

LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 2005

THURSDAY, APRIL 8, 2004

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

The subcommittee met at 11:03 a.m., in room SD-138, Dirksen Senate Office Building, Hon. Ben Nighthorse Campbell (chairman) presiding.

Present: Senators Campbell and Durbin.

U.S. SENATE

OFFICE OF THE SECRETARY

STATEMENT OF HON. EMILY J. REYNOLDS, SECRETARY OF THE SENATE

ACCOMPANIED BY:

MARY SUIT JONES, ASSISTANT SECRETARY

TIM WINEMAN, FINANCIAL CLERK

DIANE SKVARLA, CURATOR

OPENING STATEMENT OF SENATOR BEN NIGHTHORSE CAMPBELL

Senator CAMPBELL. The subcommittee will come to order. We meet this morning for our last scheduled hearing for the fiscal year 2005 budget cycle for the legislative branch. We will take testimony from the Secretary of the Senate, Emily Reynolds, and the Architect of the Capitol, Alan Hantman.

Good morning, Emily. How are you this morning?

Ms. REYNOLDS. I am fine, sir. Thank you.

Senator CAMPBELL. The budget request for the Office of the Secretary is \$21.286 million, an increase of \$755,000, or about a 4 percent increase over the current year budget.

In the last year, your office had accomplished very much, including further implementation of a financial management information system, keeping the Senate operating during the February ricin incident and, of course, working with the owner of the Curtis chair that I was so interested in, and I thank you for that, which is now back in the Senate. We certainly appreciate that.

Following your testimony, we will hear from the Architect of the Capitol, Alan Hantman. The AOC's budget request totals almost \$858 million, which is an increase of \$170 million, or 41 percent over the fiscal year 2004 appropriation. Roughly, half of the budget

is for operations and maintenance of the buildings and grounds administrative support, safety programs, and restaurants.

The increase of 18 percent over fiscal year 2004 for this portion of the budget is due to increased utility costs, payroll, and safety programs. The other half of the budget, major capital projects, is up 143 percent over the current year, and would support 71 projects, including the Copyright Deposit Facility for the Library of Congress, storage modules for the Library at Fort Meade, and Capitol Police projects.

The number of projects and dollar values associated with them will be very difficult to accommodate, not only in the view of the budgetary constraints but also owing to the concerns that you have a lot on your plate already, not the least of which is the completion of the Capitol Visitor Center. We will be looking forward to that testimony, too.

Senator Durbin will be along, but while we are waiting for him, you go ahead and proceed, Ms. Reynolds.

Ms. REYNOLDS. Thank you, sir. My full statement, which obviously you all have, I would like to have submitted for the record.

Senator CAMPBELL. It will be included in the record. Is your button on, on that microphone?

OPENING STATEMENT OF EMILY REYNOLDS

Ms. REYNOLDS. Thank you very much. My full statement, of course, as you just said, we will include in the record. I thank you for that. I would like to give just a brief overview this morning and hit some of the high points of our past year.

I have with me this morning our very able team, Mary Suit Jones, our Assistant Secretary, Tim Wineman, our financial clerk, and a number of our department heads, all of whom I am honored to work with each and every day.

As you said, our budget request for the year is \$21,286,000. That is \$1.7 million in operating funds and just over \$19 million in our salary costs. Our operational budget is static from last year but now knowing, obviously, the strengths of this office, what it takes us to operate, and also to take on some new initiatives, we believe that—that request is a sound one and will enable us to continue to function well in all three of our divisions, legislative, financial, and administrative.

Our personnel costs, as you pointed out, we are requesting a very slight increase, that for the COLA and for merit, so that we can continue to attract and retain the talent that the United States Senate both needs and deserves in our operations.

I want to thank the committee, Mr. Chairman, for your past support of two major projects, one of which you mentioned; our financial management information system, and our legislative information system, both of which, in the course of this last year, we continue to make enormous progress.

FINANCIAL MANAGEMENT INFORMATION SYSTEM

On FMIS, as you know, that was developed from a 5-year strategic plan for the disbursing office. It now covers some 140 offices here in our Senate community and our goal is to move to a paperless voucher system.

We reached an important step at the end of March, with a test of creating laser checks, which was successful. That is one of our production goals for this year. Moving into fiscal year 2005, our plans call for us to create a small pilot of the technology for paperless payment processing. So again, we are making considerable progress in that regard.

LEGISLATIVE INFORMATION SYSTEM

On the legislative information system, to implement the extensible mark-up language, or XML, is our data standard by which we author and exchange documents, again, enormous progress. That really has been a very collaborative effort, with both our project office, Sergeant-at-Arms staff, and our Senate legislative counsel, who have been our guinea pigs, if you will, as part of that project team.

I am happy to report that they are now using the LEXA application and, by all accounts, it is going quite well. In fact, one member of the Senate legislative counsel team reported that this is a story with a happy ending. The ending, of course, is not yet completely in sight, as we will continue to develop and enhance that project.

All and all, our LIS system means an improved exchange program, quicker access to legislative information, and documents that we can use much more easily reuse and re-purpose.

I also want to thank the committee. We had some non-recurring costs that you all were supportive of us on. We had some technology upgrades that we needed very badly, in closed-captioning, in our gift shop, in our stationery room, and we have made progress on all of those in no small part thanks to this committee's help. So I thank you, again.

SENATE PRESERVATION FUND AND CURATORIAL ADVISORY BOARD

Most especially, something that I know is near and dear to you, and Senator Stevens' leadership was very helpful to us on this as well, and that is the creation of the Senate preservation fund, and a curatorial advisory board for us here in the United States Senate.

I want to give you a quick update on that, in that, for the curatorial advisory board, we are in the process of gathering nominees from the members of the Commission on Art. Specifically, the legislation reads that those board nominees be experts, scholars in their field. And they will help us in terms of providing counsel on our Senate collection, looking at possible acquisitions for us, developing preservation policies.

My hope is that we can have that board in place within the next month, and gather them for their first meeting this summer. So, that is an exciting opportunity.

Second of all, again, the Senate Preservation Fund, the seed money that you all provided this committee, that \$500,000, will give us the ability to service that curatorial advisory board in terms of administrative costs and also to make some potentially time-sensitive acquisitions going forward.

In addition, I think that board and the Preservation Fund, the more people know of what we are looking to bring back to the United States Senate or the kinds of acquisitions we are looking for, the more that word spreads in that curatorial field, the better

our ability will be to attract some additional treasures back to the Capitol and the Senate wing, in particular.

CURTIS CHAIR

I want to again thank you, as you mentioned a moment ago, for bringing to our attention last year the existence of the chair that belonged to former Vice President Charles Curtis, and the detective search that we all enjoyed in terms of locating that chair, and bringing it back home, if you will.

The chair is now, of course, on loan to us from an anonymous donor. With Vice President Curtis, it was housed in the Russell Senate Office Building. It now, as you know, has been placed in the ceremonial office for the Vice President, in the Capitol. As we move forward with plans for the exhibit content of the Capitol Visitor Center, our hope is that it will be displayed in the Visitor Center in the years to come, as well.

PORTRAIT OF MARGARET CHASE SMITH

In other curator activity, the portrait of Margaret Chase Smith will arrive this year. This fall, we will see the addition of Senator Vandenberg and Senator Wagner to the Senate reception room. So, that will be an exciting event that all of us will look forward to, here in our Senate family.

With our 26 departments, there are so many highlights in addition to all the curators' work. I just want to take a moment, just for a couple of additional highlights.

SENATE LIBRARY

Our tremendous Senate library. While a lot of information centers are showing actual decline of usage, our Senate library last year continued its tradition of posting increases in use to up to 14 percent last year. Senate.gov, a tremendous tool, not only just for those of us here in the Senate community but for the general public, we are now averaging 115,000 visits to Senate.gov a day. So, it is a tremendous public education tool.

SENATE HISTORICAL OFFICE

Our historical office last year was deeply involved in the first-ever conference of university-based research centers that are dedicated to the study of Congress. I am delighted to report that out of that conference, an Association of Centers for the Study of Congress was created. And with that, our historical office, we will help host that group for their first formal meeting. They will be meeting here with us in the Capitol next month. So again, something to look forward to. And again, our historical office played a pivotal role in that, something I am very proud to report.

Our historical office also is a valuable part of the content team for the Capitol Visitor Center, as we look to opening that facility within the next couple of years.

COOP AND COG PLANNING

I also want to mention that our continuity of operations planning and our continuity of Government planning, which I know our Ser-

geant-at-Arms, at his hearing last week, spent a great deal of time with you all on, is also an area that our office works very collaboratively with the Sergeant-at-Arms on. Clearly, as you mentioned a moment ago in the introduction, that planning pays off. Most recently, with our ricin scare February 2.

Although our buildings were closed, our disbursing office still met payroll, just as they did during the anthrax incident of 2001. For offices that might have been relocated for a period of time, we exercised our COOP plan for the stationery store, so the supplies were available to offices as they set up in other locations. We had a statutory deadline in public records, and we were able to set up shop in our emergency operations center to meet that statutory filing deadline.

We continue to exercise frequently with the Sergeant-at-Arms in all aspects of COOP and COG, so that, most importantly, our team can meet our legislative responsibilities and any other responsibilities incumbent upon us.

At the top of my remarks a moment ago, I mentioned the very able people within the Secretary's office, and I want to commend them, if you will indulge me for a moment. It is remarkable to me that total combined within our office, the individuals who staff the Secretary's office represent a combined service of over 2,500 years of service to the United States Senate.

They really do represent the best of the vision of Senators Mansfield and Dirksen for now some 40 years ago. And that is attracting people to the Secretary's office to serve as true professionals, to maintain and strengthen the United States Senate as an institution, as a whole, and they are a remarkable group of individuals.

You see how that strength and their expertise is so important to us when you look at the kind of legislative year we had last year. It was the busiest legislative year since 1995. Having that depth and breadth of experience, especially as we went through two, of course, overnight marathon sessions in November, and followed by a rare weekend session right on the heels of that, that longevity in service, that expertise serves the Senate very well every day.

SUCCESSION PLANNING AND CROSS-TRAINING

With that longevity of service also comes the need for succession planning and cross-training among our specialties. That initiative continues as well. We have a perfect example I just want to cite amongst our own personnel, in terms of succession planning, is that we have been able, in a very pivotal role within the legislative clerk's office, we were able to bring someone on 10 months in advance of a pending retirement, so that those individuals have ample time to train, share knowledge, work side by side on a daily basis; and when that retirement occurs, will allow for a seamless transition in our legislative shop.

You will also notice in our cross-training efforts, our staff that works at the Senate rostrum, among the legislative clerk's staff, while their faces do not necessarily change, they will change seats on you from time to time. That is because all of them were cross-trained amongst their specialties; again, to give us all that depth and breadth of experience, enabling the Senate to meet its constitutional responsibilities.

It has been my real privilege, for now just about 16 months, to serve as the Senate's 31st Secretary, to be part of the tradition and history of this incredible institution. That is why on balance, I believe, after careful examination, the budget request we bring you today, both in terms of our operating budget and our personnel costs, will enable us to continue to provide the very best possible legislative, financial, and administrative services to this body.

PREPARED STATEMENT

I thank you and I look forward to your questions.
 Senator CAMPBELL. Thank you, Emily.
 Ms. REYNOLDS. Thank you, sir.
 [The statement follows:]

PREPARED STATEMENT OF EMILY J. REYNOLDS

Mr. Chairman, Senator Durbin 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 2005.

Detailed information about the work of the 26 departments of the Office of the Secretary is provided in the annual reports which follow. I am pleased to provide this statement to highlight the achievements of the Office and the outstanding work of our dedicated employees.

My statement includes: Presenting the fiscal year 2005 Budget Request; Implementing Mandated Systems: Financial Management Information System (FMIS) and Legislative Information System (LIS); Capitol Visitor Center; Continuity of Operations Planning; and Maintaining and Improving Current and Historic Legislative, Financial and Administrative Services.

PRESENTING THE FISCAL YEAR 2005 BUDGET REQUEST

I am requesting a total fiscal year 2005 budget of \$21,286,000.

The fiscal year 2005 budget request is comprised of \$19,586,000 in salary costs and \$1,700,000 for the operating budget of the Office of the Secretary. The salary budget represents an increase over the fiscal year 2004 budget request as a result of (1) the costs associated with the annual Cost of Living Adjustment in the amount of \$717,000; and (2) an additional \$570,000 for merit increases and other staffing.

The net effect of my total budget request for fiscal year 2005 is an increase of \$722,000.

Our request in the operating budget, which is the same as fiscal year 2004, is a sound one, enabling us to meet our operating needs and provide the necessary services to the United States Senate through our legislative, financial and administrative offices.

In reference to the salary budget, first and foremost, this request will enable us to continue to attract and retain talented and dedicated individuals to serve the needs of the United States Senate.

OFFICE OF THE SECRETARY APPORTIONMENT SCHEDULE

ITEM	AMOUNT AVAIL- ABLE FISCAL YEAR 2004 PUB- LIC LAW 108-83	BUDGET ESTI- MATE FISCAL YEAR 2005	DIFFERENCE
DEPARTMENTAL OPERATING BUDGET:			
EXECUTIVE OFFICE	\$525,000	\$525,000	
ADMINISTRATIVE SERVICES	1,100,000	1,135,000	\$35,000
LEGISLATIVE SERVICES	75,000	40,000	(35,000)
TOTAL OPERATING BUDGET	1,700,000	1,700,000	
SPECIAL PROJECTS	565,000		(565,000)
TOTALS	2,265,000	1,700,000	(565,000)

IMPLEMENTING MANDATED SYSTEMS

Two systems critical to our operation are mandated by law, 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)

The Financial Management Information System, or FMIS, is used by approximately 100 Senators' offices, 20 Committees and 20 Leadership and support offices. As a result of a five year strategic plan developed by the Disbursing Office, the Appropriations Committee subsequently approved a \$5 million appropriation of a multi-year program to upgrade and expand FMIS for the Senate.

With these funds, the Disbursing Office continues to modernize processes and applications to meet the continued demand by our Senate offices for efficiency, accountability and ease of use. Our goal is to move to a paperless voucher system, improve the Web-FMIS system, and make payroll and accounting system improvements. In addition, we are working cooperatively with the Sergeant at Arms to prepare auditable financial statements for the Senate.

In 2003, specific progress made on the FMIS project included:

- Implementing three releases of Web FMIS, the accounting system used by offices, which included making the online ESR function available to all offices and piloting online review and sanctioning capability to the Rules Committee Audit staff; making changes to the reporting functionality; making changes to the underlying technology; and providing additional office/committee functionality such as credit documents and the ability to create budgets for a new fiscal year.
- Implementing two releases of the Senate Automated Vendor Inquiry (SAVI), the system used by Senate staff to see payment information and to prepare expense summary reports (online ESR's). Those releases were designed both to streamline access to data necessitated by the full Senate implementation of online ESR and to enhance security.
- Implementing software enabling the Rules Committee Audit staff to conduct the first and second post payment audits. This was done in conjunction with the delegation of sanctioning authority to the Financial Clerk for vouchers of \$35 or less. These statistically valid samples were returned with zero errors, and the threshold was consequently increased by the Rules Committee to \$100 or less, effective January 1, 2004.
- Piloting payments to external vendors via direct deposit.
- Revising requirements for imaging of supporting documentation and electronic signatures.

For fiscal year 2004, the following FMIS activities are underway:

- Full scale implementation of Rules Committee on-line review of Web FMIS-produced vouchers is now completed.
- Implementation of two WEB FMIS releases that will simplify the system architecture, upgrade the technology used, provide simpler disaster recovery and provide the platform for the imaging of supporting documentation and electronic signatures.
- Conduct a pilot for the use of laser checks.
- Implementation of a new release of the SAVI system that enables e-mail notification of payments to vendors and staff.
- Implementation of a new release of the online ESR component of SAVI that will incorporate suggestions made by users.
- Investigate the use of electronic signatures, imaging of supporting documentation, and receipt of electronic invoices.

During fiscal year 2005, the following FMIS activities are anticipated:

- Implementation of a Web FMIS release to provide additional reports useful to office with improvements in the software used to create reports.
- Conduct a pilot of the technology for paperless payment processing.

A more detailed report on FMIS is included in the departmental report of the Disbursing Office which follows.

Legislative Information System (LIS)

Our second mandated system, which this Committee has also generously supported, is the Legislative Information System, or LIS, which provides Senators and staff with text of Senate and House legislative documents from their desktop computers. In addition, LIS provides real-time access to legislative amendments and the current status of new legislation within 24 hours. LIS originates from the 1997 Legislative Branch Appropriations Act, which also established a requirement for the broadest possible exchange of information among legislative branch agencies. This exchange process is now the focus of the LIS Augmentation Project, or LISAP.

The overall objective of the LISAP is to implement the extensible markup language, or XML, as the data standard to author and exchange legislative documents among the Senate, House of Representatives, the Government Printing Office and other legislative agencies. Two years ago, the Appropriations Committee appropriated \$7 million to the Secretary for the LISAP, to carry out the Senate portion of the December 2000 directive given to both the Secretary and the Clerk of the House by the Senate Rules Committee and the House Administration Committee respectively. Thus far, we have spent approximately \$4 million of our appropriation, and I am pleased to report that considerable progress has been made and the project is on budget and running smoothly.

The project is currently focused on Senate-wide implementation and transition to a standard system for the authoring and exchange of legislative documents, including an XML authoring system for the Office of Senate Legislative Counsel (SLC) and the Enrolling Clerk for bills, resolutions and amendments. A database of documents in XML format and an improved exchange program will mean quicker and better access to legislative information and will provide documents that are more easily shared, reused and repurposed.

The LISAP project team is developing the Senate's legislative editing XML application (LEXA) which was installed in the Office of the Senate Legislative Counsel (SLC) in January 2004. The attorneys and staff assistants received training and immediately began drafting some bills, resolutions, and amendments in XML with the first XML draft introduced on January 22, 2004.

The SLC's document management system was completed in December 2003, and will be implemented this year. Several of the XML document conversion projects have been completed, including the conversion of bills, resolutions and amendments from the 106th, 107th and 108th (first session) Congresses. The conversion of the compilations of current law to XML will be completed in the next few months. The SLC and House Legislative Counsel use the compilations in drafting bills and amendments.

The SLC is working closely with the project team on continued development and enhancement of LEXA. The Enrolling Clerk and the Government Printing Office are next in line to begin using LEXA. When LEXA is fully functional for these two operations in producing XML documents, the project team will then turn its attention to other Senate offices and other types of legislative documents.

A more detailed report on LIS follows the departmental reports.

CAPITOL VISITOR CENTER

While the Architect of the Capitol directly oversees this massive and impressive project, I would like to briefly mention the ongoing involvement of the Secretary's office in this endeavor. My colleague, the Clerk of the House, and I continue to facilitate weekly meetings with senior staff of the joint leadership of Congress to address and hopefully quickly resolve issues that might impact the status of the project or the operations of Congress in general.

In addition, I also facilitate weekly meetings with the Architect's office for the senior staff of the Senate Sergeant at Arms, Capitol Police, Rules Committee and Appropriations Committee, to address the expansion space plans for the Senate and any issues with regard to the CVC's construction that may directly impact Senate operations.

Although the construction creates numerous temporary inconveniences to Senators, staff and visitors, completion of the Capitol Visitor Center will bring substantial improvements in enhanced security and visitor amenities, and its educational benefits for our visitors will be tremendous.

CONTINUITY OF OPERATIONS AND EMERGENCY PREPAREDNESS PLANNING

The Office of the Secretary maintains a Continuity of Operations (COOP) program to ensure that the Senate can fulfill its Constitutional obligations under any circumstances. Plans are in place to support Senate Floor operations both on and off Capitol Hill, and to permit each department within the Office of the Secretary to perform its essential functions during and after an emergency.

COOP planning in the Office of the Secretary began in late 2000. Since that time, this office has successfully implemented COOP plans during the anthrax and ricin incidents, and have conducted roughly one dozen drills and exercises to test and refine our plans. In conjunction with the Sergeant at Arms, Capitol Police, and the Offices of the Attending Physician and the Architect of the Capitol, the Office of the Secretary has established and exercised Emergency Operations Centers, Briefing Centers and Alternate Senate Chambers, both on and off Capitol Hill.

In addition, the Office has identified equipment, supplies and other items critical to the conduct of essential functions, and has assembled “fly-away kits” for the Senate Chamber and for each department within the Office of the Secretary. Multiple copies of each fly-away kit have been produced. Some are stored in our offices, and back-up kits are stored nearby but off Capitol property, as well as at other sites outside the District of Columbia. This approach enables the Office of the Secretary to resume essential operations within 12 to 24 hours, even if there is no ability to retrieve anything from offices in the Capitol.

Today, the Office of the Secretary is prepared to do the following in the event of emergency: support Senate Floor operations in an Alternate Senate Chamber within twelve hours on Capitol property, and within 24 to 72 hours off property, depending upon location; support an emergency legislative session at a Briefing Center, if required; support Briefing Center Operations at any of three designated locations within one hour; and activate an Emergency Operations Center on campus or at Postal Square within one hour.

During the past year, the Office of the Secretary continued to update, refine and exercise emergency preparedness plans and operations. Specific activities included the following:

- Activated an Emergency Operations Center, Leadership Coordination Center and selected departmental COOP plans during the ricin incident response;
- Participated in the Capitol Police Incident Command during the ricin incident response;
- Provided supplies to temporary offices in the Capitol and Postal Square during the ricin incident response;
- Conducted an offsite Alternate Chamber exercise and a Briefing Center exercise;
- Identified and acquired all equipment and supplies required to support Senate operations at an offsite Alternate Chamber, and stored all materials at the Alternate Chamber location;
- Reviewed, revised and published the Office of the Secretary’s Master COOP plan, and all departmental COOP plans.

The central mission of the Office of the Secretary is to provide the legislative, financial and administrative support required for the conduct of Senate business. The Office’s emergency preparedness programs are designed to ensure that the Senate can carry out its Constitutional functions under any circumstances. These programs are critical to the mission of the Office, and have become a permanent, integral part of operations. With the continued assistance of the Leadership, the Sergeant at Arms, and the Appropriations Committee, the Office of the Secretary is confident that we will be successful in facing any future emergency.

MAINTAINING AND IMPROVING CURRENT AND HISTORIC LEGISLATIVE, FINANCIAL AND ADMINISTRATIVE SERVICES

LEGISLATIVE OFFICES

The Legislative Department of the Office of the Secretary of the Senate provides the support essential to Senators in carrying out their daily chamber activities as well as the constitutional responsibilities of the Senate. The department consists of eight offices—the Bill Clerk, Captioning Services, Daily Digest, Enrolling Clerk, Executive Clerk, Journal Clerk, Legislative Clerk, and the Official Reporters of Debates—who are supervised by the Secretary through the Legislative Clerk. The Parliamentarian’s office is also part of the Legislative Department of the Secretary of the Senate.

Each of the nine offices within the Legislative Department is supervised by experienced veterans of the Secretary’s office. The average length of service of legislative supervisors in the Office of the Secretary of the Senate is twenty years. There is not one supervisor with less than thirteen years of service. The experience of these senior professional staff is a great asset for the Senate. As in previous years and in order to ensure continued well-rounded expertise, the legislative team has cross-trained extensively among their specialties.

1. 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, available to all House and Senate offices via the Legislative Information System (LIS). The Bill Clerk records actions of the Senate with regard to bills, 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.

Legislative Activity

The Bill Clerk's Office processed slightly fewer pieces of legislative materials and significantly more roll call votes during the first session of the 108th Congress versus the first session of the 107th Congress. Below is a comparative summary of the first sessions of the 107th and the 108th Congresses:

	107th Congress, 1st Session	108th Congress, 1st Session
Senate Bills	1,883	2,003
Senate Joint Resolutions	30	26
Senate Concurrent Resolutions	93	86
Senate Resolutions	198	283
Amendments Submitted	2,697	2,231
House Bills	264	282
House Joint Resolutions	17	20
House Concurrent Resolutions	91	78
Measures Reported	247	352
Written Reports	132	220
Total Legislation	5,652	5,571
Roll Call Votes	380	459

Assistance from the Government Printing Office (GPO)

The Government Printing Office has responded in a timely manner to the Secretary's request through the Bill Clerk's office for the printing of bills and reports, including the printing of priority matters for the Senate chamber. Specifically, the Secretary requested, through the Bill Clerk, that GPO reprint (star printed) 21 pieces of legislation during the course of the Congress, and that GPO expedite the printing of 31 measures for the Senate.

Projects

Amendment Tracking System.—In the fall of 2001, the Rules Committee approached our office with the task of scanning submitted amendments onto the Amendment Tracking System on LIS. The Rules Committee identified a need for Senate staff to have all amendments submitted in the Senate made available online shortly after being filed, especially during cloture. Rules Committee also requested that the Secretary through the Bill Clerk assess the feasibility of lifting the page limitation for scanning amendments onto the ATS Indexer. In response, the Bill Clerk contacted the Technology Development division of the Sergeant-At-Arms office to outline the technical requirements needed to implement such a request, and a draft outline was completed. Once the final version is delivered, the Secretary through the Bill Clerk, in consultation with the Legislative Clerk, will ascertain the legislative requirements needed in order for the staff to implement this request. The system must be designed and implemented without sacrificing critical services to the functioning of the Senate Chamber, specifically the amendment process.

Electronic Ledger System.—Shortly after the September 2001 attacks and the subsequent anthrax attacks in the Capitol complex, the Bill Clerk identified the need to have an electronic version of the official Senate ledgers to ensure the integrity of the information recorded in the ledgers. The electronic version should be portable for use during possible emergency scenarios. The Technology Development division of the Sergeant-At-Arms is working to develop two separate functions of this electronic ledger system. One is an electronic data entry system which will mimic the layout of the current Senate ledgers printed by the Government Printing Office; the other is a search function. Both of these programs will be housed on a separate server to maintain the integrity of the ledger data. The electronic ledger system is currently under development.

2. OFFICE OF CAPTIONING SERVICES

Since 1991, the Office of Captioning Services has provided real-time captioning of Senate floor proceedings for the deaf and hard-of-hearing along with unofficial electronic transcripts of those proceedings to Senate offices via the Senate Intranet.

General Overview

Accuracy remains the watchword of this office. Overall caption quality is monitored through translation data reports, monitoring the captions in real-time and reviewing the caption files on the Senate Intranet.

Technology Update

A year-long review of all available real-time captioning technology for the office in fiscal year 2002 led to the acquisition of new real-time captioning technology. By the end of fiscal year 2003, windows-based software and paperless writing devices had been installed and all closed captioners had been trained and were on the air with the new technology.

Voice recognition technology continues to improve and the Office of Captioning Services is on the cutting edge of testing and evaluating these products as they evolve. The pilot project to real-time caption Judiciary Committee hearings in fiscal year 2004 continues and a summary of the results will be provided at the completion of the project.

Primary 2004 Objectives

To assist in both the execution of the Judiciary Committee's real-time captioning pilot project and the preparation of a final report at the conclusion of the project for the Rules Committee, the Judiciary Committee and the Secretary of the Senate.

To develop indefinite backup capability for assistance during sessions that may go around-the-clock.

3. DAILY DIGEST

The Senate Daily Digest serves seven principal functions:

- To render a brief, concise and easy-to-read accounting of all official actions taken by the Senate in the Congressional Record section known as the Daily Digest;
- To compile an accounting of all meetings of Senate committees, subcommittees, joint committees and committees of conference;
- To enter all Senate and Joint committee scheduling data into the Senate's web-based scheduling application system. Committee scheduling information is also prepared for publication in the Daily Digest in three formats: Day-Ahead Schedule; Congressional Program for the Week Ahead; and the extended schedule which actually appears in the Extensions of Remarks section of the Congressional Record;
- To enter into the Senate's Legislative Information System all official actions taken by Senate committees on legislation, nominations, and treaties;
- To publish in the Daily Digest a listing of all legislation which has become public law;
- To publish on the first legislative day of each month in the Daily Digest a "Resume of Congressional Activity" which includes all Congressional statistical information, including days and time in session; measures introduced, reported and passed; and rollcall votes. (See Attachment—Resume of Congressional Activity); and
- To assist the House Daily Digest Editor in the preparation at the end of each session of Congress a history of public bills enacted into law and a final resume of congressional statistical activity.

Committee Activity

Senate committees held a total of 906 meetings during the first session of the 108th Congress, as contrasted with 961 meetings during the first session of the 107th Congress.

Chamber Activity

The Senate was in session a total of 167 days, for a total of 1,454 hours and 5 minutes. There were 3 quorum calls and 459 record votes. (A 20-Year Comparison of Senate Legislative Activity follows).

Computer Activities

The Digest office continues to work closely with Senate computer staff to refine the LIS/DMS system. Under the direction of the Editor, the computer center staff

was able to create two new reports for the Daily Digest. Report 82 is a compilation of Treaties Approved in Digest format, and Report 83 is a compilation of Written Executive Reports of Committees in Digest format. The Digest is also pleased to report that all refinements made to the Senate Committee Scheduling application have been successfully implemented, including the capability of entering multiple documents. The committee scheduling application was developed back in 1999 as a server-based web-enabled application that is browser accessible to all Senate offices on Capitol Hill. It was designed to replace the committee scheduling functions and reports that were supported by the mainframe-based Senate Legis System.

Assistance from the Government Printing Office

The Daily Digest continues to send the complete publication at the end of each day to the Government Printing Office (GPO) electronically. The Editor, Assistant Editor, and Committee Scheduling Coordinator function coordinate in preparing Digest copy on computers, storing and sharing information, permitting prompt editing, and transferring the final to floppy disc. The Digest continues the practice of sending a disc along with a duplicate hard copy to GPO, even though GPO receives the Digest copy by electronic transfer long before hand delivery is completed adding to the timeliness of publishing the Congressional Record. The Digest office is comfortable with this procedure, both to allow the Digest Editor to physically view what is being transmitted to GPO, and to allow GPO staff to have a comparable final product to cross reference.

The Daily Digest continues the practice of discussing with GPO problems encountered with the printing of the Digest, and are pleased to report that with the onset of electronic transfer of the Digest copy, occurrences of editing corrections or transcript errors are infrequent.

4. ENROLLING CLERK

The Enrolling Clerk prepares, proofreads, corrects, and prints all Senate passed legislation 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 2003, 62 enrolled bills (transmitted to the President) and 8 concurrent resolutions (transmitted to Archives) were prepared, printed, proofread, corrected, and printed on parchment.

A total of 593 additional pieces of legislation in one form or another, were passed or agreed to by the Senate, all processed from this office.

5. 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 Executive Journal 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 108th Congress, there were 1,201 nomination messages sent to the Senate by the President, transmitting 28,423 nominations to positions requiring Senate confirmation and 13 messages withdrawing nominations previously sent to the Senate during the first session of the 108th Congress. Of the total nominations transmitted, 600 were for civilian positions other than lists in the Foreign Service, Coast Guard, NOAA, and Public Health Service. In addition, there were 2,578 nominees in the "civilian list" categories named above. Military nominations received this session totaled 25,245 (9,068—Air Force; 6,012—Army; 7,752—Navy; and 2,413—Marine Corps). The Senate confirmed 21,580 nominations this session. Pursuant to the provisions of paragraph six of Senate Rule XXXI, 18 nominations were returned to the President during the first session of the 108th Congress.

Treaties

There were 14 treaties transmitted to the Senate by the President during the first session of the 108th Congress for its advice and consent to ratification, which were ordered printed as treaty documents for the use of the Senate (Treaty Doc. 108-1 through 108-14). The Senate gave its advice and consent to 11 treaties with various conditions, declarations, understandings and provisos to the resolutions of advice and consent to ratification.

Executive Reports and Roll Call Votes

There were 8 executive reports relating to treaties ordered printed for the use of the Senate during the first session of the 108th Congress (Executive Report 108-1 through 108-8). The Senate conducted 78 roll call votes in executive session, all on or in relation to nominations and a treaty.

Executive Communications

For the first session of the 108th Congress, 5,352 executive communications, 337 petitions and memorials and 58 Presidential messages were received and processed.

Legislative Information System (LIS) Update

Our staff consulted with the Senate Computer Center (SCC) during the year concerning the ongoing improvements to the LIS pertaining to the processing of nominations, treaties, executive communications, presidential messages and petitions and memorials. Working with the Government Printing Office (GPO) and SCC staff, a process was developed last year for the printing of the Executive Journal by creating a PDF file. This year the Secretary's Information Systems staff provided the Executive Clerk's office with a new HP Digital Sender that has proven to be an even faster and more efficient process for sending the PDF file of the Executive Journal to GPO for printing.

In the future, the Senate Computer Center will develop the Executive Calendar in a more "user friendly" program that will be beneficial to our office and the SAA computer support staff. In the meantime, the text field for placing unanimous consent agreements on the Executive Calendar was redesigned to provide the Executive Clerk more control in editing the Calendar in 2004.

6. 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 Senate Journal as required by Article I, Section V of the Constitution. The Senate Journal is published each calendar year.

In 2003, the Journal Clerk completed the production of the 903-page 2002 Journal of the proceedings of the Senate, the annual project as required by the Constitution. The Journal staff take 90 minute turns at the rostrum in the Senate Chamber, noting by hand for inclusion in the Minute Book (i) all orders (entered into by the Senate through unanimous consent agreements), (ii) legislative messages received from the President of the United States, (iii) messages from the House of Representatives, (iv) legislative actions as taken by the Senate (including motions made by Senators, points of order raised, and roll call votes taken), (v) amendments submitted and proposed for consideration, (vi) bills and joint resolutions introduced, and (vii) concurrent and Senate resolutions as submitted. These notes of the proceedings are then compiled in electronic form for eventual publication of the Journal at the end of each calendar year.

Over the past two years, the Sergeant at Arms' Technology Development Service Department, under the guidance of the Journal Clerk, has developed the LIS Senate Journal Authoring System. This system provides a much needed, supportable system for authoring and publication of the Senate Journal, in place of the decade-old software currently used for production. The system was installed for user evaluation in March 2004, and will be released for use by the end of April. The system's functionality was successfully exercised during the compilation of the 1,146 page 2003 Journal, which was sent to the Government Printing Office for printing at the end of March.

7. LEGISLATIVE CLERK

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. This office 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. This office 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 providing a single line of communication to the Assistant Secretary and Secretary, and is responsible for overall coordination, supervision, scheduling, and cross-training of the department's eight offices.

Underscoring the importance of planning for the continuity of Senate business, under both normal and possibly extenuating circumstances, cross-training is strongly emphasized among the Secretary's legislative staff. Currently, 50 percent of the legislative staff have been cross-trained between their specialities.

Summary of Activity

The first session of the 108th Congress completed its legislative business and adjourned sine die on December 9, 2003. During 2003, the Senate was in session 167 days, over 1,454 hours and conducted 459 roll call votes. There were 352 measures reported from committees, 590 total measures passed, and 153 items remained on the Calendar at the time of adjournment. In addition, 2,231 amendments were processed.

Legislative Information System (LIS) Enhancement

In an effort to monitor and improve the Legislative Information System (LIS), the Legislative Clerk acts as the liaison between legislative clerks and technical operations staff of the Sergeant at Arms. The Legislative Clerk also reviews, prioritizes, and forwards change requests from the clerks to the technical operations staff. Over the past year, 36 change requests submitted by the clerks to improve the system have been implemented.

8. OFFICIAL REPORTERS OF DEBATES

The Official Reporters of Debates prepare and edit for publication in the Congressional Record a substantially verbatim report of the proceedings of the Senate, and serve as liaison for all Senate personnel on matters relating to the content of the Record. The transcript of proceedings, submitted statements and legislation are transmitted in hard copy and electronically throughout the day to the Government Printing Office (GPO).

The office works diligently to assure that the electronic submissions to GPO are timely and efficient. The Official Reporters encourage offices to make submissions to the Record by electronic means, which results in both a tremendous cost saving to the Senate and minimizes keyboard errors.

9. PARLIAMENTARIAN

In 2003, the Parliamentarian's Office continued to perform its extensive legislative duties. These include advising the Chair, Senators and their staff, 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, 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 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 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 also keep track of the amendments offered to the legislation pending on the Senate floor, and monitor them for points of order. The Parliamentarians reviewed more than 1,000 amendments during 2003 to determine if they met various procedural requirements. The Parliamentarians also reviewed thousands of pages of conference reports to determine what provisions could appropriately be included therein.

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, and communications received from the executive branch, state and local governments, as well as private citizens. In order to perform this responsibility, the Parliamentarians do extensive legal and legislative research. During 2003, the Parliamentarian and his assistants referred 2,467 measures and 5,747 communications to the appropriate Senate committees. The office worked extensively with Senators and their staffs to advise them of the jurisdictional consequences of particular drafts of legislation, and evaluated the jurisdictional effect of proposed modifications in

drafting. The office continues to address the difficult jurisdictional questions posed by the creation of the massive new Department of Homeland Security, which now has responsibility for hundreds of issues previously in the jurisdiction of other Senate committees. The Parliamentarians have made dozens of decisions about the committee referrals of nominations for new positions created in this department, nominations for positions which existed before this department was created but whose responsibilities have changed, and hundreds of legislative proposals concerning the department's responsibilities.

Additionally, in the last three years, rules relating to legislation on appropriations bills, and the scope of conference reports on all bills were reinstated. This has opened up hundreds of Senate amendments to renewed scrutiny by the Parliamentarians, and has meant that the Parliamentarians now have the responsibility of potentially reviewing every provision of every conference report considered by both Houses of Congress.

The Parliamentarians have taken the lead in the Senate to analyze the need for emergency procedural authorities of Congress generally, and the Senate in particular.

YEARLY COMPARISON OF SENATE LEGISLATIVE ACTIVITY

	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993
Senate Convened	1/25	1/3	1/21	1/6	1/25	1/3	1/23	1/3	1/3	1/3
Senate Adjourned	10/12	12/20	10/18	12/22	10/21	11/21	10/28	1/3/92	10/9	11/26
Days in Session	131	170	143	170	137	136	138	158	129	153
Hours in Session	940'25"	1,252'31"	1,278'15"	1,214'52"	1,126'48"	1,003'19"	1,250'14"	1,200'44"	1,091'09"	1,269'41"
Average Hours per Day	7.2	7.4	8.9	7.1	8.2	7.4	9.1	7.6	8.5	8.3
Total Measures Passed	726	583	747	616	814	605	716	626	651	473
Roll Call Votes	181	381	359	420	379	312	326	280	270	395
Quorum Calls	19	20	16	36	26	11	3	3	5	2
Public Laws	408	240	424	240	473	240	244	243	347	210
Treaties Ratified	20	6	12	3	15	9	15	15	32	20
Nominations Confirmed	41,726	55,918	39,893	46,404	42,317	45,585	42,493	45,369	30,619	38,676
Average Voting Attendance	91.95	94.64	95.72	94.03	91.58	98.0	97.47	97.16	95.4	97.6
Sessions Convened Before 12 Noon	106	119	117	131	120	95	116	126	112	128
Sessions Convened at 12 Noon	18	38	25	12	12	14	4	9	6	9
Sessions Convened after 12 Noon	7	13	1	25	5	27	17	23	10	15
Sessions Continued after 6 p.m.	81	104	92	97	37	88	100	102	91	100
Sessions Continued after 12 Midnight	11	7	15	6	7	9	13	6	4	9
Saturday Sessions	1	3	2	3		1	2	2	2	2
Sunday Sessions		1		1			2			

YEARLY COMPARISON OF SENATE LEGISLATIVE ACTIVITY—Continued

	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003
Senate Convened	1/25	1/4	1/3	1/3	1/27	1/6	1/24	1/3	1/23	1/7
Senate Adjourned	12/01	1/3/96	10/4	11/13	10/21	11/19	12/15	12/20	11/20	12/9
Days in Session	138	211	132	153	143	162	141	173	149	167
Hours in Session	1,243'33"	1,839'10"	1,036'45"	1,093'07"	1,095'05"	1,183'57"	1,017'51"	1,236'15"	1,042'23"	1,454'05"
Average Hours per Day	9.0	8.7	7.8	7.1	7.7	7.3	7.2	7.1	7.0	8.7
Total Measures Passed	465	346	476	386	506	549	696	425	523	590
Roll Call Votes	329	613	306	298	314	374	298	380	253	459
Quorum Calls	6	3	2	6	4	7	6	3	2	3
Public Laws	255	88	245	153	241	170	410	136	241	198
Treaties Ratified	8	10	28	15	53	13	39	3	17	11
Nominations Confirmed	37,446	40,535	33,176	25,576	20,302	22,468	22,512	25,091	23,633	21,580
Average Voting Attendance	97.02	98.07	98.22	98.68	97.47	98.02	96.99	98.29	96.36	96.07

Sessions Convened Before 12 Noon	120	184	113	115	109	118	107	140	119	133
Sessions Convened at 12 Noon	2	15	12	31	17	25	10	12	4	9
Sessions Convened after 12 Noon	17	12	7	7	2	19	24	21	23	23
Sessions Continued after 6 p.m.	100	158	88	96	93	113	94	108	103	134
Sessions Continued after 12 Midnight	7	3	1	2	3	8				
Saturday Sessions	3	5	1	1	1	3	1	3	1	
Sunday Sessions		3		1			1			1

Prepared by the Senate Daily Digest—Office of the Secretary.

FINANCIAL OPERATIONS: DISBURSING OFFICE

DISBURSING OFFICE ORGANIZATION

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 distributed, individually managed offices, and to Members and employees of the United States Senate. To accomplish this mission, the Senate Disbursing Office manages the collection of information from the distributed accounting locations in the Senate to formulate and consolidate the agency level budget, disburse the payroll, pay the Senate's bills, prepare auditable financial statements, 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 in order to provide responsive, personal attention to Members and employees on a confidential basis. The Senate Disbursing Office also manages the distribution of central financial and human resource information to the individual Member Offices, Committees, and Administrative and Leadership offices in the Senate while maintaining the appropriate control of information for the protection of individual Members and Senate employees.

To support the mission of the Senate Disbursing Office, the organization is structured in a manner that is intended 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 judgement, and interpersonal skills that reflect the unique nature of the United States Senate.

DEPUTY FOR BENEFITS AND FINANCIAL SERVICES

The responsibility of this position is to serve as the Senate's expert on Federal retirement and benefits, payroll, and front office processes. Coordination of the interaction among the Financial Services, Employee Benefits, and Payroll sections is also a major responsibility of the position. Planning and project management of new computer systems and programs is a further responsibility. Ensuring that job processes are efficient and up to date, modifying computer support systems, implementing regulatory and legislated changes, and designing and producing up to date forms for use in all three sections are additional areas of responsibility.

2003 Accomplishments and activities

Normal computer systems do not account for employees over 99 years of age, and consequently, the DO life insurance computer data elements have been expanded to accommodate 100 years of age. New age bands and deduction rates were instituted by regulation and our computer systems were modified to accommodate the new requirements.

OPM mandated that a new calculation routine for the Civil Service Retirement-Offset deduction and new reporting requirements took effect in January, 2003. Much of the work was performed in late 2002 and the retirement record changes, the new deductions, and the new reports ran perfectly for the first payroll of 2003. Two new computer screens were built to track the new Offset CSRS deductions at 7.5 percent.

As part of an ongoing effort to prevent payroll errors, an edit was added so that an account line with a future stop date cannot be deleted. However, this was removed the next month as it was determined that the high volume of alterations required due to offices changing pay increases, terminations, and transfers, necessitated the ability to delete future lines.

Computer system menus for update and inquiry were altered early in the year to accommodate all of the new screens and the many changes required for implementation later in the year.

To fill a critical need of the Continuity of Operations Plan, a document imaging project is underway to place employees' Official Personnel Folders in an easily accessible electronic format. This new system is complete, and procedures are currently being finalized for implementation this summer.

In mid-2003, a reexamination was done of both the Political Fund Designee and S. Res. 110 (GS-15 Financial Disclosure) tracking and reporting processes. The Office of Public Records and Select Committee on Ethics use these reports extensively. By refining and extensively updating processes initiated in 1975, reports now pro-

vide what each office needs on a much more timely basis. Both Public Records and Ethics approved of the final product.

Flexible Spending Accounts were announced in December, and a contract was awarded in March 2003. Work began immediately to add the two new FSAs (healthcare and dependent care) by the July 1 effective date. Automated processes to load the data received by the Senate from the FSA administrating agency, to deduct and report the monies on a tax exempt basis, and transmit monies and reports to the administrating agency, were completed on time.

New TSP Catch Up contributions for employees over 50 passed in late 2002 and regulatory requirements were received in February 2003. Project planning began immediately. This project required tax deferred deductions be withheld separate from the TSP program, reported differently and reported separately. A completely new screen was required. The project was completed and worked flawlessly on the required date of August 1.

The Payroll Information Notice (pay stub) was completely redesigned in mid year to provide much more room to accommodate the many new deductions employees might have with the new programs established in 2003. The various changes provided almost 40 percent more room. New deductions include Long Term Healthcare, Student Loan Repayment Program, Flexible Spending Accounts, and TSP Catch Up contributions. New PINs went out with the May 5 pay date. In October, a project was initiated to replace the current payroll system's OLAG programming with a completely new and updated version using BMS programming. This will eventually ensure continued operations on the newest mainframe operating systems, and to enable future payroll enhancements involving the web, employee self-service and on-line review of payroll reports by Senate offices. Work is scheduled to be completed by July 1, 2004.

FRONT COUNTER—ADMINISTRATIVE AND FINANCIAL SERVICES

The Front Counter is the main service area of all general Senate business and financial activity. The Front Counter maintains the Senate's internal accountability of funds used in daily operations. Reconciliation of such funds is executed on a daily basis. The Front Counter 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 Counter is the first line of service provided to Senate Members, 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 and provided verbal and written detailed information regarding their pay and benefits. Authorization is certified to new and state employees for issuance of their Senate I.D. card. Advances are issued to Senate staff authorized for an advance for official Senate travel. Cash and check advances are entered and reconciled in the Funds Advance Tracking System (FATS). Repayment of travel advances is executed after processing of certified expenses is complete. Travelers' checks are available on a non-profit basis to assist the traveler. Numerous inquiries are handled daily, ranging from pay, benefits, taxes, voucher processing, 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 Counter and become part of the Senate's accountability of federally appropriated funds and are then processed through the Senate's general ledger system.

2003 Accomplishments and activities

The Front Counter processed approximately 2,200 cash advances, totaling approximately \$1.4 million and initialized check/direct deposit advances, totaling approximately \$730,000.

Received and processed more than 30,000 checks, totaling over \$3,600,000.

Administered Oath and Personnel Affidavits to more than 3,400 new Senate staff and advised them of their benefits.

Maintained brochures for 11 federal health carriers and distributed approximately 5,000 brochures to staff during the annual FEHB Open Season and to new employees.

Provided 33 training sessions to new office managers.

The major emphasis during this year was the training for the 11 new Senate offices into the operations of the Disbursing Office. Training was provided to new of-

fice managers and guidance provided in their business transactions with the Disbursing Office.

The only reconciliations of the Senate accountability were confirmed by a General Accounting Office audit performed in June 2003 at the request of the Secretary of the Senate. Front Office operations continued to provide the Senate community with prompt, courteous, and informative advice regarding Disbursing operations.

PAYROLL SECTION

The Payroll Section maintains the Human Resources Management System and is responsible for the following: processing, verifying, and warehousing all payroll information submitted to the Disbursing Office by Senators for their personal staff, by Chairmen for their committee staff, and by other elected officials for their staff; issuing salary payments to the above employees; maintaining the Automated Clearing House (ACH) FEDLINE facilities for the normal transmittal of payroll deposits to the Federal Reserve; distributing the appropriate payroll expenditure and allowance reports to the individual offices; issuing the proper withholding and agency contributions reports to the Accounting Department; and transmitting the proper Thrift Savings Plan (TSP) information to the National Finance Center (NFC), while maintaining earnings records for distribution to the Social Security Administration, and maintaining employees' taxable earnings records for W2 statements, prepared by this section. The Payroll Section is also responsible for the payroll expenditure data portion of the Report of the Secretary of the Senate.

2003 Accomplishments and Activities

Funding for Calendar Year 2003 began as a Continuing Resolution. This restriction of spending delayed the January 1, 2003 Cost of Living increase. In January, the passage of the Legislative Branch Appropriations Bill gave the U.S. Senate a 3.1 percent Cost of Living increase retroactive to January 1, 2003. The passage of the Omnibus Appropriations Bill in March 2003 provided the Senate with a final Cost of Living increase of 4.27 percent retroactive January 1, 2003. While the multitude of cost of living transactions taxed the resources of the Payroll Section for a five month period, all pay adjustments were done in an accurate and timely manner.

In late 2002 and early 2003, Payroll was heavily involved in the testing of the new CSRS-Offset deductions and reports. Attention to detail from the Payroll Section helped debug programs and streamline the new processes.

During this same time period the Payroll Section maintained its schedule of processing TSP Open Season forms. Senate employees for the most part were taking full advantage of the increase in the cap for TSP deductions, making the most of 13 percent/\$12,000 maximums. The TSP Catch-Up program was implemented in the fall of 2003. This program allowed employees who are 50 or older to deposit additional funds into their personal TSP. Payroll staff were involved in all of the testing performed with the new screen, new deductions, and reports.

During the summer of 2003 the National Finance Center implemented its En-Trust Financial Management System allowing the agencies to have online update and correction abilities. Employees of our Payroll Section were trained by the Department of Agriculture to use the on-line payments and corrections system.

The Student Loan Program (SLP) continued into 2003. The new year brought new challenges to the Payroll Section. The time consuming methods of third party loan processing created needless delays of notification for loan payoffs. The Payroll Section had to develop procedures for returning overpayment of loans to the loan program allocation refund, return the respective over- withholding of Federal, State, FICA, and Medicare taxes to the employees involved. Regulations were enforced to alleviate these problems. Payments for loans to be paid off during the Agreement Year of a SLP are now spread out over the full year, eliminating these overpayments.

The Payroll Section also assisted in developing methods for processing Long Term Care and in July 2003 implemented the FSA deductions system. These additional benefit plans were passed to provide additional coverage to our normal FEHB deduction processing system. Each of the above new deductions required research into the tax implications of each deduction. Once the plan was implemented further research was required for the proper modification of W-2s for calendar year 2003. Payroll staff were involved in testing and verification during the implementation of these systems. The Payroll Supervisor was part of the project management team during the planning portions and during final installation.

Payroll filing systems and checking processes were updated to improve quality control. These changes help minimize errors in an environment where payroll changes are much more common than in most other government and private institu-

tions. In addition, with considerable staff changes in 2003, new training procedures for the Payroll Section were implemented and have resulted in more knowledgeable staff and reductions in errors.

EMPLOYEE BENEFITS SECTION

The primary responsibilities of the Employee Benefits Section (EBS) are administration of health insurance, life insurance and all retirement programs for Members and employees of the Senate. This includes counseling, processing of paperwork, research, dissemination of information and interpretation of benefits laws and regulations. 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 and once Official Personnel Folders and Transcripts of Service are received, verifies the accuracy of the information provided and reconciles as necessary. 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 processes employment verifications for loans, the Bar Exam, the FBI, OPM, and the Department of Defense, 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. Designations of Beneficiary for FEGLI, CSRS, FERS, and unpaid compensation are filed and checked by EBS.

2003 Accomplishments and activities

The year began with EBS finalizing retirement estimates and processing the many retirement cases associated with outgoing Senators and their staffs, as well as those staff on committees who were affected by the changes. Approximately 170 retirement cases were processed throughout 2003, including 10 death cases.

During 2003 the new Federal Flexible Spending Account (FSA) Program was introduced and implemented government-wide. EBS worked diligently to become educated in all aspects of the program. This required constant interaction with OPM and the FSA plan administrator, SHPS, to establish, understand and implement procedures for the plan. Employee Benefits staff worked as part of the Project Team to apply modifications and establish parameters for the implementation of the program. Effective introduction to and participation in the FSA program required extensive notification to employees, which included several mail-outs, electronic notifications and use of streaming video on Webster. Two Open Seasons were conducted, along with an educational seminar on the FSA program and recurring FSA seminar broadcasts on Senate Cable TV. EBS also developed and disbursed educational materials for employees.

During our anthrax displacement, EBS discovered that the most essential information that could not be accessed off-site was employee personnel folders. Based on these lessons, EBS has worked with the Deputy for Benefits and Financial Services as part of the Project Team to outline the needs and parameters required for development and implementation of a document imaging system for use in electronically reproducing employee personnel folders. Through extensive meetings, testing and feedback, the imaging system has been developed and is ready for implementation. This system will allow computer-based access to employee personnel folders as well as the ability to access them from an off-site facility.

Based on the continued military operations and the call to active duty of military reservists, the volume of Senate employees being placed in a Leave Without Pay (LWOP) status and subsequently returned to pay status was elevated throughout 2003. Counseling and administration of their retirement and benefits was handled by EBS.

Effective in 2003, OPM announced a modification to the way retirement deductions were to be reported for employees subject to Social Security and CSRS. Compliance with this change required coordination with the Senate Computer Center for programming changes and screen development, followed by debugging and subsequent implementation of the new withholding and reporting format.

Based on new legislation, the Thrift Savings Plan (TSP) implemented a new provision enabling employees age 50+ to contribute additional "Catch-up" contributions to their TSP accounts. This enhancement required a great deal of interaction with the Senate Computer Center to apply modifications and establish parameters for the implementation of the program. EBS worked to become a resource on the aspects of Catch-up contributions and educational materials and notices were created and supplied to eligible participants.

Mid-year, the TSP implemented their long-awaited new record keeping system, which created many questions and requests for assistance from Senate employees

as well as from offices on behalf of their constituents. Additionally, there were two TSP Open Seasons in 2003 during which employees could change their rate of contribution. The number of employee changes was higher during the end of year Open Season, as the allowable rates of contribution increased.

The annual FEHB Open Season was held and approximately 500 employees changed plans. These changes were processed and reported to carriers in record time. This year, the DO offered an exciting new tool for Senate employees as the Checkbook on-line Guide to Health Plans was made available to research and compare FEHB plans. This tool will remain available to staff throughout the year, and may become an annual purchase. Feedback received on the Guide was very positive, and as awareness increases, more users are anticipated. Once again, the DO hosted a FEHB Open Season Health Fair, which was attended by about 600 employees. As an additional service, it was open to all other federal employees on the Hill, including House, Capitol Police, Architect of the Capitol and Senate Restaurant employees. In addition to having health plan representatives available to provide information and answer questions, representatives from FSA Feds and Long Term Care Insurance were in attendance as well.

EBS continues to upgrade the information available on the DO Webster site and has added more downloadable forms, routinely making use of the newer video technologies and links. In addition, EBS has been developing many computer-based forms and calculators for use in providing benefits information and estimates.

Two detailed Power Point retirement seminars on CSRS and FERS were developed and conducted for interested Senate staff. The seminars were well attended and well received. Additionally EBS staff regularly provided a panel participant for the monthly New Staff Orientation seminars and quarterly Senate Services Fairs held by the Office of Education and Training.

Interagency meetings were attended with time being spent on the implementation of the FSA Program, the CLER program, and the continuing TSP program changes and enhancements.

There was a great deal of employee turnover in early 2003. New Members appointed numerous employees from the House and Executive Branch, and many other employees left with outgoing Members, several 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, CSRS, FERS and TSP enrollments, and the associated requests for backup verification.

Mortgage rates kept employment verifications coming in at a rapid pace, averaging over 100 per month. Unemployment verifications were especially high early in the year and remained constant throughout the year. Telephone inquiries, though not specifically tracked, continued at record levels.

DISBURSING OFFICE FINANCIAL MANAGEMENT

Headed by the Deputy for Financial Management, the mission of Disbursing Office Financial Management (DOFM) is to coordinate all central financial policies, procedures, and activities to process and pay expense vouchers within reasonable time frames, to produce an auditable consolidated financial statement for the Senate 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 as well as for the formulation, presentation and execution of the budget for the Senate. On a semiannual basis, this group is also responsible for the compilation, validation and completion of the Report of the Secretary of the Senate. DOFM is segmented into three functional departments: Accounting, Accounts Payable, and Budget. The Deputy coordinates the activities of the three functional departments, establishes central financial policies and procedures, acts as the primary liaison to the Human Resources Administrator, and carries out the directives of the Financial Clerk and the Secretary of the Senate.

ACCOUNTING DEPARTMENT

During fiscal year 2003, the Accounting Department approved nearly 80,000 expense reimbursement vouchers, processed 1,300 deposits for items ranging from receipts received by the Senate operations, such as the Senate's Revolving Funds, to

canceled subscription refunds from Member Offices. The number of vouchers that the Accounting Department approves decreased over fiscal year 2002 numbers due to the Senate Committee on Rules and Administration authorizing the Accounts Payable Department to sanction vouchers of \$35 or less. General ledger maintenance also prompted the entry of thousands of adjustment entries that include all appropriation and allowance funding limitation transactions, all accounting cycle closing entries, and all non-voucher reimbursement transactions such as payroll adjustments, stop payment requests, travel advances and repayments, and limited payability reimbursements.

This year the Accounting Department assisted in the validation of various system upgrades and modifications, including the testing required to implement the new approval path for the Rules Committee's on-line sanctioning. During January 2003, the Accounting Department with assistance from our contractor, BearingPoint, completed the 2002 year-end process to close and reset revenue, expense and budgetary general ledger accounts to zero. At the beginning of 2003 and during the month of June 2003, we successfully tested and implemented in Federal FAMIS the first two document purge processes. Further, the financial file rollover was performed to update FAMIS' tables and create the new index codes needed to accommodate data for fiscal year 2004.

The U.S. Department of the Treasury changed their end of month reporting deadlines for agencies twice during fiscal year 2003; from the 7th to the 5th business day and then from the 5th to the 3rd business day of the following month. The second change on the Treasury reporting deadline was a challenge for DOFM since the Senate's end of the month payroll is paid on the 5th of the following month. In order to comply with this requirement, the Accounting Department, assisted by BearingPoint, tested and implemented a change in how and when payroll is reported with the non-payroll expenses. The changes to comply with Treasury's accelerated reporting requirement were implemented in July.

The Department of the Treasury's monthly financial reporting requirements include 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 on a monthly basis, the Statement of Transactions According to Appropriations, Fund and Receipt Accounts that summarizes all activity at the appropriation level of all monies disbursed by the Secretary of the Senate through the Financial Clerk of the Senate is reported to the Department of the Treasury. 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 the Office of Management and Budget (OMB) as part of the submission of the annual operating budget of the Senate.

This year, the Accounting Department transmitted all 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. The Department also performed quarterly reporting to the Internal Revenue Service (IRS) and annual reporting and reconciliation to the IRS and the Social Security Administration. 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. Monthly reconciliations were performed with the National Finance Center regarding the employee withholdings and agency matching contributions for the Thrift Savings Plan. Every month, all employee withholdings and agency contributions for life and health insurance, and federal retirement programs were transmitted to the Office of Personnel Management. Any adjustment to employee contributions for any of the health, life, and retirement plans from previous accounting periods were also processed. In April and October, the Accounting Department prepared the necessary reports and information to be included in the Report of the Secretary of the Senate. All organizations and appropriation accounts reported were validated 100 percent to the financial system.

In addition to Treasury's external reporting deadlines there are some internal reporting requirements such as the monthly ledger statements for all Member offices and all other offices with payroll and non-payroll expenditures. 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.

The Accounting Department, in conjunction with the Deputy for Financial Management, is working closely with the Sergeant at Arms' (SAA) Finance Department in completing all the corrective actions that resulted from the Pro-forma financial statements auditability assessment completed in April 2002. Based on the results

of this exercise, 23 corrective actions were suggested including an action plan and proposed schedule to have them corrected within several years. Some of the actions were rather simple to implement while others will take additional time. Of the 23 corrective actions noted, 6 have been completed, 13 are in process, and 4 are still open. As part of this project, the Accounting Group drafted the Senate-wide capitalization policy which has been reviewed and agreed to by the SAA's Finance Department. The Accounting Group also drafted and finalized the travel advance and vendor file procedures documents. The Deputy for Financial Management is working closely with the SAA's Finance Department in the replacement and implementation of the new asset management system, Asset Center.

On a consulting basis, the Deputy for Financial Management has been assisting the Senate Gift Shop with the implementation of their new accounting system. In addition, the Accounting Group has been working with the General Accounting Office (GAO) to provide them with expense vouchers and certificate of deposits documentation requested for the audits of all the Secretary of the Senate and Sergeant at Arms revolving funds.

ACCOUNTS PAYABLE DEPARTMENT

During the Fall of 2003, the Accounts Payable Department was restructured and a third section was created to adequately attend to the needs of the Senate community. Currently, the A/P Department is made up of the following three sections: the Audit group, the Disbursement group and the newly created Vendor/SAVI group.

Accounts Payable Vendor/SAVI Section

The Vendor/SAVI (Senate Automated Vendor Inquiry) group was newly created in the fall of 2003. This section is responsible for the prompt completion of service requests from within the Senate community for access to the Disbursing Office's new Web-based payment inquiry system called SAVI, the timely processing of expense voucher payments via paper check or ACH wire transfer and for training Senate staff on the proper usage of the SAVI Web based system. The section also assists the IT Department with daily monitoring of system performance and the testing of new SAVI system upgrades. Another major responsibility of this group is the daily maintenance of the Senate's central payee file, which currently has over 11,000 vendors. Daily requests for new or updated vendor addresses are promptly handled and processed within 24 hours of being requested. The section is in the process of collecting ACH wire information on external vendors with the intention of reimbursing most vendors electronically instead of by paper check. Further, this section is working with the IT Department in the selection and testing of a new e-mail notification project to inform all external vendors via e-mail that an electronic reimbursement has occurred.

As part of its objectives, this section started to scan the hard copy supporting documentation (vendor-supplied remittance instructions) for the entire payee file (starting with the most recent ones) on the DO network which will enable quick access to necessary information. Because of the size of the vendor file (over 11,000 vendors) and the usual daily work which must be completed, this scanning project is expected to take approximately a year to complete. Ultimately, scanning of vendor-supplied supporting documentation will become a routine part of file maintenance.

Accounts Payable Disbursements Department

During 2003, two new staff members were hired and one staff member was transferred to the newly created Vendor/SAVI Department. The new department now handles all aspects of the FAMIS vendor file which was previously tasked to A/P Disbursements. In fact, 133,000 expense claims were received and processed by the department. Over 40,000 expense checks were written and approximately 25,000 direct deposit reimbursements were made.

The Disbursements Department is also responsible for researching returned checks as vendors request additional information relating to payment allocation. Fortunately, few checks are returned. This is a result of the use of a centralized vendor file and accurate certification of payments.

The Accounts Payable Disbursements Department distributes the monthly ledgers to the 160 accounting locations throughout the Senate. Once produced, they are delivered to Disbursing. They are then sorted and delivered or picked up according to a list of special instructions. The main objective of this process is to have each office receive their ledger statements by the 10th of the month.

A/P Disbursements also prepares the quarterly state tax returns. The amounts are provided by the Accounting Department, and payment coupons are prepared for the 43 state jurisdictions. The coupons are obtained from each jurisdiction either in hard copy or on-line via the Internet. Vouchers are prepared electronically via an

uploaded spreadsheet, which is used to generate check payments to the taxing authorities. Once the checks are written, letters of transmittal are prepared and mailed to the appropriate State jurisdictions and the District of Columbia.

The Department also prepares the forms required by the Department of the Treasury for stop payments. Stop payments are requested by employees who have not received salary or expense reimbursements, and vendors claiming non-receipt of expense checks. During this year, the A/P Disbursement Supervisor and the Accounts Payable Manager implemented the Department of the Treasury—Financial Management Service (FMS) on-line stop pay and check retrieval process known as PACER. The PACER system allows us to electronically submit stop-payment requests and provides on-line 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 e-mail. This process has been well received by Senate offices as well as vendors. This saves time and significantly reduces reliance on the postal system. The entire Accounts Payable Disbursements staff has Treasury secure ID cards and are being trained in the use of PACER. Given its time and money savings, as well as its overwhelmingly positive reception, large growth in the use of PACER is expected.

Two major events have helped in centralizing the filing and storage of Accounts Payable and Accounting documents. First was new shelving which replaced file cabinets for all in-house filing. The documents are placed in side-tab folders which display their contents in an easy-to-read format. The major benefit to the new shelving is space savings. The result is that what previously required over 20 feet of wall space, now requires a little less than 15 feet, a space savings of 25 percent. Second, the new shelving also allows us to keep a year's worth of vouchers in-house before sending them to our warehouse facility. Previously, only six months' worth of vouchers could be kept on hand.

The warehousing of documents has improved and is still evolving. Vouchers were housed at two facilities, but now all have been transferred to a larger location, although there is need for expansion. Meetings with the Sergeant At Arms, consultants, and prospective vendors continue in an effort to provide state-of-the-art warehousing for the entire Senate. Such plans include current space requirements, future anticipated space requirements, and the need for "staging" areas, telephone, copier, and fax access, climate control, and security.

Accounts Payable Audit Department

The third section under the Accounts Payable Department is the Audit Department. The Accounts Payable Audit Section is responsible for auditing vouchers and answering questions regarding voucher preparation and the permissibility of the expense, providing advice and recommendations on the discretionary use of funds by the various accounting locations, identifying duplicate payments submitted by offices, monitoring payments related to contracts, training new Office Managers and Chief Clerks about Senate financial practices, training Office Managers in the use of the Senate's Financial Management Information System, and assisting in the production of the Report of the Secretary of the Senate. During this year, the responsibility for the printing of the semiannual Report of the Secretary of the Senate was transferred from the retiring Assistant Financial Clerk to the Accounts Payable Manager. This Section also monitors the Fund Advance Tracking System (FATS) to ensure that advances are charged correctly, vouchers repaying such advances are entered, and balances are adjusted for reuse of the advance funds. An "aging" process is also performed to ensure that advances are repaid in the time specified by the advance travel regulations.

The Accounts Payable Audit Section, currently a group of 11, has the responsibility for the daily processing of expense claims submitted by the 140 accounting locations of the Senate. During the first months of the year, the Accounts Payable Audit Group had some staff turnover and new auditors were hired. The new audit staff is undergoing comprehensive training and the section processed approximately 133,000 expense vouchers during fiscal year 2003. The voucher processing ranged in scope from providing interpretation of Senate rules, regulations and statute, applying the same to expense claims, monitoring of contracts and direct involvement with the Senate's central vendor file. On average and as long as the voucher does not have any issues or questions and the Audit Section is fully staffed, vouchers are received, audited, sanctioned by Rules and paid by DO within the required directive of 10 business days.

During December 2002, the Chairman of the Committee on Rules and Administration, delegated the sanctioning authority of vouchers of \$35 or less to the Financial Clerk of the Senate. As a consequence, the workload within this group increased by 15 percent. These vouchers are sanctioned by the Certifying Accounts Payable Spe-

cialists and are being received, audited, and paid within 5 business days of receipt. The sanctioning authority was subsequently increased in 2003 from items totaling \$35 and less to items valued at \$100 and below. The increase in sanctioning authority came as a direct result of our passing two post-payment audits performed by the Rules Committee. This additional change increased the number of vouchers sanctioned by Audit to 57 percent of all submitted vouchers.

Additionally, advance documents and non-Contingent Fund items such as Legal Counsel and Legislative Counsel vouchers are now posted in Audit. The sanctioning responsibilities allowed for one staff promotion to Certifying Accounts Payable Specialist.

The reduced flow of vouchers to the Rules Committee allowed us to proceed with their inclusion in the on-line sanctioning process. Initially, four Senators' offices and the Committees comprised the pilot group. Currently, all vouchers sanctioned by the Rules Committee through the Web-submit process are sanctioned on-line.

The Accounts Payable Audit Group provided training sessions in the use of new systems, the process for generation of expense claims, the permissibility of an expense, and participated with seminars sponsored by the Secretary of the Senate, the Sergeant at Arms, and the Library of Congress. The Section was able to train 21 new Office Managers and Chief Clerks and conducted 5 informational sessions for Senate staff through seminars sponsored by the Congressional Research Service (CRS).

The Accounts Payable group also assisted the IT department in the testing and implementation of the new travel advance reporting. The new travel advance reporting became effective in September 2002 and with this new process, travel advances are accounted for as obligations. The Accounts Payable Audit Group has been fully trained in the new travel advance system and in the use of the four new WEB inquiries. The group also participated in the SAVI (Senate Automated Vendor Information) system training to assist Senate staff with any questions related to their reimbursements paid either by ACH (Automated Clearing House) or by check. The creation of a Vendor/SAVI department allowed for a senior staff promotion out of Audit, and two new staff were hired to help fill the void caused by this promotion and one staff termination.

A cancellation process was established for advances. This was necessary to ensure repayment of advances systematically for canceled or postponed travel in accordance with Senate Travel Regulations.

BUDGET DEPARTMENT

The third component of the Disbursing Office Financial Management Group is the Budget Department. The primary responsibility of the Budget Department is to compile the annual operating budget of the United States Senate for presentation to the Committee on Appropriations. The Budget Department is responsible for the preparation, issuance and distribution of the budget justification worksheets (BJW). In fiscal year 2003 the budget justification worksheets were mailed to the Senate accounting locations at the end of February. This deadline was much later than usual due to the late passage of the Legislative Branch Appropriations bill. This department is also responsible for the formulation, presentation and execution of the budget for the Senate and provides a wide range of analytical, technical and advisory functions related to the budget process. The Budget Department acts as the Budget Officer for the Office of the Secretary, assisting in the preparation of testimony for the hearings before the Committee on Appropriations and the Committee on Rules and Administration. The group is also responsible for reporting the budget baseline estimates that were developed for fiscal year 2004 to the Office of Management and Budget, via the MAX database.

DISBURSING OFFICE INFORMATION TECHNOLOGY

FINANCIAL MANAGEMENT INFORMATION SYSTEM

The Disbursing Office Information Technology (IT) Department, currently operating with a staff of four, provides both functional and technical assistance for all Senate Financial Management activities. Activities revolve around support of the Senate's Financial Information System (FMIS) which is used by approximately 140 Senate accounting locations (i.e., 100 Senators' offices, 20 Committees, 20 Leadership and Support offices, and the Disbursing Office). Responsibilities include:

- Supporting current systems;
- Testing infrastructure changes;
- Managing and testing new system development;
- Planning;

- 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 and Continuation of Operations Plan (COOP).

The activities associated with each of these responsibilities are described in more detail in the sections that follow. Work during 2003 was supported by the Sergeant at Arms (SAA) Technology Services staff, the Secretary's Information Technology staff, and contracts with BearingPoint.

The SAA Technology Services staff is responsible for providing the technical infrastructure, including hardware (mainframe and servers), operating system software (mainframe and servers), database software, and telecommunications; technical assistance for these components, including migration management, and database administration; and regular batch processing. BearingPoint is responsible, under the contract with the SAA, for operational support, and under contract with the Secretary, for application development. The DO is the "business owner" of FMIS and is responsible for making the functional decisions about FMIS. The three organizations work co-operatively.

Highlights of the year include:

- Conducting 44 classes, seminars, and demonstrations on Web FMIS;
- Implementation of three releases of Web FMIS and preparation for two releases during 2004. One of these releases made the online ESR function available to all offices and provided online review and sanctioning capability to the Rules Committee Audit staff;
- Implementation of two releases of SAVI;
- Implementation of a post payment audit for the Rules Committee Audit staff whereby they can do a statistically valid sample of vouchers of \$35 and under for which sanctioning was delegated to the Financial Clerk;
- Pilot of direct deposit payments to external vendors;
- Entering into a new multi-year contract with the FMIS support vendor, BearingPoint;
- and Hiring a new Systems Administrator.

FMIS is not a single computer system. It is composed of many subsystems that provide Senate-specific functionality. These subsystems are outlined in the table that begins on the following page.

SENATE FINANCIAL MANAGEMENT INFORMATION SYSTEM

Subsystem	Functionality	Source	Primary Users	Implementation
FAMIS (Mainframe)	Financial general ledger Vendor file Administrative functions Security functions	Off the shelf federal system purchased from BearingPoint.	Disbursing Office	October 1998
ADPICS (Mainframe)	Preparation of requisition, purchase order, voucher from purchase order, and direct voucher documents. Electronic document review functions Administrative functions	Off the shelf federal system purchased from BearingPoint.	Sergeant at Arms Disbursing Office Secretary of the Senate	October 1998
Checkwriter (Client-server)	Prints checks and check registers as well as ACH (Automated Clearing House) direct deposit payments.	Off the shelf state government system purchased from and adapted to Senate's requirements by BearingPoint.	Disbursing Office	October 1998
Web FMS (Client-server and intranet)	Preparation of vouchers, travel advances, vouchers from advance documents, credit documents and simple commitment and obligation documents. Entry of detailed budget Reporting functions (described below) Electronic document submission and review functions Administrative functions	Custom software developed under Senate contract by BearingPoint.	All Senators offices All Committee offices All Leadership and Support offices Secretary of the Senate Sergeant at Arms Disbursing Office	October 1999
FATS (PC-based)	Tracks travel advances and petty cash advances (available to Committees only). Tracks election cycle information	Developed by SAA Technology Services.	Disbursing Office	Spring 1983
Post Payment Voucher Audit (PC-based)	Selects a random sample of vouchers for which sanctioning was delegated to the Financial Clerk for the Rules Committee to use in conducting a post payment audit.	Excel spreadsheet developed by BearingPoint.	Rules Committee Disbursing Office	Spring 2003
SAVI (Intranet)	As currently implemented, provides self-service access (via the Senate's intranet) to payment information for employees receiving reimbursements via direct deposit. Administrative functions	Off the shelf system purchased from BearingPoint.	Senate employees	Pilot—Spring 2002 Senate-wide—July 2002
Online ESR (Intranet)	A component of SAVI through which Senate employees can create on-line Travel Expense Summary Reports and submit them electronically to their Office Manager/Chief Clerk for processing. Produces the Report of the Secretary of the Senate	Custom software developed under contract by BearingPoint. Custom software developed under contract by BearingPoint.	Senate employees Disbursing Office	April 2003 Spring 1999

Secretary's Report (Mainframe extracts, crystal reports, and client-server "tool box").

Ledger Statements (Mainframe database extracts, and crystal reports). Web FMIS Reports (mainframe database extracts, crystal reports, client server, and Intranet).	Produces monthly reports from FMIS that are sent to all Senate "accounting locations". Produces a large number of reports from Web FMIS, FMIS and ADPLCS data at summary and detailed levels. Data is updated as an overnight process and can be updated through an on-line process by accounting locations.	Developed by SAA Technology Services. Custom software developed under contract by BearingPoint.	Disbursing Office Senate Accounting Locations Senate Accounting Locations	Winter 1999 October 1999
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Supporting Current Systems

The IT section supports FMIS users in all 140 accounting locations, the Disbursing Office Accounts Payable, Accounting, Accounts Payable Disbursements, Vendor/SAVI, and Front Office Sections, and the Rules Committee Audit staff. The activities associated with this responsibility include:

- User Support—provide functional and technical support to all Senate FMIS users; staff the FMIS “help desk”; answer hundreds of phone calls a year; and meet with Chiefs of Staff, Office Managers, Chief Clerks, and Directors of various Senate offices as requested;
- Technical Problem Resolution—ensure that technical problems are resolved;
- Monitor System Performance—check system availability and statistics to identify system problems and coordinate performance tuning activities for parallel load and database access optimization;
- Security—maintain user rights for all ADPICS, FAMIS, SAVI, and Web FMIS users. In 2003, we added, deleted and changed user rights for 94 ADPICS, FAMIS and 57 Web FMIS offices and other users as requested by Senators and Chairmen.
- System Administration—design, test and make entries to tables that are intrinsic to the system. In 2003, this included making changes to reflect Senate organizational changes for the 108th Congress, establishing new offices, changing the Senate-wide privately owned vehicle reimbursement rates, establishing and testing new accounting transaction codes, and creating new approval paths for vouchers of \$100 or less;
- Support of Accounting Activities—provide assistance in the cyclic accounting system activities. During 2003, the following activities were performed—Upload of files into FAMIS (e.g., budgets, monthly certification charges, state office rental vouchers), Year End Rollover (in March for Committee Funding Resolution 66B, and in August for fiscal year 2004), Year End Close, Document Purge, and Ad hoc queries; and
- Training—provide functional training to all Senate FMIS users. During 2003, the IT Department conducted 44 classes, seminars, and demonstrations on Web FMIS. The class schedule is issued every other month and the classes offered were:
 - 1. Introduction to Web FMIS—conducted 12 times. This hands-on class covers the basics of preparing, printing, and submitting vouchers and travel vouchers, and managing your inbox. Also covered are adding items to an office’s lookup tables (e.g., vendor and expense category), using search to find records, and what information goes in the Unique Invoice Number and Account Number fields.
 - 2. Web FMIS Travel Class—conducted 15 times. The hands-on class covers all aspects of travel vouchers from both the Office Manager’s and the traveler’s perspective. It enables the Office Manager or Chief Clerk to prepare travel advance requests, create travel vouchers, create travel vouchers from online ESRs using the Web FMIS import function, train travelers to create on-line travel expense summary reports (online ESRs), train travelers to track direct deposit payments via SAVI; and perform the Web FMIS setup tasks (e.g., establishing a traveler’s profile, and establishing office mileage rates). This class was created in 2003 with the Senate-wide implementation of online ESR.
 - 3. Web FMIS Budget and Reports Seminar—conducted 12 times. This demo-style seminar covers how to enter and change an office’s budget, and how different budgets show on an office’s Summary of Financial Status Report. Several budgets, from simple to complex are discussed, based on the interests of the attendees. Also discussed are the on-line reporting functions including refreshing report data and exporting report data into another application (e.g., Excel). In addition, we look in detail at the Analysis by Vendor, Analysis by Expense Category, and Analysis by Office Control Number Reports, at the Changed Document Report, and other reports based on the interests of the attendees.
 - 4. Web FMIS Reconciliation Class—conducted 7 times. This hands-on class covers how to reconcile an office’s Web FMIS balance with the DO’s balance on a monthly basis. Also provided individual training sessions for 14 persons who were unable to attend the scheduled class sessions.
 - 5. Web FMIS Special Topics—conducted once. Occasionally a “special topics” seminar covering different subjects is held. In May the seminar topic was how to use commitments and obligations. This seminar is offered at the points in the year when offices are most likely trying to estimate expenses through the end of the fiscal year.

- 6. User Demos—In advance of each Web FMIS release, a demonstration is conducted at a Joint Office Manager/Chief Clerks meeting of the new functionality included in the release. The demo is repeated for those unable to attend the meeting. For Web FMIS release 7.4, the material was presented twice.

Testing Infrastructure Changes

The SAA provides the infrastructure on which FMIS operates, including the mainframe, the database, security hardware and software, the telecommunications network, and a hardware and software installation crew and help-desk provider. During 2003, the following components of this infrastructure were changed:

- Mainframe hardware and software—Upgrade of the mainframe operating system (OS390/2.10, including CICS and WebSphere upgrades) required that the Disbursing Office extensively test all FMIS subsystems both in a testing environment and in the production environment. Additional testing, although less extensive, was performed when the SAA activated the new Storage Area Network facility (SAN), an essential component of the Alternate Computing Facility;
- TDF and DHF Partitioning—The Transaction Detail File and Document Header File, which are subsidiary files to the General Ledger, were split into logical divisions in order to improve system performance, especially for inquiries. The IT staff and Accounting section staff created documents and tested all FMIS functions with the partitioned files before the production files were partitioned.
- Printing online via “Reveal”—The DO’s use of the “Reveal” software, which prints reports to a file for online viewing instead of a printer, was expanded to include the weekly Appropriations Summary Reports. This allowed the elimination of a dedicated printer in SH-144.

Managing and Testing New System Development

During 2003, we supervised development, performed extensive integration system testing and implemented changes to the following FMIS subsystems: Web FMIS; Senate Vendor Information (SAVI) and Online ESR; Post Payment Voucher Audit; and Checkwriter.

Web FMIS

Three releases of Web FMIS were done in 2003. Work was begun on two additional releases which will be implemented in 2004. These implemented in 2003 are:

- Web FMIS r7.4.8.*—This release in April 2003 made the import ESR function available to all offices. This function allows Office Managers to create travel vouchers from online ESRs that travelers create in SAVI. This saves a significant amount of time for Office Managers. Previously, this had been used by a pilot of 10 offices. Additionally, this release included online review and sanctioning capability for the Rules Committee Audit staff. The Rules Committee staff elected to implement a pilot of 23 offices (all Committees and Senators whose last name begins with A) in order to become familiar with the software and develop appropriate procedures. (As of January 1, 2004, the Rules Committee staff implemented online review and sanctioning of all Web FMIS vouchers via Web FMIS. This was implemented in conjunction with an increase in the threshold for delegation of sanctioning authority. In December 2002, the Rules Committee Chairman delegated sanctioning authority to the Financial Clerk for vouchers of \$35 and less. Effective January 1, 2004, the Rules Committee Chairman increased the threshold to \$100.)
- Web FMIS r7.4.9.*—The July 2003 release focused on reports. The most important change was reporting the total trip expense when a travel advance was used. Additionally, several useful formatting changes were made, including adding subtotals for payroll and non-payroll to all of the “summary” reports.
- Web FMIS r7.5.4.*—The August 2003 release implemented new underlying technology, including an upgrade to WebSphere 4.0, a new version of mainframe CICS, and a new Cold Fusion server. It included a few functional changes, the most important of which was the ability to create budgets for the new fiscal year prior to October 1 and without regard to whether funding has been authorized. In addition, we created the files necessary for fiscal year 2004. Making it possible for offices to work with their budgets in August was a request from Web FMIS users. The necessary system changes were implemented in this release and the “new year roll” was done earlier than in past years. In the future, the new year roll will also be in August.

In addition, we began work on two projects scheduled for completion in 2004, development of Web FMIS “thin client” and Web FMIS Imaging and Signature Design, Electronic Invoicing and Remittance Enhancement. During 2003, a significant

amount of staff time was spent to prepare for these releases. Activities included requirements analysis, planning and consultation with users.

—*Web FMIS “thin client”*.—There have been many functional releases of Web FMIS, since it was implemented in October 1999. With each release, the most appropriate technology available at the time is selected. This has resulted in a complicated architecture that has:

1. Client/server components on a Cold Fusion server (e.g., Document Entry and Budget Entry functions);
2. Web components on a Cold Fusion server (e.g., Local list maintenance functions and reports); and
3. Web components on a WebSphere “server” on the Senate’s mainframe (e.g., the submit and on-line approval functions).

Under this project the functions that use Cold Fusion will be re-written to use WebSphere, eliminating two different architectural components. This will be implemented in two releases:

1. Phase I—implemented in early March, 2004—Web FMIS r8—re-write the maintenance and administrative functions of Web FMIS to use “thin client” technology, upgrade the reporting function to use Crystal Reports version 9, which is “thin client,” and revise the reporting function so that it will continue to show data from closed fiscal years (data that we would like to archive from FAMIS). Additional functionality, previously developed but not implemented, will be implemented in this release, the security paradigm based on roles, and administrative contact screens that consolidate information from several subsystems.

2. Phase II—currently scheduled for August, 2004—Web FMIS r9—re-write the remaining functions that use client-server technology, including the functions most used by office Web FMIS users (e.g., Main Menu, Document Entry, Budget Entry). Additionally, this release will change notification of documents requiring office action from an internal Web FMIS function to e-mail, add a non-travel ESR in SAVI and modify the ESR import function in Web FMIS.

—*Web FMIS Imaging and Digital Signature Design, Electronic Invoicing and Remittance Enhancement*.—As articulated in the FMS Conceptual Design, the vision for the FMIS is for paperless voucher processing. This requires implementation of electronic signatures and imaging of supporting documentation. This project begins the exploration of imaging and electronic signatures and will result in a design for this functionality. In addition, the plan is to explore, and if feasible implement, the receipt of invoices electronically from large vendors. This would eliminate the step of imaging paper invoices.

Senate Automated Vendor Inquiry (SAVI) and Online ESR

The Online ESR, a subsystem of SAVI, enables Senate staff to complete an online Travel Expense Summary Report (ESR) and submit it so that their Office Manager can “import” the data and create a voucher, without retyping the ESR data. The April 2003 release of Web FMIS made the corresponding “import” ESR function available to all Office Managers. Office Managers in turn encouraged their staff to use the online ESR, thus substantially increasing the number of online ESR users.

The SAVI system enables Senate staff to check the status of reimbursements, whether via check or direct deposit, and whether or not referencing an online ESR. In June 2003, a serious performance problem was encountered in SAVI. Web pages that normally took a few seconds to access suddenly required more than a minute. This was due to inefficient structure of a few “calls.” While they performed adequately during testing and during pilot use of SAVI the increased use of SAVI after the April 2003 release of Web FMIS highlighted this inefficiency. In less than two weeks, DO and BearingPoint staff identified the cause of the problem and developed, tested and installed the solution, SAVI release 2.02. No substantial performance problems have since been encountered.

In October 2003, SAVI release 2.1 was implemented. This release included a number of security features, such as encryption of user passwords, removal of Social Security Numbers from the Oracle database, masking all but the last three digits of bank account numbers, and disabling unused/unnecessary services on the servers. In addition, work was conducted on SAVI release 2.2, which is scheduled for implementation in 2004, and will include some major functional enhancements, conversion to .NET (“dot net”) version of Visual Basic and several other security enhancements.

Post payment Voucher Audit

In December 2002, the Rules Committee delegated to the Financial Clerk the authority for sanctioning vouchers of \$35 and less. This authorization directed Rules

and DO to establish a set of procedures for a semi-annual audit of these vouchers. The two offices agreed that Rules would conduct a random sampling inspection of these vouchers based on industry statistical standards. Under the supervision of the IT Group, BearingPoint created tools to determine the sample size, to enable selecting the sample from the universe of vouchers of \$35 and less, and to determine the acceptable number of discrepancies given the sample size and the desired confidence interval. The first audit was conducted in May 2003 for the six-month period ending March 31, 2003, covered 7,270 vouchers, and resulted in a favorable finding of zero discrepancies. The second audit was conducted in November 2003 for the six-month period ending September 30, 2003, covered 11,502 vouchers, and again resulted in a favorable finding of zero discrepancies.

Checkwriter

The Disbursing Office makes payments via direct deposit and via check.

—*Direct Deposit.*—In 2002 the Disbursing Office began making expense reimbursements to Senate staff via direct deposit (i.e., ACH or Automated Clearing House). In 2003 this was expanded to include external vendors. The initial pilot vendors provided materials to the Keeper of Stationery; and our first payments to them were transmitted on June 3, 2003. After a very successful initial pilot, it was expanded to larger-volume vendors such as FedEx.

—*Laser Checks.*—In five years of using the Checkwriter application, it became clear that there are benefits in switching from printing checks on a continuous-feed impact printer to printing checks on a laser printer. The laser version will provide more flexibility for continuance of operations by eliminating our dependence on the harder-to-find printer. It will also produce a higher print quality, which will help the postal service in the delivery of checks. The higher quality print will also prevent checks from being negotiated for an unintended dollar amount. During 2003, the DO held numerous meetings with Checkwriter's designer, BearingPoint, to establish new specifications for the laser version. As a result, a new and substantially different check proof has been established with the Treasury Department. Additionally, the choice of folder/insert machines to use with the laser check stock was narrowed. Testing is currently underway for the implementation of laser checks in 2004.

Planning

There are two main planning activities:

- Schedule coordination—planning and coordinating a rolling 12-month schedule; and
- Strategic planning—setting the priorities for further system enhancements.

Schedule Coordination

In 2003, three meetings continued among the DO, SAA and BearingPoint to coordinate schedules and activities. These are:

- 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., Document Purge meetings and Web FMIS requirements meetings);
- Technical Meeting—a weekly meeting among the DO staff (IT and functional), SAA Technical Services staff, and BearingPoint to discuss coordination among the active projects, including scheduling activities and resolving issues; and
- “Project Office”—a monthly meeting among senior Senate staff (e.g., the Financial Clerk, Rules Committee staff), the BearingPoint engagement partner, SAA technical and functional staff, DO IT and functional staff, and BearingPoint staff to discuss progress on each project.

With progress being made, the decision was made to move more activities from the project office meeting to the technical meeting, and by the end of 2003, the project office meeting was eliminated. In January 2004 one technical meeting is held each month as a joint technical/project office meeting.

Strategic Planning

The FMIS strategic plan has a longer time horizon than the rolling 12-month time frame of the technical meeting schedule. It is designed to set the direction and priorities for further enhancements. In 2002 a five-year strategic plan was written by the IT and Accounting staff for Disbursing Office Strategic Initiatives. This detailed description of five strategic initiatives is the basis for the \$5 million in multi-year funds given to the Secretary's office by the Senate Committee on Appropriations for further work on the FMIS project. The five strategic initiatives are:

- Paperless Vouchers—Imaging of Supporting Documentation and Electronic Signatures.*—Beginning with a feasibility study and a pilot, implement new technology, including imaging and electronic signatures, that will reduce the Sen-

- ate's dependence on paper vouchers. This will enable continuation of voucher processing operations from any location, should an emergency again occur;
- Web FMIS—Requests from Accounting Locations.*—Respond to requests from the Senate's Accounting Locations for additional functionality in Web FMIS;
- Payroll System—Requests from Accounting Locations.*—Respond to requests from the Senate's Accounting Locations for on-line real time access to payroll data;
- Accounting Subsystem Integration.*—Integrate Senate-specific accounting systems, improve internal controls, and eliminate errors caused by re-keying of data; and
- CFO Financial Statement Development.*—Provide the Senate with the capacity to produce auditable financial statements that will obtain an unqualified opinion.

Managing the FMIS Project

The responsibility for managing the FMIS project was transferred to the IT group during the summer of 2003 due to the retirement of the Assistant Financial Clerk. These responsibilities include developing the task orders with contractors and overseeing their work. In 2003, four new task orders were executed with BearingPoint:

- Web FMIS Thin Client;
- Web FMIS Imaging and Digital Signature Design and Electronic Invoicing and Remittance Enhancements;
- Additional Operational Support; and
- Extended Operational Support (Sept. 2003—August 2004).

In addition, in August 2003 a new multi-year contract with Bearing Point was negotiated and signed. This was a joint effort between the DO staff and the SAA procurement staff.

Administering the Disbursing Office's Local Area Network (LAN)

The DO administers its own Local Area Network (LAN), which is separate from the LAN for the rest of the Secretary's Office.

Office-wide LAN maintenance and upgrade

Existing workstations were maintained with appropriate service patches, and security updates including:

- Conducted Pre-Install meetings for the new DO SQL server—Worked with the Senate support vendor to determine installation strategy and procedures to properly prepare an SQL production server;
- Supervised DO SQL server installation—Ensured that system was installed in accordance with all agreed upon requirements;
- Installed SNAP servers—These devices provide an additional means for LAN data backup;
- LAN Planning—Began planning for the installation of a new LAN server in 2004; and
- Maintained our Office Information Authorization form log which provides easy access from DO staff desktops to up-to-date information about the authorized contacts for each Senate office.

Office-wide Technical Skills Improvement

The Systems Administrator was tasked with improving the DO's efficiency with the use of available technology. One example of this improvement is how check inquiries are processed. Prior to the implementation of existing technology, when an office requested information about negotiated checks, DO Accounts Payable Disbursements staff printed a copy of the front and back of the check via Treasury's Pacer system. Then the staff would mail these copies to the office. As a result of the training provided by the Systems Administrator, the DO staff scan the Pacer copy of the front and back of the check and attach the image to an e-mail message to the office, providing better and faster responses.

Projects for the Accounts Payable and Accounting Sections

The activities of the Accounts Payable and Accounting Sections were supported with the development of a Vendor Data Imaging process which consists of simple scanning procedures to capture and electronically store the paperwork associated with vendors.

Projects for Payroll and Employee Benefits Sections

Activities of the Payroll and Employee Benefits sections were supported with four specific projects:

- Assisted in the development of the Payroll Imaging system, which captures payroll documents turned in at the DO front counter electronically, including ordering all required system components. This system is still being implemented;
- Maintained required software to enable the Employee Benefits section to continue transmitting employee health plan information electronically to the National Finance Center in order to participate in the program called Centralized Enrollment Clearinghouse System (CLER); and
- Posted Revised Overtime Schedules for different work weeks along with a generic time sheet on the DO website.

Software for the Report of the Secretary of the Senate

Several DO staff review and edit data for the Report of the Secretary of the Senate. This requires special software and dictionaries, with the following performed on this software:

- Coordinated the update and installation of the “Toolbox” software (provided by BearingPoint) on existing PCs;
- Reviewed existing spell check dictionaries, and worked with BearingPoint to make the required updates; and
- Implemented procedures to ensure that dictionaries are maintained after each reporting cycle.

Coordinating the Disbursing Office’s Disaster Recovery Activities

The DO’s disaster recovery activities include two related activities:

- Disaster Recovery Testing, participating in the computer system disaster recovery tests conducted by the SAA; and
- Coordinating the Continuation of Operations Plan (COOP), a broadly focused activity, addressing all aspects of DO operations.

Disaster Recovery Testing

Since 1995, the SAA has contracted with an offsite contractor for backup services in case of a disaster affecting the Senate’s main data center. The Senate’s Payroll system and FMIS are included in this recovery process. Since the contract’s inception, the Senate has tested its ability to restore systems and perform normal activities at least once, and often twice each year. Disbursing Office staff and SAA Procurement staff are active participants in the planning and execution of these tests. In a February 2003, exercise, the mainframe subsystems of FMIS (i.e., ADPICS and FAMIS) were tested successfully. Two critical subsystems, checkwriter and Web FMIS, were also tested with limited success. Due to time constraints, security for Web FMIS was bypassed and generating reports was not included in the test. In addition, because of the communications architecture, some ADPICS document prints (Purchase Orders and Vouchers) could not be created.

Disaster Recovery Background.—Every night, data and software from the Senate’s mainframe computer systems are backed up to a magnetic cartridge and taken to a secure off-site facility. In the event of a disaster in the SAA computing facilities at Postal Square, SAA technical staff would immediately arrange to have the data, software, and appropriate operating instructions forwarded from the off-site facility to one of the contractor’s data centers. Senate staff would travel to this facility to oversee the restoration of all software and data on the contractor’s computer. By contract, restoration would be complete within 24 hours and systems would then be available to users. The contracted-for facilities can currently support up to 48 concurrent Senate users.

Disaster Recovery of the Payroll System.—Several key components are necessary for access to the payroll system after the restoration of data at the contractor’s facility is complete. At least one terminal identification (term-ID) must be coded in the payroll system to allow CICS access because the payroll application has an internal security module that ties a user to a specific term-ID that controls user access. Another key component is FTP software that allows the movement of files from point to point.

Most payroll payments are made via Direct Deposit to the Federal Reserve Bank using the Automated Clearing House (ACH). After the payroll system is closed-out for the payroll period, the SAA programmers provide an ACH data set which is transmitted to the Federal Reserve Bank in Atlanta, Georgia, via a specially configured PC containing an encryption board and a specialized modem. The DO also has an open-ended agreement with the Senate Federal Credit Union that allows the DO to transmit from their facility in Alexandria, Virginia. The Federal Reserve Bank of Atlanta must be notified prior to any transmission changes, but this agreement gives us the flexibility to transmit from an alternate access point in the event we encounter future transmission problems.

Disaster Recovery for FMIS.—The DO has participated in disaster recovery testing of mainframe FMIS facilities since the system was implemented in October 1998. For the February 2003 test, DO and SAA Procurement staff tested the various modules of the mainframe application to ensure they were functioning correctly at the back-up site. Using workstations connected to the Senate's fiber network as well as laptop computers dialing into the offsite location, users have tested various types of document preparation and posting to FAMIS. In addition, batch report testing, and system inquiries into both the procurement and financial modules were tested. Finally, various batch processing tasks were tested to ensure that they perform as expected. In the February 2003 testing, these tests were completed satisfactorily. However, ADPICS printing of Purchase Orders and Vouchers does not work in the disaster recovery mode.

Two components of FMIS, checkwriter and Web FMIS, were tested for the first time with limited success. Testing of the "checkwriter" process, which generates checks and/or direct deposits in payment to vendors, was tested successfully in the February 2003 exercise. The disaster recovery testing of Web FMIS was accomplished in the 2003 effort. This testing required installation of additional hardware and software at the contractor's facility. In order to perform the testing in the available time frame, security had to be disabled and user requested reports were not generated. It was anticipated that problems associated with both will be resolved and tested satisfactorily in the future.

Printing of ADPICS purchase orders and vouchers is still not possible with the current disaster recovery communications infrastructure of "dial-up" lines. Workaround facilities or a revised infrastructure have not been finalized for this functionality. As a result, entities that prepare ADPICS purchase orders and vouchers, primarily the Secretary of the Senate and the SAA, would not be able to print these documents in the event of a disaster. The proposed Alternate Computer Facility should have more advanced infrastructure, allowing for the printing of these documents.

Coordinating COOP

The DO staff wrote a Continuation of Operations Plan (COOP) in 2001. This document addresses issues beyond the scope of disaster recovery. Normal maintenance is performed on this document to ensure that it remains up-to-date and viable.

ADMINISTRATIVE OFFICES

1. 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 authority. This office's initiatives include deacidification of paper and prints, phased conservation for books and documents, collection surveys, exhibits, and matting and framing for the Senate Leadership.

Over the past year, the Office of Conservation and Preservation has embossed 110 books and matted and framed 515 items for the Senate Leadership. The office is especially proud to be a part of a Senate tradition. For more than 22 years, the office has bound a copy of Washington's Farewell Address for the annual Washington's Farewell Address ceremony. In 2003, a volume was bound and read by Senator Saxby Chambliss.

As mandated in the 1990 Senate Library Collection Condition Survey, the Office of Conservation and Preservation continued to conduct an annual treatment of books identified by the survey in need of conservation or repair. In 2003, conservation treatments were completed for 112 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 4,165 volumes.

This office assisted the Senate Library with 578 books sent to the Library Binding section of the Government Printing Office for binding. The Office of Conservation and Preservation also worked with the Senate Library on four exhibits located in the Senate Russell building basement corridor.

This office continues to serve Senate offices with conservation and preservation of documents, books, and various other items. The office is currently monitoring the temperature and humidity in the Senate Library, the vault, and the warehouse for preservation and conservation purposes, and plans to phase 15 antique books for

box conservation for storage as well as cross-train a Senate Library staff member to repair Senate Library materials.

2. 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 Office collects, preserves, and interprets the Senate's fine and decorative arts, historic objects, and architectural features; and exercises supervisory responsibility for the chambers in the Capitol under the jurisdiction of the Commission. Through exhibitions, publications, and other programs, the Office educates the public about the Senate and its collections.

Collections: Commissions, Acquisitions, and Management

Several important commissioned portraits are currently in progress, including paintings of Senators Bob Dole and George Mitchell for the Senate Leadership Portrait Collection; Senators Arthur Vandenberg and Robert Wagner for the Senate Reception Room; and Senator Margaret Chase Smith. The Vandenberg, Wagner, and Smith portraits are scheduled to be completed and unveiled in 2004.

The marble bust of Vice President Quayle was unveiled last September. The sculpture was added to the Senate's Vice Presidential Bust Collection and installed on the second floor outside the Senate Chamber. The Curator's Office also installed a painted canvas state seal of Kentucky in the Majority Whip's Office.

Thirteen objects were accessioned into the Senate Collection this year. Objects of note include two porcelain Senate Restaurant plates dating to the early 20th century; a rare cigar label from the mid-1800's depicting Senators Webster, Clay and Calhoun; an historic lithograph of George Washington by Rembrandt Peale based on the Senate's well-known Patri' Pater painting; as well as several historic prints and political cartoons.

Thirteen new foreign gifts were reported to the Select Committee on Ethics and transferred to the Curator's Office. They were catalogued, and are maintained by the office in accordance with the Foreign Gifts and Decorations Act.

In response to work on the Capitol Visitor Center (CVC) and other projects, the Curator's Office worked with the Architect of the Capitol (AOC) to relocate several sculptures in the Capitol. The marble bust of Constantino Brumidi was moved to accommodate the restoration efforts in the Brumidi Corridors; while the three marble patriot busts in the Senate Vestibule and the sculpture of Justice and History were relocated to accommodate CVC construction. Due to the size and fragile nature of Justice and History, a conservator was contracted to assist with the move, and later cleaned and reattached the two pieces in the sculpture's new location.

The 2002 project to professionally photograph the Senate's approximately 1,000 historic prints was completed. One set of transparencies will be stored off-site for emergency purposes, while a second working set will be used for image requests, future publications, and new web site postings.

The office also undertook a new initiative to photograph the 102 historic Senate Chamber desks (one hundred on the Senate floor and two in storage). A contract was awarded to photograph the exterior of each desk, as well as the interior desk drawer. The project is phased to coincide with the conservation of the desks; a total of 20 desks were photographed in 2003, and the project will be completed in 2008. One set of transparencies will be stored off-site for emergency preparedness, while a second working set will be used for the website, image requests, and future publications.

In keeping with the inventory schedule established by the Registration department last year, all prints, drawings, and advertising images in collection storage were inventoried in 2003. Additionally, all objects on display in the Capitol and Senate Office Buildings were inventoried to verify that no changes in location or condition occurred in the past year.

Conservation and Restoration

A total of 19 objects received conservation treatment in 2003. These included 15 Senate Chamber desks, a portrait frame and canvas, a 1909 Russell Senate Office Building partner desk, and two historic ship models.

The initiative to conserve each of the 100 historic Senate Chamber desks began in 1999 at the direction of the Senate Commission on Art. Twice a year, during Senate recess periods, desks are removed from the Senate Chamber and sent out for restoration. Treatment is extensive, and follows a detailed protocol developed to address the wear and degradation of these historic desks due to continued heavy use. To date, 76 desks have been restored and the project is on track to be completed in 2005. This year a condition survey of the desks already treated was completed.

The survey found the desks in good overall condition. The survey noted that the Senate Cabinet shop should complete the installation of rubber bumpers to the arms of the Senate Chamber chairs to protect the front of the desks from damage.

The gilt frame for the portrait of Pocahontas received conservation treatment. While removing the frame from the painting, it was discovered that a small section of the canvas had adhered to the liner of the frame as a result of a previous conservation treatment. A painting conservator separated the frame and painting and performed minor conservation treatment to clean, repair, and protect the surface of the painting.

The office of Senate Curator is studying the possibility of conserving the canvas and frame for the painting George Washington by Gilbert Stuart.

An historic partner desk, part of the original suite of furniture purchased for the Senate Russell Office Building in 1909 and now assigned to the Republican Leadership suite, was refinished according to a detailed protocol treatment that restores the original type of finish and appearance to the Russell Office Building furniture.

Major renovation of the Rules Committee Hearing Room in the Senate Russell Office Building provided the opportunity for conservation treatment of two historic ship models in the room. The ships, one representing the U.S. Constitution and the other the Santa Maria, are part of the original 1913 decorative scheme for the room when it served as the Foreign Relations Committee Room. The ships were removed and examined by a conservator. Extensive cleaning was necessary, as well as repairs to the rigging, sails, and other small associated details.

The Collections Manager participated in training sessions for the Capitol Police regarding the care and protection of art in the Capitol. The Curator's staff also continued to educate the housekeeping personnel on maintenance issues related to the fine and decorative arts collections.

Historic Preservation

Over the past year the preservation program continued to develop the infrastructure systems necessary to support all levels of preservation activities. Efforts focused on research (archival and physical investigations), documentation, record keeping, and project oversight.

Research projects, in response to Senators' requests, produced room histories and chronologies for individual architectural features, some of which involved fabric analysis and condition assessments. The office initiated documentation projects to capture physical changes of a space or object, and to catalogue existing architectural elements through surveys. These research and documentation projects, aside from contributing to the office's architectural knowledge, provided a forum for developing and refining standards for information collection and reporting. In addition, various record keeping systems were established in order to house the findings, including relational FileMaker Pro databases and traditional files. Such systems allow the office to easily store and access information, and will continue to evolve as the preservation department expands its research, documentation, and oversight purview.

The most significant research-related projects included the completion of an historic structures report (HSR) for the Senate Reception Room, and the creation of a collections guide to local archives. The HSR employed a standard format and will serve as a model for all future HSR's. Based on this effort, the office worked with the AOC to develop a project for an HSR for the Senate vestibule, adjacent stairwell, and small Senate rotunda. Regarding the collections guide, the office initiated a program of systematic review of all relevant local research collections for the purpose of informing future research efforts. Through this undertaking, collection content is recorded, all crucial materials are copied, and the research path is clearly documented.

Along with establishing internal procedures, the office worked in partnership with the AOC and the Sergeant at Arms to monitor all relevant Senate side projects and to provide guidance on those with potential to impact historic resources. Projects requiring considerable time and attention included creation of S-125A in the Brumidi Corridors; continued conservation of the Brumidi Corridor walls; initiation of a shutter restoration program; development of a plaster stability testing project; installation of escape mask hood storage units; rehabilitation of the Republican Leadership suite; and completion of the rehabilitation of the Democratic Leadership suite.

Historic Chambers

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. By order of the Capitol Police, the Old Senate Chamber was closed to visitors after September 11, 2001. However, during three Senate recesses (August, October, and December), the historic room was opened to Capitol Guide and staff-led tours. Thirty-

eight requests were received from current Members of Congress for after-hours access to the chamber. Of special significance was the re-enactment swearing-in ceremony for the newly-elected Senators of the 108th Congress. Thirty-one requests were received by current Members of Congress for admittance to the Old Supreme Court Chamber after-hours. The office also worked with the AOC to install an electric lift outside the Old Court for the use of disabled visitors. The lift was necessary due to CVC construction and related accessibility issues.

Loans To and From the Collection

A total of 69 historic objects and paintings are currently on loan to the Curator's Office on behalf of Senate Leadership and officials within the Capitol. Throughout 2003, the Curator's staff returned seven objects at the expiration of their loan periods to their respective owners. At the request of the Republican Leadership, 12 new paintings were borrowed this year.

Of significance was the office's success in locating and securing a loan of an historic chair originally presented to Vice President Charles Curtis. The chair, which reflects Curtis's Native American heritage, is on indefinite loan to the Senate from an anonymous lender.

The Curator's Office continued to work with CVC staff to assemble information on Senate Collection objects under consideration for loan to the exhibition in the main gallery of the CVC.

The Secretary's china was distributed and returned three times in 2003. The official Senate china was inventoried and used at 34 receptions for distinguished guests, both foreign and domestic.

Publications and Exhibitions

This summer the Office of Senate Curator teamed with the Government Printing Office to supervise the printing of the United States Senate Catalogue of Fine Art. The book marks the first time in its more than 200-year history that the Senate has showcased its entire collection of paintings and sculpture in a publication. Using full-page color images and historic photographs, the book provides detailed information on both the subject and artist for 160 works of fine art, and is a significant resource for those interested in the history of the Senate and the heritage of its art. Advance copies of the publication were distributed to congressional offices in October, and additional copies will be available in 2004. Several brochures were reprinted, and one new brochure was published, *The United States Capitol, Room S-219*.

The interactive exhibit *Take the Puck Challenge!* was deinstalled after a 5-year run. The office is continuing to work with the Architect of the Capitol to develop and install the second phase of the Constantino Brumidi exhibit. The Senate Cabinet shop is constructing exhibit kiosks to display informational panels for the paintings *George Washington at Princeton* and *The Recall of Columbus*.

The Curator's office completed final drafts for the Senate Appropriations Committee Room and Isaac Bassett. These drafts have been submitted to the Appropriations Committee and the Secretary for final review.

In early 2004, funding was approved to develop internet sites on the political cartoons of Puck and the drawings of Lily Spandorf.

Policies and Procedures

This year saw the passage of important legislation related to the Commission on Art, Public Law 108-83, the Legislative Appropriations Act of 2004, with several important technical amendments to the Commission's enabling legislation, including a provision to permit the Commission to impanel advisory boards, and the establishment of the Senate Preservation Fund. It also created a Curatorial Advisory Board, which will greatly enhance the Commission's ability to care for the Senate's collections and to evaluate potential acquisitions on behalf of the Senate. Such a board will be composed of respected scholars and curators who will assist in the development of policies and procedures, and will review important acquisitions to ensure appropriateness and validity.

The office also created several important procedural documents in 2003. These included standard procedures for portrait unveilings and foreign gifts disposition. In response to recent Senate activities, the office developed formal guidelines for adding or removing applied and fixed fine art in the Senate. The guidelines call for the creation of parameters for each space where art has or could be applied, and the office developed parameters for the Brumidi Corridors and the Senate Reception Room. The guidelines are currently under review. The office also assisted in the development of standard contract procedures that will be used throughout the Secretary's offices in an effort to standardize and safeguard the contracting process.

Progress continued on a definitive Collections Management Policy. The new Curatorial Advisory Board will review the document, which will be presented to the Commission on Art. A first draft of the Commission on Art's collections management policy has been completed with peer review expected in 2004.

Collaborations, Educational Programs, And Events

As part of the seminar series conducted under the auspices of the Secretary of the Senate and the Sergeant at Arms, the Curator's staff continued to deliver periodic addresses on various aspects of the Senate's art and history. Staff conducted or assisted with several sessions, including "Congress and the Capitol: Tour Guide Series" and "The Vice Presidential Bust Collection."

The office contributed numerous articles to *Unum*, the Secretary of the Senate's newsletter. Along with regular features, a new series highlights art from the country's four geographic regions.

Office Administration

The Curator's Office continued to improve office safety and emergency procedures. Practice evacuation drills were conducted monthly. The office purchased a digital camera for its COOP plan, and performed routine updates of COOP documents. The collection object files are the primary legal title, research, and management records for all art and historical objects in the Senate's collections. Microfiche and digital copies of these records will be stored off-site for disaster recovery and archival purposes. Additional copies will be used on-site for research and public information in order to lessen the handling and damage to the original paper records. In this way, these unique historical records will be preserved for future generations in case of disaster.

Planning continued with AOC staff regarding both additional storage space in the Capitol complex and related construction outside the Curator's two archival storage rooms on the fourth floor of the Capitol. To ensure that the additional space meets the Curator's needs for both temporary and long-term storage for works of art and historical objects, a variety of considerations were addressed, including access, security, fire prevention, and environmental controls. The office worked closely with the AOC to ensure the safety and accessibility of these spaces during construction. At the same time, as part of a larger security system upgrade for the Capitol, the Physical Security Division coordinated replacement of the alarm systems for the storage rooms.

On behalf of the Sergeant at Arms, the Government Services Administration (GSA) signed a three year lease with a contractor to provide secure, climate controlled, museum quality storage for objects in the Senate Collection that are not displayed and cannot be accommodated in the storage rooms on the fourth floor. The office subsequently relocated 70 objects to the new storage facility, primarily historical furniture, rugs, and decorative arts.

In addition to fulfilling storage requirements, the fourth floor construction included renovation of the Curator's space. The changes have greatly improved operational efficiency and staff workspace.

Automation

With the assistance of a consultant, the Senate Collection database was restructured and is now configured as a true relational database, a feature that will streamline data entry, enhance data recovery and use, and facilitate overall maintenance. In addition, data entry screens are better organized and more user friendly. Additionally, some staff in the office upgraded to a new version of FileMaker Pro 6. This version is compatible with XML and already has enabled the Senate website information to be updated directly from the collections database.

In response to a new initiative to publish a catalogue on the Senate's historic prints and engravings, clean-up of data related to almost 1,000 graphic images began. The Registrar and Associate Registrar were tasked with confirming the accuracy and completeness of data for the requisite fields in the database which will provide the basis of the identification information for the objects in the catalogue. In order for this to occur most effectively, each print was viewed and its information compared with the data that appears in the automated database.

The office published an exhibit, "Women in Senate Art," on the Senate web site. This collection of paintings and sculptures illustrates the role of women artists in the Senate Collection, as well as highlights the women depicted in Senate art. The office also posted PDF versions of many of its publications to the web site.

Objectives for 2004

Conservation and preservation concerns continue to be a priority. Projects in 2004 will include the restoration of 15 Senate Chamber desks and restoration of an his-

toric mirror in the Capitol. Investigation will be carried out to identify appropriate expertise and direction for conservation of the painting and frame for a portrait of George Washington by Gilbert Stuart, the First Reading of the Emancipation Proclamation by F.B. Carpenter, and an historic globe from the Senate Rules Committee Hearing Room.

The office, through the Commission on Art, will be responsible for commissioning a new painting. S. Res. 177 directs the Commission on Art to commission by the end of the session a scene commemorating the Connecticut Compromise for display in the Senate.

The office will develop regulations, guidelines, and authorities for administration of the Senate Preservation Fund and associated boards. The Curatorial Advisory Board will be furthered; any additional boards that the Commission deems are needed will be established; and a plan for the Preservation Fund developed.

In compliance with S. Res. 178 directing the Senate Commission on Art to update every six months a list of art and historic furnishings, the office will work closely with the SAA and Senate Superintendent to coordinate and submit a complete inventory to the Rules Committee.

Appropriate disposition of objects in the foreign gift collection will be a priority. The office has established procedures for reviewing and processing foreign gifts that will allow for quicker transfer of objects and alleviate storage issues.

Microfiching of the fine art collection files and microfilming of the Isaac Bassett papers will proceed. The office will continue with the photography of the Senate Chamber desks. Clean-up of the historic print and engraving data will be a high priority.

The next major publication will be a catalogue on the Senate's graphic art collection. Similar in style to the recent fine art catalogue, the United States Senate Catalogue of Graphic Art will highlight the approximately 1,000 prints in the collection along with essays by the Senate Curator and Associate Senate Historian. Other publications scheduled for 2004 include: Bassett: The Venerable Doorkeeper, presenting the career of Isaac Bassett and reproducing passages from his papers, and a brochure on the Appropriations Committee Room.

The office will begin installing information panels for important Senate artworks, and standard labels for all fine art work will be developed.

New internet exhibits will include sites on the Senate Chamber desks, Isaac Bassett, and the United States Senate Catalogue of Fine Art. The office also plans to begin publishing its historic engravings on the web, opening that entire collection to public view for the first time.

Regarding the Senate Preservation Program, the office will expand its knowledge of architectural history through research and documentation. The office will move forward on historic structures reports for the Vice President's Room, Marble Room, and President's Room, and work with the AOC on an HSR for the Senate Vestibule and small Senate Rotunda. In the area of physical preservation, the office will continue project oversight and documentation, and will move into project development by identifying appropriate preservation treatments and sequential tasks for the Senate Reception Room and S-238. In conjunction with the AOC, the office will follow the existing AOC project development procedure to accomplish the preservation goals for these spaces.

3. JOINT OFFICE OF EDUCATION AND TRAINING

The Joint Office of Education and Training provides employee training and development opportunities for all Senate staff both in Washington D.C. and the states. There are three branches within the department. The technical training branch is responsible for providing technical training support for approved software packages. This staff provides instructor-led classes; one-on-one coaching sessions; specialized vendor provided training, computer based training; and informal training and support services. The professional training branch offers courses for all Senate staff in areas including management and leadership development, human resources issues and staff benefits, legislative and staff information, new staff and intern information. The Health Promotion branch provides seminars, classes and screenings on health related and wellness issues. This branch also coordinates an annual Health Fair for all Senate employees and four blood drives each year.

Training Classes

The Joint Office of Education and Training offered 694 classes in 2003 with 6,916 Senate employees participating. The registration desk handled 15,390 requests for training and documentation.

Of the above total, in the Technical Training area, 335 classes were held with a total attendance of 1,799 students. An additional 1,126 staff received coaching on

various software packages and other computer related issues. Training was provided to virtually the entire Senate community as the new Senate Mail Infrastructure was rolled out through the year.

In the Professional Development area 359 classes were held with a total attendance of 5,117 students. Individual managers and supervisors were also encouraged to request customized training for their offices on areas of need.

The Office of Education and Training is available to work with offices on issues related to team performance, communication or conflict resolution. During 2003, 40 requests for special training or team building were met. Professional development staff also traveled to State offices to conduct specialized training/team building during the year.

In the Health Promotion area, 774 Senate staff participated in Health Promotion activities throughout the year. These activities included cancer screening, bone density screening and seminars on health related topics. Additionally 1,300 staff participated in the Annual Health Fair held in October.

The Office of Education and Training also works with the Office of Security and Emergency Preparedness to provide security training for Senate staff. In 2003 the office coordinated 23 sessions of Escape Hood Training for 1,359 Senate staff. The office also worked with the Office of Security and Emergency Preparedness to mount a safety and security curriculum, comprised of numerous topics related to security and emergency preparedness.

State Training

Since most of the classes offered are only practical for Washington, D.C. based staff, the Office of Education and Training continues to offer the "State Training Fair" which first began in March 2000. In 2003, three sessions of this program were offered to state staff. There were 134 state staff participants. This office also offered a State Directors Forum for the first time. This program was designed specifically for the senior leaders in the Senators' state offices. There were 42 participants. The office continues to offer "Virtual Classroom," which is an internet based training library of 300+ courses. To date, 164 state office staff representing 59 Senators are using this training option.

4. CHIEF COUNSEL FOR EMPLOYMENT

Background

The Office of the Senate Chief Counsel for Employment (SCCE) is a non-partisan office established at the direction of the Joint Leadership in 1993 after enactment of the Government Employee Rights Act (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), Senate offices became subject to the requirements, responsibilities and obligations of 11 employment laws. The SCCE is charged with all legal defense of Senate offices in all employment law cases at both the administrative and court levels. Also, on a day-to-day basis, the office provides legal advice to Senate offices about their obligations under employment laws. Accordingly, each of the 180 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 Federal Court); Mediations to Resolve Lawsuits; Court-Ordered Alternative Dispute Resolutions; Preventive Legal Advice; Union Drives, Negotiations and Unfair Labor Practice Charges; OSHA/Americans With Disability Act ("ADA") Compliance; Layoffs and Office Closings In Compliance With the Law; and Management Training Regarding Legal Responsibilities.

Litigation, Mediations, Alternative Dispute Resolutions

The SCCE represents each of the 180 employing offices of the Senate in all court actions (including both trial and appellate courts), 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. The SCCE represents a defendant Senate office from the inception of a case through U.S. Supreme Court review. The office handled all work in 2003 internally without the assistance of outside attorneys.

Union Drives, Negotiations And Unfair Labor Practice Charges

In 2003, the SCCE handled one union drive. The Office did the following with respect to the union drive: trained managers and supervisors regarding their legal obligations during a union campaign, advised the client in selecting its representatives

for the election, conducted training sessions for the employer representatives regarding improper conduct at elections, and conducted an investigation to determine whether ground rules exist to challenge the election results.

OSHA/ADA Compliance

The SCCE provides advice and assistance to Senate offices in complying with the applicable OSHA and ADA regulations; representing them during Office of Compliance inspections; advising State offices on the preparation of the Office of Compliance's Home State OSHA/ADA Inspection Questionnaires; assisting offices in the preparation of Emergency Action Plans; and advising and representing Senate offices when a complaint of an OSHA violation has been filed with the Office of Compliance or when a citation has been issued. In 2003, the SCCE handled 5 OSHA complaint procedures.

Management Training Regarding Legal Responsibilities

The SCCE conducts legal seminars for the managers of Senate offices to assist them in complying with employment laws. In 2003, the SCCE gave 75 legal seminars to Senate offices. Among the topics covered were:

- Preventing and Addressing Sexual Harassment in the Workplace;
- The Congressional Accountability Act of 1995: What Managers Need to Know About Their Legal Obligations;
- Managers' Obligations Under the Family and Medical Leave Act;
- The Legal Pitfalls of Hiring the Right Employee: Advertising, Interviewing, Drug Testing and Background Checks;
- Disciplining, Evaluating and Terminating an Employee Without Violating Employment Laws;
- Management's Obligations Under the Americans With Disabilities Act;
- Equal Pay for Equal Work: Management's Obligations Under the Equal Pay Act;
- The Immigration Reform and Control Act of 1986 (IRCA): Steps Your Office Must Take to Verify Employment Eligibility;
- Enhancing Diversity and Avoiding Discrimination in the Workplace; and
- Workplace Violence.

Preventive Legal Advice

At times, a Senate office will become aware that an employee is contemplating suing, and the office will request the SCCE's legal advice and/or that the SCCE negotiate with the employee's attorney before the employee files a lawsuit. The successful resolution of such matters substantially reduces an office's liability.

Also, the SCCE advises and meets with Members, Chiefs of Staff, Administrative Directors, Office Managers, Staff Directors, Chief Clerks and General Counsels at their request. The purpose is to prevent litigation and to minimize liability in the event of litigation. 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 sexual harassment complaints, accommodating the disabled, determining wage law requirements, meeting the requirements of the Family and Medical Leave Act, and management's rights and obligations under union laws and OSHA.

5. SENATE GIFT SHOP

Pursuant to 2 U.S.C. 121(d), the Senate Gift Shop was established in 1992 under administrative direction and supervision of the Secretary of the Senate. With each successive year since its establishment, the Senate Gift Shop has continued to provide outstanding products and services that maintain the integrity of the Senate as well as increase the public's awareness of the mission and history of the U.S. Senate. The Gift Shop provides services to Senators, staff and employees of the Senate, as well as constituents, and the many visitors to the U.S. Capitol complex. Products include a wide variety of souvenirs, collectibles, and fine gift items created exclusively for the U.S. Senate. Services include special ordering of personalized products and hard-to-find items, custom framing, gold embossing, engraving, and shipping. Additional special services include the distribution of educational materials to tourists and constituents visiting the Capitol Building and Senate Office Buildings.

Facilities

For several years, the services offered by the Senate Gift Shop were over-the-counter sales to walk-in customers at a single location. Today, after more than ten years in operation, and as a result of extended services and continued growth, the Gift Shop now provides service from three different locations. Services from these

locations include walk-in sales, telephone orders, fax orders, mail orders, and a variety of special order and catalog sales.

Sales Activity

The Senate Gift Shop recorded sales of \$1,516,594.88 for fiscal year 2003. Cost of goods sold during this same period were \$1,114,899.59, accounting for a gross profit of \$360,172.97. Records show total sales in fiscal year 2002 were \$1,418,065.88. This represents an increase in sales of \$98,529.00 from fiscal year 2002 to fiscal year 2003.

In addition to tracking gross profit from sales, the Senate Gift Shop maintains a revolving fund and a record of on-hand inventory. As of October 1, 2003, the balance in the revolving fund was \$1,109,717.22 with on-hand inventory valued at \$2,304,772.88.

A General Accounting Office (GAO) audit of the gift shop's fiscal year 2002 sales transactions, requested by the Secretary, is in progress and will be completed this year.

Additional Activity

One of the most important objectives for 2003 was replacing point-of-sale and accounting software, Basic Four, which is more than 20 years old and no longer meets the increasingly unique needs of the Gift Shop. (This old application was shared with the Stationery Room). A contractor was selected to perform the system installation including the required hardware for the new retail and financial management system. The contract is nearing completion and cut-over to the new system occurred in February 2004. The system is now in an acceptance stage to ensure that all aspects are functioning properly.

The selected software package, Microsoft Retail Management Systems: Headquarters, Store Operations and Great Plains Financial, was purchased in late 2002. It is an off-the-shelf package that requires little modification to meet the special technical requirements of Senate Gift Shop operations. Currently, Gift Shop staff are creating the necessary databases that will serve as the foundation for the new retail system including inventory details, financial data and other information required for detailed reports. Contractors are now training Gift Shop staff on the new system and will continue to provide hardware and software support after the cut-over date.

The installation of the required hardware—servers, computers, monitors, and point of sale terminals—and software, is mostly complete. The majority of hardware and software along with the support services necessary for full implementation of the new system were funded through fiscal year 2003 appropriations allocated to the Secretary of the Senate. A few additional items, i.e., application user fees, required funds which were appropriated in fiscal year 2004.

It is important to note that the new system will not only meet the Gift Shop's current and near-future requirements, but it will also accommodate potential add-on features.

Accomplishments and New Products in 2003

Official Congressional Holiday Ornaments

In 2003 the Senate Gift Shop introduced the second ornament in the 2002–2005 series, the third consecutive “four-year ornament series.” Each ornament features an architectural milestone of the Capitol building and is packaged with corresponding historical text taken from the book, *History of the United States Capitol: A Chronicle of Design, Construction, and Politics* by William C. Allen, architectural historian in the office of the Architect of the Capitol.

Our 11th annual ornament, released in 2003, pictures a watercolor of the Capitol as it appeared in 1834 as depicted by New York architect Alexander Jackson Davis. In keeping with a Gift Shop tradition, the authentic colors of the original watercolor were reproduced onto a white porcelain stone and set with a brass frame finished in 24kt gold.

Holiday sales of the 2003 ornament were very good with additional sales expected throughout 2004. Revenue from selling nearly 35,000 of these ornaments has generated more than \$40,000 in scholarship funds for the Senate Child Care Center.

Porcelain “Legislation” Box

“Legislation” was the second in a series of four porcelain boxes that displays different images from the Constantino Brumidi fresco painted on the ceiling of the President's Room in the Senate Wing of the United States Capitol. The first box in the series, “Liberty” was released in 2002. Each of the final two porcelain boxes will display one of the two remaining allegorical figures, Executive and Religion, in

Brumidi's painting. The boxes will be released in late 2004 and late 2005, respectively.

Capitol Visitor Center (CVC) Coin Products

To better promote the CVC and to better showcase the CVC coins, the Gift Shop incorporated coins into a variety of unique gift items. While we have noticed an increase in coin sales due to the creation of these items, we do not anticipate any substantial reduction of inventory until the actual opening of the CVC. The items developed to date include:

- CVC coins encased in Lucite paperweights, which have sold well since their development last year.
- A variety of ladies' and men's wristwatches and pocket watches with CVC coins serving as the face (developed by the Gift Shop and a vendor/manufacturer).
- Introductions of additional items currently in development are expected in 2004.

Senate Seal Watches

The "official Senate watch" is now provided by a different manufacturer. The new men's and ladies' watches have the same look and feel as the discontinued watches, with additional space on the backplate for personalized engravings. The first shipment of watches was received in December and is expected to be a popular gift item.

Projects and New Ideas for 2004

United States Senate Catalogue of Fine Art

The Gift Shop is working with the Senate Curator in order to secure copies of the new publication, *United States Senate Catalogue of Fine Art*.

Capitol Complex Trees

During the early construction stages of the CVC the Senate Gift Shop arranged for the recovery of the felled trees from the grounds of the Capitol complex. The recovered trees have been milled and kiln dried. The resulting 12,000 board feet of cut lumber are being temporarily stored in a warehousing facility.

While the Gift Shop continues researching ideas for products that can be produced from the recovered trees, the general thought is to create presentation pieces for official use and a variety of collectors' items available for sale to the general public.

108th Congressional Plate

The series of Official Congressional Plates will continue this year with the design, development, and manufacture of the 108th Congressional Plate. As in previous years, the Gift Shop will rely on Tiffany & Co. to produce the plates.

In addition we are creating a library of complementary designs and artwork from which designs for future Congressional plates could be chosen. This library will include mock-ups produced in conjunction with the selection for the artwork chosen for the 108th Congressional Plate.

6. 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 advises Senators, officers, and committees on cost-effective disposition of their non-current office files and assists researchers in identifying Senate-related source materials. The Office keeps extensive biographical, bibliographical, photographic, and archival information on the 1,775 former Senators. It 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 most former Senators, as well as news photographs, editorial cartoons, photographs of committees in session, and other images documenting Senate history. The Office develops and maintains all historical material on the Senate website.

Editorial Projects

Executive Session Transcripts of the Permanent Subcommittee on Investigations, 1953–1954.—The Historical Office completed editing, annotating, and indexing 3,800 pages of previously unpublished executive-session hearing transcripts produced by the Senate Permanent Subcommittee on Investigations (PSI) under the chairmanship of Senator Joseph R. McCarthy (1953–1954). In May 2003, the PSI released the resulting five-volume work in both printed and electronic editions. The transcripts received extensive national media attention.

The Senate Leader's Lecture Series.—From 1998 through 2002, the Senate Majority Leader hosted a series of lectures on Senate leadership. These talks, featuring former Senate presidents and party floor leaders, were held in the Capitol's historic Old Senate Chamber before an audience of current Senators and invited guests. The Historical Office provided production and publication support for the series, including a 188-page volume containing all nine lectures and separate remarks by President Pro Tempore Strom Thurmond. That book, entitled *Leading the United States Senate*, was published by the Government Printing Office in September 2003.

The Documentary History of the United States Senate.—The Historical Office is conducting an ongoing documentary publication program to bring together in edited volumes fundamental source materials that will help explain the development of the Senate's constitutional powers and institutional prerogatives. Currently in the research and writing stage are volumes on Senate impeachment trials, the Senate's consideration of controversial treaties, and the evolution of the Senate's standing rules.

Administrative History of the Senate.—During 2003, the assistant historian continued the research and writing of this historical account of the Senate's administrative evolution, taking advantage of newly discovered archival resources and improved search capabilities for contents of nineteenth century newspapers and periodicals. This study traces the development of the offices of the Secretary of the Senate and Sergeant at Arms, considers nineteenth and twentieth century reform efforts that resulted in reorganization and professionalization of Senate staff, and looks at how the Senate's administrative structure has grown and diversified over the past two centuries.

Biographical Directory of the U.S. Congress, 1774-present.—In May 2003, both Houses of Congress adopted H. Con. Res. 138, authorizing printing of the sixteenth edition of the Biographical Directory of the United States Congress, 1774–2005. The first edition of this indispensable reference source was published in 1859; the most recent edition appeared in 1989. Since 1989, the assistant historian has added many new biographical sketches, has expanded bibliography entries, and has revised and updated most of the database's 1,875 Senate entries. The assistant historian has updated the Congress-by-Congress listing of members through the 108th Congress, in preparation for the new print edition, and has completed the editing and proofing of existing information to allow for expanded search capabilities on the online version at <http://bioguide.congress.gov>.

Capitol Visitor Center Exhibition Content Development.—The Senate historian assisted in preparing detailed plans for the exhibition gallery of the Capitol Visitor Center. Three staff historians contributed to exhibition scripts that set forth the chronological history of the Senate and describe the role of Congress in helping to realize the nation's basic aspirations.

Member Services

Senate Historical Minutes.—At the request of the Senate Democratic Leader, the Senate historian prepared and delivered a "Senate Historical Minute" at thirty-one Senate Democratic Conference weekly meetings during the year. These four-hundred-word Minutes are designed to enlighten members about significant events and personalities associated with the Senate's institutional development, and with familiar objects and places within the Capitol. They subsequently appear each week in *The Hill* newspaper. The nearly 200 Minutes prepared since 1997 are available as a feature on the Senate website.

Members' Office Records Management and Disposition Assistance.—The Senate archivist continued her program of assisting members' offices with planning for the preservation of their permanently valuable records, with special emphasis on archiving electronic information from computer systems and transferring valuable records to a home state repository. The archivist completed and the Senate published a comprehensive revision of *Records Management Handbook for United States Senators and Their Archival Repositories* together with a revised pamphlet for Senate staff entitled "Senators' Papers: Management and Preservation Guidelines." The archivist assisted in the production of an "Opening an Office Handbook" and produced a brochure, "New Senators Briefing: Your Historical Records." The archivist updated the archival sections of the handbook, "Closing a Senate Office."

Committee Records Management and Disposition Assistance.—The Senate archivist provided each committee with staff briefings, record surveys, guidance in preservation of information in electronic systems, and instructions for the transfer of permanently valuable records to the National Archives' Center for Legislative Archives. 3,530 feet of records were transferred to the Archives. The archivist completed a review of records disposition guidelines for the offices under the Secretary's

jurisdiction. The Office's archival staff continued to provide processing assistance to committees and administrative offices in need of basic help with noncurrent files.

Association of Centers for the Study of Congress.—In May, the Historical Office joined with the National Archives' Center for Legislative Archives, and the Robert C. Byrd Center for Legislative Studies to conduct a conference designed to establish an association of university-based research centers devoted to the study of Congress. The Association of Centers for the Study of Congress will conduct its first meeting in May 2004. Among the centers involved are those associated with the public careers of former Senators Howard Baker, Bob Dole, Everett Dirksen, Margaret Chase Smith, George Aiken, Thomas Dodd, Wendell Ford, Hubert Humphrey, Richard Russell, John Stennis, and John Glenn.

Oral History Program

The Historical Office conducts a series of oral history interviews, which provide personal recollections of various Senate careers. This year, oral history interviews were completed with J. Stanley Kimmitt, former Secretary of the Senate; C. Abbott Saffold, former Democratic Secretary; Jade West, former staff director of the Republican Policy Committee; Tom C. Korologos, former staff of Senator Wallace Bennett and White House congressional liaison; Arthur Rynearson, deputy Senate Legislative Counsel; Alphonso Lenhardt, former Senate Sergeant at Arms; and Martin Gold, procedural counsel to the Majority Leader.

Photographic Collections

The photo historian continued to expand the Office's 40,000-item photographic collection, acquiring images of former Senators not previously represented in the collection and photographing historically significant Senate events, including hearings of Senate committees. Digital images of frequently used photographs were created to promote their use and safeguard the originals. Images are now being transmitted to patrons via e-mail or CD, and can be printed onto photographic paper in the Historical Office. The photo historian also continued to catalog photographic negatives into an image database in order to increase intellectual control over the Office's image collection. An exhibition of Capitol photographs (1900–1950) was developed for display on the Capitol's second floor.

Educational Outreach

In coordination with the Senate Office of Education and Training, Historical Office staff provided seminars on the general history of the Senate, women Senators, and Senate floor leadership. Office staff also participated in seminars and briefings for specially scheduled groups.

On April 18, 2003, the Washington Post published a highly complimentary feature-length article, "Ensuring a Senate Inscribed in History," on the operations of the Historical Office.

7. HUMAN RESOURCES

The Office of Human Resources (HR) was established in June 1995 as a result of the Congressional Accountability Act. The Office focuses on developing and implementing human resources policies, procedures, and programs for the Office of the Secretary of the Senate that not only fulfill the legal requirements of the workplace but which complement the organization's strategic goals and values. This includes recruiting and staffing; providing guidance and advice to managers; training; performance management; job analysis; compensation planning, design, and administration; leave administration; records management; employee handbooks and manuals; internal grievance procedures; employee relations and services; and organizational planning and development.

The Human Resources Office also administers the Secretary's Public Transportation Subsidy program and the Summer Intern Program that offers college students the opportunity to gain valuable skills and experience in a variety of Senate support offices.

Classification and Compensation Review

For the Secretary of the Senate's operation, the Office of Human Resources has conducted a complete classification and compensation study which includes, for the first time, a comprehensive collection of current job classifications and specifications for every position. Furthermore, the pay plan and bands reflect the accurate and equitable layout of all staff within the organization. Needs for the upkeep of the system are being drafted to afford the Secretary the opportunity to keep the system current.

Policies and Procedures

HR will continue to update and revise the Employee Handbook of the Office of the Secretary. With nuances in employment law and other advances, policies need to be reviewed, revised and updated annually.

In regard to potential violations of said procedures, the Secretary, through HR and the Senate Chief Counsel for Employment, has developed an effective method to coordinate inquiries.

Attraction and Retention of Staff

HR is responsible for the ongoing task of advertising new vacancies or positions, screening applicants, interviewing candidates and assisting with all phases of the hiring process. The office works closely with the applicable department to ensure the process moves smoothly and expeditiously. HR presents to the Secretary the recommendations of department heads concerning payroll and hiring actions.

Training

In conjunction with the Senate Chief Counsel for Employment, HR prepares training for department heads and staff. Some of the training topics include Sexual Harassment, Interviewing Skills, Conducting Background Checks, Providing Feedback to Employees and Goal Setting.

Orientation of New Staff

Since first impressions make such a lasting impression, HR has developed a new consistent means of orienting new staff joining the Office of the Secretary. This new system allows for a seamless transition from the orientation of HR, policies, parking, and metro subsidy, to the particular department the staff member is joining and fosters a greater overall understanding of the Secretary's operation.

Interns and Javits Fellows

HR coordinates both the Secretary's internship program and the Javits and Heinz Fellowship programs. The Javits program is due to terminate in September 2004. The Heinz Fellowship is also due to terminate at the end of this fiscal year. HR is aware that the Heinz Foundation is currently working to secure reauthorization for the program.

Employee Outreach, Feedback and Development

HR acts as a liaison for staff of the Secretary in soliciting and receiving feedback, suggestions and insight in an effort to continually improve processes and procedures.

A key to maintaining and improving performance standards, as well as ensuring completion of organizational objectives, is providing employee feedback. HR continues to work with the Executive Office and department heads to establish objectives that reflect the mission of the Senate and the Secretary's Office.

HR is in the process of obtaining feedback on the current Employee Feedback and Development Program (EFDP) process. A new modified tool will be created to encompass the recommendations and efficiencies brought to light over the past two years.

HR has initiated development of an Elder Care Fair that will be available for all Senate staff interested in learning more about local and nationwide services available to assist the elderly and those responsible for their care. HR is working closely with the Senate Office of Education and Training and the Employee Assistance Program to identify and contact agencies that may be of assistance to Senate staff.

Employee Self-Service (ESS)

HR has implemented use of the Employee Self-Service system (ESS) which is a secure system enabling Secretary staff to review and update personnel information pertaining to addresses, phone numbers and emergency contact information. Employees are now able to review and correct information to their electronic personnel records kept by HR. Staff and managers can also access leave records and reports through this system. The ability to review and update this information is instrumental to maintaining accurate contact lists for emergencies or other contingencies.

New Leave Tracking System

In the past, employees of the Secretary of the Senate had to maintain "time-sheets" for each day of work throughout the year. This system was maintained by each employee and signed off on by the supervisor and/or department head. The accrual rates for both sick leave and annual leave, in conjunction with the manual attendance tracking, proved a tedious task for all. HR has created a new leave tracking system whereby attendance is only recorded by the exception, or absence.

Leave slips have been created for staff to complete and submit prior to taking leave. The supervisor approves the request and forwards it to HR to be entered into the system. Staff will then have access to their leave balances which will be accrued and maintained by HR.

8. INFORMATION SYSTEMS

The staff of the Department of Information Systems provide technical hardware and software support for the Office of the Secretary of the Senate. Information Systems staff also work closely with the application and network development groups within the Sergeant at Arms (SAA), the Government Printing Office (GPO), and outside vendors on technical issues and joint projects. The Department provides computer related support for the all LAN-based servers within the Office of the Secretary of the Senate. Information Systems staff provide direct application support for all software installed workstations, evaluate new computer technologies, and implement next generation hardware and software solutions.

Mission Evaluation

The primary mission of Information Systems Department is to continue to provide the highest level of customer satisfaction and computer support for all departments within the Office of Secretary of the Senate. Emphasis is placed on the creation and transfer of legislation to outside departments and agencies.

As in fiscal year 2002, improved procedures were adopted to stretch support across all Secretary departments. With one exception, which should be completed in June, all offices have been updated to the Senate Mail Exchange Application as the principal e-mail application. Individual offices that previously maintained cc:Mail post offices, namely Public Records, the Stationery Room, and Page School, were combined into one central Secretary Microsoft Exchange server located at Postal Square.

For security reasons, the Secretary of the Senate network is a closed local area network to all offices within the Senate. Information Systems staff continue to provide a common level of hardware and software integration for these networks, and for the shared resources of inter-departmental resources. Information System staff continue to actively participate in all new project designs and implementations within the Secretary of the Senate operations.

Improvements to the Secretary's LANs

The Senate chose Windows NT as the standard network operating system in 1997. The Senate standard will shift to Microsoft Server 2000 operating system software in fiscal year 2004.

The continuing support strategy is to enhance existing hardware and software support provided by the Information Systems Department, and augment that support with assistance from the Sergeant at Arms whenever required. The Secretary's network supports approximately 300 staff, intern, and patron accounts in the Capitol, the Senate Hart, Russell, Dirksen buildings, and the Page School.

Fiscal Year 2003 Highlights

Installed 3 LIS major production releases on all Legislative workstations and laptops. In conjunction with the SAA Office of Application Development, legislative software applications are updated and revised on a continual basis. One notable enhancement in fiscal year 2003 was the continuing design and development of the Senate Journal application.

Replaced all Captioning Services workstations with improved hardware and software applications and installed Secretary-Judiciary workstation pilot hardware and software to support voice-to-text speech recognition applications.

Renovated Gift Shop hardware and software workstations and servers to implement improved point-of-sales operation.

Added Quantum Snap Server for existing Stationery server emergency data backup operation.

Updated Official Reporter workstations to Windows 2000 operating systems and improved high speed printing operations.

Installed new Library Oracle server and Web server on schedule in July 2003; Senate Library catalog database deployment for intranet operation is scheduled for 2004.

Deployed enterprise-wide virus-patch installation process to automatically download Norton anti-virus definition files to Secretary workstations. No legislative workstations were affected by the August 2003 outbreaks of the Blaster and Welchia viruses which distributed security vulnerabilities for servers and workstations.

Deployed three major hardware COOP LIS operational upgrades. In May 2003, all legislative department heads were provided a laptop with secure-id/VPN access to the Senate Network that mirrors their office desktop operation. In October, a second set of laptops was deployed off-site. In December a third mirrored set was installed at the Alternate Chamber facility. The setup and installation of the January 2004 Alternate Chamber exercise utilized equipment from outside the perimeter of the exercise site.

Installed and replaced original Secretary intranet development web server. This server will function as the primary data warehouse for the Office of Human Resources' People-Trak database. Networking routes have been established for all Secretary department access to this web server.

The Historical Office completed the McCarthy publication project marking the 50th anniversary of these hearings. Digital scanning techniques implemented and adopted three years ago by our office continue to be utilized in all Secretary departments.

Fiscal Year 2004 Objectives

Implementation of the SAA Active Directory Redesign project in 2004 will present a rapid change in server-client hardware and software functionality for all Secretary offices. System requirements have been developed and forwarded to SAA to meet and provide continual application growth for all departments. This change in networking structure will allow Information System staff to migrate from a SINGLE-LAN support group to an Enterprise-Level support organization—as extending the flexibility of available support to all departments is vital to the IT growth within the Office of the Secretary.

9. INTERPARLIAMENTARY SERVICES

The Office of Interparliamentary Services (IPS) has completed its 22nd year of operation. 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; and British-American Interparliamentary Group.

Two additional interparliamentary conferences were created in 2003 which will meet for the first time this year. The new conferences are United States-Russia and United-States China Interparliamentary Group.

In June, the 42th Annual Meeting of the Mexico-U.S. Interparliamentary Group was held in Tennessee. In July, the British-American Interparliamentary Group meeting was held in Virginia. Arrangements for both of these successful events were handled by the IPS staff.

As in previous years, all foreign travel authorized by the Leadership 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, visas, travel arrangements, and reporting requirements.

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

Interparliamentary Services maintains regular contact with the Office of the Chief of Protocol, Department of State, and with foreign embassy officials. Official foreign visitors are frequently received in this office and assistance is given to individuals as well as to groups by the IPS staff. The staff continues to work closely with other offices of the Secretary of the Senate and the Sergeant at Arms in arranging programs for foreign visitors. In addition, IPS is frequently consulted by individual Senators' offices on a broad range of protocol questions. Occasional questions come from state officials or the general public regarding Congressional protocol.

On behalf of the Leadership, the staff arranges receptions in the Senate for Heads of State, Heads of Government, Heads of Parliaments, and parliamentary delegations. Required records of expenditures on behalf of foreign visitors under authority of Public Law 100-71 are maintained in the Office of Interparliamentary Services.

Planning is underway for the 45nd Annual Meeting of the Canada-U.S. Interparliamentary Group to be held in the United States in 2004. Advance work, including site inspection, will be undertaken for the 44nd annual Mexico-U.S. Inter-

parliamentary Group meeting to be held in the United States in 2005. Preparations are also underway for the spring and fall sessions of the NATO Parliamentary Assembly.

10. LIBRARY

The Senate Library provides legislative, legal, business, and general information services to the United States Senate. The Library collection encompasses legislative documents beginning with the Continental Congress in 1774; current and historic executive and judicial branch materials; and an extensive book collection on American politics, history, and biography. Collection resources also include a wide array of online systems used to provide nonpartisan, confidential, timely, and accurate information services to the Senate.

Notable Achievements

Information Services inquiries increased more than 14 percent over 2002 totals. Significant progress made toward making online catalog available Senate-wide. Submitted proposal to Sergeant at Arms for off-site storage facility. XML-generated tables posted on Senate.gov, LIS, and Webster from a single file. Senate Floor Schedule on Senate.gov posted nightly by Library staff. Deaccessioned and transferred to the Federal Depository Program 24,293 outdated, superseded, and surplus government documents.

Information Services

Senate.gov and the Legislative Information System (LIS)

The Senate Library's role in the production of www.senate.gov significantly expanded in 2003. The Information Services Team focused on increasing their knowledge and skills with the latest Internet technologies. Each librarian accepted additional responsibility to research, write, edit, and post time-sensitive information on the Senate's official public Internet site. Reference Librarians worked closely with the Webmaster to coordinate and plan the rapidly growing site.

The Senate Library is dedicated to creating an Internet site that provides up-to-the-minute, well-organized information to dual audiences, both Senate offices and the general public. Presentation of timely information on Senate.gov, enhanced by Library-authored navigational guides, significantly improves the Senate's ability to disseminate information. The most popular Senate Library-authored pages on Senate.gov and LIS had 348,198 visitors in 2003.

VISITORS TO SENATE LIBRARY—AUTHORED SENATE.GOV AND LIS PAGES

Active Legislation on Senate.gov	95,301
Reference on Senate.gov	192,725
Virtual Reference Desk on Senate.gov	41,301
Hot Bills List on LIS	12,353
Appropriations Tables, Fiscal Year 1987–2004 on LIS	6,518
TOTAL	348,198

Librarians are critical in the development of information architecture, which is the underlying organization system for an Internet site. Well-designed information architecture greatly improves the workflow of adding new information and also makes it easier to locate existing information. Examples are numerous, but they include Active Legislation and the Virtual Reference Desk. These pages provide valuable gateways to thousands of legislative documents, articles, biographies, statistical tables, and works of art categorized by key topics. The addition of the important "teasers," help visitors navigate through more than 10,000 pages of information on Senate.gov.

The Library continues to serve as the official LIS Help Desk for Senate staff and provides LIS training sessions in conjunction with the Office of Education and Training. Reference Librarians participated in 15 LIS training events for Senate staff during 2003.

Patron Services and Document Delivery

Inquiry statistics for phone, fax, e-mail, and walk-in visitors increased more than 14 percent in 2003 (46,234), surpassing the target of a 3 percent increase over 2002 totals (40,359). Visitors to Library-produced pages on Senate.gov and LIS are factored into the inquiry statistics this year for the first time, having both the effect

of more accurately reflecting and dramatically increasing the 2003 inquiry total (394,432).

INFORMATION SERVICES INQUIRY STATISTICS

Phone, Fax, E-mail Requestors	34,081
Walk-in Visitors	12,153
Visitors to Senate Library-Authorized Senate.gov and LIS Pages	348,198
TOTAL	394,432

Library activity is also reflected by the number of photocopies produced (156,891) and the number of pages printed (6,945) in the Micrographics Center. Technology that scans documents from the Library's extensive microform collection of congressional and executive materials, newspapers, and magazines has become a popular tool. It enables staff to post copies of historic documents on Senate.gov or e-mail them directly to researchers. Use of these technologies decreased the number of information packages hand-delivered to Senate offices (4,078), loaned books and documents (1,664), and outgoing faxes (2,747).

Webster

The librarians have forged a well-deserved reputation on Capitol Hill as authorities in the field of information service and are frequently asked for consultation. In 2003 administrators of the Sergeant at Arms' Senate Information Services (SIS) program relied upon the Senate Library to thoroughly review the online version of the Leadership Directories before purchasing a Senate-wide license. A second major project involving the reference librarians was their participation in a SIS project to identify a replacement for the outdated News Edge system on Webster. The Library also agreed to serve as the Search Help Desk to assist all Senate staff in the use of commercial research tools provided by SIS via the Front Page on Webster. Serving as the Search Help Desk requires that each member of the Information Services Team maintain expert search skills for LexisNexis, WestLaw, ProQuest, Leadership Directories, Congressional Quarterly, Bureau of National Affairs, National Journal, Federal Document Clearinghouse, Associated Press, and Reuters.

Client Relations

The Library hosted 27 client relations staff events during 2003, including quarterly Services of the Senate Library Seminars, a State Fair, five District-State Seminars, monthly New Staff Seminars, and a reception for office managers and chief clerks. The Library also conducted two special seminars for the Senate Page School. New borrowing accounts established for 350 Senate staff during 2003 reflect the success of the Library's public relations program.

The Senate Library is proud to have a reputation among information professionals and researchers. Tours and demonstrations during 2003 brought 68 individuals from organizations including the annual Depository Library Conference, University of North Carolina, Federal Library and Information Center Committee, and the University of Maryland. Tours and research assistance was extended to foreign visitors from Brazil, Japan, Russia, Egypt, England, and Hong Kong.

This is the sixth year that the Library hosted National Library Week activities. This year's book talk featured Senator Dale Bumpers who spoke about his autobiography, *The Best Lawyer in a One-Lawyer Town: A Memoir*. More than forty staff enjoyed his candid reminiscences of past and current political figures. The annual dessert reception brought an additional 115 Senate staff to the Library. These annual events are excellent public relations tools that are enjoyed by frequent Library users and by new Senate staff.

Library staff produced three new display cases in the Russell Building corridor in 2003. The new displays included *What Hath God Wrought: Communication Technology in the Senate*. The display documents the use of television, radio, telephone, and telegraph in the Senate since Samuel F.B. Morse transmitted the first official telegraph message from the Capitol in 1844. A second display was the *Signers of the Declaration of Independence*. The display features a first-edition copy of *Annual Register*, or a *View of the History, Politics, and Literature, for the Year 1776*—significant because the first printing of the Declaration of Independence in a book is in this edition. The recently unveiled portrait and historic accomplishments of Senator Blanche Kelso Bruce, the second black Senator in history and the only former slave to serve in the United States Senate, was the third display for 2003.

Technical Services

Acquisitions

Two significant collections of historic congressional documents were added to the permanent collection in 2003. The Unpublished U.S. House Committee Hearings 1969–1972 and 1945–1968 Supplement, produced by the Congressional Information Service, is a microfiche collection of 1,180 hearing transcripts that were previously only available at the National Archives. In addition, copies were made of legislative calendars for the Senate Committee on Rules and Administration and the Senate Committee on Veterans Affairs, dating from the mid-1930s, which had previously only been available in committee libraries.

A book acquisitions committee has been established to implement a collection development policy in the Library. Members of the committee include the Acquisitions Librarian, several members of the Information Services team, and the Librarian. The committee meets monthly to review each potential acquisition for content, cost, scholarlyness, and value to the permanent collection.

The Library added 11,698 books, congressional and executive branch documents, and microforms to the permanent collection in 2003. New materials include 1,034 books, 7,188 congressional documents, and 3,476 executive branch publications. Statistics for books and standing orders are reported in a single category as of 2003, which more accurately reflects the cataloging and processing workload.

Cataloging

Major progress was made in 2003 that will enable the Senate community to access the Library's online catalog via Webster. Two Windows 2000 catalog servers were received in August and the Oracle catalog database was transferred to the primary server on December 3, 2003. The new technology significantly upgraded system administration by improving backup and remote management functions. Software and licenses have been ordered for the secondary server that will reside at the Senate Computer Center in Postal Square. The Library's online catalog provider, the Library Corporation (TLC) installed the secondary server in early January 2004. The secondary server will provide patron access to the online catalog, and will be available by the fourth quarter of 2004.

The Library's catalog database was rebuilt and significant workstation upgrades were completed in early 2003. Improvements include automated temporary circulation record deletion; expanded printer support; integrated e-mail notification; catalog support of search history, new title searches, and results sorting; full authority record editing; multiple ISBN (International Standard Book Numbers) indexing; and the ability to mask collections from public display. Additional databases improvements made during 2003 are the correction of improper title truncation, and a rebuild of the keyword title index that provides greater flexibility in the modification and display of records.

There are a total of 151,930 searchable bibliographic items in the Library's online catalog. The cataloging team added 7,524 new items to the catalog, and deleted 11,225 items. The item total represents 4,355 new titles and 3,169 updates to existing collections. To maintain quality control standards, 50,367 maintenance transactions were completed during 2003. Those transactions include creating and editing authority records, editing existing records, barcoding new volumes, editing PURLs (Persistent Uniform Record Locators) for electronic resources, withdrawing records for discarded materials, and deleting temporary loan records.

The multi-year project focusing on the cataloging of rare congressional materials continued during 2003. These nineteenth and early twentieth century Senate treaty documents, executive reports, and committee publications may be the only copies in existence. The large number of original cataloging records and subject headings required for this project led to Senate Library participation in the Library of Congress' National Authorities Cooperative Program (NACO). NACO establishes the official subject headings used in catalogs for the majority of the academic, public, and professional libraries in the United States. The Senate Library is one of 179 institutions, including the largest and most prestigious academic institutions in the country, that participates in NACO. The Library contributed 489 new subject headings related to congressional committees, subcommittees, nominations, and treaties during 2003.

Government Documents Collection

This is the third year of the Library's review of documents received through the Government Printing Office's (GPO) Federal Depository Library Program (FDLP). The review team includes staff from all Library departments and the goal is to deaccession outdated, superseded, and surplus government documents. In 2003, 24,293 items were withdrawn from the collection. Items withdrawn from the Senate

Library collection are offered to FDLP libraries throughout the United States. 20,818 (88 percent) of those have been accepted by other institutions.

The review team also deselected 293 publication series from FDLP in 2003. Documents selected to remain in the collection will be cataloged according to the Library of Congress classification system, replacing of Superintendent of Documents system. The cataloging team reclassified 179 titles in 2003, and looks forward to completely integrating classification of the primary book and government document collections.

Access to core government documents formerly received through FDLP has not been compromised by these cancellations. Increased availability to these materials through agency and department Internet sites allows libraries to print information on-demand. The reduction of GPO-issued items in tangible formats is evident by the 180 percent decrease in government documents received in 2003. The positive impacts of this technological advance include increased physical space, reduced staff time processing materials, and the Library's online catalog serving as a gateway to government-wide information.

Collection Maintenance and Preservation

On April 17, 2003, a water leak was discovered that caused significant damage to several hundred books in SR-B14. The damaged books were immediately moved to alternate sites to be dried. Sheet plastic from the Library's disaster kits was used to protect adjacent areas from additional damage. Judging from the extent of the wicking, the leak probably began several days earlier. The Superintendent's Office replaced a section of pipe, but the original source of the leak was never determined. Several dozen volumes were purchased to replace the unsalvageable items. Installation of water detection alarms and containment trays by the AOC is anticipated in fiscal year 2005.

Warehouse

Library staff met with SAA staff and their consultants concerning the Library's off-site storage requirements. The initial June 23, 2003 meeting set the framework for a draft warehouse plan that met the Library's needs. The Library's proposal for a new facility calls for added security, increased shelving, and improved environmental conditions. In anticipation of a move from the existing warehouse, Library staff and summer interns packed 14,000 books. Volumes determined to be in poor condition were set aside for cleaning and repair by the Office of Conservation and Preservation. Several excess collections were transferred to the Regional Depository Library at the University of Maryland.

Administrative

Budget

The seventh year of budget reviews delivered minimal reductions totaling \$1,285. This is the lowest amount since the annual reviews began in fiscal year 1997. During that time, the reviews have eliminated duplicate copies, titles available through online services, and materials not meeting the Senate's current needs. This has resulted in \$59,930.34 in cancellations, which have been critical in offsetting annual cost increases for core materials. The collection and acquisitions program now better meet the information demands of today's Senate. The goal is to provide the highest level of service using the latest technologies and best resources in the most cost-effective way.

Professional Staff Development

During 2003, Library staff participated in 142 training sessions, workshops, and professional development seminars. New Library staff have a particularly active training schedule and veteran staff are required to maintain and upgrade skill levels. In addition to classes on news and legal databases, technical training sessions included Microsoft Excel, CQ Online, CQ Votes, Homesite, Wilson Web Bio, Dialog, Data Harmony, XML, Newswire, Powerpoint, and Writing for the Web. Technical Services staff attended several skill enhancement classes including MARC content designation, taxonomy, and OCLC authorities. Research classes included courses on legislation, law, treaties, copyrights, and the CRS Advanced Legislative Process Institute. Other staff activities included tours to the National Archives, Pentagon library, Senate Recording Studio, Senate Legal Counsel, Senate Judiciary Committee library, the United Nations library, Computers in Libraries conference, and the annual Special Libraries Association conference.

Interns

Summer interns completed several key projects. These included boxing 11,500 volumes of the Congressional Serial Set and copying historic Senate committee calendars for the permanent collection. The interns also identified House hearings and

committee prints missing from the Library collection. Copies of missing titles were received from the committees.

Unum, Newsletter of the Office of the Secretary of the Senate

The Secretary's quarterly newsletter was established in October 1997 and has been produced by Senate Library staff since May 2000. With a distribution to approximately 1,000 readers, *Unum* serves as an historic record of accomplishments, events, and personnel in the Office of the Secretary of the Senate. The Summer 2003 issue of *Unum* was the first full-color issue.

Major Library Goals for 2004

Provide Senate-wide access to the Library's catalog via Webster.

Implement navigation and organization design improvements on Senate.gov.

Prepare updates to Senate Votes on Cloture Motions (Senate Print 99-95) and ANecrology of United States Senators.

2003 ACQUISITIONS

	Books		Government Documents		Congressional Publications				Total
	Ordered	Received	Paper	Fiche	Hearings	Prints	Bylaw	Repts/Docs	
January	23	57	310	77	301	23	41	202	1,011
February	23	48	242	56	261	23	23	133	786
March	25	61	169	35	233	37	37	200	772
1st Qtr	71	166	721	168	795	83	101	535	2,569
April	67	110	182	145	333	37	39	274	1,120
May	40	135	165	71	248	32	43	284	978
June	22	82	163	115	313	21	60	277	1,031
2nd Qtr	129	327	510	331	894	90	142	835	3,129
July	32	78	227	71	191	15	58	525	1,165
August	20	62	150	89	318	16	60	270	965
September	3	57	248	88	178	14	52	349	986
3rd Qtr	55	197	625	248	687	45	170	1,144	3,116
October	41	74	244	82	296	17	48	263	1,024
November	33	177	139	52	225	14	64	99	770
December	26	93	245	111	274	17	71	279	1,090
4th Qtr	100	344	628	245	795	48	183	641	2,884
2003 Total	355	1,034	2,484	992	3,171	266	596	3,155	11,698
2002 Total	263	628	2,287	1,083	3,094	152	576	1,977	9,797
Percent Change	34.98	64.65	8.61	-8.40	2.49	75.00	3.47	59.59	19.40

2003 CATALOGING

	LIS Hearing Numbers Added	New Titles Cataloged						Total Titles Cataloged
		Books	Government Documents		Congressional Publications			
			Paper	Fiche	Hearings	Prints	Docs/Pubs	
January	21	25	14	4	261	10	29	343
February	30	30	14	10	222	14	16	306
March	38	32	16	4	272	21	2	347
1st Qtr	89	87	44	18	755	45	47	996
April		46	21	10	144	4	49	274
May	33	30	21		138	54		243

2003 CATALOGING—Continued

	LIS Hear- ing Num- bers Added	New Titles Cataloged						Total Ti- tles Cata- loged
		Books	Government Documents		Congressional Publications			
			Paper	Fiche	Hearings	Prints	Docs/Pubs	
June	3	66	12	18	88	92	15	291
2nd Qtr	36	142	54	28	370	150	64	808
July	2	45	20	2	548	32	40	687
August	39	37	10	1	105	42	13	208
September	58	58	13	31	375	113	55	645
3rd Qtr	41	140	43	34	1,028	187	108	1,540
October	5	70	6		305	63	33	477
November	78	78	9		101	43	16	247
December	50	101	3	1	154	2	26	287
4th Qtr	55	249	18	1	560	108	75	1,011
2003 Total	221	618	159	81	2,713	490	294	4,355
2002 Total	99	430	488	183	2,873	123	461	4,558
Percent Change	123.23	43.72	− 67.42	− 55.74	− 5.57	298.37	− 36.23	− 4.45

2003 DOCUMENT DELIVERY

	Volumes Loaned	Materials De- livered	Faxes	Micrographics Center Pages Printed	Photocopies Pages Printed
January	141	404	202	637	11,718
February	102	219	200	560	9,989
March	146	274	300	651	9,648
1st Qtr	389	897	702	1,848	31,355
April	167	403	300	286	14,293
May	162	507	223	323	15,204
June	190	522	309	1,774	20,349
2nd Qtr	519	1,432	832	2,383	49,846
July	136	423	260	921	20,551
August	119	206	169	232	9,376
September	130	334	199	276	12,484
3rd Qtr	385	963	628	1,429	42,411
October	137	293	254	144	15,767
November	115	250	209	781	10,408
December	119	243	122	360	7,104
4th Qtr	371	786	585	1,285	33,279
2003 Total	1,664	4,078	2,747	6,945	156,891
2002 Total	1,952	4,467	7,148	4,421	132,903
Percent Change	- 14.75	- 8.71	- 61.57	57.09	18.05

11. SENATE PAGE SCHOOL

The United States Senate Page School provides a smooth transition from and to the students' home schools, and offers those students a sound program, both aca-

demically and experientially, during their stay in the Nation's Capital, balancing a unique work situation with the Senate's demanding schedule.

Summary of Accomplishments

Accreditation by the Middle States Commission on Secondary Schools continues until December 31, 2008.

Two page classes successfully completed their semester curriculum. Closing ceremonies were conducted on June 6, 2003, and January 23, 2004, the last day of school for each semester.

Orientation and course scheduling for the Spring 2003 and Fall 2003 pages were successfully completed. Needs of incoming students determined the semester schedules.

Extended educational experiences were provided to pages. Twenty field trips, four guest speakers, opportunities to compete in writing contests, to play musical instruments and vocalize, and to continue foreign language study with the aid of tutors of four languages were all afforded pages. Sixteen field trips to educational sites were provided for summer pages as an extension of the page experience. National tests were administered for qualification in scholarship programs as well.

Effective and efficient communication and coordination among Sergeant at Arms, Secretary of the Senate, Party Secretaries, Page Program, and Page School continues and policies of the program have been reviewed.

The community service project embraced by pages and staff in 2002 continues. Items for gift packages were collected, assembled, and shipped to military personnel in Afghanistan, Kuwait, Iraq, and the USO in Frankfurt, Germany (where distribution of the boxes to troops enroute to war zones take place). Pages included letters of support to the troops participating in Operation Enduring Freedom.

The evacuation and COOP plans have been reviewed and updated. Pages and staff continue to practice evacuating to primary and secondary sites. Staff, tutors and pages participated in escape hood training.

Staff were retrained in CPR and certified in First Aid and AED use.

Updated materials/equipment were purchased. These included a DVD player, calculus textbooks and support software, English and history textbooks, chemistry and physics probeware kits, textbooks with support software and site license, and teacher resource material.

Summary of Goals

For the coming year, the goals of the administration and staff of the Senate Page School include:

- Individualized small group instruction and tutoring by teachers on an as-needed basis will continue to be offered.
- Foreign language tutors will provide instruction in French, Spanish, German, and Latin.
- The focus of field trips will be sites of historic, political, and scientific importance.
- Staff development options will include attendance at a "Learning and the Brain" conference, seminars conducted by Education and Training, and subject matter conferences conducted by national organizations.
- Facility re-design to maximize space will be completed.
- Upgrading science laboratory equipment will continue allowing micro labs and reducing quantities of supplies used.
- Review of technology applications for classroom use will be completed.
- Continuation of the community service project.

12. PRINTING AND DOCUMENT SERVICES

The Office of Printing and Document Services (OPDS) serves as liaison to the Government Printing Office (GPO) for the Senate's official printing, ensuring that all Senate printing is in compliance with Title 44, U.S. Code as it relates to Senate documents, hearings, committee prints and other official publications. The office assists the Senate by coordinating, scheduling, delivering and preparing Senate legislation, hearings, documents, committee prints and 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.

During fiscal year 2003, the OPDS prepared 5,334 printing and binding requisitions authorizing GPO to print and bind the Senate's work, exclusive of legisla-

tion and the Congressional Record. Since the requisitioning done by the 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 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 job scheduling, proof handling and job 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. The OPDS also coordinates a number of publications for other Senate offices, including the Curator, Historian, Disbursing, Legislative Clerk, Senate Library as well as the U.S. Botanic Garden, U.S. Capitol Police and Architect of the Capitol. Last year's major printing projects included the Report of the Secretary of the Senate, an expanded Leader's Lecture Series book, as well as a 500 page four-color case bound book the "U.S. Senate Catalogue of Fine Art." Current major projects for the office include a new full color version of the "History of the U.S. Botanic Garden 1861–1991."

Hearing Billing Verification

Billing verifications are how reporting companies request payment from a Senate committee for transcription services.

During 2003, OPDS provided commercial reporting companies and corresponding Senate committees a total of 975 billing verifications of Senate hearings and business meetings. This translated to an average of 51.3 hearings/meetings per committee, a 2.6 percent increase over 2002 and also represented over 70,000 transcribed pages at a total billing cost of over \$460,000.

OPDS utilizes a program developed in conjunction with the Sergeant at Arms Computer Division that (a) provides more billing accuracy and greater information gathering capacity and (b) adheres to the guidelines established by the Senate Committee on Rules and Administration for commercial reporting companies to bill the Senate for transcription services. During 2003, the office increased the efficiency and accuracy of the system by sending files and billing verifications electronically between committees and reporting companies. Department staff continue training to apply today's expanding digital technology to improve performance and services.

HEARING TRANSCRIPT AND BILLING VERIFICATIONS

	2001	2002	2003	PERCENT CHANGE 2003/2002
Billing Verifications	1,004	952	975	2.4
Average per Committee	48	50	51.3	2.6
Total Transcribed Pages	72,799	71,558	70,532	– 1.5
Average Pages/Committee	3,467	3,766	3,712	– 1.5
Transcribed Pages Cost	\$479,921	\$471,807	\$461,807	– 2.2
Average Cost/Committee	\$22,853	\$24,832	\$24,288	– 2.2

Additionally, 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. The Service Center provides the best management of funds available through the Congressional Printing and Binding Appropriation because committees have been able to decrease or eliminate additional overtime costs associated with the preparation of hearings.

Document Services Distribution, Inventory and On Demand Publication

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.

DOCUMENT SERVICES—CONGRESSIONAL RECORD

	2001	2002	2003
Total Pages Printed	25,051	29,690	33,094
For the Senate	14,084	14,489	16,835
For the House	10,967	15,201	16,259
Total Copies Printed and Distributed	1,300,000	1,268,603	1,199,402
To the Senate	318,572	439,953	307,917
To the House	459,477	301,383	441,735
To the Executive Branch and the Public	492,915	532,813	449,750
Total Production Costs	\$15,428,530	\$13,488,381	\$20,143,538
Senate Costs	\$7,452,933	\$6,339,539	\$9,886,805
House Costs	\$7,333,134	\$6,609,307	\$9,563,592
Other Costs	\$642,462	\$539,535	\$693,141
Per Copy Cost	\$12.14	\$12.14	\$16.79

In 2003, a total of 33,094 pages were printed in the Congressional Record. Of this total, 16,835 pages were printed for the Senate, and 16,259 pages were printed for the House of Representatives. These page counts are comprised of the Proceedings of the Senate and the House of Representatives, Extension of Remarks, Digest and miscellaneous pages. This is 3,404 pages more than were produced in 2002, an increase of 11.4 percent. A total of approximately 1.2 million copies of the Congressional Record was printed and distributed in 2003. The Senate received 307,917 copies, the House 441,735, with the remaining 449,750 delivered to the Executive Branch agencies and the public at large.

OPDS continually tracks demand for all classifications of Congressional legislation. Twice a year the office adjusts the number of documents ordered by classification. The goal is to adjust numbers ordered in each classification to closely match demand and thereby reduce waste. In recent years with the advancement of document availability online, the OPDS has taken a more aggressive approach to reducing waste of less requested legislation. The office supplements depleted legislation where needed by producing additional copies in the DocuTech Service Center which is staffed by experienced GPO detailees that provide Member offices and Senate committees with on-demand printing and binding of bills and reports. In 2003, the DocuTech Center produced 803 tasks for a total of 971,077 printed pages, a production increase of 22 percent over 2002.

The primary responsibility of the Documents Services Section is to provide services to the Senate. However, the responsibility and this office's dedication and assistance to the general public, the press, and other government agencies is virtually indistinguishable from the services provided to the Senate. Requests for material are received at the walk-in counter, through the mail, by fax, phone, and online. Recorded messages, fax, and e-mail operate around the clock and are processed as they are received, as are mail requests. The office stresses prompt, courteous and accurate answers to the various public and Senate requests.

SUMMARY OF ANNUAL STATISTICS

CALENDAR YEAR	CONGRESS/SESSION	PUBLIC MAIL	FAX REQUEST	E-MAIL	COUNTER REQUEST
2.00020e + 15	106/2nd	4,066	3,129	112	9.51869e + 19
	107/1st	3,449	2,093	621	
	107/2nd	3,637	1,866	662	
	108/1st	1,469	2,596	735	

Online Ordering

The past year brought significant changes in providing new services and improving existing ones. For example, OPDS has continually sought to improve the efficiency and utility of the Secretary of the Senate's homepage. Beginning in late 2000, Senate offices, by way of a link to the Webster, could order legislative documents online. Via the same link, it is also possible to confirm arrival of printed copies of the most sought after legislative documents. The site is updated several times daily and each time new documents arrive from GPO in the Document Room. In 2003 that process was expanded to provide the capability of online ordering of blank paper. This is but one model of OPDS continuing to seek new ways to use technology to assist Members and staff with added services and enhancements.

13. PUBLIC RECORDS

The Office of Public Records receives, processes, and maintains records, reports, and other documents filed with the Secretary of the Senate involving the Federal Election Campaign Act, as amended; the Lobbying Disclosure Act of 1995; and 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 reproduction of these documents. From October 2002, through September 2003, 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, and assistance given to lobbyists attempting to comply with the provisions of the Lobbying Disclosure Act of 1995. A total of 95,314 photocopies were sold in the period. 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 2003 Accomplishments

The office developed a manual detailing the policies and procedures of the Public Records revolving fund for the purpose of producing a financial statement. At the Secretary's request, GAO also performed an audit of the revolving fund which revealed no discrepancies. Public Records also completed a transition to the next generation of scanning technology by replacing old hardware, and updating software.

Plans for Fiscal Year 2004

The Public Records office is revising and improving the lobbying pages on senate.gov based upon recommendations of an independent survey of North American disclosure web sites.

Automation Activities

During fiscal year 2003, the Senate Office of Public Records automated the Gift Rule filings and the Mass Mailing registrations. In the event of an emergency, these filing registrations are easily accessible off site. The office also started a project to automate the foreign travel reports required by the Mutual Security Act of 1954.

Federal Election Campaign Act, as Amended

The Act requires Senate candidates to file quarterly reports. Filings totaled 4,238 documents containing 232,442 pages.

Lobbying Disclosure Act of 1995

The Act requires semi-annual financial and lobbying activity reports. As of September 30, 2003, 6,112 registrants represented 15,317 clients and employed 24,872 individuals who met the statutory definition of "lobbyist." The total number of lobbying registrations and reports was 40,877.

Public Financial Disclosure

The filing date for Public Financial Disclosure Reports was May 15, 2003. The reports were available to the public by June 13, 2003. Copies were provided to the Select Committee on Ethics and the appropriate State officials. A total of 2,545 reports and amendments was filed containing 14,481 pages. There were 316 requests to review or receive copies of the documents.

Senate Rule 35 (Gift Rule)

The Senate Office of Public Records received over 1,233 reports during fiscal year 2003.

Registration of Mass Mailing

Senators are required to file mass mailings on a quarterly basis. The number of pages was 487.

14. SENATE SECURITY

The Office of Senate Security (OSS) is responsible for the administration of classified information programs in Senate offices and committees. In addition, OSS serves as the Senate's liaison to the Executive Branch in matters relating to the security of classified information in the Senate.

Personnel Security

Five hundred fifty Senate employees held one or more security clearances at the end of 2003. This number does not include clearances for employees of the Architect of the Capitol or clearances for Congressional Fellows assigned to Senate offices, which are also processed by OSS.

In the past year, OSS processed 2,418 personnel security actions, a 31.9 percent increase from 2002. One hundred twenty investigations for new security clearances were initiated last year, and 87 security clearances were transferred from other agencies. Senate regulations, as well as some Executive Branch regulations, require that individuals granted Top Secret security clearances be reinvestigated at least every five years. Staff holding Secret security clearances are reinvestigated every ten years. During the past year, reinvestigations were initiated on 58 Senate employees. OSS processed 71 routine terminations of security clearances during the reporting period and transmitted 322 outgoing visit requests. The remainder of the personnel security actions consisted of updating access authorizations and compartments. The length of time required for the Department of Defense (DOD) and the Federal Bureau of Investigation (FBI) to process Senate staff for security clearances has increased by 66.7 percent relative to 2002.

Security Awareness

OSS conducted or hosted 79 security briefings for Senate staff. Topics included information security, counterintelligence, foreign travel, security managers' responsibilities, office security management, and introductory security briefings. This represents an increase of 1.3 percent from 2002.

Document Control

OSS received or generated 2,668 classified documents consisting of 79,931 pages during calendar year 2003. This is an increase of 10.3 percent in the number of documents received or generated in 2002. Additionally, 60,873 pages from 3,263 classified documents no longer required for the conduct of official Senate business were destroyed. This represents a 0.6 percent increase in destruction. OSS transferred 754 documents consisting of 30,149 pages to Senate offices or external agencies. These figures do not include classified documents received directly by the Appropriations Committee, Armed Services Committee, Foreign Relations Committee, and Select Committee on Intelligence, in accordance with agreements between OSS and those Committees. Overall, Senate Security completed 6,685 document transactions and handled over 170,953 pages of classified material in 2003, an increase of 5.5 percent.

Secure storage of classified material in the OSS vault was provided for 106 Senators, committees, and support offices. This arrangement minimizes the number of storage areas throughout the Capitol and Senate office buildings, thereby affording greater security for classified material.

Secure Meeting Facilities

OSS secure conference facilities were utilized on 1,375 occasions during 2003. In July, the smallest OSS conference room was converted to a computer and storage room. This was necessitated by changes in office space and loss of computer connections previously supplied by the House Permanent Select Committee on Intelligence, both due to the Capitol Visitor Center (CVC) construction. This has somewhat limited the number of people who could be allowed to read or use classified computer systems when other rooms were in use. Even with the loss of this room, use of OSS conference facilities increased 77 percent over 2002 levels. Eight hundred thirty-eight meetings, briefings, or hearings were conducted in OSS' three conference rooms. Of those, forty were "All Senators" briefings. OSS also provided secure telephones, secure computers, secure facsimile machine, and secure areas for reading and production of classified material on 537 occasions in 2003 to Senators and staff.

15. STATIONERY ROOM

The Senate Stationery Room's principal functions are to sell stationery items for use by Senate offices and other authorized legislative organizations, including:

- selecting a variety of stationery items to meet the needs of the Senate environment on a day-to-day basis and maintain a sufficient inventory of these items;
- purchasing supplies utilizing open market procurement, competitive bid and/or GSA Federal Supply Schedules;
- maintaining individual official stationery expense accounts for Senators, Committees, and Officers of the Senate;
- rendering monthly expense statements;

- insuring receipt of reimbursements for all purchases by the client base via direct payments or through the certification process;
- making payments to all vendors of record for supplies and services in a timely manner and certifying receipt of all supplies and services; and
- providing delivery of all purchased supplies to the requesting offices.

	Fiscal Year 2003 Statistical Operations	Fiscal Year 2002 Statistical Operations
Gross Sales	\$4,843,716	\$4,628,342
Sales Transactions	61,140	61,479
Purchase Orders Issued	7,545	6,218
Vouchers Processed	8,689	7,376
Metro Fare Media Sold	52,279	41,558
\$20.00 Media	46,260	36,943
\$10.00 Media	3,023	1,978
\$5.00 Media	2,996	2,637

Operational Growth

As indicated in the above statistics, the Stationery Room operation continues its progressive growth pattern with an increase in gross sales of \$213,000 over fiscal year 2002.

It should be noted that current staffing level of twelve employees for the operation remain at the same level as fiscal year 1974 when sales were approximately \$944,000.

Fiscal Year 2003 Activities

During the first quarter of the fiscal year, the Stationery Room assisted ten Senator-elect offices. In addition, the Stationery room assisted the new Majority Leader and his staff with their transition.

Members of Stationery Room staff were tasked as part of a Senate-wide working group to assist the Sergeant at Arms (SAA) in the development of an “Emergency Go Bag.” The finalized bag should support each office in an emergency with a variety of supplies as recommended by the Department of Homeland Security, Federal Emergency Management Agency and the American Red Cross. Offices will be able to purchase additional “Go Bags” on a Special Order basis through the Stationery Room.

The Stationery Room made initial inquiries regarding a state-of-the-art Retail Point-of-Sale system and back-office accounting system during April 2003. A professional consultant was subsequently hired to draft a requirements document, which will be finalized this spring. Baseline estimates for application software are between \$131,500 and \$133,000. This price structure does not include add-ons that will be needed for automated flag ordering/tracking; an internal e-commerce website for automated office product ordering capabilities; or other custom system software modifications.

Working together, the Stationery Room and the Committee on Rules and Administration began a review of the applicable Rules and Regulations for the Mass Subsidy Program. On November 3, 2003, a provision was added to the regulations to authorize the purchase of media one week in advance of the month in which the media is to be used. The Stationery Room was also tasked to provide a means in which offices could order transit media electronically via e-mail. This project is currently in beta testing with thirteen offices as a pilot group.

As part of the Secretary’s efforts to ensure financial responsibility, the General Accounting Office began an audit of the Stationery Room’s operation. The final report may be issued in the summer of 2004.

To fulfill emergency preparation needs, Stationery Room personnel devised a mechanism—scanning—for data storage and retention of all critical documents for the operation. Fiscal year 2003 records are nearing completion of scanning. Once records have been scanned, that information is available locally and paper copies are removed to a National Archive facility storage and final disposition. This project has been a joint effort by the Stationery Room, Historical Office and Sergeant at Arms.

In an effort to establish an effective communication link with the SAA IT product line, a process was devised to notify the Stationery Room of new IT equipment being introduced into the Senate. Notification now allows the Stationery Room to be proactive in supporting office equipment.

Stationery Room staff regularly meets with Administrative Office Managers to more effectively understand their needs and requirements. In addition, the office is currently looking at creating (i) a Product Review Committee to ensure the office carries the products it needs and (ii) a working group regarding necessary emergency supplies in case Continuity of Operations Plans are implemented.

The Stationery Room is part of a Flag Process working group being guided by the Office of the Sergeant at Arms. The mission of this working group is to streamline the flag procurement process for constituents with a focus on timely processing and delivery. This is an on-going project and is currently in its early stages.

16. WEBMASTER

The Webmaster is responsible for the three web sites that fall under the purview of the Secretary of the Senate: the Senate Web site, www.senate.gov (except individual Senator and Committee pages); the Secretary web site on the Senate intranet, Webster; and an intranet site currently under construction for Secretary staff only.

The Senate Web site (www.senate.gov) was completely redesigned and the new site was launched in the fall of 2002. At that time the Documentum Web Content Management System was implemented which allows content providers to create and post information to the web site without knowing HTML, the format language of the web.

Development work on the Documentum content management system continued throughout 2003 as content providers identified changes that, when implemented, would make their work easier. Adjustments were made to the application that allows the curator to update the web site directly from their database. This application has been working effectively for almost a year.

An XML application was built for the Senate Library to allow them to update the Active Legislation information one time and then disseminate the information in different formats, such as publishing in HTML to two separate web sites and creating a PDF version for printing. The Active Legislation web page on www.senate.gov is consistently in the top 10 most visited content items on the main site, drawing more than 12,000 visitors a month.

Throughout 2003, senate.gov content providers became more cohesive as a group. Monthly meetings were held where new ideas were shared. Collaboration increased throughout the year and the posting of feature articles in the major areas of the site were coordinated in terms of timing and subject matter. The editing and creation of content continued at a steady pace incorporating feedback received from staff and the public.

In 2003 the web site averaged over 115,000 visitors a day. Reviewing statistics on web page usage help the content providers better understand what information the public is seeking and how best to improve the presentation of that data. The main Senate homepage and the home pages of the six subject areas (buckets) receive the most visits as people navigate around the site. Within the buckets we find that visitors are drawn to the following content items in order of popularity: 1. Roll Call Votes; 2. Active Legislation List; 3. Senate Leadership Page; 4. Senate Organization Chart; 5. Committee Hearing Schedule; 6. Session Schedule for 2003; 7. Virtual Tour of the Capitol; 8. Bill and Resolutions; 9. Calendars and Schedules; 10. Nominations; 11. Individual State Pages; 12. Historical Office Page; 13. Congressional Record; 14. Virtual Reference Desk; and 15. Appropriations Bills.

E-mail traffic to the webmaster has shown a dramatic decrease in questions about where to find information on the web site. The new web site navigation structure makes finding information much easier. In previous years the webmaster received on average 15 messages a day asking for the location of some specific information on the site. In 2003 that number dropped to less than 5 requests a day.

A major effort in 2003 was the installation, configuration, and testing of the Verity Search Engine for senate.gov. Based on the initial round of tests, changes were made to the search engine configuration resulting in greatly improved relevance ranking of search results. Testing is now focusing on how to improve the search results by adding or editing metadata associated with the content items. More relevant and standardized keywords, and better descriptions and titles will improve the relevance ranking and display of the search results. Secretary staff assisted SAA staff in conducting briefings for Senate Systems Administrators on how to use the search feature on their own sites. Systems Administrators were encouraged to review how their data displays in search results prior to final implementation of the search feature for the public.

A continuing problem encountered in 2003 was that some web pages were not always available when the public tried to access them. Specifically, the problem was

with pages that accessed a database using Cold Fusion to populate the page with information. SAA staff spent a tremendous amount of time and attention trying to solve this stability problem, including calling in Macromedia engineers to work on-site. In addition to making changes to the Cold Fusion settings, it became obvious that architectural changes were required which would affect the way Senate offices used databases to publish information to senate.gov. These changes are being made and the stability of the Cold Fusion pages on senate.gov has improved dramatically.

Training on the Documentum system continued in 2003. The Webmaster took online courses in WebPublisher Administration, DQL (the Documentum Query Language), and XML as implemented in Documentum, as well as attending seminars on Authoring in XML, XML and Content Management, and Search Engine Development. The Webmaster represented the Office of the Secretary at meetings of the LegBranch Multimedia Group and Executive Branch meetings on improving Citizen Participation through E-Government Initiatives.

In the fall of 2003 a Web Developer was hired to assist the Webmaster, and the Office of Web Technology was enhanced within the Office of the Secretary, an acknowledgment of the growth in workload and responsibility in disseminating information and providing services to the public, and internally to the Senate, via websites.

LEGISLATIVE INFORMATION SYSTEM (LIS) PROJECT

The Legislative Information System (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: LIS

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 the Extensible Markup Language (XML) as the primary data standard to be used for the exchange of legislative documents and information.

Following the implementation of the Legislative Information System (LIS) in January 2000, and the transfer of operations and maintenance of the LIS to the Office of the Sergeant at Arms (SAA) in March 2000, the LIS Project Office shifted its focus to procuring system development services in support of an LIS Augmentation Project (LISAP). The LISAP is focused on the data standard component to provide a Senate-wide implementation and transition to XML for the authoring and exchange of legislative documents.

A database of documents in XML format and an improved exchange process will result in quicker and better access to legislative information and will provide documents that can be more easily shared, re-used, and re-purposed. Parts of one XML document can be re-used in another XML document because the document structure is similar and the format of the data (XML) is standard. As more and more documents are created in the XML format, the necessity for re-keying or converting from one format to another (HTML to WordPerfect or XyWrite locator to Word or Word to WordPerfect, etc.) will disappear.

The LISAP incremental development approach has helped the LIS Project Office build user acceptance, manage costs and adjust quickly when needed. The initial focus for the LISAP is to develop an XML authoring system for the Office of the Senate Legislative Counsel (SLC) and the Office of the Enrolling Clerk for bills, resolutions and amendments. Collaboration of Secretary of the Senate and Sergeant at Arms staff, augmented with strong contractor support, provides a great team effort and great progress has been made in the past year.

LISAP: 2003

During 2003 Senate staff continued to develop the Legislative Editing in XML Application (LEXA) focusing on the Office of the Senate Legislative Counsel and the production of bills, resolutions and amendments in XML. LEXA features many auto-

mated functions that provide a more efficient and consistent document authoring process. The SLC has worked very closely with the LEXA development team to strengthen and refine the application and provide a list of future enhancements. At this time LEXA can be used to create introduced and reported bills and resolutions and most amendments. Creation of conference reports and compilations will be completed in the coming months.

In late 2003, a contractor developed a two-day training course on LEXA that was held three times between January 6 and January 15 for the 39 attorneys and staff assistants in the SLC. It takes several months for a drafter to learn to use XyWrite and the locator formatting codes. Following the LEXA training, SLC staff immediately began producing bills and resolutions using LEXA, and the first XML draft to become a bill was introduced on January 22, 2004. The SLC will work gradually toward creating all legislative documents in LEXA and will use XyWrite only when necessary.

The document management system (DMS) for the SLC was also completed in 2003. The DMS is integrated with LEXA and will be implemented in 2004 once the SLC has completed the transition from XyWrite to LEXA. The DMS will provide the ability for the SLC to track and manage all work requests, legislative drafts, and internal office documents prepared in a variety of formats including XML, Word, WordPerfect, e-mail, and PDF. The DMS will also provide search and retrieval, delivery of documents to clients, and exchange of documents with the Senate Enrolling Clerk, the GPO, the House Office of the Legislative Counsel, and the Senate Appropriations Committee. The expansion of a DMS approach into other Senate offices will facilitate greater accessibility to legislative documents.

With the implementation of LEXA and the DMS for the SLC, support becomes an important issue. The 2004 Legislative Branch Appropriations Act directed the GPO to provide support for LEXA much as they have for XyWrite for many years. With help from the LEXA development team, the GPO is working toward achieving that goal. As LEXA becomes more widely used in the SLC and other offices drafting legislation, the support load will increase. The Systems Development Services group of the Office of the Sergeant at Arms provides support and maintenance for the LIS/DMS, and that group will also support the DMS for the SLC. The training contractor is also developing a comprehensive printed and online reference manual for LEXA and the DMS and will also produce computer-based training for new hires.

Also in 2003, a contractor completed work on converting bills, resolutions, and SLC drafts from the 106th and 107th Congresses to an XML format for use in LEXA. In early 2004, the contractor converted the documents from the first session of the 108th Congress. The conversion software has been incorporated into LEXA providing the ability to convert a locator-coded document to an XML document. The contractor also developed software (also in LEXA) to convert an XML document back to locator codes for printing through the Government Printing Office's Microcomp software. This conversion will also be used to supply locator-coded versions of documents to those offices and organizations still working in XyWrite.

The conversion contractor also began work on converting the compilations of current law to XML format for use by the SLC and the House Legislative Counsel in drafting bills and amendments. This contractor has also developed an XML component to assist in the creation of tables and columnar data in legislation that will be used by the Senate, House, GPO, and Library of Congress. This component provides assistance and a visual display to the drafter during the creation of a table. The XML tagging in the table provides a readable display in the editor and on the Web and accurately prints the table through Microcomp—all without manual intervention to change the underlying tagging or data.

LISAP: 2004

The LEXA development team will continue to work with the SLC to refine and enhance LEXA including developing software to create and print conference reports and to edit and update the compilation documents created and maintained by the House and Senate Legislative Counsels. LEXA, as developed for the SLC, will establish a framework on which to build applications for other offices producing other types of legislative documents. The team will next address the specific needs of the Office of the Enrolling Clerk. Additional functionality to produce engrossed bills and amendments and enrolled bills will be added to LEXA, and the office will receive training and the LEXA reference manual.

The SLC's DMS will be implemented in 2004. Prior to implementation, transition training will be developed for the office and the reference manual will be expanded to include information on the use of the DMS. The DMS will be integrated with LEXA and will provide a powerful tracking, management, and delivery tool. Technology-based training (TBT) will also be prepared for the SLC that will combine

training on LEXA and the DMS for new attorneys and staff assistants in the SLC. The TBT, coupled with the standards-based LEXA and DMS applications, will shorten the time needed for new hires to learn the drafting technology. The SLC will be able to focus on teaching the legislative drafting process and new hires will no longer have to spend months training on entering printing codes using out-dated DOS-based technology.

The legislative process yields other types of documents such as the Senate and Executive Journals and the Legislative and Executive Calendars. Much of the data and information included in these documents is already captured in and distributed through the LIS/DMS database used by the clerks in the Office of the Secretary. The LIS/DMS captures data that relates to legislation including bill and resolution numbers, amendment numbers, sponsors, co-sponsors, and committees of referral. This information is currently entered into the database and verified by the clerks and then keyed into the respective documents and re-verified at GPO before printing. An interface between this database and the electronic documents could mutually exchange data. For example, the LIS/DMS database could insert the bill number, additional co-sponsors, and committee of referral into an introduced bill while the bill draft document could supply the official and short titles of the bill to the database.

The Congressional Record, like the Journals and Calendars, includes data that is contained in and reported by the LIS/DMS database. Preliminary DTDs have been designed for these documents, and applications could be built to construct XML document components by extracting and tagging the LIS/DMS data. These applications would provide a faster, more consistent assembly of these documents and would enhance the ability to index and search their contents. The LIS Project Office will coordinate with the Systems Development Services Branch of the Office of the Sergeant at Arms to begin design and development of XML applications and interfaces for the LIS/DMS and legislative documents. As more and more legislative data and documents are provided in XML formats that use common elements across all document types, the Library of Congress will be able to expand the LIS Retrieval System to provide more content-specific searches.

ACQUISITION OF ARTIFACTS THAT ONCE BELONGED TO THE SENATE

Senator CAMPBELL. What particularly interests me, as you mentioned, as well as Senator Stevens, and that is the acquisition of former artifacts that belong to the Senate. Is it my understanding that you can get these on permanent loan or buy them, but that things cannot be donated to the Senate? Is that true or not?

Ms. REYNOLDS. I am going to defer, as I did last year, to our Senate curator on that, and ask her to educate us a little bit on—

Senator CAMPBELL. If she would come up to the table, and identify herself for the record, please.

Ms. REYNOLDS. Diane Skvarla, our Senate curator.

Ms. SKVARLA. The question I understand was whether items could be donated to the Senate. They actually can be donated to the Senate and we continue to get items donated to the Senate; several every year. As Emily pointed out, we hope with the Preservation Fund and new knowledge that we will get more of those in the future.

Senator CAMPBELL. Of the things that are donated, I suppose some have real historic value; and who knows, maybe some do not. Does this advisory board that you mentioned, are they ones that determine what to accept and what not to accept?

Ms. SKVARLA. They will assist us. Yes. We normally get a piece, and find out the history of it, of why it might be important. For example, a couple of years ago, we got as a gift a snuff box once owned by Isaac Bassett, who was the assistant doorkeeper here in the Senate. The snuff box was actually a gift to Bassett from the Senators themselves in the 19th century.

CURATORIAL ADVISORY BOARD

The curatorial advisory board will assist us. They will also note, if it is a fine piece of silver, we might ask the curatorial board for their advice. So yes, it very much will help us in determining the appropriateness of that gift to the Senate.

Senator CAMPBELL. How many people are on that board?

Ms. SKVARLA. We are having 11.

Senator CAMPBELL. Eleven. Emily did mention some of the acquisitions that have been made. Those will eventually all be in the Visitor Center, like Vice President Curtis' chair. Is that the long-range goal that—that's where they will be?

Ms. SKVARLA. We are still in the process of that exhibit design and development. That will be an issue that obviously will be presented to leadership and the Capitol Preservation Commission, as time goes forward.

SENATE WEB SITE

Senator CAMPBELL. Thank you. Did I hear you properly when you said we are getting 150,000 hits per day on the web site?

Ms. REYNOLDS. Right. It's 115,000.

Senator CAMPBELL. 115,000 per day. Are most of those students or do you have any way of knowing?

Ms. REYNOLDS. I am not certain that we have a way of knowing. That would be an interesting figure to track. I can tell you, though, just some anecdotal evidence that came in recently that was fun for us to see, and that is, a university instructor in Indiana was nice enough to send us his core syllabus on public law in the United States Senate. He had encouraged his students to use Senate.gov, and had developed his syllabus around some of the material on Senate.gov.

If there is a way to track those statistics or to conduct some sort of a survey of our users, let me get with our webmaster on that. I will be happy to get back to you. That is a good question.

Senator CAMPBELL. I thought it might be students. I know when my own son was in college a few years ago, he was using different web sites, the Library of Congress, and a number of opportunities back here to write a lot of his college papers.

Ms. REYNOLDS. Right. Exactly.

Senator CAMPBELL. It is a wealth of information.

Ms. REYNOLDS. The other thing, if I might just add one more note on the web site usage, is we were averaging about 15 requests a day for assistance in navigating the site. Our very skilled webmaster now, in rearranging the site and making it more user-friendly, we are now getting to an average of just about five requests a day for assistance in navigating the site.

So, this is another area where your committee has been generous to us in helping us expand the site, some added enhancements. You will see some additional enhancements even this year.

RICIN INCIDENT

Senator CAMPBELL. Okay. We will move on to a couple of other things. How did the February's ricin incident impact your operation?

Ms. REYNOLDS. Our office was not most immediately impacted. But there were a variety of ways in which we responded. The first is, Senator Frist asked the Sergeant-at-Arms and I to set up a leadership coordination center, which actually ended up being physically housed in my office for that week. It was very helpful for all of us because our staff and the Sergeant-at-Arms's staff were working in conjunction with each other on that response.

In addition, as I mentioned, we exercised part of our COOP plan with the stationery operation, also part of our COOP plan with public records, and we maintained—they were long days, but in the evenings then, we would flip over the operation to the Sergeant-at-Arms emergency operation center for any questions that came in during late evening hours through individual offices. But most especially, having that leadership coordination center, so that we could work hand-in-glove together to respond, was very helpful.

Senator CAMPBELL. So, you did not feel that you were out of the loop on anything that you couldn't keep up——

Ms. REYNOLDS. No, sir.

CAPITOL VISITOR CENTER

Senator CAMPBELL. Okay. And then the last question on the Visitor Center. I look at it almost every day once or twice. We're certainly picking up progress on that. I wish it were faster, very frankly. But what is your assessment of the status of that? Do you think we are going to have some challenge that we cannot confront?

Ms. REYNOLDS. That is a good question. I certainly do not want to steal Mr. Hantman's thunder, since he is——

Senator CAMPBELL. I am going to ask him the same question.

Ms. REYNOLDS [continuing]. Our day-to-day person out there. My role in this has been, and I will tell you, I have been amazed in the course of my time in the job, even though I certainly am not the Architect of the Capitol, anything close to an engineer or a construction person, or an architect myself, I have been amazed at the time that the leadership staff and staff from the Capitol Preservation Commission spent on this, in conjunction with the Architect's Office. Again, it is a very collaborative effort.

Clearly, we have had some challenges, be it weather-related, obviously, in the construction of this or even some construction challenges. I know Alan will address all of that.

The project is making enormous progress, as you said. I reflected that, Mr. Chairman, 1 year ago, at this time, when you and I talked about those trucks coming up the hill every day but coming up to load up dirt, they were excavating and removing that dirt each and every day.

It is incredible progress in 1 year when you think you can now actually look out there and see that there is a top going on. It gives us all a sense, and particularly for those of us, or laymen, like myself, who do not understand construction necessarily. But it comes alive all of a sudden, and you begin to see all of those drawings, and diagrams, and everything we talked about during the previous year begin to unfold.

There is no doubt that within the course of the next couple of years, whether it is weather-related issues or other challenges, that

the architect will presumably continue to face those challenges; but face them well, as they have. We all make those adjustments together.

That is why it is very important, I dare say, that there is a weekly meeting that I help to facilitate, along with my colleague on the House side, the Clerk of the House, so that we come together in a bicameral, bipartisan way to look at any issues on the Architect's plate, to address how they impact our community, both on the Senate and the House side, and hopefully afford solutions together.

CVC OPERATIONAL DECISIONS

In addition to that, we are also at a time, and it is a particularly exciting time, as we reference the exhibit design coming up for the Capitol Visitor Center, where we can begin to turn our focus to the operational side of the Capitol Visitor Center. That is when you know there is light at the end of the tunnel, that it is an exciting place to be.

Clearly, while we are not making strict operational decisions, we are having very good dialogue, and hopefully setting some parameters that we can take back to the leadership and the Capitol Preservation Commission. In adding over 500,000 square feet to the Capitol itself with this Visitor Center, there are enormous operational issues. But we all keep in mind the three primary goals, the very reason this center is being constructed in the first place, and that is to enhance our security, to improve our visitor amenities, and just as we talk about on our public web site, to provide greater visitor education opportunities for those who come here to learn about this Capitol and this Congress.

Senator CAMPBELL. Thank you.

Ms. REYNOLDS. Thank you.

Senator CAMPBELL. Senator Durbin, did you have questions of Ms. Reynolds?

SENATE STUDENT LOAN PROGRAM

Senator DURBIN. Very briefly. You have recently conducted a survey on student loan programs?

Ms. REYNOLDS. Yes.

Senator DURBIN. This is an issue that I initiated several years ago and found that no one wanted to administer it. We basically decided to let 1,000 flowers bloom and see what happened, with some basic guidelines. I have lived in fear ever since that, not only some wonderful things but some not so wonderful things, may have occurred under the name of student loan incentives for recruitment and retention. What have you found in your survey?

Ms. REYNOLDS. Our survey, which we conducted last summer, and we had roughly 58 offices that responded, and I will tell you a quick summary, obviously. Those offices that responded, and all 58 participate in the program, the feedback was very positive about the program.

As you know, and I was not here at the time; but as you know, the administration of the program was given to us but not with really a strict set, if you will, of rules and regulations. Of course, then each office was able to create their own rules and regulations, if you will.

I will balance with what we found in that survey with regard to the offices and the administration of the program, is that some offices, Senator Durbin, will actually set parameters of service before an individual qualifies for the student loan repayment program. Others have an open enrollment period. So, you are not necessarily, as a new hire, automatically entitled to the program. But everyone does have a little bit of a different variation on that theme.

One of the questions we asked the offices in that survey is, would it be helpful to you if there was some additional guidance. I think about two-thirds of those in the survey said, leave it as it is. We like making our own determination.

That having been said, I do think—and, again, most of this is anecdotal evidence, because as you know, the program is now only about 2 years old, but the anecdotal evidence is still overwhelmingly positive, in terms of offices who have strong candidates, and particularly, young lawyers, strong candidates, who very much wanted a job on the Hill, but because of the size of their student loans, salary was obviously a real issue. In more than one instance, offices cited that having the availability of that program enabled them to attract very top-flight candidates.

The retention piece of it, again, because the program is not very mature, and it still somewhat remains to be seen, we can continue to go back, obviously, and pull those statistics for you all. I did notice because I know this was one concern this year at this hearing, that it does not appear as if, from last year to this year, we dropped—we had a fairly high number of those who terminated before their year was up, that they were required of service. It looks like from last year to this year, that number dropped by about one-third or better. So from a retention standpoint, you could extract that—that is obviously a positive going forward.

But we will continue to monitor that program and provide you with feedback. But again, from the office's standpoint, the ability to make their own determination and to use it as a tool to attract and retain, was very positive.

Senator DURBIN. Well, we give considerable latitude to members of the Senate and other offices, within certain guidelines, to decide salaries, and promotions, and work assignments. I like that part of the flexibility of it, because I think each office tries to create its own office atmosphere.

I am going to ask, and I have asked the General Accounting Office to take a look at this, and see if they have any recommendations, whether we should be more specific in terms of guidelines to avoid some things that we did not anticipate. But thank you for your work on this.

Ms. REYNOLDS. Thank you very much.

Senator DURBIN. Thank you for your testimony today. Thanks, Mr. Chairman.

Senator CAMPBELL. Thank you. This will be the last hearing that you appear while I am still here. I just wanted to, for the record, tell you how much I have enjoyed working with you, your professionalism, and your friendship, too. When I go back out West to find different kinds of mountains to climb, I will be thinking of you here.

Ms. REYNOLDS. Keep thinking of us. We appreciate it. Thank you, sir.

ARCHITECT OF THE CAPITOL

STATEMENT OF ALAN H. HANTMAN, ARCHITECT OF THE CAPITOL

ACCOMPANIED BY:

DICK McSEVENEY, CHIEF OPERATING OFFICER

AMITA POOLE, CHIEF OF STAFF

GARY GLOVINSKY, CHIEF FINANCIAL OFFICER

HECTOR SUAREZ, CHIEF ADMINISTRATIVE OFFICER

BOB HIXON, PROJECT EXECUTIVE FOR THE CAPITOL VISITOR CENTER

OPENING STATEMENT OF SENATOR BEN NIGHTHORSE CAMPBELL

Senator CAMPBELL. Now, we will hear from Mr. Hantman.

If you would just come up here, and go ahead, and proceed. Your complete testimony will be included in the record, Mr. Hantman. I think you can abbreviate your verbal presentation as you would like.

Mr. HANTMAN. Thank you, Mr. Chairman, Senator Durbin. Thank you for this opportunity to testify here today. I would just like to introduce a few people who are joining me here today. Our Chief Operating Officer, Dick McSeveney; our Chief of Staff, Amita Poole; our CFO, Gary Glovinsky; Chief Administrative Officer, Hector Suarez; Bob Hixon, our Project Executive for the CVC; and several other key people who have supported me in preparing for this hearing and throughout the year.

What I would like to do, Mr. Chairman, as you indicated, is just have a few words in terms of an oral review here.

Senator CAMPBELL. Your complete testimony will be in the record. Just go ahead and summarize as you please.

FISCAL YEAR 2005 BUDGET SUMMARY

Mr. HANTMAN. As we prepared this budget request, we worked very closely with our clients to ensure that we were addressing their needs and those of the Capitol complex in planning for necessary projects and programs.

This budget request for fiscal year 2005 directly relates to my responsibilities for facilities management, project delivery, and the stewardship of the Capitol complex. Over the past few years, as directed by the Congress, additional buildings have been added to the AOC's responsibilities. This includes the new Alternate Computer Facility, the Fairchild Building, the National Audio-Visual Conservation Center, the book depositories at Fort Meade, and, of course, the Capitol Visitor Center.

All told, this amounts to an additional 1.5 million square feet of buildings and another 91 acres or so under the AOC's custodial care. That brings us to some 15 million square feet of building space, Mr. Chairman.

We are requesting \$585 million for fiscal year 2005 to support the maintenance, the care, and operations of all the buildings and grounds of the Capitol complex. This includes a number of projects to support and enhance life safety and security which, as you know, Mr. Chairman, are my top priority. It also reflects a number of major projects valued at \$177 million that have been requested by our clients, including the Library of Congress and the U.S. Capitol Police. You alluded to that in your opening statement.

This 2005 request represents a 41 percent increase over the enacted amount for fiscal year 2004. However, if our client projects were counted separately from our basic AOC budget, the fiscal year 2005 request would be less than my fiscal year 2004 budget.

On another note, Mr. Chairman, I am pleased to report that the AOC has once again cut its total injury/illness rate. We reduced fiscal year 2002's rate by more than 5 percent, for an annual rate of 7.9 percent in fiscal year 2003. Since fiscal year 2000, we have reduced the injury/illness rate by a total of 56 percent and we still continue to improve. Our goal basically is to get it down as close to zero as is humanly possible. We thank you for your support in this.

Many life safety and security improvements have been implemented or are ongoing in the Senate office buildings. For example, all Dirksen building entrances have been upgraded to meet ADA requirements. Mechanical and electrical updates have been or are being completed on all Senate building elevators.

We also continue to upgrade or install new sprinkler systems, smoke detection systems, and are making egress improvements in buildings across the Capitol complex.

In this calendar year, Mr. Chairman, one of our highest priorities is preparing for the inauguration. We have bid out the construction of the inaugural stands, which we will be awarding shortly; and we are in various stages of design, specification, and bidding for other requirements, such as the sound system, ramps, and chairs for the swearing-in ceremony.

CAPITOL VISITOR CENTER

Another major undertaking will be the planned start-up of building systems for the Capitol Visitor Center. At the direction of the Capitol Preservation Commission, I have requested as an interim measure, funding for facility operations and maintenance until it is decided how and by whom the CVC will be operated and maintained. Ms. Reynolds referred a little bit to that process that is going on right now.

Construction on the CVC has been progressing at a strong pace, as crews are increasingly working under the roof deck, which now covers the entire western half of the project area. It might be helpful, Mr. Chairman, to just take a look at a photo showing the progress we made last August on the Visitor Center, and a photo that was taken just 2 weeks ago.

On the left, of course, you see that the excavation was well underway. The foundation walls were being put in just last August, since last summer, completed to what we see basically 2 weeks ago. The deck, again, is fully in place with respect to the area between the major skylights and the east front of the Capitol.

All of that area will be part of the plaza that is necessary to support the inaugural activities. We will have a completed roof deck. We will have it covered by granite pavers, from the House steps to the Senate steps; and in May we expect to see stone masons start to lay granite pavers beginning on the north side, near the Senate steps. Some 200,000 pavers will be laid.

Over the past year, the AOC has undergone significant change. We have added key people. We have reaffirmed our commitment to providing high-quality service to Congress and the American people with the implementation of a new strategic plan. I am dedicated to providing a safe, secure, and productive environment for all who work at and visit the Capitol complex each year, as well as for all AOC employees.

We have completed tens of thousands of work orders to our clients' satisfaction—about 48,000 work orders just in the Senate buildings this year. We have achieved many of our goals due to the hard work and dedication of the AOC employees. I am very privileged and honored to lead such a professional team.

PREPARED STATEMENT

This committee's support in helping us achieve these goals is greatly appreciated. Once again, I thank you for this opportunity to testify today. I will be happy to answer any questions you might have.

Senator CAMPBELL. Thank you.
[The statement follows:]

PREPARED STATEMENT OF ALAN M. HANTMAN, FAIA

Mr. Chairman, members of the Subcommittee, I thank you for this opportunity to testify before you today. The Office of the Architect of the Capitol (AOC) has been undergoing tremendous change over the past year as we have finalized and begun implementing our five-year Strategic Plan. Our Strategic Plan is the blueprint that we are now following to help us carry out our responsibilities to preserve and enhance the United States Capitol and the other facilities located across the Capitol complex as well as guide us as we provide high-quality service to Congress and the American people.

Our Strategic Plan is linked to our Performance Plan which outlines specific actions and milestones we will use to achieve our goals. We also have established a reporting protocol that is tracking the Agency's strategic initiatives, the General Accounting Office's recommendations, and the Chief Operating Officer's Action Plan items on a monthly basis. In addition, we have identified a number of measures to monitor and evaluate the success of our work efforts over the next year.

Last July, we added a Chief Operating Officer to the team. Richard McSeveney is responsible for much of the AOC's day-to-day operations including programs and initiatives associated with strategic planning, performance management, worker safety, customer satisfaction, and service quality. He has submitted his Action Plan to Congress that outlines how we are implementing change and moving the AOC to the next level of client service excellence.

As we prepared this budget request, we worked closely with all of our clients to ensure that we were addressing their needs and those of the Capitol complex in planning for numerous projects and programs. This budget request for fiscal year 2005 will allow me to meet my responsibilities for facilities management, project delivery, and the stewardship of the Capitol complex. But just as importantly this budget responds to the needs of our customers, the requirements for improved fire and life safety, security, and future obligations.

Over the past few years, per the direction of Congress, additional facilities and projects have been added to the AOC's responsibilities. A short list of facilities includes the Alternate Computer Facility, the Fairchild Building, the National Audio Visual Conservation Center in Culpeper, Virginia, and of course, the Capitol Visitor Center. All told, this amounts to an additional 1.5 million square feet and 91 acres

under the AOC's custodial care. Our budget has been structured and increased to support the new requirements and responsibilities this Agency has for these new facilities.

Over the past several weeks, we have worked with the respective committee staffs and our clients to address possible budget resolutions. We re-examined priorities and studied how holding our budget to fiscal year 2004 funding levels would impact our day-to-day work as well as major projects. We have met the challenge of building a budget request that balances both fiscal responsibility and my office's mission to preserve, maintain, and enhance the national treasures and properties entrusted to us. I want to thank the Subcommittee for its generous support over the years without which we could not have completed many critical projects, continued to provide exemplary service, and assured continuity of operations at the Capitol, in the Senate Office Buildings and throughout the Capitol complex.

We are requesting \$479.3 million (not including items specific to the House) for fiscal year 2005 to support the maintenance, care, and operations of the buildings and grounds of the Capitol complex. This includes a number of projects to support and enhance life safety and security—my top priority. It also reflects a number of major projects, valued at more than \$136 million that have been requested by our clients including the Library of Congress (LOC) and the U.S. Capitol Police (USCP).

The most significant requests are \$59.2 million for the construction of the Library's Copyright Deposit Facility; \$39.5 million for the construction of the third and fourth increments of the Library's collection storage modules at Fort Meade; \$18.4 million to accommodate office and storage space at the Fairchild and GPO buildings for the Capitol Police; and another \$18.4 million for a USCP firing range and off-site delivery facility.

This is a \$138.7 million or 41 percent increase over the enacted amount of \$340.5 million for fiscal year 2004. This does not reflect the \$12 million transfer of fiscal year 2003 appropriations into the AOC budget for fiscal year 2004 for the Capitol Visitor Center.

If these specific client requests were not counted in the AOC budget request, budget growth for fiscal year 2005 for my Agency would actually show a negative growth from fiscal year 2004.

Other key items in my budget request include \$20.1 million for sprinkler and smoke detector upgrades in the Library of Congress buildings; \$3.7 million for the Hart modular furniture replacement program; \$1.3 million to renovate Senate Office restrooms; \$4.5 million to implement Phase III of the U.S. Capitol Master Plan; \$14.5 million for the preparation of the opening of the Capitol Visitor Center; \$5.1 million for the restoration of Bartholdi Park and Fountain; \$1.5 million to design the upgrade of the Capitol complex cable television system; \$955,000 for wayfinding signage, renovation and restoration of street lights and other decorative items on the Capitol grounds, and \$1,065,000 for installation and operations of emergency defibrillators across the Capitol complex.

PROJECT DESCRIPTIONS

Copyright Deposit Facility—\$59.2 million

This new, centralized, 180,200 square foot facility would house all existing and projected copyright collections in a secure, specialized environment for the Library of Congress. The Copyright Office of the Library of Congress is required by law to retain all the post-1977 unpublished deposit materials for the full term of the copyright protection and published deposits for the longest period considered practicable and desirable by the Register of Copyrights. The design work has been completed on this two-story building and, if funded, construction will begin in 2005. If the facility is not built, the storage of existing and future copyright collections will continue to be housed in decentralized, privately leased records facilities with questionable abilities to provide for the future growth of deposits and records. In addition, the collections will continue to be at risk due to the inability of existing mechanical systems to provide for the specialized requirements regarding temperature and humidity.

Fort Meade Book Storage Modules 3 and 4—\$39.5 million

This project for the Library of Congress entails the construction of two buildings to alleviate a shortage of collection storage capacity at the Jefferson, Adams, and Madison buildings on Capitol Hill. The third and fourth storage modules are designed to maintain environmental conditions of 50 degrees Fahrenheit and relative humidity of 30 percent. Scheduled to be constructed in late 2004 and 2005, the buildings will have two loading docks, a quarantine room, and a vacuum equipment room, as well as mechanical and electrical rooms to accommodate the necessary

equipment. If construction of these modules is delayed, the Library's ability to accept new materials into its collection will be compromised.

U.S. Capitol Police Support (USCP)—\$30.9 million

The AOC has recently signed a 10-year lease to occupy a little more than four floors of the Fairchild Building located at 499 South Capitol Street, S.W., that will accommodate the interim office space needs of the U.S. Capitol Police. Funds have been requested for the annual lease and to cover the costs to fit out the available space. This includes fixtures, furnishings, equipment, telecommunications, and information technology infrastructure.

In addition, the AOC is nearing agreement with the Government Printing Office to utilize some space for the Capitol Police logistical and storage functions, such as property management and warehousing. Relocating the USCP to these spaces will free existing space occupied by the USCP for Congressional use.

Capitol Visitor Center Start-up Support—\$14.5 million

In preparation for the opening of the Capitol Visitor Center (CVC), \$6.3 million is requested to procure equipment and supplies, contract for custodial services, and support, operate, and maintain the structural, architectural, and utilities infrastructures.

An additional \$8.2 million is being requested to cover the transitional stand-up costs for the operations, administration, and management supporting guide services, visitor services, food services, and gift shop services for the CVC.

In addition, the AOC is requesting 35 Full Time Equivalents (FTEs) in preparation for the opening of the CVC. Eighteen FTEs are being requested in the Capitol Building appropriation for facility maintenance; 16 FTEs in the CVC appropriation for project and operations support necessary for an orderly startup (tour guide services, restaurant management and gift shops); and one FTE to support the Office of the Attending Physician.

EMPLOYEE SAFETY

For the third consecutive year, the AOC has cut its injury/illness rate. According to year-end figures from the Occupational Safety and Health Administration, we reduced fiscal year 2002's rate of 8.35 by more than five percent for an annual rate of 7.91 in fiscal year 2003. Since fiscal year 2000, we have reduced the total injury/illness rate by 56 percent. These achievements would not have been possible without the efforts of all AOC employees. In January, we conducted an Agency-wide survey asking employees about their perceptions, opinions, and attitudes about safety. The response rate to the survey was 62 percent when typically these surveys receive a 30 percent response rate.

When asked if they agree with the statement, "Workplace safety is very important to AOC," 90.8 percent of AOC employees agreed with the statement. Nearly ninety-four percent of employees stated that they "think about the safety of my customers and the public," and 96.2 percent said they "think about their own safety on the job." Over the past several years, our workforce has made a commitment to work in a safe and healthy environment. This commitment has lead to consistent and notable reductions in our injury/illness rate.

However, any single injury is one too many. I am committed to providing a safe environment on Capitol Hill. I set high expectations and communicate them to my Superintendents and employees. I perform unannounced visits to worksites to observe and discuss safety and ensure that personal protective equipment is available and worn. Mr. Chairman, I have requested \$64.7 million in project funding to support life/safety and security projects. It includes upgrading or installing new sprinkler systems and smoke detection systems; upgrading elevators; renovating restrooms to comply with ADA requirements; installing defibrillators across the Capitol campus; and making egress improvements.

SENATE OFFICE BUILDING IMPROVEMENTS

Many life/safety and security improvements have been implemented or are ongoing in the Senate Office Buildings. For example, all Dirksen Office Building entrances have been upgraded to meet ADA requirements, and all mechanical, electrical, and cab refurbishing upgrades to the elevators in the Russell Building have been completed. All mechanical and electrical updates are completed on the Dirksen Building elevators, and the cab upgrades are scheduled to be completed this fall. The Hart Building elevators modernization will begin in May and the completion date for this project is spring of 2005.

In the area of client services, Senate offices now have a new way to submit and track work requests, learn about on-going projects, order furniture, or request as-

sistance from the Senate Superintendent's Office. The tool is a new intranet site: <http://Senate.AOC.gov>. This site is the first AOC client-specific web site focused on customer service. In addition, building alerts are regularly posted on the site and updated to provide information about projects such as elevator or restroom upgrades.

Our new Senate site was rolled out during a demonstration for Senate staff in December and we have been providing training classes for office managers. Senate staff members have also been providing us with suggestions on how to add value to the site and we are making adjustments to better meet their needs. The site will continue to grow and evolve in the upcoming months, for example, a client feedback form was recently added. Similar sites for the House and Capitol Superintendent's Offices will be online soon.

The AOC continues to make significant improvements in the Senate Office Recycling Program. Contamination rates have plummeted from a high of 75 percent in fiscal year 2000 to zero for the first quarter of fiscal year 2004. We attribute this tremendous progress to three things: we simplified the program, we have initiated coordination efforts with the Senate Sergeant at Arms and Senate staff to further educate them about the program, and we have modified our own work practices and operations to ensure efficient and effective collection and separation of recyclable materials. We have also increased the types of recyclable materials we collect to include items such as toner cartridges and rechargeable batteries. Ninety-three office suites, eight committee suites and a number of other Senate offices are actively participating in the recycling program.

CAPITOL BUILDING

In fiscal year 2005, one of our highest priorities concerning the Capitol Building will be the preparations for the Presidential Inauguration. We have been updating plans from the last inauguration and have begun planning the construction of Inaugural stands and identifying other requirements, such as a sound system, ramps, crossovers, and chairs for the swearing-in ceremony. We are also working closely with the U.S. Capitol Police on security issues.

Mr. Chairman, I am pleased to report that as of February 17, 2004, the Capitol Dome was re-opened for special Member-led tours. As you know, tours were suspended following the terrorist attacks on September 11, 2001. Since that time, my office completed a number of safety upgrades in the Dome that included installing exit signs, bump guards, fire alarms, an evacuation system, improved handrails, and new stair treads. We also improved the tour route lighting and emergency lighting. I would like to note, however, that the scheduling and conducting of these tours now falls under the responsibility of the Capitol Guide Service.

We have completed a number of other projects throughout the Capitol over the past year including installing numerous additional life and fire safety devices throughout the building; continuing to restore and conserve frescos, historical artwork, chandeliers, and the Brumidi murals; and upgrading 24 of 28 elevators. The remaining four are scheduled to be completed between fiscal year 2004 and fiscal year 2006.

Mr. Chairman, a popular service we provide for the American public is the opportunity to purchase, through Members' offices, flags flown over the U.S. Capitol. Last fall, my office discovered that several web sites existed that were reselling flags flown over the Capitol at a much higher cost than if the consumer had requested one through their Member's office. We sent out notices to all Congressional offices to alert Members to this practice and have been developing a web site that would provide information on flags flown over the Capitol and directing consumers to contact their respective Senators or Representatives. I am pleased to report that as a result of our actions, many of these web sites have ceased reselling flags or have changed their web sites to clarify their business practices.

As I mentioned earlier, another major undertaking will be the start-up of the Capitol Visitor Center facility. At the direction of the Capitol Preservation Commission (CPC), I have requested funding under the Capitol Building fiscal year 2005 appropriation, as an interim measure to fund facility operations and maintenance until it is decided how and by whom the CVC will be operated and maintained.

CAPITOL VISITOR CENTER (CVC)

Construction on the CVC has been progressing at a strong pace, especially over the last several months as crews are increasingly working under cover below portions of the roof deck which now covers the entire western half of the project area. Sequence 1 and Sequence 2 contractors have been jointly working to coordinate and fully integrate their schedules to ensure that the project proceeds in the most effi-

cient manner possible. Additionally, we have augmented our management team to facilitate the efficient sequencing and execution of the more than 3,000 project line items that need to be accomplished.

Over the next year, Members will witness the completion of the western half of the plaza at a level sufficient to support inaugural activities. That entails the ability of the plaza deck to accommodate a Presidential motorcade and, if necessary, the landing of a helicopter on the deck. Specifically, the portion of the plaza supported by the steel framing will have a completed roof deck covered by granite pavers from the House Steps to the Senate Steps. In May, Members can expect to see stone masons on the plaza laying granite pavers on the East Front Plaza deck beginning on the north side of the deck near the Senate Steps. A plan describing the plaza finishes and the accessible areas of the CVC site for the Inauguration has been presented to the CPC and Rules Committee staff. Other landscape elements will be in place and some portions of the hardscape elements, including the retaining walls around the House and Senate grassy oval areas, will be partially in place. At the same time, all the interior facilities will continue to be worked on and ultimately commissioned and turned over so those operating the facility will have time to adapt to the facility and establish operating procedures before the CVC opens to the public.

The current estimated completion date for the CVC is spring 2006. After a long and thorough review of project activities and the line-item schedules of both Sequence 1 and 2 contractors by my office, our construction manager, and the General Accounting Office, we have determined this more accurate opening time frame.

The overall base project budget stands at \$351.5 million. This amount includes the \$265 million appropriated for the core CVC space and the shell for House and Senate expansion space; \$38.5 million for additional security enhancements funded after September 11, 2001; and \$48 million to accommodate higher than expected bids, additional changes in scope and design due to unforeseen site conditions and weather impacts, and the management and construction costs associated with the scope and design changes, as well as contingency funds. Additionally, \$70 million has been appropriated for the build-out of the House and Senate expansion spaces.

As construction continues, we continue to plan the exhibits that will be featured inside the CVC and work with representatives of the Capitol Preservation Commission to determine how services such as food service, gift shops, guide services, and first aid to our visitors will be provided. Because our 16,500 square foot gallery will be the only one in the country dedicated to the history and accomplishments of the Congress and the growth of the Capitol, it will feature a number of interesting and educational exhibits. It will include a 10-foot tall touchable model of the Dome with cutaway interior; a curving marble wall inset with state-of-the-art document cases featuring historic documents from the Library of Congress and the National Archives chronicling legislative achievements; a set of six alcoves covering the history of the House, the Senate, and Capitol Square; virtual House and Senate theaters allowing historical programs and live access to floor proceedings; a "Behind the Scenes" area covering everything from subways to grounds-keeping; a photo exhibit featuring the Capitol as a national stage for important ceremonies; and an interactive area where visitors can access touch screen programs about "Your Congress/Your Capitol."

Mr. Chairman, I know that we all eagerly await the opening of this unique, historic, and very necessary visitor center that will offer free and open access to all people in a safe and secure environment so that they may witness and learn about the workings of democracy and the legislative process.

PROJECT DELIVERY

As the example of the CVC illustrates, in recent years the number and complexity of our projects has greatly increased. Therefore, the AOC has worked to develop core and technical competencies for its project managers and contracting officers. Specifically, we have established a competency framework and training assessment for both AOC contracting officers in line with the Defense Acquisition Workforce Improvement Act (DAWIA) and AOC project managers in the engineering and architectural series that mirrors the Project Management Institute Body of Knowledge.

We are also working more closely with our clients to design and control the scope of our projects to assure high quality drawings and specifications, to minimize changes during construction, and to deliver quality projects on time and on budget. All current projects have been prioritized and the more critical projects have been assigned to the Project Management Division. Appropriate levels of support are being provided to these project managers to assure that they have the resources necessary to move these high priority projects forward.

The Capitol Complex Master Plan that is under development will help facilitate consistent management and oversight of all our projects and assist us in setting priorities. Its key objectives are to document existing conditions; provide context for site selection and site development within and near the Capitol Grounds; address cross-jurisdictional questions of historic preservation, sustainability, infrastructure renewal, permanent security measures, visitor management strategies, traffic and parking issues, and landscaping; and identify facility needs and future building trends, and coordinate planning efforts with local, regional, and Federal development plans.

The existing master plan is nearly 25 years old and does not address present-day issues such as increased security, new and advancing technologies, and future needs. As you know, since September 11, the AOC has undertaken substantial new projects to adjust to a demand for heightened security. Chief among these projects is perimeter security which has seen significant progress.

—*Capitol Square.*—All work on the Senate side of Capitol Square is complete except the outer perimeter work along Constitution Avenue, N.W., and the work which is currently impacted by the Capitol Visitor Center project. The portion near 1st Street and Constitution Avenue, N.W., which is part of the Capitol Complex's outer perimeter, is also ongoing. The north entry will be constructed following the completion of the tunnel work on the CVC. The work along the Northeast Drive and 1st Street, N.E., will be completed following the completion of the CVC itself. The portion of the outer perimeter near 1st Street and Constitution Avenue, N.W., will be completed as part of the later phases of the Senate Office Building Perimeter Security program.

The work on the House side of Capitol Square is largely complete with the major exception of the work which is currently impacted by the CVC project and the portion near 1st Street and Independence Avenue, S.W., which is part of the Capitol Complex outer perimeter.

—*Senate Office Buildings.*—A contract has recently been awarded for the perimeter security work along Constitution Avenue between Delaware Avenue and 2nd Street, N.E. This work is currently planned to be completed in November 2004. The remainder of the perimeter security around the Senate Office Buildings will be completed in phases over the next two years.

—*House Office Buildings.*—The work along Independence Avenue in the front of the House Office Buildings is largely complete with full completion anticipated this spring. The remainder of the perimeter security around the House Office Buildings will be completed in phases over the next two years.

Another project underway that will address the current and future needs of the Capitol Complex is the expansion of the West Refrigeration Plant at the Capitol Power Plant. This project replaces the aging and outmoded East Plant refrigeration machines and provides for additional heating and cooling requirements. The project is approximately 25 percent complete and, when finished, will enable the Capitol Power Plant to reliably meet cooling requirements through 2025 and will significantly increase overall plant efficiency, thereby lowering annual energy consumption.

HUMAN CAPITAL

Because the AOC is a service-based organization, our workforce is our most valuable asset. We continue to look at new and innovative approaches to better attract and retain highly qualified employees so that we continue to be in a position to meet the needs of all our clients.

We have hosted in-service Federal Employees Health Benefits Days to assist employees with any problems they may have or to answer questions about various health plans. We plan to host sessions twice a year. We have also developed a new Leadership Development Program that we plan to roll out soon. It expands the existing framework to address all leadership levels of AOC to develop the skills needed to achieve competencies that are considered to be government-wide standards. In addition, we have invested in employee training and provide other incentives, such as transit subsidies.

This past year we established a new Office of Workforce Planning and Management (WFPM) as approved in our fiscal year 2003 full time equivalent appropriations request. This office is responsible for position management, organizational analysis, and succession planning. WFPM staff has conducted an Administrative Study in which they evaluated the need of administrative positions, the duplication of positions, and whether AOC's positions and functions align with the AOC Strategic Plan.

In September 2003, the AOC launched AVUE, a Digital Services Recruitment and Staffing Module that lists all AOC vacancy announcements and allows job applicants to apply online. In addition, all position descriptions are developed in AVUE. Its implementation has significantly reduced the time it takes to generate and issue a referral list of qualified candidates to managers, thereby reducing the time to fill vacant positions.

With the assistance of the Office of Information Resources Management, kiosk computer stations were established in every jurisdiction so AOC employees can have access to computers to develop their employment profiles, view vacancies, and apply for AOC vacancies at any time. In conjunction, we opened an AOC Employment Center. The center is open every Tuesday and Thursday and by appointment. AOC Human Resources staff members are available to assist employees in developing their employment profiles and providing instruction to apply for positions online.

INFORMATION TECHNOLOGY

Our budget request for the Office of Information Resources Management (OIRM) has increased as a result of our efforts to centralize all information technology (IT) functions under OIRM. In the past, individual jurisdictions controlled some portions of IT funds.

In addition to bringing AVUE online, OIRM successfully managed a number of projects this past year including: developed and published the AOC's Enterprise Architecture; completed the foundation for the upgrade to AOC's network, AOCNET; completed the infrastructure build-out at the Alternate Computer Facility (ACF); implemented the Financial Management System fixed assets module on schedule which provides the AOC with automated records of its fixed assets and enables the Accounting Division to record automated depreciation entries in the general ledger (proper accounting of fixed assets is required to receive an unqualified audit opinion); developed and launched the Senate's web site; and completed the AOCNET Fiber-optic Ring Project.

SENATE RESTAURANTS

Another area in which we provide client service is in the Senate Restaurants. We have been making strides in reducing economic dependency over the past few years through cost reductions and the marketing of our services.

Our management has taken a number of steps to help resolve some issues regarding its billing procedures including: sending out bills to collect unpaid balances; implementing a detailed code system to explain charges and verifying who authorized such charges; and billing on a more regular cycle.

The Senate Restaurants offer services designed to provide Senate Offices with new menu options when planning small, in-office functions that are less expensive than fully catered events. Senate staffers can log on to our expanded web site and check out the daily specials in each restaurant and look for special events. The site is registering more than 5,000 hits per month.

This year we upgraded our cash registers in both the North Servery and Senate Chef to accept credit cards. Shortly we hope to institute a discount debit card for use in the North Servery as well.

Finally, I am especially pleased to inform you that for the sixth straight year, independent auditors have found no reportable conditions or material weaknesses in financial controls.

CONCLUSION

The Office of the Architect of the Capitol has been serving Congress since 1793 and continues to provide client services through hurricanes, ice storms, anthrax, and ricin incidents.

Over the past year, we have undergone significant change and have reaffirmed our commitment to providing high-quality service to Congress and the American people. Our request for funds is in direct response to our customers' requests for important projects and programs. In addition, we continue to strive to achieve the level of safety, security, preservation, and cleanliness, expected across the Capitol Complex.

I am dedicated to providing a safe, secure, and productive environment for all who work at the AOC and for those who work and visit the Capitol Complex each year. We have completed thousands of work orders, have met our clients' expectations, and have achieved our goals due to the hard work and dedication of all our AOC employees. I am very privileged and honored to lead such a professional team.

The Subcommittee's support in helping us achieve these goals is greatly appreciated. Once again, thank you for this opportunity to testify today. I'd be happy to answer any questions you might have.

CVC LANDSCAPING

Senator CAMPBELL. Once the pavers are on the plaza, is there going to be an automobile parking lot, or is that going to be a garden look?

Mr. HANTMAN. Certainly, from the perspective of the front yard to the Capitol, Mr. Chairman, my recommendation would certainly be that parking would be extremely limited to those people who really need to bring cars up onto the east plaza. But that is clearly an administrative decision for the——

Senator CAMPBELL. Are we going to replant the grass and some of the trees that were there?

Mr. HANTMAN. Absolutely. Absolutely. We will, in fact, have more trees——

Senator CAMPBELL. There will be enough soil, on top of the roof of that, to be able to hold trees?

Mr. HANTMAN. The areas that have been directly adjacent to the Capitol, say, between the central rotunda steps and the Senate steps, between the central rotunda steps and the House steps, those panels will be there. We will be having grass, just as Mr. Olmstead originally planned it. The concept was not to have heavy trees or gaudy planting that would detract from the building itself at those locations.

So, those will be replaced. We will have adequate room for growing the grass that we need in those panels, as well as on the eggs. The House and the Senate eggs will be replanted. Trees, the allé of trees leading down East Capitol Street will be fully replaced with trees that are in line with the original design of Mr. Olmstead.

Senator CAMPBELL. And you feel confident that the surface is going to be done before the 2005 inaugural activities?

Mr. HANTMAN. We will have that surface ready for—if there is a motorcade for the President, if the helicopter, the Presidential helicopter has to land, it will be in place, the troops need to pass in review, that will be all ready for that.

FISCAL YEAR 2005 FUNDING REDUCTIONS

Senator CAMPBELL. We have big problem with money this year, as you know. AOC has requested a 41 percent increase. That is large and it may be very well needed, but it will be tough to accommodate. I have asked everyone who has come before our committee, what happens if we cannot fund that request? Have you prioritized what is the most important thing that we need to be aware of if we need to trim some money from your request?

Mr. HANTMAN. Well, within my agency, Mr. Chairman, I have really reviewed both operations and the capital improvement requirements that were requested by the superintendents of each of our jurisdictions; a separate jurisdiction for the Senate office buildings, the House, the Capitol, Library of Congress. And we balanced their priorities for fire, life safety, security, and operational re-

quirements, against the fiscal realities; to ensure that we could fulfill our responsibilities without significant budget increases.

In addition to refining the AOC needs for maintenance operations and funding for capital projects, we also worked very closely with our clients to ensure that we were addressing their needs as part of the requirements of the overall Capitol complex.

I recently requested that the Library of Congress and the Capitol Police review and formally reconfirm their needs and requests, and they have done so. I have letters for the record submitted on March 23, from Dr. Billington, and April 5, from Chief Gainer, which really talk to their projects and the need for those very important projects.

[The information follows:]

THE LIBRARIAN OF CONGRESS,
Washington, DC, March 23, 2004.

The Honorable ALAN M. HANTMAN, FAIA,
The Architect of the Capitol,
Washington, DC.

DEAR ALAN: In response to your March 10 letter, I am writing to reaffirm the Library's mission-critical need for the following projects in the Architect of the Capitol (AOC) fiscal year 2005 budget.

Fort Meade Modules 3 and 4: \$39,500,000

There has already been a delay of more than five years in obtaining this desperately needed space.

Failing to fund Modules 3 and 4 in fiscal year 2005 would adversely affect library materials.

—The special format collections that are scheduled to fill Modules 3 and 4 and the four specially designed cold vaults total approximately 26.2 million items, and include: 500,000 reels of microfilm masters, many of which are in imminent danger of deterioration that will render them unusable unless they are transferred to cold storage; 10 million manuscripts; 340,000 maps; 750,000 print and photographic negatives; and 500,000 boxes of special collections from the collections of Prints and Photographs, Music, Law, Rare Book and Special Collections, Folklife and rare bound volumes from Serials and Government Publications.

Many of these materials are stored in conditions that do not meet preservation standards. Others are stored in better environmental conditions, such as Iron Mountain, but are not readily retrievable for processing or consultation by researchers, seriously hampering core Library activities.

Copyright Deposit Facility: \$59,200,000

A delay in funding would: add more time of storing copyright deposits in unsuitable conditions, further advancing the deterioration of these deposits; and continue the risk of public criticism that copyright deposits are not being preserved to meet the requirements of the law.

We are currently storing more than 135,000 cubic feet of copyright deposits.

Copyright's capacity requirements will grow, particularly with the 1999 Copyright term extension, which means the Office will have to store unpublished deposits for an additional 20 years.

Collections Security (Secure Storage Rooms): \$860,000

In compliance with the Library's congressionally approved Collections Security Plan, funding is needed for the construction of 12 secure storage vaults within the Library's three Capitol Hill buildings to house all "platinum" and "gold" collections.

Current funding allowed the construction of five vaults; fiscal year 2005 funding will support an additional three vaults, with the remaining four vaults built in fiscal year 2006.

A delay in the construction of the vaults could result in a life expectancy of about 20 percent of what it would be if the collections were stored under proper environmental conditions.

Cafeteria Equipment: \$210,000 (Price Correction from Memo)

The continued maintenance problems of current cafeteria equipment (dishwashing machine) add service cost through staff downtime and additional use of paper products.

If not funded, the condition of the equipment will continue to deteriorate, consuming additional AOC maintenance labor hours needed elsewhere.

With machinery not fully operational, it creates a safety hazard with operators and health concerns with Library staff and patrons.

Study—Book Conveyor Integration / Upgrade: \$400,000

Without this funding to study the alternatives for correcting numerous deficiencies with the existing book conveyor systems, service levels will continue to decrease. This may ultimately lead to a complete failure of the book conveyor systems.

The decreased service levels will impact the Library's ability to efficiently deliver materials to its staff and other customers, and severely impact staff resources by eventually forcing the manual delivery of books and research materials.

Funding is not required for the Madison Loading Dock Expansion (\$125,000), and should be deleted from the fiscal year 2005 budget request.

If you have any questions regarding the Library's fiscal year 2005 AOC budget requirements, please contact Budget Officer Kathryn Murphy on 707-5186.

The Library appreciates the AOC's continued support with its buildings and grounds requirements.

Sincerely,

JAMES H. BILLINGTON,
The Librarian of Congress.

UNITED STATES CAPITOL POLICE,
OFFICE OF THE CHIEF,
Washington, DC, April 5, 2004.

The Honorable ALAN M. HANTMAN, FAIA,
Architect of the Capitol, SB-15, The U.S. Capitol, Washington, D.C.

DEAR MR. HANTMAN: This is in response to your letter of March 10, 2004, requesting that we validate the inclusion, and provide a statement as to the effect on our operations of deferring the three USCP facility projects contained in your fiscal year 2005 budget.

Firing Range Design and Construction \$12,000,000

The original partnership with the Federal Law Enforcement Training Center (FLETC) on the new training facility in Cheltenham, Maryland included 26 agencies. With the creation of Department of Homeland Security and subsequent merger with Treasury/FLETC, the facility now serves 70 plus agencies but the size of the range has not grown proportionally. We continue to work with FLETC regarding issues on availability of the facilities as well as funding requirements. We have also been working with the Appropriations Committees regarding the resolution of the issues. However, the issues remain unresolved. If the scheduling requirements for all USCP firearms training and re-certification can be accommodated by the FLETC, the USCP will not require the facility requested by the AOC. However if the facility availability issues are not worked out to our satisfaction, the construction of a new firing range is critical to the operations of the USCP.

Fairchild and GPO Build-Out \$12,500,000

It is our understanding that the AOC only has funding for fit-out of one of the four plus floors leased on behalf of the USCP in the Fairchild building. Without the \$12.5 million, renovations necessary to occupy the remaining three floors could not be made. Without occupying this space, the USCP cannot relieve exiting overcrowded conditions and provide for current growth of personnel and equipment. We therefore request that this item remain in your budget.

Off-Site Delivery \$6,400,000

The current off-site delivery facility at P Street S.E. is in dilapidated condition. It no longer sufficiently meets the operational needs of the Congressional community nor does it address the growing security requirements of the Congress. A new facility is critical to the operations of the Congress. Given the current real estate market, we need to be ready to immediately respond when an acceptable site is identified. Therefore, we request that you continue to support this funding in fiscal year 2005.

Thank you for requesting our input in these facility related issues that so critically impact our operations. If you have any operational questions please do not hesitate to contact Captain Morris, on 224-4161.

Very Respectfully,

TERRANCE W. GAINER,
Chief of Police.

FISCAL YEAR 2004 SPENDING LEVELS

Mr. HANTMAN. Our goal, Mr. Chairman, would be to maintain a steady state of operations at the same level as fiscal year 2004, providing essential services, as expected, levels of safety and security throughout the Capitol complex. Our new capital projects requested by our clients, which are valid and important needs, would have to be deferred, if we, in fact, were left at the fiscal year 2004 level.

Senator CAMPBELL. Okay. I interpret that to mean they are all high priorities?

Mr. HANTMAN. All of them, sir.

Senator CAMPBELL. I understand that you have unobligated funds from last year and prior years. Can we reprogram any of those unobligated funds to projects planned for fiscal year 2005?

Mr. HANTMAN. We do have a large balance of unobligated funds, as you mentioned. This includes a number of long-term projects, some of them being built in phases, some of them allocated towards the Power Plant, towards the CVC. But there are several parts of that unobligated balance that could be reprogrammed and reused, assuming that they would be replenished in future years.

For instance, there is some \$63 million to purchase the Alternate Computer Facility. If we wanted to continue renting for a period of time, that might be a possibility. There is \$16 million in unobligated funds for the National Audio-Visual Conservation Center. That is the Government's share of the funding that is being provided by the Packard Foundation. If that were replenished in a timely way to give that money towards that project, that might potentially be used.

We do have other large unobligated balances for security, and for the Cheltenham training facility, all of these issues. But there would be things we certainly could talk to for possible reprogramming, if, in fact, they were replenished in a timely way.

Senator CAMPBELL. We have given you an awful lot of work to do. Should we consider perhaps a 1-year moratorium in on any new projects?

Mr. HANTMAN. Mr. Chairman, we have effectively, in our budget preparation timeframe, pretty well scrubbed—we essentially incorporated a moratorium within the AOC for our basic projects, already. When our superintendents came to us with their requests, we basically said we are going to have—and I think you referred to it in your comments—about an 18 percent increase in cost of living, in life-safety projects, and the cost of utilities. We have absorbed that within our total budget amounts.

By doing that, by absorbing that 18 percent, we essentially already cut back on capital projects that we were trying to achieve within our fiscal year 2004 levels. So, we have started doing that already, sir. But as you have indicated, we certainly do have a very significant workload, and we are trying to work through that.

CAPITOL POWER PLANT

Senator CAMPBELL. Okay. Thank you. You also mentioned the Capitol Power Plant. Eighty-two million dollars has been provided in the last several years for that. What is the status of the project? I did not remember hearing if it is on time or on budget.

Mr. HANTMAN. We are definitely on budget. That project is proceeding well. There have been delays. The delays are the same issues that we faced on the Visitor Center: weather-related delays, utility-related delays; about 120 days, to account for that.

But one of the things that we are doing, because the east plant—the east refrigeration plant is in such poor shape right now and that is, of course, why you have granted us the ability to expand the west refrigeration plant and upgrade it, is we are taking two 3,000-ton chiller units and putting them temporarily in the east refrigeration plant; so that we can, in fact, make sure that we meet all the requirements for heating and cooling at the Capitol.

Those two refrigeration units will be moved into the west plant as we move ahead. So, the fact that we are behind schedule should not impact the operation and supply of utilities to the facilities themselves; and if we want to buy back some of that lost time, it would be fairly expensive. So, we think that the solution of having these temporary machines put into the existing east plant, moving them over is the more financially appropriate way to proceed.

Senator CAMPBELL. Okay. Thank you. Senator Durbin, I will yield to you for some questions.

CAPITOL VISITOR CENTER MANAGEMENT

Senator DURBIN. Thank you very much, Mr. Hantman. We thank you and your staff for being here today, and I want to particularly thank Matt Evans, the landscape architect, for his cooperation and work with our staff on the Rain Garden project, which we talked about last year. They are giving me good reports and I thank all of you for your work in that regard.

I would like to make a statement for the record that there have been some suggestions that the Capitol Visitor Center needs a new bureaucracy, that we need to create a new office to manage the Capitol Visitor Center. I think that is a very bad idea. I think the Capitol Visitor Center should be administered by your office. There may be a particular element that requires someone on your staff to be assigned to that. But to make that a separate operation, as someone suggested, I just think adds another layer of bureaucracy and confusion that is expensive and unnecessary.

WORKER SAFETY

I would like to ask you about a few things that have been recurring topics. One was worker safety. Several years ago, the reports were not too good in terms of workers' compensation and injuries on the job. We brought in some people to give some advice on that. What is the status today?

Mr. HANTMAN. Senator Durbin, I think with your impetus and the help with this committee, we have really addressed that tremendously. As you probably recall, we essentially had the worst safety record in the Government at that point, something like 17.3

percent injury rate per year. We have cut that down tremendously with a very active life-safety program going on; and every year, we continue to make more progress on that.

As of now, again, since the year 2000, we have cut down 56 percent in terms of the injury rates. We are down to 7.9 percent, which puts us approximately in the middle of Federal governmental agencies. Again, given the fact that we are largely a blue-collar, shop-oriented organization, that is saying an awful lot compared to some of the white-collar oriented groups. But I share your concerns. I continue to make this a very high priority and make sure that all of our people have the right protective gear, and that they have training.

We are about to initiate a new program, in fact, where we have all of our supervisors and front-line people with new buttons that they have to put on and wear in the field every day to assure that they recognize that safety is one of our highest priorities, and that they talk to their people about it on a day-to-day basis. So it is very active, a lot of good movement, and we still have a ways to go.

RECYCLING PROGRAM

Senator DURBIN. On the recycling program, it is my understanding that there were 90 offices that were involved in the recycling program.

What are we doing to encourage offices to enroll in the recycling program?

Mr. HANTMAN. We have a dedicated team, Senator, that goes, essentially, to visit every committee as well as every Member's office. As you know, this is a voluntary program. We do encourage it. We encourage it also by making it as simple as possible to recycle.

One of the recommendations from the outside consultants, that we had brought in on this, was the fact that we combine the mixed paper and the high-grade paper together so that we do not have two separate bins at the desk for people to use. It makes it easier for them. Hopefully, the education process we are using, that says please do not drop your lunch into the recycling bins, because that gives us essentially bales and bales of material that cannot be recycled and effectively used.

We have essentially cut back almost to a zero percent rejection by our vendors, because the amount of garbage that has gone into these bales has been cut down to such a great extent. So, we are making an awful lot of progress on that. Again, your support has been critical to that.

PROJECT TIMELINES

Senator DURBIN. I did a little research—or my staff did, about how long it takes to do things. I asked them, how long did it take to build the Dirksen building. It turns out it was 3 years and 9 months. How long did it take to build the Hart Senate Office Building? It turns out it was 6 years and 8 months, 80 months compared to 45 months. The reason I asked that was because I have been watching the progress on the north end of the Dirksen building restroom remodeling. I can remember the exact day that the remodeling started. It was Halloween. So some 6 months ago, we started remodeling the bathroom.

I remembered what happened on the south end. It seemed like 1 year. Was it?

Mr. HANTMAN. I would have to check on the timeframe, Senator.

Senator DURBIN. Who monitors that, to make certain that things are actually being done each day, and that they are on schedule.

Mr. HANTMAN. Our superintendent of the Senate office buildings and his staff monitor those projects internally. I will check immediately on what the issues are on that specific area.

Senator DURBIN. Could I suggest that the Architect put up a sign where they announce that the restroom was closed, construction began October 31, 2003, as kind of an incentive to maybe complete it? Now, I have had kitchen remodeling and things, and I know that it goes on, and on, and on; but it just seems like an extraordinarily long time to remodel a bathroom. Six months. I know that they are doing it several floors at a time but, if you could look into that, I would appreciate that very much.

Mr. HANTMAN. I absolutely will.

[The information follows:]

DIRKSEN BATHROOM REMODELING

Question. Why is it taking so long to remodel the bathrooms at the North end of the Dirksen building? Is it possible to place a sign depicting when work commenced as an incentive for completion?

Answer. The Dirksen Bathroom Renovation is proceeding on schedule and on budget. The duration of this project is a function of many constraints, specifically, hazardous materials abatement, constrained working environment and restricted work hours. Hazardous materials abatement requires the construction of containment areas to ensure environmental and OSHA compliance while limiting specific trades progress. The physical size of the space restricts the amount of manpower which can safely work at any one time thus extending the critical path of the project. Finally while working in an occupied building a significant number of activities are limited to night work to minimize disruption to the clients.

As of April 19, 2004, the Senate Superintendents Office replaced the existing signs with signs that included the project start date and completion date.

SENATOR OFFICE BUILDING ENTRANCES

Senator DURBIN. Let me ask you about the entrance ways. You made reference to them. There are times when employees come to work or there are large groups of visitors, when people are standing outside, waiting to get in to go through security, sometimes in bad weather. Are there any design changes that you are considering to accommodate that possibility, where people might be out in the rain, or the snow, or cold weather, or heat, that are visiting our buildings?

Mr. HANTMAN. We do have a plan at the Russell Senate Office Building on Delaware Avenue, just to the north of the major steps entering that building. We have a project in place to build a larger vestibule outside the face of that building, where people can be screened outside of the structural framework of the building itself, so if an incident does occur, it will be less damaging to the building itself.

This will facilitate the ability of people in a very tight entrance to be able to come in and back up a bit. That would be the major entrance for ADA, as well as a security perspective.

Senator DURBIN. And that is for the other buildings, Hart, Dirksen?

Mr. HANTMAN. The first—this was the first pilot project. We wanted to do this first. We were looking at the possibility of doing Dirksen on the D Street side, as well as taking a look—Hart already has the canopy out on the Second Street side. But Dirksen would be the next.

CVC COST TO COMPLETE

Senator DURBIN. With regard to the Capitol Visitor Center, do you believe the current estimated cost of completion, \$351.3 million, is accurate?

Mr. HANTMAN. These are the dollars that we have had come up. As you know, the original project budget was \$265 million. We had \$38 million added, after the 9/11 timeframe, and some \$48 million added to the project as the result of the General Accounting Office's analysis of the project to complete.

We believe that—we are working very diligently towards making sure that we can work within these budget guidelines. We are at a very delicate point in the project, Senator, which says that our second major contractor, which is Manhattan Corporation, is just about to come on-site. The integration of the 3,000 elements that have to be integrated between our first-phase contractor and our second-phase contractor are still being worked out in terms of their overall scheduling.

If we can get them together most effectively, and that is one of the reasons we brought on Bob Hixon as our executive on the project. People in the field need to coordinate this most effectively. It is a very tight budget and we are working very effectively towards trying to mitigate any claims and issues that the contractors may have, and we will have a better handle on that in the next several months.

CVC PROJECT MANAGEMENT

Senator DURBIN. When did you decide you needed a new person to manage the CVC project?

Mr. HANTMAN. There were a series of issues, Senator. One of the issues certainly was the fact that because of the weather-related delays, and the other site surprises that our sequence one contractor had, it became evident that we were going to have to have our sequence two contractor work side by side with them, as opposed to turning over the work at one point in time for the second firm to start.

When it became very clear that the integration of all of this work in the field would become even more critical, we recognized that further field support would be necessary. In fact, we asked Gilbane to bring on people who were less administrative but more field-oriented, so that we could coordinate the work.

RESTAURANT OPERATIONS

Senator DURBIN. Are you under any timetable or plan to privatize any of the restaurants in the Capitol complex?

Mr. HANTMAN. We have no plan to do that.
[The information follows:]

SENATE RESTAURANTS

In reference to my statement regarding privatization of the Senate restaurants I would like to clarify my response. My original response of "no" is correct, although ongoing deliberations with the Capitol Preservation Commission about dining facility operations in the Capitol Visitor Center has raised the issue of privatization. In fact, the consultants reviewing the proposed operations for the CVC have recommended privatization of the dining facilities to the Capitol Preservation Commission. In the context of a new contract for food service operations there have also been discussions of including options for potential inclusion of both the existing Senate and House Restaurants. If this decision is made in the future, I anticipate that it would include provisions for current restaurant employees.

RETAIL SALES

Senator DURBIN. Can you tell me if there has been any idea of starting a retail sales operation at the Botanic Garden?

Mr. HANTMAN. We have been looking for some kind of authority to do that from the Joint Committee on the Library. As you know, the Botanic Garden, for purposes of security, was made part of the Capitol grounds, for the first time in the last year or so. We think that having a sales facility in the Botanic Garden makes an awful lot of sense. We do not have the authority to accept funds, to augment our income through such facilities but we would like to have that, pretty much as the Library of Congress has.

Senator DURBIN. I understand that there may be some gift shops in the Capitol Visitor Center. Is that correct?

Mr. HANTMAN. There will be gift shops. In fact, the committee that Ms. Reynolds referred to before, the Capitol Preservation Commission, is looking at how that will be operated, who will operate the gift shop, what kind of organizational structure, that you referred to, would be put in place to manage it. That has not been settled yet.

CVC EXHIBITS

Senator DURBIN. One of the other things that I have talked to a number of Members about, and there seems to be interest in, is perhaps in the Capitol Visitor Center, creating a new opportunity for the States to honor some person. Statuary Hall, with the two statues from most States, generally date to heroes and heroines of a long time ago. There are some notable exceptions to what I just said. But in my State's case, it goes back to quite a few years. I was wondering if we could work with you to try to set up the situation where it might not involve a statue or plaque, where States could, again, at their own expense, honor a more contemporary person from each State in that new Capitol Visitor Center.

Mr. HANTMAN. I would be more than happy to work on that with you, Senator, and your staff. One of the things we have been looking at, by the way, is, as you are aware, there is a great hall, a major space in the Capitol Visitor Center. We have been talking at the Capitol Preservation Commission meetings about the possibility of moving some existing statues from the Capitol Building into the Visitor Center, to give it a sense of scale, a sense of tradition, to tie it into the Capitol Building itself.

As you are aware, for the first time in the history of the Capitol, one of the States recalled a statue of one of their people. This was Kansas. They recalled Governor Glick and put in a statue of Gen-

eral Eisenhower, which now stands in our Capitol Rotunda. We have been getting several other suggestions from states and indications that they want to recall statues, and bring in Amelia Earhart, or other people, from their States that might, in fact, give us a better sense of the diversity and history that our country has.

So, we do have room in the Capitol Visitor Center for statues; and clearly, some of them are not very well displayed in the Capitol Building at this point in time. They are kind of tucked into corners and not paid the kind of respect that they——

Senator DURBIN. Well, there is some talk in Illinois about Michael Jordan, but I do not know if that would be the honoree.

I will just wait and see. I will let somebody else make that decision.

CAPITOL FENCE

The last thing I would like to weigh in on is the great fence around the Capitol, like the Great Wall of China. Can you tell me where you stand on the great fence proposal?

Mr. HANTMAN. Well, clearly, I sat here, Senator, last week, along with the Capitol Police Board and Chief Gainer on that. I think that both of you gentlemen spoke eloquently to the need to balance security and openness. It is not an easy question.

The Capitol Police Board has certainly given the freedom, and the police should be taking the freedom, to bring recommendations and concerns to the police board and take a look at all the options that are on the table. That is, in effect, what the Chief was doing.

There has been no formal movement on that. It has been an issue that has been on the table, as you know, for a generation at this point in time. So, we continue to look at all the alternatives that the Chief presents to us and try to determine what needs to be recommended to the Congress. But no official movement has been made on that.

Senator DURBIN. My concern is then, and I share the feelings of the chairman, that I just do not think that this ought to be something that we push forward unless we are shown that it is absolutely the only alternative. But it seems like the belt-and-suspenders approach, having put in all these bollards to deal with traffic, and then to establish a perimeter fence, and keep traffic away from the bollards. I am not quite sure what the thinking is there. But I will keep an open mind, because we want everyone to be safe in the Capitol complex; but from an aesthetic viewpoint, I think it would be a disaster.

Thank you for your testimony.

SENATE RECYCLING

Mr. HANTMAN. My staff just slipped me a note, sir, and it indicates that the Senate Appropriations Committee does recycle. I will be happy to provide you with additional information on that.

[The information follows:]

RECYCLING

Question. Does the Senate Appropriations Committee participate in the recycling program?

Answer. The Appropriations Committee was provided with recycling bins, instruction and training to implement the new combined paper recycling program on March 12, 2004 and they are currently participating in the program.

CLOSING STATEMENT

Senator CAMPBELL. Mr. Hantman, I have several other questions I am going to submit in writing, if you would get the answers back to the committee. I have one that is not really an important question but just to settle it in my own mind, if you would. You talked about the fire alarms in your testimony, new fire alarms being put in the building some years ago. I have been in the same office for the last 12 years, over in the beautiful older building, the Russell. I love it over there. I never wanted to move from there, in fact. I have one of those old offices that has a fireplace, and there have been logs in that fireplace for 12 years, and I have been dying to light them up. Do those things work?

Mr. HANTMAN. There is always a balance, Mr. Chairman, between the need for fire security and in fact, as you are probably aware, there have been an awful lot of requests in the Capitol Building itself for activating fireplaces, which sometimes have had ducts run through them, or wiring run through them over the past number of years. We kind of look at that as a one-on-one type of situation. Clearly fireplaces, especially when you have alarm systems in the building, are not wonderful.

ADDITIONAL COMMITTEE QUESTIONS

Senator CAMPBELL. No, not a good thing. Okay. I guess I will have to leave the Senate then never having been able to use that fireplace. But I will have to live with that.

[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 BEN NIGHTHORSE CAMPBELL

CAPITOL VISITOR CENTER

Question. What is the status of the Capitol Visitor Center?

Answer. Overall, Sequence 1 is approximately 60 percent complete and Sequence 2 is underway—with 10 percent of the value of their fabrication work underway—largely of stone.

Significant progress has been made throughout the CVC site. Specifically, the roof deck now covers the entire western half of the project area and most of it has been waterproofed. Crews have begun placing the topping slab on the north side of the site and we will begin setting granite pavers on the deck in May.

Our project team continues to integrate the schedules of Sequence 1 and Sequence 2 contractors and we are reconciling a number of issues. Gilbane has added resources in the areas of management, change resolution, scope-gap identification and engineering support. As a result of these partnering efforts, we have seen tangible progress and results.

Most importantly, we are on track to meet the requirements to support the inauguration in January 2005 and to complete and open the Visitor Center in spring 2006. The overall base project budget stands at \$351.3 million. This amount includes the \$265 million appropriated for the core CVC space and the shell for House and Senate expansion space; \$38.5 million for additional security enhancements funded after September 11, 2001; and \$47.8 million to accommodate higher than expected bids, additional changes in scope and design due to unforeseen site conditions and weather impacts, and the management and construction costs associated with the scope and design changes, as well as contingency funds. Additionally, \$70 million has been appropriated for the build-out of the House and Senate expansion spaces. An issue we are currently working through is the significant increase in

steel prices which might impact portions of the work that have not yet been procured.

Question. What are the most significant problems you have experienced in this project to date?

Answer. Any project that requires a massive excavation has the potential to encounter unforeseen conditions, and our project, has been no exception. During our preconstruction effort, before actual site excavation began, we encountered many difficulties during our utility relocation effort. Every utility line running through our project footprint had to be relocated and, more often than not, the drawings that were available to us, some dating back to the early 1900s, were inaccurate and unreliable. The utility relocation effort took months longer than expected.

Another significant problem arose after the events of September 11, which prompted a full project design review. While the general layout of the facility did not change, we were required to provide for more robust mechanical systems, which in turn, required some structural changes. Increased on-site security also made delivery of materials more challenging.

Most problematic was that at the height of our excavation process in January 2003, we endured the second wettest year on record for this region. It is very difficult to move heavy equipment in the mud, it is difficult to excavate, and the material becomes undesirable as backfill at other project sites. Further, crews cannot erect steel in the rain and they cannot weld, so structural work was also hampered. On top of the persistent wet weather, we lost several days due to heavy snowfall and several more days preparing, and then restoring the site, after Hurricane Isabel.

Finally, we also experienced unforeseen conditions during the main excavation of the site. One example is the discovery of an old well approximately 40 feet below the original House wing, directly in the path of our perimeter wall. To clear the path for our perimeter wall, the large stones around the well had to be crushed and removed and a stable base for our perimeter wall had to be established. In short, what should have taken one week to place three perimeter wall panels in that location took close to eight weeks.

Question. What are the biggest challenges ahead of you?

Answer. Our most significant challenge is coordination between the Sequence 1 and Sequence 2 contractors. There remain more than 3,000 project line items to be accomplished between the two contractors and these activities need to be closely coordinated and sequenced so that work can be accomplished efficiently and expeditiously.

Also, there is still a potential for unforeseen site conditions related to excavation of the Library of Congress tunnel and our main utility tunnel down East Capitol Street, which could result in schedule delays. Other unknowns related to changes in scope, changes in the security environment (such as those that occurred after September 11), severe weather conditions, or other external factors could present further challenges.

Question. Are you confident you will be able to complete the project within the funds appropriated to date?

Answer. The CVC budget is very tight, but barring any significant unexpected site conditions, scope changes, or other unknown issues, we will continue to work diligently to stay within the available funding. Once the Sequence 2 contractor begins working on the site, this will be much easier to gauge. Until now, most Sequence 2 work has been preparatory in nature as the contractor waits for space to be turned over by the Sequence 1 contractor.

Question. The western half of the plaza is to be sufficiently complete to support 2005 inaugural activities. Are you confident you will meet this critical milestone?

Answer. Yes. The western half of the plaza from the large skylights to the face of the Capitol, from the House Steps to the Senate Steps, will have a completed roof deck covered by granite pavers. This portion of the plaza will be able to accommodate pedestrian and vehicular traffic, including the presidential motorcade, and if necessary, support the landing of Marine One. Presently, we are placing the top slab on the plaza on the north side of the roof deck and we expect to see stone masons placing the first of 200,000 granite paving stones in May.

Since last year, the CVC project team has had discussions with Capitol Preservation Commission staff and senior staff of the Senate Rule Committee regarding the requirements and expectations for the January 2005 Inauguration ceremony.

Question. You have recently changed the management team of the CVC. Can you explain how the new team will change the way the project is managed?

Answer. I would characterize the recent personnel changes, in particular, the additions of Messrs. Bob Hixon and Gary Lee from GSA to the AOC, as well as the addition of a new construction manager by Gilbane, not so much as a change in

management approach, but more as a strengthening of the management team with greater “in-the-field” experience, made necessary by the intensive coordination efforts that are required to closely integrate the Sequence 1 and Sequence 2 activity schedules.

Bob Hixon has provided knowledgeable advice and assistance to me informally for several years while GSA has been actively working with the AOC on the procurement side of the CVC project. As Director of the Center for Construction and Project Management at GSA, Mr. Hixon has been responsible for GSA’s Construction Excellence Program, bringing the highest possible standards of construction management to a portfolio of more than 160 projects worth more than \$5 billion. Mr. Hixon joined the AOC effective March 7, 2004, and has assumed responsibility for the project. He has begun conducting an in-progress review of the construction management of the CVC, including recommending changes and best practices to be followed in the construction management area involving both the Sequence 1 and 2 contracts.

Question. You have requested 51 CVC-related staff in your budget request. Are all of these staff really needed in fiscal year 2005 if the facility will not open until 2006? Will any of the 16 FTE authorized for the current year be utilized?

Answer. Many options related to the startup of the operations of the CVC are still being considered. These numbers are based on the best information available provided by the J.M. Zell Company, the operations startup contractor, working with the Capitol Preservation Commission. Once the decision regarding how and by whom the CVC will be operated, some refinements may be appropriate. The Capitol Preservation Commission requested that, in the interim, we submit this request in our budget.

Ten of eleven currently authorized FTEs are working on project management and other directly related tasks for the CVC and one position is currently vacant. The remaining 5 FTEs are not being utilized in the current year. We have requested that the funding to support these FTEs be reprogrammed to fund other activities within the project.

CAPITAL IMPROVEMENT PLAN

Question. Several years ago this Committee directed AOC to develop a master plan for the Capitol complex as the existing master plan is nearly 25 years old. What is the status of the master plan? What is your Capital Improvement Plan and how does it relate to the Master Plan? What are the most significant construction requirements we can expect will emerge from this planning process? Do you have any estimate of how much funding might be required for maintenance and repair projects over the next 5 years?

Answer. In the fiscal year 2004 budget, \$4.2 million was appropriated for the development of the Capitol Complex Master Plan. We have narrowed the list of prospective architectural engineering firms to four, and have conducted extensive interviews with these firms. A final selection is expected to be made in May, after which we will undertake a negotiation with that firm. Contract award and project kick-off are scheduled for July. The draft Master Plan will be ready for review by the Committees in 2006.

The Capitol Complex Master Plan provides the umbrella provisions and guidance under which all project planning and land use will occur over the next 20 years, and therefore is a critical prerequisite to a fully functional Capital Improvements Plan (CIP). The Master Plan will identify major capital projects that are needed whereas our ongoing Condition Assessments focus exclusively on projects needed to maintain our existing facilities and include smaller projects falling below the Line Item Construction Program (LICP) threshold (currently \$250,000). Together, they will be the basis for our future CIPs.

The CIP describes how the Master Plan can be implemented through a series of achievable planning and programming steps. It presents an achievable Capital Plan by identifying the projects necessary to satisfy the goals and objectives of the Master Plan. The CIP implements the Master Plan in that all known and valid projects are evaluated against established criteria in the following five categories: Safety, [Physical] Security, Preservation, Impact on Mission, and Economics (Cost payback, savings). The inclusion of projects in future CIPs will be based on a more detailed development and analysis of projects’ requirements, identification of prerequisites, development of appropriate sequencing, and establishment of priorities. This will be a principal basis for assignment of projects to a specific fiscal year LICP. As the Master Plan and the condition assessment are completed, subsequent CIPs are likely to reflect some changes in project identification.

We are still in the process of developing our CIP. Until such time as our condition assessment and Capitol Complex Master Plan are completed, we will not be able

to give the Committee a total list of projects nor a cost associated with these projects. However, based on the current draft CIP, the Dome restoration project, additional elevator modernization, the Fairchild and GPO build-out, high voltage switchgear, logistics warehouse facility, campus-wide roof repairs, and the Library's storage modules at Fort Meade and the Copyright Deposit Facility are among the list of significant construction projects for the next five years.

CONDITION ASSESSMENTS

Question. AOC planned to award building condition assessment (BCAs) contracts to assess the House and Senate Office buildings and the Capitol in 2003. Since these BCAs are an integral part of the Capitol Hill master plan (expected to be issued in April 2006), what is the current status of these BCA efforts?

Answer. The Building Condition Assessment (BCA) contract for the Capitol, House and Senate Office Buildings was awarded on February 26, 2004. BCAs are planned for other jurisdictions as well. The AOC will begin receiving information from the current BCAs in July 2004—in time to potentially include projects in the fiscal year 2006 LICI, if an urgent undertaking is needed. If not urgent, identified projects will be included in subsequent fiscal year LICIs, as appropriate. Completion of the BCAs for the House and Senate is scheduled for September 2004. Upon review, BCA information will be available to the Congress soon thereafter. The timing of the BCAs is such that they will appropriately feed into the Capitol Complex Master Plan.

PROJECT MANAGEMENT

Question. One of the major areas cited by the General Accounting Office as needing improvement within the AOC in its 2003 management review was project management. How is project management being handled differently today in an effort to deliver projects on time and within budget?

Answer. Project management has instituted significant positive changes in the last year. These changes include: strengthening and modifying the perimeter security project team to increase its effectiveness; establishing project priorities; developing a simplified project summary reporting method that continues to be refined to assure it provides required information in a concise manner; conducting a workload analysis; holding staff meetings and monthly Planning, Coordination and Scheduling (PS&C) meetings to discuss relevant project issues and encourage teamwork. In addition, there has been an increased emphasis on use of established procedures, such as best practices. The roles of the Contractor Officer Technical Representative (COTR) and their interaction with project managers have been clarified, and there is greater cooperation between the Procurement, Architecture, Engineering and Construction Divisions due to increased management oversight. We have determined core competencies for project managers and we have developed contract modification management procedures.

CUSTOMER SERVICE

Question. AOC has identified improving customer service as an important goal. What strategies are being developed to become more responsive to customer complaints and improve building conditions and cleanliness?

Answer. The Senate Superintendent's Office is implementing a number of initiatives to proactively address customer complaints and improve customer service. In the past year, we have initiated meetings with all Senate office managers and Committee chief clerks to provide information on the services provided by the Superintendents Office, project status, and points of contact for programs such as ergonomics and ADA issues, as well as personally address and resolve specific issues with clients. This effort has proved successful as the Senate Superintendents Office realized an 11 percent increase in pro-activity as seen in the annual Buildings Services Customer Satisfaction Survey.

In addition, we have initiated our Annual Business Planning effort with a focus on client service, performance management, and bench marking. Through execution of the business plan our responsiveness rating increased 8 percent. While these initiatives have been productive, we continue to strive to improve our responsiveness to clients' needs. Current initiatives include the implementation of the Senate Superintendent's web site which provides a direct link to the Superintendent's Office, instant feedback on work order status, an on-line furniture catalog, building information alerts, and project status updates. Client surveys will be generated automatically and sent to clients upon completion of a work order to obtain instant feedback regarding quality and timeliness of service. This survey data will be analyzed and action plans developed to address common themes and bridge gaps in service.

With regard to building cleanliness, the annual Buildings Services Customer Satisfaction Survey indicated a 13 percent increase in satisfaction with the cleanliness of Member suites. This is a direct result of the implementation of the quality assurance program which requires custodial staff to follow comprehensive cleaning checklists, integrates management quality inspections, and establishes clear lines of accountability. This year the program has been expanded to include the public restrooms and integrated into a performance based contract for cleaning and policing of public areas and restrooms. We also have intensified our focus on daily inspections of public areas and restrooms. Through this inspection process we quickly assign the resources necessary to address building "hot spots." The Senate Superintendent's Office is currently analyzing the floor care program and researching best practices and modern equipment to provide world class maintenance for the various floor surfaces in the Senate Office Buildings.

With regard to building conditions, the recent award of the Facility Conditions Assessment contract will provide a comprehensive assessment of the condition of buildings structures and systems, a 10-year prioritized plan to address deficiencies, and a complete inventory and bar coding of systems to complete our current Preventative Maintenance initiative. Use of this information will ensure the strategic care of the facilities and world class preventative maintenance resulting in improved building conditions and performance.

Concurrent with our improvement initiatives, we are promoting a culture of customer service within our workforce through the use of implementation tools, best practices, accountability, and employee recognition.

MANAGEMENT IMPROVEMENTS

Question. In order to improve management of the agency, the fiscal year 2003 legislative branch bill language was included establishing a Chief Operating Officer position, and requiring the development of a strategic plan. Now that AOC's strategic plan has been finalized by the agency's Chief Operating Officer and he has submitted an action plan as mandated, what changes can we expect to see in AOC's management approach and priorities? What milestones have been established to help the COO and AOC track progress in the development of its strategic management and accountability framework?

Answer. The AOC is following the actions identified and published in its Annual Performance Plan and the COO Action Plan as the foundation for its organizational business priorities. Specific milestones are published as a part of the Annual Performance Plan and the COO Action Plan.

The Strategic Plan is linked to more detailed, functional planning through the AOC Performance Plan. The Performance Plan outlines the specific actions and milestones planned to achieve our goals. In order to track progress implementing AOC's strategic initiatives, the COO has instituted a monthly management reporting requirement. To ensure that the Strategic Plan is a living document, the Senior Leadership Team uses the monthly reports to continually assess the Agency's strategic priorities and make adjustments as needed. The Architect, COO, and the Senior Leadership Team hosted its first quarterly management review of AOC's newly published Strategic and Performance plans with the Agency's Management Council.

Question. Performance measures are also important to help an agency manage its progress in achieving its goals, what is the status of the development of AOC's specific performance measures and how are they being used to manage the agency? Some areas that AOC designated in its strategic plan as performance measures to be developed are: client satisfaction, employee satisfaction, on-time projects, on-budget projects, project quality, facility maintenance, asset preservation, employee safety, clean audit, recycling, budget execution.

Answer. While many of the jurisdictions track measures that are specific to their daily work, AOC does not currently have an Agency-wide approach to collecting and analyzing this data as it relates to the Strategic Plan. Over the course of the year, AOC will be developing a process for cascading the high-level measures identified in the Strategic Plan down and across the organization. Once that work is completed, AOC will develop a systematic approach to tracking results using the measures.

Since 2002, the AOC has conducted an annual Building Services Customer Satisfaction Survey among occupants of the Capitol, the House and Senate Office buildings, and the Library of Congress buildings. Last year occupants of the U.S. Capitol Police Headquarters were also invited to participate. This year the scope will be expanded to include Supreme Court building occupants. Respondents are asked to indicate their satisfaction level regarding 61 areas that cover services provided by the AOC that range from the effectiveness of the Office of the Superintendent to the

maintenance of sidewalks. Questionnaires are tailored to each jurisdiction so customers are asked only about services relevant to them. AOC jurisdictions integrate customer input in the annual business plans and use survey results to draw specific action plans. For 2004, the survey period is June 1–20.

Jurisdictions have been implementing a web-based on-going customer satisfaction survey to assess customers' satisfaction with the on-demand work order process, from task request to work completion. This effort is now being implemented in the House and Senate jurisdictions. Other jurisdictions will follow as they establish websites.

The AOC is assessing the satisfaction of its internal customers with provided services through focused surveys. The Architecture, Engineering, and Project Management Divisions and the Safety, Fire, and Environmental Programs Office have surveyed their internal customers, and are taking actions based on the results. The Human Resources Management Division will issue its survey next summer. Other AOC organizations will join this effort in a coordinated manner to ensure that action plans are drawn to respond to internal customers' input. We also will be conducting an AOC-wide employee focus group survey later this year.

Question. In his action plan, the Chief Operating Officer (COO) states that he has established a Senior Leadership Team to help lead AOC's transformation and he also envisions a flatter organizational structure to facilitate decision making in a more timely manner. What have been the results of this new structure?

Answer. A new organizational structure was proposed for Committee review as part of our fiscal year 2005 budget submission. We have been piloting the new structure and find it has streamlined decision making and more clearly delineates Senior Leadership lines of authority and responsibility. Unless directed otherwise, with the approval of the fiscal year 2005 budget, we will implement an organizational structure that will assist us in clarifying lines of supervision and communication throughout the AOC.

Question. One of the Architect's and COO's priorities is improving communication with employees and stakeholders. What efforts are being made to communicate agency progress and project status with stakeholders? What is being done to obtain input from employees? How will this information be used to help better manage the agency?

Answer. The Architect and the COO have been holding periodic meetings with stakeholders and have been meeting with employees as part of their daily business meetings or at special functions within the jurisdictions. We also have a number of employee workgroups and committees that provide program and operational information and input to Agency management. In addition, we are planning to complete an AOC employee survey later this year. The input from these sources assists management in the evaluation of Agency policies, programs, priorities and overall business operations. Employees also make valuable suggestions for changes/improvements in business processes and delivery of services.

The AOC recognizes that communication is a powerful tool to affect change, educate, and empower employees by helping to deploy AOC's strategic goals throughout the organization.

To effectively reach our audiences and develop the Agency's message, we have crafted a Communications Plan to establish regular processes, forums, and mechanisms for employee communication, which are aligned with efforts to obtain and respond to employee feedback and other outreach efforts to external audiences.

Through the publication of the employee newsletter, "Shop Talk", and distribution of the electronic newsletter, "AOC This Week", and postings on the AOC Intranet site, messages are frequently communicated with employees regarding project status, program and policies changes, and safety messages.

AOC uses a variety of creative vehicles to communicate internally since our employees work different shifts in many buildings across the Capitol complex, and not everyone has ready access to electronic tools such as e-mail and voicemail.

Part of the communication loop is to receive feedback from employees. We are doing so by the use of surveys, town meetings, and focus groups regarding specific areas. For example, in January we conducted an Agency-wide survey asking employees about their perceptions, opinions, and attitudes about safety. The response rate to the survey was 62 percent when typically these surveys receive a 30 percent response rate.

This input is used to develop and enhance our safety communications efforts, identify deficiencies in training, and establish programs to reward employees for jobs well done.

Externally, the AOC is stepping up efforts to communicate with Members of Congress, their staffs, community leaders, and visitors through a variety of vehicles. The strategy for communicating with these audiences involves the use of personal

mailings; reports; briefings; testimony; press releases; stakeholder surveys, and meetings. In addition, a quarterly newsletter from the Architect to Members of Congress reporting on major projects has been developed.

Methods for communicating with other external audiences such as the visiting public; dignitaries; Capitol Hill community; Federal government agencies; architects and engineers; historians; vendors; and the media include: postings/stories on the AOC Internet site—www.AOC.gov; public meetings; press releases; media interviews; news stories; speeches; Capitol seminars; targeted mailings; scholarly articles; trade shows; and small meetings.

Question. Please describe the significant accomplishments to date completed as a result of AOC's three financial management action plans. What is the status of AOC's first financial statement audit? How is AOC leveraging the financial statement preparation and audit processes to improve financial control and accountability?

Answer. We made significant strides in meeting each of our strategic financial management objectives. For example, we established an Audit Committee; we produced our first financial statements and initiated a Congressionally-mandated financial statement audit; and we compiled values for all Capitol Hill real property. We also completed our first external reporting via FACTS I and FACTS II; developed written accounting policies and procedures; improved our major consumable inventory process and measurement techniques; and streamlined critical accounting functions.

According to John Webster, CFO of the Library of Congress (LOC) and an AOC Audit Committee member, the AOC accomplished in two years achievements that took the LOC seven years to accomplish.

In 2003, we accomplished the following:

- Drafted and implemented the Audit Committee charter and recruited highly-qualified and respected independent Audit Committee members.
- Within two years of establishing an integrated trial balance, we produced full sets of comparative, OMB-compliant, financial statements and instituted year-end procedures to record all adjustments and accruals and closed within 10 days of the end of fiscal year 2003.
- Wrote the Statement of Work and performed all necessary administrative functions to award a five-year audit contract of our first financial statement audit of AOC balance sheets.
- Researched and resolved issue regarding ownership of Capitol Hill real property and directed massive effort to properly identify, classify, and value all AOC land, buildings, software, construction work-in-progress, and personal property.
- Implemented fixed asset module by converting all manual property records into electronic asset tracking records and reconciling to manual data and developed written policies and procedures for capitalization of assets and construction work-in-progress.
- Produced comprehensive written accounting policies and procedures for the first time and devised new accounting procedures to accommodate MIPR imputed funding and various reimbursable projects in accordance with appropriations law.
- Managed a major effort to resolve long-outstanding Fund Balance with Treasury issues. The un-reconciled balance is now zero. We also installed new processes for accurately measuring and reporting liabilities on the AOC balance sheet never previously considered.
- Completed 18 months of negotiations with OMB and Treasury regarding proper accounting treatment for the Thurgood Marshall Federal Judiciary Building and also obtained Auditor concurrence of the transactions and valuation.
- Communicated regularly with GAO, GSA, OMB, and Treasury staff to improve AOC processes at every level.
- Improved the accuracy rate of the AOC inventory from the 2002 rate of 54 percent to 83 percent for 2003. This represents a one year improvement of more than 50 percent.
- During fiscal year 2003, no complaints were received, either internally or externally, and on average we processed and paid more than 1,000 invoices totaling more than \$25 million per month, accurately and on time, in support of the AOC's mission.
- Took decisive action to correct deficiencies in credit card processing and controls.
- Issued AOC Funds Control Administration Order which establishes procedures to improve internal controls and integrated program planning, budgeting, and financial control processes. It places control of financial resources at appropriate

management level and provides for documented Delegation of Authority down through the management chain to operating officials.

- Produced internal fiscal guidance for budget execution establishing obligation goals.
- Developed Agency tracking procedures for bill and report directives which establishes responsibility and monitoring, sets timelines for completion, and provides for quarterly status updates.
- Hired Business Financial Analysts (BFAs) in several jurisdictions to provide hands-on financial direction and guidance in the field, as well as acting as a liaison between the AOC Budget Office and the jurisdiction.

The AOC is undergoing its first financial audit. We expect to conclude the audit by June 30 and receive the auditor's opinion in July. This performance tracks with the experience of other agencies undergoing their first audit. The accomplishments listed are examples of how we leveraged the financial statement preparation and audit process to improve financial control and accountability.

Question. GAO's January 2004 status report on AOC's implementation of management review recommendations states that the hiring of the first group of financial managers in AOC's various operating jurisdictions is underway. What benefits have resulted from these increases in staffing?

Answer. Business Financial Analysts (BFAs) have been hired to provide day-to-day financial procedures, support, and advice for programs, projects, and activities at the jurisdictional level while supporting the Jurisdiction Account Holder's financial objectives. Some of the readily identifiable benefits that have resulted and that are in process include:

- Produced a Zero Based Budget Review of Facilities Maintenance and personnel for the Senate and House Office Buildings that was included as a supplement to the fiscal year 2005 Budget Submission to Congress.
- Working directly with the jurisdiction to develop and streamline procedures using best business practices to meet Agency obligation goals.
- Provides guidance and advice on fiscal policy, procedures, and regulations to all levels of staff within the jurisdiction.
- Establishing a method to accurately track and monitor FTEs including Construction Management project labor at the jurisdiction level.
- Forecasting material and equipment expenditures against current budget amounts.
- Closing out completed projects funded in prior years and preparing documents to move any remaining available funding.
- Streamlining day-to-day procurement procedures at the jurisdiction level.
- Tracking and documenting final invoices in order to monitor unliquidated obligations and deobligate funds that are no longer valid to enable execution of the funding for other purposes within the program as appropriate and within re-programming guidelines.
- Provides financial guidance to field personnel entering financial documents in the Financial Management System (FMS).
- Developed a process in the jurisdiction to track funding reallocations within program groups or activities.
- Designing a program to track reimbursable collections and spending at the Capitol Power Plant.
- Comparing historical spending data to current spending to identify trends.

Question. In its January 2004 status report, GAO indicates that the use of interim dates by AOC for monitoring progress on individual financial management action items would be beneficial because many completion dates are not scheduled until fiscal years 2006 and 2007. Has AOC begun to use interim dates for monitoring progress? If so, please provide examples.

Answer. The financial management actions items have been updated to incorporate additional interim action items. The current CFO action items with status are provided for the record.

March 2004 Report															
AOC Strategic Objective 4.4 - Objective Owner - Edgar Bennett															
Institutionalize financial management best practices that support the effective delivery of programs and services.															
Action Plan	Milestone Date	Revised Date	FY04				FY05				Status	Start Date	Completion Date	Percent Complete	Comments/Issue
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4					
Action Plan 4.4.1: Build a foundation of financial control and accountability.															
Action Plan Owner: Tim Macdonald															
Accountability															This is an ongoing task that will extend well beyond just the first clean audit opinion that we receive on our financial statements.
	Leverage audit resources and the financial statement audit process to be able to issue auditable financial statements										On Target	03/1/02	10/01/08	5%	
	Milestone: Issue FY03 auditable financial statements.	03/31/04	06/15/04		◆						On Target	10/01/03	06/15/04	80%	This is our first ever audit of the AOC. Our original target was not met, because some of basic assumptions concerning the valuation of Property, Plant and Equipment turned out to not be true.
	Milestone: Unqualified audit opinion on the FY05 financial statements.	04/30/06									On Target	10/01/03	04/30/08	10%	Achieving this milestone is extremely dependant on the FY03 Audit milestone. If a disclaimer results from the FY03 audit, this milestone will slip to FY06. In addition, Cost accounting and links between Budget and the Performance plan are prerequisites.
Financial Reporting															
Develop the processes and procedures necessary for developing financial reports for major programs and/or business segments											On Target	08/30/02	03/30/05	5%	We have been implementing the processes and policies necessary for preparing financial statements. Significant progress has been made and quarterly financial reports are being produced. However critical definitions of the programs to be tracked and the cost to be allocated still need to be completed.
Implement processes and procedures necessary for developing financial reports for major programs and/or business segments											On Target	10/01/04	03/30/05	5%	A cost allocation process is one of the issues we will be seeking expert financial advice on with our new contract vehicle depending on funds availability. We should have this ready by the beginning of FY05.
Milestone: Issue first annual financial report for major programs and/or business segments for FY04	03/30/05										On Target	10/01/02	03/30/05	5%	Through our quarterly reporting process we are gaining the level of experience necessary to complete this task.
Internal Controls															
Develop an approach for assessing and improving agency internal controls over finance-related efficiency measures											On Target	10/01/03	09/30/04	10%	Our Audit Committee has emphasized the importance of implementing an AOC-wide internal control plan. We are studying the model in use at the LOC.
Implement approach for assessing and improving agency internal controls over finance related efficiency measures											On Target	10/01/04	09/30/05	5%	This implementation will be worked through a contract vehicle that has recently been put in place.
Milestone: Issue policy statement on internal controls	09/30/04						◆				On Target	04/15/04	09/30/04	10%	We are in close to awarding a contract for financial management advice and assistance. This is one of the tasks of that contract. As a first step the Order on Funds Control Administration has been signed.
Inventory Control															
Establish inventory management & control procedures to ensure accurate and useful information											On Target	04/01/02	02/01/06	15%	This is an ongoing task. We are implementing our new inventory policy. During FY03 we have begun the standard inventory control process. We are currently working on the standard inventory process inventory reports on the CFO's Intranet site.

This is an ongoing task that will extend well beyond just the first clean audit opinion that we receive on our financial statements.

This is our first ever audit of the AOC. Our original target was not met because some of basic assumptions concerning the valuation of Property, Plant and Equipment turned out to not be true.

Achieving this milestone is extremely dependent on the FY03 Audit milestone. If a disclaimer results from the FY03 audit, this milestone will slip to FY06. In addition, Cost accounting and links between Budget and the Performance plan are prerequisites.

We have been implementing the processes and policies necessary to prepare financial statements since 2002. Significant progress has been made and quarterly program financial reports are now produced. However critical definitions of the programs to be tracked and the cost to be allocated still need to be completed.

A cost allocation process is one of the issues we will be seeking expert financial advice on with our new contract vehicle depending on funds availability. We should have this ready by the beginning of FY05.

Through our quarterly reporting process we are gaining the level of experience necessary to complete this task.

Our Audit Committee has emphasized the importance of implementing an AOC-wide internal control plan. We are studying the model in use at the LOC.

This implementation will be worked through a contract vehicle that has recently been put in place.

We are in close to awarding a contract for financial management software and services. This is one of the tasks on the contract. As a first step the Order on Funds control Administration has been signed.

This is an ongoing task. We are implementing our new Inventory Policy. During FY03 we have begun the standard inventory control practice known as ABC Inventory. We have also started distributing monthly inventory reports on the CPO's Intranet site.

March 2004 Report															
AOC Strategic Objective 4.4 - Objective Owner - Edgar Bennett															
Institutionalize financial management best practices that support the effective delivery of programs and services.															
Action Plan	Milestone Date	Revised Date	FY04				FY05				Status	Start Date	Completion Date	STATUS as of March 15, 2004	
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4				Percent Complete	Comments/Issue
Implement inventory management & control procedures to ensure accurate and useful information	FY05										On Target	04/01/02	02/01/06	5%	Steady progress is being made as noted above.
Milestone: Implementation of new inventory control system	02/01/05										On Target	10/01/03	02/01/05	7%	Implementation of MRO Maximo Asset Management System is in process and on target for Feb 2005 implementation.
Financial Performance Reports Develop the processes and procedures necessary for developing financial performance reports for major programs and/or business segments.	FY06										On Target	11/01/04	09/30/06	5%	A contract was awarded for financial management advice and assistance. This is one of the tasks of that contract.
Implement processes and procedures necessary for developing financial performance reports for major programs and/or business segments	FY07										On Target	11/01/05	09/30/07	0%	Future Task.
Milestone: Issue first annual financial performance report for major programs and/or business segments	09/30/08										On Target	11/01/07	09/30/08	0%	Future Task.
Budget Develop accurate operating and capital budget requests and ensure plans prepared to properly evaluate execution of programs.											On Target	04/01/02	01/15/07	20%	The Budget development is making incremental changes and working lessons learned to improve the budget call, cost estimates, timing of requests and understanding of the direction of the oversight committees.
Milestone: Budget submission is well justified and in line with Client Committee and AOC goals.	09/30/07										On Target	04/01/02	09/30/07	1%	On-going process to improve budget submissions each year.
Action Plan Owner: Tim Macdonald															
Action Plan 4.4.2: Assess the financial management organization's current role in meeting mission objectives & organize financial management to add value.															
AOC's Office of the Chief Financial Officer (OCFO) revises its Internal Operating Plan											On Target	02/15/04	09/30/04	10%	OCFO has a draft plan that needs to be updated. We have a new contract for financial management advice and assistance. This is one of the tasks of that contract to update the draft.
Milestone: AOC's Office of the Chief Financial Officer (OCFO) releases its Internal Operating Plan	09/30/04										On Target	02/15/04	09/30/04	10%	OCFO has a draft plan that needs to be updated. We have a new contract for financial management advice and assistance. This is one of the tasks of that contract to update the draft.
OCFO develops long-term workforce strategy to ensure financial managers have the skills to analyze financial data											On Target	02/15/00	09/30/05	5%	OCFO has a core competency matrix that needs to be updated for AOC.
Implement long-term workforce strategy to ensure financial managers have the skills to analyze financial data	FY05										On Target	06/01/04	09/30/05	0%	This task will be worked after the competency matrix has been worked longer.

March 2004 Report													
AOC Strategic Objective 4.4 - Objective Owner - Edgar Bennett													
Institutionalize financial management best practices that support the effective delivery of programs and services.													
Action Plan	Milestone Date	Revised Date	FY04				FY05	Status	Start Date	Completion Date	Percent Complete	STATUS as of March 15, 2004	Comment/Issue
			Q1	Q2	Q3	Q4							
Milestone: OCFO issues long-term workforce strategy to ensure financial managers have the skills to analyze financial data	09/30/05							On Target	06/15/04	09/30/05	0%		CFO has a draft competency model that needs to be updated. We have a new contract for financial management advice and assistance. This is one of the tasks of that contract to update the
OCFO identifies high-volume processes or transactions that do not directly support AOC's mission								On Target	09/30/02	09/30/05	5%		CFO has already initiated improvements on training forms, travel forms, inventory, and funds movement documents. Efforts are on going in looking at bill payment improvements and 52 tracking.
OCFO benchmarks processes against industry leaders and other federal agencies								On Target	06/01/04	09/30/05	0%		CFO will have contract support do a comparison look at a later date.
Milestone: OCFO issues Benchmark Report	09/30/05							On Target	04/15/05	09/30/05	0%		Future Task.
OCFO Eliminates, streamlines, or reengineers costly, inefficient processes	FY06							On Target	09/30/02	09/30/06	5%		Future Task. CFO has already initiated some improvements.
Action Plan 4.4.3: Improve forward looking analysis, train managers in understanding how to use financial information, and improve the partnership between financial management and operations.													
Action Plan Owner: Russ Follin													
OCFO establishes the expectation and procedures for conducting annual program reviews								On Target	01/01/03	09/30/04	50%		First annual review conducted in SB and HB for program group Facilities Maintenance as part of the FY 2005 budget submission. Questions released to all jurisdictions on a zero based review. Still need work to get common understanding across AOC. CFO has put forth the requirement for a project by project review by the seniors.
Implement procedures for conducting annual program reviews								On Target	10/01/04	06/30/05	0%		Future task.
AOC integrates its financial & operating systems and empowers decision-makers with relevant information & tools to perform ad hoc analysis								On Target	10/01/98	ongoing	ongoing		This is an ongoing process. Maximo CAFM integration analysis to be performed in August 2004. PIC and FMS have been integrated for 2004 projects. Implemented Monthly Management Level Status of Funds report. Implemented monthly overtime hours report. Implemented inventory statistics report.
Milestone: First annual program review conducted	09/30/04							Complete	01/01/03	06/01/03	100%		Completed. See FY2005 budget supplemental submitted to Appropriations Committee
Managers trained on how to use financial information to improve operational planning and decision-making								Complete	01/01/03	02/15/04	100%		Completed. Managers trained in Appropriations Law.

March 2004 Report														
AOC Strategic Objective 4.4 - Objective Owner - Edgar Bennett														
Institutionalize financial management best practices that support the effective delivery of programs and services.														
Action Plan	Milestone Date	Revised Date	FY04				FY05				Status	Start Date	Completion Date	Percent Complete
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4				
Milestone: OCFO provides initial letters of authority to properly trained managers authorizing them to conduct various financial activities	09/30/04										Complete	01/01/03	12/31/03	100%
Cost Accounting														
Identify desired results and determine basic approach for performing cost accounting at the AOC	FY05										Ahead of scheduled	02/01/04	09/30/05	20%
Issue report basic approach and desired results for performing cost accounting at the AOC	09/30/05										On Target	04/01/05	09/30/05	0%
Perform detailed analysis and recommendation for performing cost accounting at the AOC. Identify system/procedural changes required to implement approach	FY06										On Target	10/01/05	09/30/06	0%
Issue report of analysis, recommendations, and system/procedural changes required to implement and performing cost accounting at the AOC	09/30/06										On Target	10/01/05	09/30/06	0%
Implement procedural and system changes required to begin capturing data required for cost accounting	FY07										On Target	10/01/06	09/30/07	0%
Procedure and System changes in place	09/30/07										On Target	10/01/06	09/30/07	0%
Configure, test and implement the Cost Allocation module in FMS to meet the desired results	FY07										On Target	10/01/06	09/30/07	0%
FMS Cost Allocation module in place	10/31/07										On Target	10/01/07	10/31/07	0%
Processes developed to involve key program/business managers in driving financial improvements											On Target	01/01/03	09/30/06	35%
Implement processes to involve key program/business managers in driving financial improvements	FY08										On Target	01/01/03	09/30/06	10%

CFO has signed out letters of authority. This will be an ongoing program that will be updated as personnel change.

In process - Contractor (Bradson) performing initial analysis. Feasibility Report was due to Approp committees on 4/1/04.

Future task

Future Task

Future Task

Future task

Future Task

Future Task

Future task

BFA's are now with GVC, Supreme Court, GPP, SB, HB, GMD and security projects are reviewing applications for BFAs now. CB and LOC requests did not make the FY05 budget review process. BFAs for BG, CP, and CG still being reviewed - programs may be too small to warrant.

Funds Control Administration Order has been signed. With delegation of authority the initial step in implementing processes is underway.

March 2004 Report												
AOC Strategic Objective 4.4 - Objective Owner - Edgar Bennett												
Institutionalize financial management best practices that support the effective delivery of programs and services.												
Action Plan	Milestone Date	Revised Date	FY04				FY05				STATUS as of March 15, 2004	
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Percent Complete	Comment/Issue
Milestone: Business Finance Managers in Jurisdictions	09/30/06										35%	BFA's are now with CVC, Supreme Court, CPP, SB, HB, QMD and LOC requests did not make the FY05 budget review process. BFA's for BS, CP, and CG still being reviewed - programs may be too small to warrant.
Financial management system stabilized and major release held for the entire FY07											8%	Upgrade to Momentum release 5.1 scheduled for 7/30/04. Implementation of Contracting module scheduled for 11/1/04. Upgrade to Momentum release 6.0 tentatively scheduled for 2/1/05. Implementation of inventory system scheduled for 2/1/05.
Milestone: Long-term operating plan developed	08/30/07										5%	Future Task: Annual operating plans are currently issued. We are still working as an Agency to meet annual budget submissions. The goal is to have a POM type process to have a future look. The CIP process has started this but still needs work. The FTE management piece will happen after decisions on FTE management are resolved and are working.
Other Issues of Concern:												

INFORMATION TECHNOLOGY PROJECT MANAGEMENT

Question. AOC had identified a software package that would produce a unified schedule and show staff resources that would allow it to better manage its projects. Has AOC obtained such a capability? If so how is it working?

Answer. This software package has been received from the supplier and the workstation components have been loaded on 2 personal computers. The preparation of the work “templates” is currently being developed to tie the software to AOC processes for projects. The vendor representatives are scheduled to configure the server portion of the software along with assisting us in refining use practices/definitions.

WORKER SAFETY

Question. Efforts to improve worker safety and create a world class occupational health and safety program will require full involvement and cooperation from jurisdictions—what steps has AOC taken to solicit buy-in from the jurisdictions and to hold jurisdictions accountable for their responsibilities in helping to transform AOC’s occupational health and safety program? Besides injuries and illness rates, what other key measures are you using to assess your overall performance in moving towards a culture of safety at the AOC?

Answer. The AOC has involved key jurisdiction personnel in developing safety policy requirements, identifying resource requirements, and establishing goals and planning documents. In addition, ad-hoc working groups comprised of central office safety staff and jurisdiction staff have been utilized to examine specific issues and develop recommended solutions.

For each safety policy, a jurisdiction is assigned to serve as lead. As a policy is developed, central safety staff and the safety specialist from the lead jurisdiction provide input into the policy’s requirements. The draft policy is then distributed to various central and jurisdictional personnel for review; this includes safety professionals, management, Jurisdiction Occupational Safety & Health Committee (JOSH) representatives, and union representatives. Each comment submitted is addressed and documented, with the final draft submitted to Senior Policy Committee for review and approval.

The AOC has also drafted an Occupational Safety & Health Program Plan (OSHPP) to guide the Agency through the policy implementation process and undertake other safety-related initiatives. The initial goals and objectives were developed during a Senior Leadership Safety Workshop facilitated by DuPont Safety Resources. This was used as the framework for drafting the OSHPP. Further development of the OSHPP included a review and input process similar to the one followed for policy development.

Ad-hoc working groups and steering teams have been used to focus on specific issues and provide recommendations to management. Some of the issues these groups have addressed include: assessing workload impacts of implementing and maintaining safety policies, reviewing safety training requirements, and developing a safety communications plan.

Accountability for the jurisdictions begins with a clear delineation of responsibilities in each of the safety policies and the OSHPP. Software—such as the Facility Management Assistant (FMA) used to track safety inspection findings, and the Incident Analysis Module (IAM) used to investigate injuries—provides the AOC with tools to monitor progress on improving safety and providing feedback on performance. For individual employees, the AOC’s Performance Communication and Evaluation System includes safety as one of the four performance evaluation criteria for non-supervisory employees, and as one of five criteria for supervisors and managers. In a similar manner, performance requirements for exempt personnel are addressed by the AOC’s Performance Review Plan, which includes safety as one of five performance evaluation criteria.

While injury and illness statistics have served as a key indicator of safety performance for the AOC—with our rate dropping from 17.90 in fiscal year 2000 to 7.91 in fiscal year 2003—it is not the only measurement used. The OSHPP establishes a number of performance milestones against which success is measured.

INFORMATION TECHNOLOGY

Question. AOC has developed version 1 of its existing and target enterprise architectures and a transition plan to move the agency to the target. What steps is AOC taking to ensure that proposed systems and systems under development will be aligned with the agency’s architecture?

Answer. The AOC/OIRM Business Systems Modernization Office (BSMO) has established procedures to ensure that new IT proposals are aligned with the AOC's Enterprise Architecture (EA). All proposals for new technologies are presented in a business case format to BSMO for review and approval. No project can be initiated or funded without approval.

For projects under development, BSMO periodically reviews them in the capacity of the Project Management Board to ensure they remain in alignment with the architecture as well as meet project milestones.

BSMO operates under the guidelines of our Information Technology investment management process of which alignment with the EA is a critical piece.

Annual reviews of the architecture are scheduled and releases of the baseline EA, target EA and sequencing plan follow such reviews. This is another way in which BSMO reviews systems in development and in operation and assesses their continued alignment with the AOC's target EA.

Question. AOC contracted for a new information technology system life-cycle methodology, due for delivery on January 31, 2004, and planned a two-month pilot to refine the methodology for implementation as an agency-wide standard by March 31, 2004. Was the methodology delivered, and did AOC conduct the planned pilot? Has the methodology been implemented as an agency standard, and how many projects are now being managed using the new methodology?

Answer. Systems Development Life Cycle (SDLC) guidelines and procedures were delivered on schedule on January 31, 2004. The methodology is aligned with the Capability Maturity Model Integrated (CMMI) as recommended by GAO in their latest audit findings. The SDLC guidelines address configuration management, risk management, requirements management, acquisition management, test management, and quality assurance throughout the life cycle of a project from inception to implementation.

A pilot was conducted from February 1 to March 31, 2004, with projects for facilities management systems, web-based systems, hardware acquisitions, and information technology (IT) support systems. The guidelines were revised based on lessons learned during this pilot.

The methodology was implemented on April 1, 2004, and the guidelines are now available Agency-wide on the AOC intranet. Quality Assurance oversight procedures are being implemented to ensure that projects are managed in accordance with these established guidelines. These procedures will include audits to determine if proper procedures are being used and supporting documentation is present, as well as document review, management systems review, systems monitoring, data analysis, and participation in the deployment of new and modified systems.

Quality Assurance oversight procedures will determine the number of systems that are being managed using the new methodology. At this point, few projects other than the 10 that were piloted are currently using the methodology due to the brief time it has been available. This number is expected to increase over time to include all major projects within AOC as the methodology becomes institutionalized.

Question. AOC's plans include revising its comprehensive information technology security plan by June 2004 and then implementing the plan's elements. Currently, AOC plans to contract for an independent security audit of AOC systems by September 30, 2004. In the interim, what steps has AOC taken or does it plan to take to ensure the security of the agency's systems is not being compromised?

Answer. AOC's mission critical systems have already undergone two significant Information Technology Security audits. The first assessment was performed by a vendor contracted by AOC. They provided a "pre-audit" review to identify conditions within the AOC's information systems that would have resulted in findings during future compliancy audits. Forty-four findings resulted in the vendor's assessment. The vendor's findings were codified and incorporated into a risk mitigation plan.

The second assessment was a financial audit, performed by a vendor contracted by the AOC Inspector General. The financial auditors reviewed AOC's current security posture to include people, processes, and technology, as well as the previous 44 findings. The financial audit resulted in 20 additional findings.

OIRM developed a risk mitigation plan to address the 64 findings and any future findings. The 64 findings were incorporated into the Chief Information Security Officer's Plans of Action and Milestone schedule. The status of the Plans of Action and Milestone schedule is monitored by the OIRM Director. On a monthly basis, the Chief Information Security Officer and the OIRM Director report on the status to the Deputy Chief of Staff and the AOC Inspector General. To date, 93 percent of the 44 findings from the first assessment have been mitigated. Of the 20 findings that resulted from the financial audit, 50 percent have been mitigated. The Inspector General is seeking contractor support to independently verify and validate the work already performed to mitigate the 64 findings.

The AOC is in the process of selecting a vendor for the purpose of performing a risk assessment on the applications currently in production. Where the previous risk assessments concentrated on IT infrastructure, policies, and processes, this third assessment will focus on mission critical and mission essential applications and databases. Any findings that result from the next round of assessments will be incorporated into the Chief Information Security Officer's Plans of Action and Milestone program and the mitigation of the findings will be tracked accordingly.

The net effect of the financial audit and the two risk assessments will place the AOC in a better position for the upcoming external audit in September 2004. It also ensures that the security of the Agency's systems are not compromised in the interim. We have a plan in place to identify risk and to effectively mitigate those risks in a determined and positive direction.

CONCLUSION OF HEARINGS

Senator CAMPBELL. Thank you for your testimony. I appreciate your being here.

Mr. HANTMAN. Thank you.

Senator CAMPBELL. With that, the hearing is recessed.

[Whereupon, at 11:55 a.m., Thursday, April 8, the hearings were concluded, and the subcommittee was recessed, to reconvene subject to the call of the Chair.]