.

In 2008, we worked with the Sergeant at Arms office and Booz Allen Hamilton in identifying more than 1,000 requirements for our payroll system. In 2009, through a competitive bid process, we selected the PeopleSoft software for the system. And in 2010, we selected an integrator, which is basically the implementer who is working with us on the project.

We've set an aggressive 18- to 24-month schedule for launching the new payroll system. We've said all along that before we can launch, the following milestones must be achieved. The pension piece, which is probably the most problematic right now, is the ability for the Disbursing Office to calculate individual retirement records. We have to have the budgeting piece in place, which allows the Disbursing Office to provide payroll projections to Senate offices. We need the successful conversion of employee work history records; training of Disbursing Office staff, not just the payroll staff, but the front office staff and the benefits staff; and then successful parallel testing with the current system.

We should have a better idea of our launch schedule after the May user acceptance testing by the Disbursing Office staff.

I think the project will probably end up costing the SAA, and Terry can speak to this, probably a little bit more money than they had originally anticipated.

The vendor has indicated they need more time to work on the pension piece of the project. And I understand that the SAA is also factoring in extra contract support after we launch, because of the fact that they have limited staff to work on this.

When we started the project, we met with our colleagues on the House side, who had also launched a payroll system, to get their lessons learned. And one of the things they told us is do it right, don't set premature deadlines. And I think it's fair to say that we all understand the high stakes with this project and the need to watch costs. But I also think it's important that we make good decisions now that won't cost us more money down the road.

Mr. GAINER. Mr. Chairman, I would strongly agree with Nancy's remarks.

It is a very complicated system, and our best estimate is that it is going to require additional funding. We are working with your staff and Ranking Member Hoeven's staff, to identify some of those funds. It will likely come from our prior year unobligated balances.

Nancy hit the nail right on the head, being slow and methodical and getting this right will pay long dividends for the Senate for many years.

Senator NELSON. Those are my questions.

Senator Hoeven.

Senator HOEVEN. Thank you, Mr. Chairman.

I would start with Ms. Erickson, and also commend you for the good work you've done on the budget. Clearly, you've worked hard to submit a good budget, a thoughtful budget, which is not an easy thing to do, but you've already done a great job.

Essentially, my questions are going to be, if we have to find further savings, describe how you would go about doing that.

Then also the second question that I have, which kind of follows on, is: Are you getting any pushback now in terms of services, having Members say to you, we miss this service or miss that service, or why am I not getting it? Where are you getting push back?

If we do have to find some further savings, what do you anticipate in terms of impacts?

Ms. ERICKSON. Well, I just want to say as a South Dakotan, I think South Dakotans from my State, like North Dakotans and Nebraskans, would approve of the fact that they have been good stewards of our limited resources.

And we have made tough decisions. And I want to single out the fact that beginning in 2010, we suspended our merit bonus program. So for the past 2 years, going on 3 years now, our staff have not received any bonuses for outstanding merit performance. And I have to say that has been one of the toughest decisions that I have had to make as an administrator, that coupled with the——

Senator HOEVEN. May I ask, how did that bonus system work, formerly?

Ms. ERICKSON. Well, we have a formal evaluation process annually for our employees. And depending on the rating that an employee received, they would get—and I want to say, these were small bonuses, ranging anywhere from 1 to 3 percent. I think the highest an individual would get was 5 percent. So it was a very small program.

But it was an important way to recognize people who work extremely hard. And like I said, that coupled with the fact they haven't had a cost of living adjustment (COLA) for 2 years, I admire the fact that their positive attitudes and their work ethic and commitment to this institution haven't wavered.

We are a small operation. We, between fiscal year 2008 and 2011, had a $2 million operating budget that hadn't increased.

We're down to small potatoes in the bigger scheme of things, but cutting newspaper subscriptions for legislative staff and our executive office achieved roughly $5,500 in savings.

Our Office of Public Records moved a post office box from Alexandria to Union Station—that is where we receive our certificates of election and our campaign committee reports from candidates—saving $200.

Our curators canceled $1,000 in magazine subscriptions. They trained their staff in repairing the gilded mirrors in the Capitol, so we wouldn't have to bring a conservator onsite to do those repairs.

And in fact, the Curator's Office recently reused another office's discarded furniture, saving the SAA between $30,000 and $45,000 in new furniture.

And with respect to the SIS program, again, our staff was able to cut program costs the last 2 years by 1.5 percent, which had never happened before in the history of this program.

I do have some concerns, like Terry, in terms of our ability to continue to serve the Senate. We also have responsibilities under the STOCK Act in putting the STOCK Act transactions on the Internet within 90 days and implementing the e-filing of financial disclosures.

The Congressional Budget Office has estimated that those responsibilities will cost our office $424,000.

Other priorities that I will likely have to postpone is a precedents database for our Parliamentarian's Office, which would be utilized by Senate staff, captioning software for continuity purposes, supplies for Conservation and Preservation Office.

I am also concerned that this will be the first year that we are unable to set aside money for repairs to our historic furnishings and artwork in the Capitol.

Senator HOEVEN. Thank you.

Really, that's the only question I have. I do recognize that you are doing a very good job within your budget, and I appreciate it.

Senator NELSON. Thank you. What you have identified are the steps that have to be taken in order to do the work. The discussion on the floor of the Senate, the discussion outside the Beltway, is always about cutting. But the details are where things really begin to happen.

It is not easy. It is hard work, and it is hard all the time to do it. We commend you for your efforts in that regard.

It's easy to say, you'll find additional ways to cut, and perhaps so. But they will never be easy decisions to make.

With the new STOCK Act, on the floor of the Senate, the discussion is never about what does it cost for all these additional reports. It is just assumes that somewhere, once they are filed, they will end up somewhere and somebody will do something with them and they will be available, and nobody will spend the time to identify in advance what the costs are for that.

So it is more than an inconvenience to elected officials. It is a cost to the taxpayer to have this additional information.

We have a couple questions.

Terry, you requested, for salaries, it's about $2.3 million more than fiscal year 2012, which is a 3.1-percent increase, I understand about one-half of that request increase is for the COLA and merit funding. Could you tell us what the other $1.1 million increase in funding for salaries would consist of?

Mr. GAINER. Yes, Mr. Chairman. Approximately one-half of that increased funding will pay for additional political appointments or patronage positions. Last year, we budgeted less funding for that purpose in the hopes that we could convince those in charge of those positions to reduce the number of them. That was not very successful.

With the workload and commitments that were made, the patronage positions were completely filled, and this is really to make up for the cost of all those.

Senator NELSON. Excuse me, could you give me an example or two of what that might consist of, these positions?

Mr. GAINER. They range from elevator operators, to some Post Office positions, to the largest group, the doorkeepers.

They are all vital to our mission, even if the word "patronage" sometimes takes on a negative connotation.

We looked at whether the elevator operator system ought to be eliminated, and everybody could work the elevators by themselves like they do in so many places. But there's also a problem and a consequence to that, with the speed with which votes come up and the Members have to move. It is easy to say that it looks like low-hanging fruit, but it makes working around here more difficult when you witness the number of visitors we have.

The other portion of that salary increase $540,000, is for increased overtime in connection with the Inauguration. We, like the Rules Committee and others, the police department, are already deep in the midst of preparing for that. So we are anticipating those costs.

Senator NELSON. Another area in your relatively flat budget that has grown a little bit in the last couple years is the intelligence and protective services account. You are asking for a $2.6 million increase, which is about a 62-percent increase more than the current year. Under that account, your proposed funding level for State office security enhancements would increase by 125 percent from $950,000 to $2.1 million.

Maybe you can help us understand more about that and why we would need to expect that kind of increase.

Mr. GAINER. Yes, Mr. Chairman.

Over the years, the usage of the funds by the offices for those security measures continued to drop. After the shooting of Congresswoman Giffords, there was a lot more attention on the 454 State offices. We helped force that attention by working with the police department, the USCP, the local police, the FBI, and others to review what was going on in those offices. More of the offices that are taking advantage of our security surveys and recommendations of the different tools that they can utilize to make their office safer. That is a large part of it.

Senator NELSON. That's understandable. I think having accessed help in one of our offices in Nebraska, I appreciated it. So I understand the additional need for that.

I have already, and I know my colleague and all of our colleagues agree about the very professional way in which you responded to the powder mail issue. Without revealing information that would probably be better discussed behind closed doors, can you give us some idea of what kind of increase, let's say an operation tempo increase that you may have internally within the office in dealing with threats to the Members and to the staff and to the offices?

Mr. GAINER. Yes, Senator.

There has been an increase. It has not been dramatic. Last year, at the same time we were doing the healthcare debates, we saw some tremendous spikes that affected what we and USCP were doing.

The offices are much more sensitive now at our direction and urging, to be mindful of threatening calls, threatening emails, and threatening letters. That has increased the workload a bit. As I mentioned in our testimony, the amount of mail we are receiving in our Washington office is substantially higher.

In the local offices, we had developed the Postal Sentry program with the approval of the Rules Committee and working with many of you and your staff. Initially, it was not very well received, and there were some complaints about it, mainly that it was too big, too noisy, and took up too much space. it might have been too noisy

Again, after some of these recent postal scares, the requests for the Postal Sentry program—those have gone up—and we have deployed the program to all of the offices. Many of us visit those offices. I do not think they are all in use, and we are in the midst of developing a newer, smaller model that we hope will make the offices a bit safer.

Senator NELSON. Thank you very much.

Senator Hoeven.

Senator HOEVEN. Thank you, Mr. Chairman.

Mr. Gainer, again, I also want to commend you on the work you've done on your budget. But the same question, if we have to find some more savings, how would you go about doing that? Would you look to staff, your IT systems, your data processing, or even your security initiatives? What would be affected? How would you go about looking for more savings if required to do so?

Mr. GAINER. Senator, I do not believe it will be prudent to scale back the security measures. That is a primary responsibility, and we would have to turn to other initiatives.

Like Nancy and her staff, we have not had a cost-of-living increase. We factor that in as well as some merit pay or bonus-type opportunities. Clearly, we would have to look at that and try to somehow balance the effect that has on the morale of the staff. That is the quick, easy, low-hanging fruit.

I think we would try to help change the expectation of the Members and their staffs about our responsiveness with the services we provide. Clearly, the largest portion of our budget is in the IT area, and we have standards for which we respond to problems. Some of those responses are as quick as 60 minutes or 2 hours when a problem comes up on IT, and by scaling back those types of responses, you can save money. But that requires Members and staff to be a bit more patient with us.

We can continue to defer the purchase of the equipment and the replacement of equipment, and we can probably get away with that for another year or so. By not keeping up with this technology, there will be negative impacts.

I am reminded, and I think both of you having been Governors will respect this, of having run a State police agency for Governor Edgar in Illinois for some 8 years. The way we always seemed to save money was by not purchasing or replacing cars, and we drove their mileage up. Well, in the midst of my tenure, we suddenly had a large fleet that we could not drive.

While it seems to be so sensible today, it is going to impact someone tomorrow. So we would work closely with you and your staffs to figure out where we are, but I really do think we are at that point now that if we fail to invest in our infrastructure, then we are going to be in the very position that Nancy was referring to before when we have mainframes and no one around who knows how to use them.

Senator HOEVEN. What is your feeling about the overall security situation today in terms of your system, both in terms of people, but also as far as your data-processing integrity and all those kinds of things in general, your sense of the security?

Mr. GAINER. I think they do a great job, and Kim Winn, who runs that end of the operation, is involved with about 31 other Federal agencies in sharing information and sharing ideas. We feel we are very much on top of what is going on.

I would like to put in context the type of battle we are fighting and the success we have. Our information security staff responded to an average of 33 confirmed security incidents each month, and we successfully resolved those. Our firewalls have rejected 10 million connection requests each month. Our anti-virus controls detected and countered nearly 90,000 virus-related events. Our client computer-based firewalls detected some 23,000 exploited events. We experienced some 202 spear phishing attacks on our computers. We fought and defeated those, and referred some to the proper authorities to investigate.

I think we are a model agency because over the years you have allowed us to invest in the technology and hire the right people to accomplish the mission.

Senator HOEVEN. Are there any things that you feel you particularly need in that area, in either cybersecurity or people-related security that are big expense items that you are looking at?

Mr. GAINER. No, Kim Winn, our CIO, has crafted a good long-term plan. I think we are where we want to be. There are some things we did not ask for in this budget. Deferring purchases is another interesting way that we have saved. I would have to collaborate more with my technologists to evaluate the downstream impact of deferring purchases.

I think we are in a good position as we work with other Federal agencies nationwide in the prevention area.

Senator HOEVEN. All right. Thank you.

Senator NELSON. Thank you.

I understand that you have been working on an initiative for some time to issue smart ID cards. Maybe you can give us some idea of what the benefit of the program would be and how we could use it, let's say back in the State offices as well.

Mr. GAINER. The State offices will be one of the primary beneficiaries, because around 200 of our 454 State offices, are in Federal buildings. As the Federal Government goes to a secure ID process, it has been getting more difficult in those various Federal buildings to get your State employees in and out.

So I think they will be the ones who will see the benefit of that soon.

Eventually with these new smart ID cards will be incorporated into new systems or processes, including payroll electronic signatures on vouchers, and electronic ordering via the catalogs, making them more secure. Another important benefit for the Members and their staff, is the ability to encrypt casework messages that are developed for your constituents in your various offices and to feed those into the executive branch.

It is a cutting-edge system, that I admit we seem to have struggled with over the years. But our ID card processing department, operations under Bret Swanson, and the CIO organization under Kim Winn, have pledged to me that we are very close. By the fall, it will be in full swing in the State offices.

UNITED STATES CAPITOL POLICE PRIORITIES UNDER A FUNDING FREEZE

Senator NELSON. Chief Morse, you are requesting a 9-percent increase in funding for salaries and a 12-percent increase in funding for general expenses for fiscal year 2013. Obviously, we are talking about watching the growth in funding, but if you had to sustain a freeze as opposed to these increases, what would be your priorities for fiscal year 2013?

Chief MORSE. Well, I think that first I should say that we strive to have as lean a budget as we possibly can. And in my opening statement, I remarked about how we do our budgets. It really starts there with zero-based budgeting, a force development process, where we're looking at environmental assessment. We are building our budget around detecting, deterring, responding, and mitigating threats. And I think that having a lean budget specific to our mission starts right there.

Some of the things that we have been doing with the resources that you have provided, we constantly are scrubbing programs. We have testified in previous hearings of savings that have come from that. We are currently working on a project where technology will reduce overtime. It will reduce the number of vehicles that we use with our truck interdiction and monitoring programs.

So we continue to scrub our programs and find savings.

The other thing that we have been doing is working with our partners. We work at the direction of the Capitol Police Board, and their assistance and support in committees of jurisdiction, to look at hourly changes, door closures, and things of that nature, to make savings where we don't disrupt the flow of business, but we also at the same time have some level of savings.

We have also deferred, and Mr. Gainer spoke about deferring life-cycle replacement and things of that nature, life-cycle replacement. We have deferred training for our police officers. And although, again, we could, in fact, perhaps limp our way through 1 more year. If we were to do that, it's really at a critical time where life-cycle replacement is something we can no longer defer.

And the training of our officers, we can't defer any longer. The degradation of their proficiencies may impact critical response to defending this campus. So we can continue to make the tough decisions. But many of the decisions we're making now do impact security. And that is one thing that we pledge that we won't do if we don't have to. And certainly, we can prioritize the risks. We can prioritize the necessity of the programs that provide a level of security. But I think that we have to be just cautious that we don't want to defer those much longer than we already have in order to stay abreast of the current and emerging threats that we face.

Senator NELSON. If you're going to close any of the entrances, Senator Hoeven hopes you won't do it in Russell Senate Office Building and I don't want it done over in Hart Senate Office Building.

Mr. GAINER. That leaves 98 other Senators in trouble.

NEW INITIATIVES

Senator NELSON. You have got four new initiatives that you are talking about. Could you help us a little bit more with those four initiatives, and tell us how any kind of a reduction in the request or a freeze would affect those initiatives?

Obviously, it would impact, but maybe you could tell us about the initiatives and give us some idea of what impact it would have.

Chief MORSE. Once again, the initiatives are derived from an environmental assessment or threat assessment or emerging threats. They're also derived from how we might better mitigate any the threats that may be out there that we don't see.

Much like physical security, we want to detect the threat before it gets here, and so that is what a lot of our physical security is all about, before the threat gets to the campus and before it gets to the building.

One of our threat initiatives is the threat assessment. This enables us to have another tool to detect threats against Members of Congress, Members of the United States Senate, before any actionable violence takes place.

The threat assessment initiative is one that also we're requesting additional personnel to support, but my partners, the Capitol Police Board, we are looking at other options as well, because we have Federal partners who do the same type of work. So we are working with our Federal partners assisting us with maybe existing infrastructure and sort of economizing how we go about finding the threat to our Members and to our Government officials and to our community.

So we are very mindful that increases are there and a part of these initiatives, but we are also, on the other hand, looking for ways to make them the most efficient using some of our partners.

And let me just say, the increase of personnel related to the threat assessment initiative is not a growing of the police department but simply asking for more funding within our current authorized strength of 1,800, because we are working at 1,775, currently, which is 25 personnel less than that level.

Another initiative is related to the opening of a Federal Office Building 8 (FOB8) in the southwest area of the campus. And the security model is one that we follow throughout the campus. And obviously, it would follow there.

But again, we're working with the Capitol Police Board to minimize the number of personnel or assets and resources that we need to make security happen there.

Garage security is a campus-wide issue. It enables us to stop any sort of incursion very quickly through our garages. We have, obviously, the ability to detect that now and mitigate it, but this enhances that ability. And I think it's something that is very, very important to the security of our facilities.

And then we have an Alternate Computer Facility, which houses assets and resources for our police department, our new radio modernization project. It supports the House and the Senate. Therefore, we have to ensure that the security there is robust and defends the facility and the assets and resources that we have provided there.

In addition to that, one of the reasons that we have had to increase some of the security there through our assessment is because some of our neighbors who were leasing there have departed and now the building is more vulnerable to access than it has been in the past.

So those are the four initiatives related to safety and security.

And then some of our increases related to overtime that I would consider a new initiative is related to our training. And we have about 24,000 hours of training in what we call mandatory and priority training, which are liabilities, risks, and certifications.

And we have absorbed that 24,000 hours, but the increase that we're asking for is related to the practical exercise, the proficiency of our officers, getting them in actual situations that they would see here daily, keeping them up-to-date on the security screening equipment that we have, the emerging threats that we're seeing that are being detected across the country that we are sharing with our partners. All this is necessary for our officers to stay the best in this country to defend this place.

And so we're asking for funding to go beyond where we have been and what we have deferred. And we can't absorb the costs of that any further because of the increase in salaries.

So that is where we are right now. And we will continue to work with your subcommittee and your staff and the Capitol Police Board to make this as lean as possible without any degradation of training for our police officers or security of the campus.

Senator NELSON. Thank you, Chief. I will come back to the overtime in my next round.

Senator Hoeven.

Senator HOEVEN. Unless you would like to now.

Senator NELSON. No, go ahead.

INAUGURATION PREPARATION

Senator HOEVEN. Chief, I appreciate very much the work that you do and recognize the challenges that go with it.

As far as preparing for the Inauguration, is most of the cost in this fiscal year budget, 2013? Pretty much all of the costs are included in this budget cycle?

Chief MORSE. Yes. We have, I believe it is about $1.6 million in overtime for moving toward the Inauguration and the Inauguration itself. And then there is an $800,000 cost associated with security equipment, screening equipment, and things that we can't take offline for the Inauguration.

But I wanted to add that, once that is purchased, the plan obviously is to integrate that into our life-cycle replacement. So that only happens every 4 years, but that is in fact what we do with the equipment that we purchase for the Inauguration itself.

IMPACT OF A FLAT BUDGET

Senator HOEVEN. If you had to get back to essentially a hold-even budget with the exception of perhaps some of the expenses that are associated with the Inauguration and so forth, how would you go about doing that? What would be the impacts? And how would the Members see that in terms of services and so forth?

Chief MORSE. Well, if we were to freeze, what we would do is back to deferring life-cycle replacement, deferring training, some of the things that we could probably stand to do, but not recommend to do for another year.

We would continue to scrub our budget or our programs and operations. We would continue to look for efficiencies with respect to the operation of the campus.

But at this time, anything that we do is going to degrade or impact security or the operations of the Congress, because we would have to pick between security and operations. And so we would be first reducing our force, which we have already done through attrition, being about 100 personnel under our authorized strength—25 for sworn and around 73 or 74 for civilian.

And I would just note that, even today, my staff in my office, I reorganized my own office and my staff. Some of my staff is moving today, moving out, because we have consolidated. We have been able to take some of their expertise and put them in other areas of the police department to save contracting money, to make my office smaller and to sort of be efficient as we possibly can, even in my office.

So that is how far down into the weeds that we are getting to make sure that we save money, and we are operating as efficiently and effectively as I can.

So when I left my office, there were people who have been with me for 5 years. And when I go back after this hearing, they will be in other places in the police department.

Let me just say, they went very proudly, and they're willing to make those sacrifices. So that's really where we are with making sure that we do the right thing with the taxpayers' money.

If we went below just a flat budget, we would be looking at further personnel cuts, or we would be looking at further security program cuts, or we would be looking at further operational cuts, or a combination of all three.

So we're at bare-bones at this time, and I think we have done a good job of getting us there. But any further cuts definitely will impact those things that I mentioned.

NEW POSITIONS

Senator HOEVEN. Now go through what the roles are of the 17 new sworn and two civilians and where they are stationed and so forth.

Chief MORSE. The two civilians are requests for the Office of Inspector General. And the threat initiative is for eight sworn positions, and that is based on a work analysis that was done during the testing period of the threat assessment initiative. And then the remaining number would be for active police patrol and response at the new FOB8.

Senator HOEVEN. Which is what?

Chief MORSE. It is a new building, supporting the Congress that is next to the Ford House Office Building down on Second Street, Second and D Street, Southwest. And it is going to be federally protected by FPS. There are a number of floors in that building that will house congressional staff in the community.

Senator HOEVEN. That new facility comes online when? This year? In the next fiscal year?

Chief MORSE. In fiscal year 2013.

Senator HOEVEN. So about one-half of them pertain to that new facility and the other one-half pertain to the threat initiative?

Chief MORSE. Yes, Sir.

THREAT ASSESSMENT

Senator HOEVEN. How is the threat initiative going? I mean, do you feel like it is working well and making a difference?

Chief MORSE. Well, yes. The threat initiative or assessment——

Senator HOEVEN. Threat assessment, I'm sorry.

Chief MORSE. Yes, it is something that is really in an evaluation stage. It is something that we have been working very hard to make sure that it's very specific to our needs, that it meets the Department of Justice (DOJ) criteria for a threat, and that we can get it to where it is most beneficial to detecting a threat before it gets here to the campus, so that we can go out and interdict, interview, and investigate any criminal statements that are made in the public domain. Therefore, we could potentially stop an attack against this campus and/or Members, staff, or the community.

So I think it is a worthwhile initiative for the types of threats that we face, the type of individuals that commit these types of crimes, and we simply are trying to be as imaginative as we could. And, therefore, this initiative was born.

It is not something that is new in the law enforcement community. Many of our Federal partners use this tool. And like I said, we want to try to levy that as much as we can to be as efficient as we can without duplication of effort.

Senator HOEVEN. I do have one follow-up, but I could——

Senator NELSON. Go ahead.

Senator HOEVEN. Okay, the final follow-up would be, so this is being done on the five senior Members. Is it your expectation or intention to extend it? If so, what is it going to require in terms of resources, because you are fairly people-intensive already when you're talking seven or eight people?

Chief MORSE. Well, first, we are evaluating it, and we will, you know, have to tweak it as we go, to make sure it is the most efficient and effective as we can get it.

But when it comes to people, because other agencies that we interact with currently on threats against Members use this type of investigative tool, we are looking at partnering with them so that we don't duplicate effort or have to increase the number of people that we have.

So it's something that we are currently discussing. And it is not finalized yet, but I think that we have sort of a strategic plan of making that happen. And perhaps this request will be less than it is, and we will utilize the people within the organization that we currently have by leveraging the other assets and resources of our Federal partners.

It also benefits them, because we jointly work, as you see with the Inauguration, we work at the events, all these events throughout the country. We utilize each other's assets and resources all the time, so this is really not something that is out of line with what we currently do when we share in security initiatives with other events or protection of our Members.

Senator HOEVEN. Thank you, Chief.

Senator NELSON. Before we go into overtime, just for a second, could you give us an example of what you would do for this kind of threat assessment? What kind of threat would you hear about or would come to somebody's attention then that is brought to your attention?

Chief MORSE. First, a threat against a Member is clearly defined in statute. There are certain criteria, prosecutorial criteria, that have to be met. We follow a DOJ standard. And basically, that is what we look for. Someone has to actually make that threat, meet that criteria, and show that there is a potential for violence. And that is when we would investigate that.

Senator NELSON. Would it be most likely reported to you by someone else, because you're not going to be outside of this area in communities to pick it up? How would it come to your attention? In what way or ways would come to your attention?

Chief MORSE. Well, there are companies that do this and have the ability to do this on a very large scale, and that is part of the request, as well as the people to actually perform the analysis of that, to ensure that it meets the criteria of a threat against a Member.

And then, in fact, we would investigate that threat against a Member with our partner agency, the FBI.

Now many times, and currently, people who are here, Members, staff, family, or community, will send us information that is in the public domain, that is what they believe is threatening or of interest or suspicion. And we do the same thing. We would analyze that. We would determine whether or not it was a threat, if there was any potential for violence, and then we would act accordingly within the law.

The other thing that we have, and just I want to bring out some of the other resources associated with this, is we have embedded personnel, special agents who are within all of our intelligence communities. But we also have an agent who is with the behavioral science section with the FBI.

We also have a staff psychologist who performs a function for us of reviewing direction of interest cases. Whether they be in an email, whether they be on a voicemail, or in person, they evaluate whether or not there is a potential for violence. And that also gives us a direction.

So there are many things that we do to review this material, analyze it. And when we believe that a crime is being committed, or we believe that there is a potential for violence, we quickly interdict, so that we can deter that from happening.

Senator NELSON. Okay, thank you.

OVERTIME AND ARCHITECT OF THE CAPITOL PROJECTS

On overtime, during the conference last December, we agreed with the House on a modified version of House language to transfer overtime costs associated with AOC projects to the AOC. And at that time, we had some concerns about the approach being used to hide the true extent of what USCP overtime costs were.

We conceded and went with the House's point about getting a true accounting with a major construction project like the dome rehabilitation project that we are looking at. So we compromised.

I don't know how we can continue, because you're asking for an increase of $3.2 million, or 9.3 percent in overtime. When you add the estimated $1.8 million in USCP overtime that will be paid for by the AOC, then the total increase in your overtime budget is actually 14.6 percent.

How do we make that work? It looks to me like we've got two trajectories going now. One with the AOC and one just with the regular USCP, but you need to tie them together to get the true costs.

Chief MORSE. Well, first I want to say that our base overtime—in other words, what USCP uses to do our mission each day—if you look at the last three fiscal cycles, you will see that has stabilized and that is something that has been managed very closely by us. And at the request of the committees and their concerns, we wanted to make sure that happened. And we did.

In addition to the increases, once again we have the training increase that we're asking for, because the number of officers that we have, the utility that we have, does not meet the mission, so there's a gap. And in that gap is an overtime gap.

One of the things that is very similar to overtime related to AOC projects is the Library of Congress reimbursable events. So with the overtime related to AOC projects, I believe it simply made it easier to reimburse versus perhaps overrun into other fiscal years of the project delays and things of that nature.

So what we have done is we have simply mirrored and are mirroring our memorandum of understanding with the AOC, to mirror that with the memorandum of understanding with the Library of Congress so that the transfer of funds will happen efficiently and, in fact, when the work is actually accomplished.

But the other overtime is related to some of the other initiatives and things that are beyond our control. For instance, the $1.6 million associated with the Inauguration, the money that is associated with backfill overtime until we would be able to bring on 17 new personnel to fill the roles in those two new initiatives that we briefed on.

So the overtime increases are not core or base, but they are related to the Inauguration, some training initiatives that we have deferred and believe that we can't defer any longer, and they are related to the backfilling of personnel for those two initiatives.

Senator NELSON. Well, in the case of the Architect and the AOC projects, who has the final say in determining overtime requests? Would it be you or the Architect? Or is it done jointly or some other way?

Chief MORSE. It depends on what the project is, and we would assess the level of security that would need to be provided. And certainly, that can be adjusted, so that gives us a level of flexibility throughout the project to adjust that level of security.

And you know, the planning of it and things of that nature makes it more flexible. And I would say or hope to say that it would help us manage that easier.

So we would give them an assessment of what it takes to secure that facility and provide that, and then we would tell them how much it costs. And through the process, we would be reimbursed for that.

Senator NELSON. Okay.

Senator Hoeven.

Senator HOEVEN. I have concluded my questions for the Chief. Again, I want to thank not only the Chief but all three of you for. We have more work to do here, but you have all done good work.

Tell all your folks we really appreciate the job you do. Thank you.

RADIO MODERNIZATION PROJECT

Senator NELSON. Let me add my appreciation as well, but I have one more question, and that is about how are we doing on the radio modernization project. Maybe just a quick update.

Chief MORSE. Okay, I will be very quick, but I do have to thank people, because our successes so far have been because of our partnerships. I have to thank the Capitol Police Board for their direction and support throughout this project; the Architect of the Capitol, Stephen T. Ayers, who is here today supporting me; the House Sergeant at Arms, Paul Irving, who is also behind me, supporting me.

We recently went to NAVAIR and reaffirmed our partnership and thanked them for their efforts. I just wanted to thank Rear Admiral Randy Mahr, USN and Vice Admiral David Architzel, USN for all the support in this project.

And also good friends at the Government Accountability Office (GAO), Dr. Hai Tran has been incredibly supportive of us throughout this process and has helped us in so many ways with respect to the technical difficulties of a project of this magnitude.

Currently, we finished our construction and build-out of our primary and secondary mirror sites. There are a couple punch-list items, that are left, but they are prepared to take on the technology once that order is complete.

Outdoor infrastructure is at least 98-percent complete. Our indoor infrastructure, depending on which area you are referring to, could be anywhere between 54 and 65 percent complete, and on target to be completed in time for receiving the technology.

We have two final procurements. One we call the larger of our procurement, which is the technology and the handhelds, along with a smaller request for proposal that is out there.

But we want to thank the subcommittee for giving us the flexibility to use the money, any savings that we derive from the hard work of the people that I just thanked, for other areas of the project.

And I feel like right now we are in a very good place with this project, and I think that going live—and the definition of going live is—testing is complete, it is turned on, the officers are trained, our dispatchers are trained, and the system is operational, will be in the spring or summer of 2013.

And we have done some great work here and great success. And like I said, I feel like we're in a really good spot, and it is because of all the hard work of those people that support us, so I want to thank you for that.

Senator NELSON. Well, thank you for the update. With all the people you had to thank, I think it was obviously a timely question for me to ask.

I thank them as well. We understood the nature of this project, multiyear, very expensive, but very necessary. So we appreciate the progress that is being made.

Before we conclude, is there anything else that any of the three of you might want to add to what we have asked or what we didn't ask? Is there anything else?

Mr. GAINER. No.

Senator NELSON. Well, you have our best wishes and our gratitude for what you have been able to do. And of course, we wouldn't be doing our job if we didn't ask you to continue to find these ways to work together and improve the quality of the service at the same time watching the costs of delivering them.

CONCLUSION OF HEARINGS

Senator NELSON. So thank you so very, very much. I appreciate it.

We're recessed.

[Whereupon, at 4:05 p.m., Thursday, March 22, the hearings were concluded, and the subcommittee was recessed, to reconvene subject to the call of the Chair.]

LIST OF WITNESSES, COMMUNICATIONS, AND PREPARED STATEMENTS

SUBJECT INDEX

ARCHITECT OF THE CAPITOL

CONGRESSIONAL BUDGET OFFICE

GOVERNMENT ACCOUNTABILITY OFFICE

GOVERNMENT PRINTING OFFICE

LIBRARY OF CONGRESS

OFFICE OF COMPLIANCE

OPEN WORLD LEADERSHIP CONFERENCE

UNITED STATES CAPITOL POLICE

U.S. SENATE

OFFICE OF THE SECRETARY

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