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S. HRG. 109–302, PT. 1

# *Senate Hearings*

*Before the Committee on Appropriations*

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# Legislative Branch Appropriations

*Fiscal Year* 2007

109*th* CONGRESS, SECOND SESSION

**PART 1**

**JUSTIFICATIONS**

Legislative Branch Appropriations, 2007—Part 1

S. HRG. 109–302, PT. 1

# LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 2007

# HEARINGS

BEFORE A

SUBCOMMITTEE OF THE

COMMITTEE ON APPROPRIATIONS

UNITED STATES SENATE

ONE HUNDRED NINTH CONGRESS

SECOND SESSION

**PART 1**

**JUSTIFICATIONS**

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# UNITED STATES SENATE
## BUDGET ESTIMATES
## FISCAL YEAR 2007

| Appropriations | Authorized F.Y. 2006 P.L. 109-55 | Combined F.Y. 2006 Total | Estimated F.Y. 2007 | Increase or Decrease | % of Change |
|---|---|---|---|---|---|
| Expense Allowances of the Vice President, the President Pro Tempore, President Pro Tempore Emeritus, Majority and Minority Leaders, Majority and Minority Whips, Chairmen of the Majority and Minority Conference Committees, and Chairmen of the Majority and Minority Policy Committees | $ 195,000.00 | $ 195,000.00 | $ 195,000.00 | $ 0.00 | 0.00% |
| Representation Allowances for the Majority and Minority Leaders | 30,000.00 | 30,000.00 | 30,000.00 | 0.00 | 0.00% |
| TOTAL | $ 225,000.00 | $ 225,000.00 | $ 225,000.00 | $ 0.00 | 0.00% |
| Salaries, Officers and Employees | | | | | |
| Office of the Vice President | $ 2,181,000.00 | $ 2,181,000.00 | $ 2,233,000.00 | $ 52,000.00 | 2.38% |
| Office of the President Pro Tempore | 582,000.00 | 582,000.00 | 597,000.00 | 15,000.00 | 2.58% |
| Office of the President Pro Tempore Emeritus | 290,000.00 | 290,000.00 | 298,000.00 | 8,000.00 | 2.76% |
| Offices of the Majority and Minority Leaders | 4,340,000.00 | 4,340,000.00 | 4,624,000.00 | 284,000.00 | 6.54% |
| Offices of the Majority and Minority Whips | 2,644,000.00 | 2,644,000.00 | 2,768,000.00 | 124,000.00 | 4.69% |
| Committee on Appropriations | 13,758,000.00 | 13,758,000.00 | 14,386,000.00 | 628,000.00 | 4.56% |
| Conference Committees | 2,940,000.00 | 2,940,000.00 | 3,060,000.00 | 120,000.00 | 4.08% |
| Offices of the Secretaries of the Conference of the Majority and the Conference of the Minority | 728,000.00 | 728,000.00 | 748,000.00 | 20,000.00 | 2.75% |
| Policy Committees | 3,048,000.00 | 3,048,000.00 | 3,124,000.00 | 76,000.00 | 2.49% |
| Office of the Chaplain | 354,000.00 | 354,000.00 | 364,000.00 | 10,000.00 | 2.82% |
| Office of the Secretary | 20,866,000.00 | 20,866,000.00 | 22,003,000.00 | 1,137,000.00 | 5.45% |
| Office of the Sergeant at Arms and Doorkeeper | 56,700,000.00 | 56,700,000.00 | 62,604,000.00 | 5,904,000.00 | 10.41% |
| Offices of the Secretaries for the Majority and Minority | 1,584,000.00 | 1,584,000.00 | 1,622,000.00 | 38,000.00 | 2.40% |
| Agency Contributions and Related Expenses | 37,105,000.00 | 37,105,000.00 | 42,003,000.00 | 4,898,000.00 | 13.20% |
| TOTAL - Salaries, Officers and Employees | $ 147,120,000.00 | $ 147,120,000.00 | $ 160,434,000.00 | $ 13,314,000.00 | 9.05% |
| Office of the Legislative Counsel of the Senate | $ 5,437,000.00 | $ 5,437,000.00 | $ 5,939,000.00 | $ 502,000.00 | 9.23% |
| Office of Senate Legal Counsel | $ 1,306,000.00 | $ 1,306,000.00 | $ 1,391,000.00 | $ 85,000.00 | 6.51% |
| Expense Allowances of the Secretary of the Senate, Sergeant at Arms and Doorkeeper of the Senate, and Secretaries for the Majority and Minority of the Senate | $ 24,000.00 | $ 24,000.00 | $ 24,000.00 | $ 0.00 | 0.00% |

# UNITED STATES SENATE
## BUDGET ESTIMATES
## FISCAL YEAR 2007

| Appropriations | Authorized F.Y. 2006 P.L. 109-55 | Combined F.Y. 2006 Total | Estimated F.Y. 2007 | Increase or Decrease | % of Change |
|---|---|---|---|---|---|
| Contingent Expenses of the Senate | | | | | |
| Inquiries and Investigations | $ 119,637,000.00 | $ 119,637,000.00 | $ 136,989,000.00 | $ 17,352,000.00 | 14.50% |
| United States Senate Caucus on International Narcotics Control | 520,000.00 | 520,000.00 | 520,000.00 | 0.00 | 0.00% |
| Secretary of the Senate | 1,980,000.00 | 1,980,000.00 | 1,900,000.00 | (80,000.00) | -4.04% |
| Sergeant at Arms and Doorkeeper of the Senate | 142,000,000.00 | 142,000,000.00 | 161,439,000.00 | 19,439,000.00 | 13.69% |
| Miscellaneous Items | 17,000,000.00 | 17,000,000.00 | 18,737,000.00 | 1,737,000.00 | 10.22% |
| Senators' Official Personnel and Office Expenses Account | 350,000,000.00 | 350,000,000.00 | 384,829,000.00 | 34,829,000.00 | 9.95% |
| Official Mail Costs, Senate | 300,000.00 | 300,000.00 | 300,000.00 | 0.00 | 0.00% |
| TOTAL - Contingent Expenses | $ 631,437,000.00 | $ 631,437,000.00 | $ 704,714,000.00 | $ 73,277,000.00 | 11.60% |
| TOTAL - Senate - Regular Items | $ 785,549,000.00 | $ 785,549,000.00 | $ 872,727,000.00 | $ 87,178,000.00 | 11.10% |
| Joint Items<br>Contingent Expenses of the Senate | | | | | |
| Joint Economic Committee | $ 4,276,000.00 | $ 4,276,000.00 | $ 4,375,000.00 | $ 99,000.00 | 2.32% |
| TOTAL - Joint Items - Contingent Expenses | $ 4,276,000.00 | $ 4,276,000.00 | $ 4,375,000.00 | $ 99,000.00 | 2.32% |
| Capitol Guide Service and Special Services Office | $ 4,098,000.00 | $ 4,098,000.00 | $ 4,420,000.00 | $ 322,000.00 | 7.86% |
| TOTAL - Joint Items | $ 8,374,000.00 | $ 8,374,000.00 | $ 8,795,000.00 | $ 421,000.00 | 5.03% |
| GRAND TOTALS | $ 793,923,000.00 | $ 793,923,000.00 | $ 881,522,000.00 | $ 87,599,000.00 | 11.03% |

# BUDGET JUSTIFICATION WORKSHEET
## COMPENSATION OF MEMBERS, SENATE
## FISCAL YEAR 2007

| | | | |
|---|---|---|---|
| Compensation | | | $ 16,787,000.00 |
| Vice President | 1 X 212,100 = | 212,100.00 | |
| PPT & Leaders | 3 X 183,500 = | 550,500.00 | |
| Members | 97 X 165,200 = | 16,024,400.00 | |
| | | 16,787,000.00 | |
| Budget Year Cola Estimate (2.0% for 9 months) * | | | 252,000.00 |
| Agency Contributions | | | 5,793,000.00 |
| Administrative Expenses | | | 75,000.00 |
| | | | 22,907,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | | $ 22,907,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | $ 21,795,000.00 | |
| **ADJUSTMENTS** | | | |
| Reprogramming Authorized by Approp. Comm. | | $ 0.00 | |
| Increased Pay Costs Supplemental | | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | | $ 21,795,000.00 |
| Increase \ Decrease | | | $ 1,112,000.00 |

*authorized rate adjusted per Public Law 101-194, Sec. 704 (annual cost of living adjustment equal to ECI for the quarter ending December 31 minus .5% and not greater than the General Schedule pay adjustment)

**EXPENSE ALLOWANCES OF THE VICE PRESIDENT, THE PRESIDENT PRO TEMPORE, MAJORITY AND MINORITY LEADERS, MAJORITY AND MINORITY WHIPS, THE PRESIDENT PRO TEMPORE EMERITUS, CHAIRMEN OF THE MAJORITY AND MINORITY CONFERENCE COMMITTEES, AND CHAIRMEN OF THE MAJORITY AND MINORITY POLICY COMMITTEES**

This appropriation includes funds for the expense allowances of the Vice President, the President Pro Tempore, the President Pro Tempore Emeritus, the Majority and Minority Leaders, the Majority and Minority Whips, the Chairmen of the Majority and Minority Conference Committees, and the Chairmen of the Majority and Minority Policy Committees.

The expense allowance of the Vice President was first appropriated for by Public Law 81-71, effective January 20, 1949.

The expense allowance of the Majority and Minority Leaders was first appropriated for by Public Law 84-242, effective July 1, 1955.

The expense allowance of the Majority and Minority Whips was first appropriated for by the Supplemental Appropriations Act, 1977 (Public Law 95-26), effective April 1, 1977.

The expense allowance of the President Pro Tempore was first appropriated for by the Second Supplemental Appropriations Act, 1978 (Public Law 95-355), effective October 1, 1977.

The expense allowance for the Chairmen of the Majority and Minority Conference Committees was first appropriated for by the Supplemental Appropriations Act, 1985 (Public Law 99-88), approved August 15, 1985.

The expense allowance for the Chairmen of the Majority and Minority Policy Committees was first appropriated for by the Omnibus Consolidated and Emergency Supplemental Appropriations Act, 2001 (Public Law 106-554), effective December 21, 2000.

The expense allowance for the President Pro Tempore Emeritus was first appropriated for by the Consolidated Appropriations Resolution, 2003 (Public Law 108-7), approved February 20, 2003.

# BUDGET JUSTIFICATION WORKSHEET

**EXPENSE ALLOWANCES OF THE VICE PRESIDENT, THE PRESIDENT PRO TEMPORE, MAJORITY AND MINORITY LEADERS, MAJORITY AND MINORITY WHIPS, PRESIDENT PRO TEMPORE EMERITUS, CHAIRMEN OF THE MAJORITY AND MINORITY CONFERENCE COMMITTEES AND CHAIRMEN OF THE MAJORITY AND MINORITY POLICY COMMITTEES**

**FISCAL YEAR 2007**

| | | | |
|---|---|---|---|
| EXPENSE ALLOWANCES | | | $ 195,000.00 |
| Vice President | $ | 20,000.00 | |
| President Pro Tempore | | 40,000.00 | |
| Majority Leader of the Senate | | 40,000.00 | |
| Minority Leader of the Senate | | 40,000.00 | |
| Majority Whip of the Senate | | 10,000.00 | |
| Minority Whip of the Senate | | 10,000.00 | |
| President Pro Tempore Emeritus | | 15,000.00 | |
| Chairman of the Majority Conference Committee | | 5,000.00 | |
| Chairman of the Minority Conference Committee | | 5,000.00 | |
| Chairman of the Majority Policy Committee | | 5,000.00 | |
| Chairman of the Minority Policy Committee | | 5,000.00 | |
| Total Expense Allowance | $ | 195,000.00 | |
| ESTIMATE | | | $ 195,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | | $ 195,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | | |
| Amount Appropriated - P.L. 109-55 | $ | 195,000.00 | |
| **ADJUSTMENTS** | | | |
| Reprogramming Authorized by Approp. Comm.... | $ | 0.00 | |
| Increased Pay Costs Supplemental | $ | 0.00 | |
| **TOTAL FOR F.Y. 2006** | | | $ 195,000.00 |
| Increase \ Decrease | | | $ 0.00 |

**REPRESENTATION ALLOWANCES FOR THE MAJORITY AND MINORITY LEADERS**

This account was established by Section 197 of Public Law 99-88, approved August 15, 1985, 2 U. S. C. 31a-2. Funding for this appropriation was also included in the Supplemental Appropriations Act, 1985 (Public Law 99-88), approved August 15, 1985. The total allowance was increased from $20,000 to $30,000 by Public Law 101-163, November 21, 1989.

# BUDGET JUSTIFICATION WORKSHEET

**REPRESENTATION ALLOWANCES FOR THE MAJORITY AND MINORITY LEADERS**

**FISCAL YEAR 2007**

| | | |
|---|---|---|
| REPRESENTATION ALLOWANCES | | $ 30,000.00 |
| Majority Leader | $ 15,000.00 | |
| Minority Leader | 15,000.00 | |
| Total | $ 30,000.00 | |
| ESTIMATE | | $ 30,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 30,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 30,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm.... | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 30,000.00 |
| Increase \ Decrease | | $ 0.00 |

**SALARIES, OFFICERS AND EMPLOYEES**

This appropriation includes funds for salaries of staff for thirteen (13) functions of the Senate and agency contributions as authorized by law. Public Law 105-275, agreed to October 21, 1998 placed the budget for salaries of the Committee on Appropriations into this appropriation account.

Of the thirteen functions, eight are funded with lump sum allowances and five are funded with a combination of statutory positions and lump sum allowances as follows:

LUMP SUM ALLOWANCE

Vice President
President Pro Tempore
President Pro Tempore Emeritus
Majority and Minority Whips
Committee on Appropriations
Secretaries to the Conference of the Majority and Minority
Policy Committees
Conference Committees

STATUTORY POSITIONS AND LUMP SUM ALLOWANCES

Majority and Minority Leaders
Secretary of the Senate
Sergeant at Arms and Doorkeeper
Secretaries for the Majority and Minority
Chaplain

**OFFICE OF THE VICE PRESIDENT**

This appropriation item includes funds for salaries of the administrative and clerical staff for the Office of the Vice President.

# BUDGET JUSTIFICATION WORKSHEET
## OFFICE OF THE VICE PRESIDENT
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 2,233,000.00 |
| ESTIMATE | | $ 2,233,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 2,233,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 2,181,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm.... | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 2,181,000.00 |
| Increase \ Decrease | | $ 52,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 19,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 33,000.00 |
| | $ 52,000.00 |

**OFFICE OF THE PRESIDENT PRO TEMPORE**

This appropriation item includes funds for salaries of the administrative and clerical staff of the Office of the President Pro Tempore and was funded as a lump sum allowance by Public Law 96-38, effective Oct. 1, 1979.

# BUDGET JUSTIFICATION WORKSHEET
## OFFICE OF THE PRESIDENT PRO TEMPORE
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 597,000.00 |
| ESTIMATE | | $ 597,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 597,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 582,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm.... | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 582,000.00 |
| Increase \ Decrease | | $ 15,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 6,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 9,000.00 |
| | $ 15,000.00 |

**OFFICE OF THE PRESIDENT PRO TEMPORE EMERITUS**

This appropriation item includes funds for salaries of the administrative and clerical staff of the Office of the President Pro Tempore Emeritus and was funded as a lump sum allowance by Public Law 108-7, approved February 20, 2003.

# BUDGET JUSTIFICATION WORKSHEET
## OFFICE OF THE PRESIDENT PRO TEMPORE EMERITUS
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 298,000.00 |
| ESTIMATE | | $ 298,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 298,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 290,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm.... | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 290,000.00 |
| Increase \ Decrease | | $ 8,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 3,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 5,000.00 |
| | $ 8,000.00 |

## OFFICE OF THE MAJORITY AND MINORITY LEADERS

This appropriation item includes funds for the salaries of the administrative and clerical staff of the Offices of the Majority and Minority Leaders. The Offices were created and funded by Public Law 91-145, effective November 1, 1969, and was funded as a lump sum allowance by Public Law 95-26, effective April 1, 1977. This appropriation also includes four statutory positions, the Assistant to the Majority Leader for Floor Operations; the Assistant to the Minority Leader for Floor Operations, authorized by Public Law 98-51; the Chief of Staff for the Majority Leader; and the Chief of Staff for the Minority Leader, authorized by Public Law 101-163.

# BUDGET JUSTIFICATION WORKSHEET
## OFFICES OF THE MAJORITY AND MINORITY LEADERS
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 4,624,000.00 |
| ESTIMATE | | $ 4,624,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 4,624,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 4,340,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm.... | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 4,340,000.00 |
| Increase \ Decrease | | $ 284,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 38,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 66,000.00 |
| New Positions | 180,000.00 |
| | $ 284,000.00 |

# BUDGET JUSTIFICATION WORKSHEET
## OFFICE OF THE MAJORITY LEADER ( R )
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 2,312,000.00 |
| ESTIMATE | | $ 2,312,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 2,312,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 2,170,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm.... | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 2,170,000.00 |
| Increase \ Decrease | | $ 142,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 19,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 33,000.00 |
| New Positions | 90,000.00 |
| | $ 142,000.00 |

# BUDGET JUSTIFICATION WORKSHEET
## OFFICE OF THE MINORITY LEADER ( D )
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 2,312,000.00 |
| ESTIMATE | | $ 2,312,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 2,312,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 2,170,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm.... | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 2,170,000.00 |
| Increase \ Decrease | | $ 142,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 19,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 33,000.00 |
| New Positions | 90,000.00 |
| | $ 142,000.00 |

**OFFICES OF THE MAJORITY AND MINORITY WHIPS**

This appropriation item includes funds for the salaries of the administrative and clerical staff of the Offices of the Majority and Minority Whips. The Offices were created and funded by Public Law 91-145, effective Nov. 1, 1969, and was funded as a lump sum allowance by Public Law 95-26, effective April 1, 1977.

# BUDGET JUSTIFICATION WORKSHEET
## OFFICES OF THE MAJORITY AND MINORITY WHIPS
## FISCAL YEAR 2007

| | | | |
|---|---|---|---|
| Compensation | | | $ 2,768,000.00 |
| ESTIMATE | | | $ 2,768,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | | $ 2,768,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | | |
| Amount Appropriated - P.L. 109-55 | $ | 2,644,000.00 | |
| **ADJUSTMENTS** | | | |
| Reprogramming Authorized by Approp. Comm. | $ | 0.00 | |
| Increased Pay Costs Supplemental | $ | 0.00 | |
| **TOTAL FOR F.Y. 2006** | | | $ 2,644,000.00 |
| Increase \ Decrease | | | $ 124,000.00 |
| **Increase for Fiscal Year 2007:** | | | |
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ | 24,000.00 | |
| Budget Year COLA Estimate (2.0% for 9 mos.) | | 40,000.00 | |
| New Positions | | 60,000.00 | |
| | $ | 124,000.00 | |

# BUDGET JUSTIFICATION WORKSHEET
## OFFICE OF THE MAJORITY WHIP ( R )
## FISCAL YEAR 2007

| | | | |
|---|---|---|---|
| Compensation | | | $ 1,384,000.00 |
| ESTIMATE | | | $ 1,384,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | | $ 1,384,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | | |
| Amount Appropriated - P.L. 109-55 | $ | 1,322,000.00 | |
| **ADJUSTMENTS** | | | |
| Reprogramming Authorized by Approp. Comm. | $ | 0.00 | |
| Increased Pay Costs Supplemental | $ | 0.00 | |
| **TOTAL FOR F.Y. 2006** | | | $ 1,322,000.00 |
| Increase \ Decrease | | | $ 62,000.00 |

**Increase for Fiscal Year 2007:**

| | | |
|---|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ | 12,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | | 20,000.00 |
| New Positions | | 30,000.00 |
| | $ | 62,000.00 |

# BUDGET JUSTIFICATION WORKSHEET
## OFFICE OF THE MINORITY WHIP ( D )
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 1,384,000.00 |
| ESTIMATE | | $ 1,384,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 1,384,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 1,322,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm. | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 1,322,000.00 |
| Increase \ Decrease | | $ 62,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 12,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 20,000.00 |
| New Positions | 30,000.00 |
| | $ 62,000.00 |

**COMMITTEE ON APPROPRIATIONS**

This appropriation includes funds for salaries for the Committee on Appropriations. Public Law 105-275, agreed to October 21, 1998 divided the funding for the Committee between the appropriations "Salaries, Officers and Employees"; and "Miscellaneous Items". Expenses for salaries and agency contributions will be paid from the appropriation "Salaries, Officers and Employees". Other expenses will be paid from the appropriation "Miscellaneous Items".

# BUDGET JUSTIFICATION WORKSHEET
## COMMITTEE ON APPROPRIATIONS
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 14,386,000.00 |
| ESTIMATE | | $ 14,386,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 14,386,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 13,758,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm.... | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 13,758,000.00 |
| Increase \ Decrease | | $ 628,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 119,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 209,000.00 |
| Administrative Salary Adjustments | 300,000.00 |
| | $ 628,000.00 |

**CONFERENCE COMMITTEES**

This appropriation includes funds for salaries for the Conference of the Majority and the Conference of the Minority. Public Law 97-51, dated October 1, 1981, divided the funding for the Conference Committees between the appropriations "Salaries, Officers and Employees"; and "Miscellaneous Items". Expenses for salaries and agency contributions will be paid from the appropriation "Salaries, Officers and Employees". Other expenses will be paid from the appropriation "Miscellaneous Items".

# BUDGET JUSTIFICATION WORKSHEET
## CONFERENCE COMMITTEES
## FISCAL YEAR 2007

| | | | |
|---|---|---|---|
| Compensation | | | $ 3,060,000.00 |
| ESTIMATE | | | $ 3,060,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | | $ 3,060,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | | |
| Amount Appropriated - P.L. 109-55 | $ | 2,940,000.00 | |
| **ADJUSTMENTS** | | | |
| Reprogramming Authorized by Approp. Comm | $ | 0.00 | |
| Increased Pay Costs Supplemental | $ | 0.00 | |
| **TOTAL FOR F.Y. 2006** | | | $ 2,940,000.00 |
| Increase \ Decrease | | | $ 120,000.00 |

**Increase for Fiscal Year 2007:**

| | | |
|---|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ | 26,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | | 46,000.00 |
| Administrative Salary Adjustments | | 48,000.00 |
| | $ | 120,000.00 |

# BUDGET JUSTIFICATION WORKSHEET
## MAJORITY CONFERENCE COMMITTEE ( R )
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 1,530,000.00 |
| ESTIMATE | | $ 1,530,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 1,530,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 1,470,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm. | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 1,470,000.00 |
| Increase \ Decrease | | $ 60,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 13,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 23,000.00 |
| Administrative Salary Adjustments | 24,000.00 |
| | $ 60,000.00 |

# BUDGET JUSTIFICATION WORKSHEET
## MINORITY CONFERENCE COMMITTEE ( D )
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 1,530,000.00 |
| ESTIMATE | | $ 1,530,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 1,530,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 1,470,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm. | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 1,470,000.00 |
| Increase \ Decrease | | $ 60,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 13,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 23,000.00 |
| Administrative Salary Adjustments | 24,000.00 |
| | $ 60,000.00 |

**OFFICES OF THE SECRETARIES OF THE CONFERENCE OF THE MAJORITY AND THE CONFERENCE OF THE MINORITY**

This appropriation item contains funds for salaries of staff of the Secretary of the Conference of the Majority and the Secretary of the Conference of the Minority. These Offices were created by Section 6 of Senate Resolution 17, agreed to January 10, 1977. Effective October 1, 1979, the two statutory positions which were provided for each Office in Public Law 95-26 were abolished by Section 102 of Public Law 96-38, and an allowance was established for hiring of staff.

# BUDGET JUSTIFICATION WORKSHEET

OFFICES OF THE SECRETARIES OF THE CONFERENCE OF THE MAJORITY AND THE CONFERENCE OF THE MINORITY

## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 748,000.00 |
| ESTIMATE | | $ 748,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 748,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 728,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm. | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 728,000.00 |
| Increase \ Decrease | | $ 20,000.00 |
| **Increase for Fiscal Year 2007:** | | |
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 8,000.00 | |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 12,000.00 | |
| | $ 20,000.00 | |

# BUDGET JUSTIFICATION WORKSHEET
## OFFICE OF THE SECRETARY OF THE CONFERENCE OF THE MAJORITY ( R )
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 374,000.00 |
| ESTIMATE | | $ 374,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 374,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 364,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm. | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 364,000.00 |
| Increase \ Decrease | | $ 10,000.00 |
| **Increase for Fiscal Year 2007:** | | |
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 4,000.00 | |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 6,000.00 | |
| | $ 10,000.00 | |

# BUDGET JUSTIFICATION WORKSHEET
## OFFICE OF THE SECRETARY OF THE CONFERENCE OF THE MINORITY ( D )
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 374,000.00 |
| ESTIMATE | | $ 374,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 374,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 364,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm. | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 364,000.00 |
| Increase \ Decrease | | $ 10,000.00 |
| **Increase for Fiscal Year 2007:** | | |
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 4,000.00 | |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 6,000.00 | |
| | $ 10,000.00 | |

## POLICY COMMITTEES

This appropriation includes funds for salaries for the Majority Policy Committee and the Minority Policy Committee. Public Law 104-53, dated November 19, 1995, divided the funding for the Policy Committees between the appropriations "Salaries, Officers and Employees"; and "Miscellaneous Items". Expenses for salaries and agency contributions will be paid from the appropriation "Salaries, Officers and Employees". Other expenses will be paid from the appropriation "Miscellaneous Items".

# BUDGET JUSTIFICATION WORKSHEET
## SENATE POLICY COMMITTEES
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 3,124,000.00 |
| ESTIMATE | | $ 3,124,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 3,124,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 3,048,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 3,048,000.00 |
| Increase \ Decrease | | $ 76,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 28,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 48,000.00 |
| | $ 76,000.00 |

# BUDGET JUSTIFICATION WORKSHEET
## MAJORITY POLICY COMMITTEE ( R )
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 1,562,000.00 |
| ESTIMATE | | $ 1,562,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 1,562,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 1,524,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 1,524,000.00 |
| Increase \ Decrease | | $ 38,000.00 |
| **Increase for Fiscal Year 2007:** | | |
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 14,000.00 | |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 24,000.00 | |
| | $ 38,000.00 | |

# BUDGET JUSTIFICATION WORKSHEET
## MINORITY POLICY COMMITTEE ( D )
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 1,562,000.00 |
| ESTIMATE | | $ 1,562,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 1,562,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 1,524,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm. | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 1,524,000.00 |
| Increase \ Decrease | | $ 38,000.00 |
| **Increase for Fiscal Year 2007:** | | |
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 14,000.00 | |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 24,000.00 | |
| | $ 38,000.00 | |

**OFFICE OF THE CHAPLAIN**

This appropriation item contains funds for the salaries of staff and the Chaplain of the Senate. Public Law 100-202, dated December 22, 1987, set the salary level for the Chaplain at Executive Level IV. Public Law 101-163, dated November 21, 1989, abolished the one statutory position for the office and established an allowance for the hiring of staff.

# BUDGET JUSTIFICATION WORKSHEET
## OFFICE OF THE CHAPLAIN
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 364,000.00 |
| ESTIMATE | | $ 364,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 364,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 354,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm.... | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 354,000.00 |
| Increase \ Decrease | | $ 10,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 4,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 6,000.00 |
| | $ 10,000.00 |

**OFFICE OF THE SECRETARY**

This appropriation item contains funds for four (4) statutory positions and lump sum allowances for the employment and adjustment of salaries of personnel in the Office of the Secretary of the Senate, as authorized by Public Law 97-51, effective October 1, 1981 (2 U.S.C. 61a-11).

# BUDGET JUSTIFICATION WORKSHEET
## SECRETARY OF THE SENATE
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 22,003,000.00 |
| ESTIMATE | | $ 22,003,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 22,003,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 20,866,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm. | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 20,866,000.00 |
| Increase \ Decrease | | $ 1,137,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 180,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 316,000.00 |
| Administrative Salary Adjustments | 641,000.00 |
| | $ 1,137,000.00 |

**OFFICE OF THE SERGEANT AT ARMS AND DOORKEEPER**

This appropriation item contains funds for the salaries of three (3) statutory positions and lump sum allowances for employment and adjustments of salaries of personnel in the Office of the Sergeant at Arms and Doorkeeper of the Senate, as authorized by Public Law 97-51, effective October 1, 1981 (2 U.S.C. 61f-7).

# BUDGET JUSTIFICATION WORKSHEET

## OFFICE OF THE SERGEANT AT ARMS AND DOORKEEPER OF THE SENATE

## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 62,604,000.00 |
| ESTIMATE | | $ 62,604,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 62,604,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 56,700,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm. | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 56,700,000.00 |
| Increase \ Decrease | | $ 5,904,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 488,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 858,000.00 |
| New Positions | 1,677,000.00 |
| Administrative Salary Adjustments | 970,000.00 |
| Other Adjustments (Fully fund all positions) | 2,711,000.00 |
| Other Adjustments (House Operator Credit) | (800,000.00) |
| | $ 5,904,000.00 |

**OFFICE OF THE SERGEANT AT ARMS AND DOORKEEPER OF THE SENATE**

**APPORTIONMENT SCHEDULE**

| ITEM | AMOUNT AVAILABLE FISCAL YEAR 2006 P.L. 109-55 | BUDGET ESTIMATE FISCAL YEAR 2007 | DIFFERENCE |
|---|---|---|---|
| Capitol Division | $ 14,530,000 | $ 15,908,000 | 1,378,000 |
| Central Operations Division | 16,592,000 | 18,314,000 | 1,722,000 |
| Technology Development Services Div. | 11,787,000 | 13,168,000 | 1,381,000 |
| IT Support Services Division | 5,714,000 | 6,253,000 | 539,000 |
| Staff Offices Division | 8,077,000 | 8,961,000 | 884,000 |
| **TOTALS** | 56,700,000 | 62,604,000 | 5,904,000 |

**OFFICES OF THE SECRETARIES FOR THE MAJORITY AND THE MINORITY**

This appropriation item contains funds for the salaries of personnel under the jurisdiction of the Secretary for the Majority and the Secretary for the Minority. The appropriation item includes the compensation of the respective Secretaries.

# BUDGET JUSTIFICATION WORKSHEET
## OFFICES OF THE SECRETARIES FOR THE MAJORITY AND MINORITY
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 1,622,000.00 |
| ESTIMATE | | $ 1,622,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 1,622,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 1,584,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 1,584,000.00 |
| Increase \ Decrease | | $ 38,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 14,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 24,000.00 |
| | $ 38,000.00 |

# BUDGET JUSTIFICATION WORKSHEET
## OFFICE OF THE SECRETARY FOR THE MAJORITY ( R )
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 811,000.00 |
| ESTIMATE | | $ 811,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 811,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 792,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm. | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 792,000.00 |
| Increase \ Decrease | | $ 19,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 7,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 12,000.00 |
| | $ 19,000.00 |

# BUDGET JUSTIFICATION WORKSHEET
## OFFICE OF THE SECRETARY FOR THE MINORITY ( D )
## FISCAL YEAR 2007

| | | | |
|---|---|---|---|
| Compensation | | | $ 811,000.00 |
| ESTIMATE | | | $ 811,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | | $ 811,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | | |
| Amount Appropriated - P.L. 109-55 | $ | 792,000.00 | |
| **ADJUSTMENTS** | | | |
| Reprogramming Authorized by Approp. Comm. | $ | 0.00 | |
| Increased Pay Costs Supplemental | $ | 0.00 | |
| **TOTAL FOR F.Y. 2006** | | | $ 792,000.00 |
| Increase \ Decrease | | | $ 19,000.00 |

**Increase for Fiscal Year 2007:**

| | | |
|---|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ | 7,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | | 12,000.00 |
| | $ | 19,000.00 |

**AGENCY CONTRIBUTIONS AND RELATED EXPENSES**

This appropriation item contains funds for agency contributions for Civil Service Retirement, Federal Employees' Retirement System, Thrift Savings Plan, FICA (including Medicare), Federal Employees' Group Life Insurance, and Federal Employees' Health Benefits, which encompasses all functions under the appropriation "Salaries, Officers and Employees".

Pursuant to Public Law 106-554, the agency contributions for Senate Hair Care Services and Joint Economic Committee are funded under the appropriation "Salaries, Officers and Employees". Pursuant to Public Law 107-68, the agency contributions for Caucus on International Narcotics Control are funded under the appropriation "Salaries, Officers and Employees".

## BUDGET JUSTIFICATION WORKSHEET
## SALARIES, OFFICERS AND EMPLOYEES - AGENCY CONTRIBUTIONS
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation, Salaries, Officers and Employees | | $ 118,431,000.00 |
| Agency Contributions based on 34% | | 40,267,000.00 |
| Agency Contributions: | | |
| Caucus on International Narcotics Control | | 169,000.00 |
| Joint Economic Committee | | 1,437,000.00 |
| Sergeant at Arms Hair Care Services | | 130,000.00 |
| ESTIMATE | | $ 42,003,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 42,003,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 37,105,000.00 | |
| ADJUSTMENTS | | |
| Reprogramming Authorized by Approp. Comm. | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 37,105,000.00 |
| Increase \ Decrease | | $ 4,898,000.00 |

**OFFICE OF THE LEGISLATIVE COUNSEL OF THE SENATE**

This appropriation includes funds for salaries, agency contributions, and expenses for the Office of the Legislative Counsel of the Senate. The office was established February 24, 1919, C. 18 §1303(d), 40 Stat. 1141; (2 U.S.C. 272).

# BUDGET JUSTIFICATION WORKSHEET
## OFFICE OF THE LEGISLATIVE COUNSEL OF THE SENATE
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 4,157,000.00 |
| Legislative Counsel 1 X $163,700 | $ 163,700.00 | |
| 5 Senior Counsel @ $162,515 each | 812,575.00 | |
| Other Staff | 3,180,725.00 | |
| Total | 4,157,000.00 | |
| Annualization of COLA (FY06 3.44% for 3 mos.) | | 36,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | | 63,000.00 |
| New Positions | | 85,000.00 |
| Other Personnel Compensation (Overtime) | | 10,000.00 |
| Agency Contributions | | 1,479,000.00 |
| Expenses | | 108,000.00 |
| Assets (equipment) | | 1,000.00 |
| ESTIMATE | | $ 5,939,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 5,939,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 5,437,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm... | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 5,437,000.00 |
| Increase \ Decrease | | $ 502,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 36,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 63,000.00 |
| New Positions | 85,000.00 |
| Agency Contributions Increase (Decrease) | 312,000.00 |
| Expenses Increase (Decrease) | 6,000.00 |
| | $ 502,000.00 |

**OFFICE OF SENATE LEGAL COUNSEL**

This appropriation includes funds for salaries, agency contributions, and expenses for the Office of Senate Legal Counsel. The office was established by Public Law 95-521, dated October 26, 1978. (2 U.S.C. 288)

## BUDGET JUSTIFICATION WORKSHEET
## OFFICE OF SENATE LEGAL COUNSEL
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 919,000.00 |
| Legal Counsel | $ 163,700.00 | |
| Deputy Senate Legal Counsel | 162,400.00 | |
| Other Staff | 592,900.00 | |
| Total | 919,000.00 | |
| Annualization of COLA (FY06 3.44% for 3 mos.) | | 8,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | | 14,000.00 |
| Agency Contributions | | 320,000.00 |
| Expenses | | 130,000.00 |
| ESTIMATE | | $ 1,391,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 1,391,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 1,306,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm. | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 1,306,000.00 |
| Increase \ Decrease | | $ 85,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 8,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 14,000.00 |
| Agency Contributions Increase (Decrease) | 63,000.00 |
| | $ 85,000.00 |

**EXPENSE ALLOWANCE OF THE SECRETARY OF THE SENATE, SERGEANT AT ARMS AND DOORKEEPER OF THE SENATE, AND SECRETARIES FOR THE MAJORITY AND MINORITY OF THE SENATE**

This appropriation includes funds for expense allotments for the Secretary of the Senate, Sergeant at Arms and Doorkeeper of the Senate, and Secretaries for the Majority and Minority of the Senate, as authorized by Public Law 97-51 (as amended), dated October 1, 1981 (2 U.S.C. 65c).

# BUDGET JUSTIFICATION WORKSHEET

**EXPENSE ALLOWANCES FOR THE SECRETARY OF THE SENATE,**
**SERGEANT AT ARMS AND DOORKEEPER OF THE SENATE, AND**
**SECRETARIES FOR THE MAJORITY AND MINORITY OF THE SENATE**
**FISCAL YEAR 2007**

| | | | |
|---|---|---|---|
| EXPENSE ALLOWANCES | | | $ 24,000.00 |
| Secretary of the Senate | $ | 6,000.00 | |
| Sergeant at Arms and Doorkeeper | | 6,000.00 | |
| Secretary for the Majority | | 6,000.00 | |
| Secretary for the Minority | | 6,000.00 | |
| Total Expense Allowances | $ | 24,000.00 | |
| ESTIMATE | | | $ 24,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | | $ 24,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | | |
| Amount Appropriated - P.L. 109-55 | $ | 24,000.00 | |
| **ADJUSTMENTS** | | | |
| Reprogramming Authorized by Approp. Comm | $ | 0.00 | |
| Increased Pay Costs Supplemental | $ | 0.00 | |
| **TOTAL FOR F.Y. 2006** | | | $ 24,000.00 |
| Increase \ Decrease | | | $ 0.00 |

## INQUIRIES AND INVESTIGATIONS

This appropriation includes funds for the salaries, agency contributions and expenses of Inquiries and Investigations authorized by Senate Resolutions for standing committees, special committees and select committees. The appropriation also includes funding for the Select Committee on Ethics, under authority of Senate Resolution 338, agreed to July 24, 1964. While there is no dollar limit in this authorization, the justification worksheet shows an amount for budget purposes only.

# BUDGET JUSTIFICATION WORKSHEET
## EXPENSES OF INQUIRIES AND INVESTIGATIONS
## FISCAL YEAR 2007

| | | |
|---|---|---|
| | | $ |
| S. Res. 50 for the period October 1, 2006 through February 28, 2007 | | 34,948,745.00 |
| Pending Res. Funding for the period March 1, 2007 through September 30, 2007 | | 49,284,458.00 |
| COLA (S. Res. 50) | | 1,583,576.00 |
| COLA (Pending) | | 0.00 |
| Agency Contributions 34% (Based on Compensation Estimate of $85,816,779) | | 29,178,000.00 |
| S. Res. Special Reserve | | 3,125,000.00 |
| Pending Special Reserve | | 4,375,000.00 |
| S. Res. 50 Expenses | | 1,057,307.00 |
| Pending Expenses | | 1,480,235.00 |
| S. Res. 50 (10%) | | 3,281,181.00 |
| 10% Pending | | 4,372,291.00 |
| Subtotal | | 132,685,793.00 |
| Reserve for new or additional resolutions and/or expenses | | 2,000,000.00 |
| Select Committee on Ethics (S. Res. 338) | | 2,303,600.00 |
| ESTIMATE | | $ 136,989,393.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 136,989,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 119,637,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 119,637,000.00 |
| Increase \ Decrease | | $ 17,352,000.00 |

**UNITED STATES SENATE CAUCUS ON INTERNATIONAL NARCOTICS CONTROL**

This appropriation account was authorized by Section 814 of the Foreign Relations Authorization Act, passed by the Senate on July 31, 1985. Funds were appropriated for the first time by the Legislative Branch Appropriations Act, 1986 (Public Law 99-151), approved November 13, 1985.

# BUDGET JUSTIFICATION WORKSHEET

## UNITED STATES SENATE CAUCUS ON INTERNATIONAL NARCOTICS CONTROL

## FISCAL YEAR 2007

| | | | |
|---|---|---|---|
| Compensation | | | $ 486,000.00 |
| Annualization of COLA (FY06 3.44% for 3 mos.) | | | 5,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | | | 7,000.00 |
| Expenses | | | 15,500.00 |
| Equipment | | | 6,500.00 |
| ESTIMATE | | | $ 520,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | | $ 520,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | | |
| Amount Appropriated - P.L. 109-55 | $ | 520,000.00 | |
| ADJUSTMENTS | | | |
| Reprogramming Authorized by Approp. Comm. | $ | 0.00 | |
| Increased Pay Costs Supplemental | $ | 0.00 | |
| **TOTAL FOR F.Y. 2006** | | | $ 520,000.00 |
| Increase \ Decrease | | | $ 0.00 |

**SECRETARY OF THE SENATE**

This appropriation includes funds for expenses for the Office of the Secretary of the Senate, as authorized by Public Law 98-51.

# BUDGET JUSTIFICATION WORKSHEET
## SECRETARY OF THE SENATE
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Administrative Expenses (See Apportionment Schedule) | | $ 1,900,000.00 |
| ESTIMATE | | $ 1,900,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 1,900,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 1,980,000.00 | |
| **ADJUSTMENTS** | | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 1,980,000.00 |
| Increase \ Decrease | | $ (80,000.00) |

## OFFICE OF THE SECRETARY

### APPORTIONMENT SCHEDULE

| ITEM | AMOUNT AVAILABLE FISCAL YEAR 2006 P.L. 109-55 | BUDGET ESTIMATE FISCAL YEAR 2007 | DIFFERENCE |
|---|---|---|---|
| DEPARTMENTAL OPERATING BUDGET | | | |
| EXECUTIVE OFFICE | $ 630,000 | $ 550,000 | (80,000) |
| ADMINISTRATIVE SERVICES | 1,290,000 | 1,290,000 | 0 |
| LEGISLATIVE SERVICES | 60,000 | 60,000 | 0 |
| TOTAL OPERATING BUDGET | 1,980,000 | 1,900,000 | (80,000) |
| **TOTALS** | 1,980,000 | 1,900,000 | (80,000) |

**SERGEANT AT ARMS AND DOORKEEPER OF THE SENATE**

This appropriation includes funds for expenses for the Office of the Sergeant at Arms and Doorkeeper of the Senate, as authorized by Public Law 98-51.

## BUDGET JUSTIFICATION WORKSHEET

**OFFICE OF THE SERGEANT AT ARMS AND DOORKEEPER OF THE SENATE**

**FISCAL YEAR 2007**

| | | |
|---|---|---|
| Administrative Expenses | | $ 117,728,000.00 |
| Assets (Equipment) | | 43,711,000.00 |
| ESTIMATE | | $ 161,439,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 161,439,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 142,000,000.00 | |
| ADJUSTMENTS | | |
| Reprogramming Authorized by Approp. Comm. | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 142,000,000.00 |
| Increase \ Decrease | | $ 19,439,000.00 |

**Increase for Fiscal Year 2007:**

| | | |
|---|---|---|
| Increase (Decrease) in Administrative Expenses | $ 29,148,000.00 | |
| Increase (Decrease) in Capital Assets | (9,709,000.00) | |
| | $ 19,439,000.00 | |

**OFFICE OF THE SERGEANT AT ARMS AND DOORKEEPER OF THE SENATE**

**APPORTIONMENT SCHEDULE**

| ITEM | AMOUNT AVAILABLE FISCAL YEAR 2006 P.L. 109-55 | BUDGET ESTIMATE FISCAL YEAR 2007 | DIFFERENCE |
|---|---|---|---|
| Capitol Division | $ 10,368,000 | $ 19,491,000 | 9,123,000 |
| Central Operations Division | 36,593,000 | 35,250,000 | (1,343,000) |
| Technology Development Services Div | 29,366,000 | 34,549,000 | 5,183,000 |
| IT Support Services Division | 61,213,000 | 65,641,000 | 4,428,000 |
| Staff Offices Division | 4,460,000 | 6,508,000 | 2,048,000 |
| **TOTALS** | 142,000,000 | 161,439,000 | 19,439,000 |

**MISCELLANEOUS ITEMS**

This appropriation includes funds for the general expenses of the Senate and is usually referred to as the housekeeping appropriation for the Senate.

## FISCAL YEAR 2007 BUDGET
## MISCELLANEOUS ITEMS
## APPORTIONMENT SCHEDULE

| ITEM | AMOUNT AUTHORIZED FISCAL YEAR 2006 P.L. 109-55 | BUDGET ESTIMATE FISCAL YEAR 2007 | | DIFFERENCE |
|---|---|---|---|---|
| Resolution and reorganization reserve | $ 2,500,000.00 | $ 3,000,000.00 | | $ 500,000.00 |
| Unallocated | 4,292,000.00 | 4,292,000.00 | | 0.00 |
| Reserve for contingencies (miscellaneous items) | 800,000.00 | 800,000.00 | | 0.00 |
| Employees' compensation fund reimbursement (worker's compensation) | 923,500.00 | 1,160,500.00 | | 237,000.00 |
| Mailing of Town Meeting Notices (P.L. 108-447, dated Dec. 8, 2004) | 500,000.00 | 500,000.00 | | 0.00 |
| John Heinz Fellowship Program (S. Res. 356, dated Oct. 7, 1992, S. Res. 238, dated Jul. 1, 1994, S. Res. 180 dated Sep. 30, 1999, S. Res. 428, dated Sep. 23, 2004) (expires Sep. 30, 2009) | 85,000.00 | 85,000.00 | | 0.00 |
| Reception of foreign dignitaries (S. Res. 247, dated Feb. 7, 1962, as amended by S. Res. 370, dated Oct. 10, 2000) | 30,000.00 | 30,000.00 | | 0.00 |
| Foreign travel - Members and employees (S. Res. 179, dated May 25, 1977) | 125,000.00 | 125,000.00 | | 0.00 |
| Federal employees compensation account (Public Law 96-499, dated Dec. 5, 1980) (Unemployment Compensation) | 1,750,000.00 | 1,750,000.00 | | 0.00 |
| Conferences for the Majority and Minority (Public Laws: 97-51, dated Jan. 3, 1983, 101-250, dated Nov. 5, 1990, and 107-68, dated Nov. 12, 2001) | 300,000.00 | 300,000.00 | | 0.00 |
| Policy Committees for the Majority and Minority (Public Law 104-53, dated Nov. 19, 1995) | 150,000.00 | 150,000.00 | | 0.00 |
| Postage | 6,000.00 | 6,000.00 | (1) | 0.00 |
| Stationery | 16,500.00 | 16,500.00 | (2) | 0.00 |
| Consultants - including agency contributions (2 USC 61h-6 as amended) | 3,500,000.00 | 4,500,000.00 | | 1,000,000.00 |
| National Security Working Group (S. Res. 480, November 21, 2004) (expires Dec. 31, 2006) | 700,000.00 | 700,000.00 | | 0.00 |
| Committee on Appropriations (P. L. 105-275, dated Oct. 21, 1998) | 950,000.00 | 950,000.00 | | 0.00 |
| Office of the Chaplain (P. L. 108-199, dated Jan. 23, 2004) | 50,000.00 | 50,000.00 | | 0.00 |
| **Senate Child Care Center** | | | | |
| Agency Contribution costs authorized by Public Laws 102-90, dated Aug. 14, 1991 and 103-50, dated Jul. 2, 1993 | 300,000.00 | 300,000.00 | | 0.00 |
| Training classes, conferences, & travel expenses as authorized by Public Law 104-197, dated Sep. 16, 1996 | 22,000.00 | 22,000.00 | | 0.00 |
| **Total** | **$ 17,000,000.00** | **$ 18,737,000.00** | | **$ 1,737,000.00** |

**(1) Postage Apportionment (Fiscal Year 2007):**

| | |
|---|---|
| President of the Senate | $ 2,700.00 |
| Secretary for the Majority | 1,100.00 |
| Secretary for the Minority | 1,100.00 |
| Chaplain | 1,100.00 |
| TOTAL | $ 6,000.00 |

**(2) Stationery Apportionment (Fiscal year 2007):**

| | |
|---|---|
| President of the Senate | $ 8,000.00 |
| Conference of the Majority | 300.00 |
| Conference of the Minority | 300.00 |
| Chaplain | 700.00 |
| Senate Chamber | 7,200.00 |
| | $ 16,500.00 |

**SENATORS' OFFICIAL PERSONNEL AND OFFICE EXPENSE ACCOUNT**

This appropriation contains funds for salaries, agency contributions, office expenses and official mail expenses of Senators. The Senators' Account is comprised of three statutory allowances and an allocation for official mail.

The allowance for Administrative and Clerical Assistance for a Senator's office is based on the population of the State beginning with states with a population of less than five million to states with a population of 28 million or more as authorized by Public Law 90-57 as amended {2 U.S.C. 61-1(d)}. The amount authorized for Legislative Assistance is based on three times the maximum salary payable in the Senator's office and is the same for each Senator as authorized by Public Law 95-94 as amended {2 U.S.C. 61-1 note}. The Official Office Expense Account is based primarily on the distance between Washington, D.C. and the State as authorized by Public Law 92-607 as amended {2 U.S.C. 58(b)(3)}. The allocation for Official Mail is determined by regulations promulgated by the Committee on Rules and Administration, based on available appropriated funds.

In addition, each of the amounts provided for in the Senators' Official Personnel and Office Expense Account are completely interchangeable and the only statutory limitation is the $50,000 limitation each fiscal year for Mass Mailings pursuant to Public Law 103-283 {39 U.S.C. 3210}.

# BUDGET JUSTIFICATION WORKSHEET
## SENATORS' OFFICIAL PERSONNEL AND OFFICE EXPENSE ACCOUNT
## FISCAL YEAR 2007

| | | | |
|---|---|---|---|
| Compensation | | | $ 267,994,642.00 |
| (See attached schedule) | $ 219,796,942.00 | | |
| Legislative Assistance to Senators | | | |
| Rate: $160,659 X 3 = $481,977X 100 = | 48,197,700.00 | | |
| Total Compensation | $ 267,994,642.00 | | |
| BUDGET YEAR COLA ESTIMATE (2.0 % FOR 9 MONTHS) | | | 4,020,000.00 |
| AGENCY CONTRIBUTIONS (34 % of Compensation: $272,014,642) | | | 92,485,000.00 |
| EXPENSES | | | 20,328,942.00 |
| ESTIMATE | | | $ 384,828,584.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | | $ 384,829,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | | |
| Amount Appropriated - P.L. 109-55 | | $ 350,000,000.00 | |
| **ADJUSTMENTS** | | | |
| Reprogramming Authorized by Approp. Comm | | $ 0.00 | |
| Increased Pay Costs Supplemental | | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | | $ 350,000,000.00 |
| Increase \ Decrease | | | $ 34,829,000.00 |
| **Increase for Fiscal Year 2007:** | | | |
| Budget Year COLA Estimate (2.0 % for 9 mos.) | | 4,020,000.00 | |
| Population Increase (Georgia) | | 174,584.00 | |
| Residual of previous fiscal year underfunding | | 30,634,416.00 | |
| | | $ 34,829,000.00 | |

**SCHEDULE OF AUTHORIZED ALLOWANCES FOR ADMINISTRATIVE AND CLERICAL ASSISTANCE TO SENATORS**

| POPULATION CATEGORY | ALLOWANCE | NUMBER OF SENATORS IN EACH POPULATION CATEGORY | TOTAL ALLOWANCE |
|---|---|---|---|
| Less than 5 million | $ 2,043,223.00 | 58 | $ 118,506,934.00 |
| 5 million but less than 6 million | 2,107,422.00 | 12 | 25,289,064.00 |
| 6 million but less than 7 million | 2,171,625.00 | 6 | 13,029,750.00 |
| 7 million but less than 8 million | 2,235,826.00 | 2 | 4,471,652.00 |
| 8 million but less than 9 million | 2,300,030.00 | 4 | 9,200,120.00 |
| 9 million but less than 10 million | 2,364,228.00 | 2 | 4,728,456.00 |
| 10 million but less than 11 million | 2,428,435.00 | 2 | 4,856,870.00 |
| 11 million but less than 12 million | 2,492,637.00 | 2 | 4,985,274.00 |
| 12 million but less than 13 million | 2,556,837.00 | 4 | 10,227,348.00 |
| 13 million but less than 14 million | 2,621,038.00 | 0 | 0.00 |
| 14 million but less than 15 million | 2,685,241.00 | 0 | 0.00 |
| 15 million but less than 16 million | 2,749,442.00 | 0 | 0.00 |
| 16 million but less than 17 million | 2,813,646.00 | 0 | 0.00 |
| 17 million but less than 18 million | 2,877,848.00 | 2 | 5,755,696.00 |
| 18 million but less than 19 million | 2,918,920.00 | 0 | 0.00 |
| 19 million but less than 20 million | 2,959,995.00 | 2 | 5,919,990.00 |
| 20 million but less than 21 million | 3,001,071.00 | 0 | 0.00 |
| 21 million but less than 22 million | 3,042,147.00 | 0 | 0.00 |
| 22 million but less than 23 million | 3,083,223.00 | 2 | 6,166,446.00 |
| 23 million but less than 24 million | 3,124,298.00 | 0 | 0.00 |
| 24 million but less than 25 million | 3,165,369.00 | 0 | 0.00 |
| 25 million but less than 26 million | 3,206,443.00 | 0 | 0.00 |
| 26 million but less than 27 million | 3,247,519.00 | 0 | 0.00 |
| 27 million but less than 28 million | 3,288,594.00 | 0 | 0.00 |
| 28 million or more | 3,329,671.00 | 2 | 6,659,342.00 |
| **TOTAL** | | 100 | $ 219,796,942.00 |

*Population Estimates as of July 1, 2005.

## SENATORIAL OFFICIAL OFFICE EXPENSE ACCOUNT

| STATE | ALLOWANCE | STATE | ALLOWANCE |
|---|---|---|---|
| Alabama | $ 184,735.00 | Montana | $ 162,836.00 |
| Alaska | 253,317.00 | Nebraska | 161,386.00 |
| Arizona | 204,115.00 | Nevada | 175,667.00 |
| Arkansas | 169,951.00 | New Hampshire | 143,686.00 |
| California | 468,102.00 | New Jersey | 206,340.00 |
| Colorado | 191,811.00 | New Mexico | 167,620.00 |
| Connecticut | 161,063.00 | New York | 321,468.00 |
| Delaware | 128,580.00 | North Carolina | 218,610.00 |
| Florida | 312,749.00 | North Dakota | 150,610.00 |
| Georgia | 219,805.00 | Ohio | 256,425.00 |
| Hawaii | 280,432.00 | Oklahoma | 181,833.00 |
| Idaho | 165,569.00 | Oregon | 190,942.00 |
| Illinois | 266,601.00 | Pennsylvania | 263,491.00 |
| Indiana | 196,265.00 | Rhode Island | 139,216.00 |
| Iowa | 171,230.00 | South Carolina | 175,132.00 |
| Kansas | 169,383.00 | South Dakota | 152,477.00 |
| Kentucky | 178,622.00 | Tennessee | 195,417.00 |
| Louisiana | 186,973.00 | Texas | 365,096.00 |
| Maine | 149,007.00 | Utah | 171,078.00 |
| Maryland | 172,317.00 | Vermont | 137,117.00 |
| Massachusetts | 195,887.00 | Virginia | 196,735.00 |
| Michigan | 235,669.00 | Washington | 215,952.00 |
| Minnesota | 189,416.00 | West Virginia | 148,988.00 |
| Mississippi | 170,107.00 | Wisconsin | 192,702.00 |
| Missouri | 198,196.00 | Wyoming | 153,745.00 |
| **TOTAL** | | | $ 10,064,471.00 |
| | | | X 2 |
| **TOTAL ALLOWANCES BY STATE** | | | $ 20,128,942.00 |
| **RESERVE FOR OOEA** | | | $ 200,000.00 |
| **TOTAL ALLOWANCE FOR OOEA** | | | $ 20,328,942.00 |

**Ranking of States by Population Estimates**
**July 1, 2005**

| Rank | State | Population | Rank | State | Population |
|---|---|---|---|---|---|
| 1 | California | 36,132,147 | 27 | Oregon | 3,641,056 |
| 2 | Texas | 22,859,968 | 28 | Oklahoma | 3,547,884 |
| 3 | New York | 19,254,630 | 29 | Connecticut | 3,510,297 |
| 4 | Florida | 17,789,864 | 30 | Iowa | 2,966,334 |
| 5 | Illinois | 12,763,371 | 31 | Mississippi | 2,921,088 |
| 6 | Pennsylvania | 12,429,616 | 32 | Arkansas | 2,779,154 |
| 7 | Ohio | 11,464,042 | 33 | Kansas | 2,744,687 |
| 8 | Michigan | 10,120,860 | 34 | Utah | 2,469,585 |
| 9 | Georgia | 9,072,576 | 35 | Nevada | 2,414,807 |
| 10 | New Jersey | 8,717,925 | 36 | New Mexico | 1,928,384 |
| 11 | North Carolina | 8,683,242 | 37 | West Virginia | 1,816,856 |
| 12 | Virginia | 7,567,465 | 38 | Nebraska | 1,758,787 |
| 13 | Massachusetts | 6,398,743 | 39 | Idaho | 1,429,096 |
| 14 | Washington | 6,287,759 | 40 | Maine | 1,321,505 |
| 15 | Indiana | 6,271,973 | 41 | New Hampshire | 1,309,940 |
| 16 | Tennessee | 5,962,959 | 42 | Hawaii | 1,275,194 |
| 17 | Arizona | 5,939,292 | 43 | Rhode Island | 1,076,189 |
| 18 | Missouri | 5,800,310 | 44 | Montana | 935,670 |
| 19 | Maryland | 5,600,388 | 45 | Delaware | 843,524 |
| 20 | Wisconsin | 5,536,201 | 46 | South Dakota | 775,933 |
| 21 | Minnesota | 5,132,799 | 47 | Alaska | 663,661 |
| 22 | Colorado | 4,665,177 | 48 | North Dakota | 636,677 |
| 23 | Alabama | 4,557,808 | 49 | Vermont | 623,050 |
| 24 | Louisiana | 4,523,628 | 50 | District of Columbia | 550,521 |
| 25 | South Carolina | 4,255,083 | 51 | Wyoming | 509,294 |
| 26 | Kentucky | 4,173,405 | | | |
| | | | | United States | 296,410,404 |

Source: Population Division, U.S. Census Bureau.
Consistent with Department of Commerce Press Release CB05-187, issued 12/22/2005.

## OFFICIAL MAIL COSTS

This appropriation reimburses the United States Postal Service for official mail sent out by the administrative offices of the Senate. Public Law 101-163, dated November 21, 1989, provided separate funding for Official Mail Costs for each House of Congress. Public Law 105-275; dated October 21, 1998, provided funding for official mail costs directly to the Senator's Official Personnel and Office Expense Account no longer funding Senator's offices from the appropriation.

## BUDGET JUSTIFICATION WORKSHEET
## OFFICIAL MAIL COSTS
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Expenses | | $ 300,000.00 |
| ESTIMATE | | $ 300,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 300,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 300,000.00 | |
| ADJUSTMENTS | | |
| Reprogramming Authorized by Approp. Comm. | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 300,000.00 |
| Increase \ Decrease | | $ 0.00 |

## JOINT ECONOMIC COMMITTEE

This appropriation includes funds for salaries and expenses for the Joint Economic Committee, which is funded as a Senate Joint Item.

# BUDGET JUSTIFICATION WORKSHEET
## JOINT ECONOMIC COMMITTEE
## FISCAL YEAR 2007

| | | | |
|---|---|---|---|
| Compensation | | | $ 4,126,000.00 |
| Annualization of COLA (FY06 3.44% for 3 mos.) | | | 36,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | | | 63,000.00 |
| Expenses | | | 150,000.00 |
| ESTIMATE | | | $ 4,375,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | | $ 4,375,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | | |
| Amount Appropriated - P.L. 109-55 | $ | 4,276,000.00 | |
| ADJUSTMENTS | | | |
| Reprogramming Authorized by Approp. Comm. | $ | 0.00 | |
| Increased Pay Costs Supplemental | $ | 0.00 | |
| **TOTAL FOR F.Y. 2006** | | | $ 4,276,000.00 |
| Increase \ Decrease | | | $ 99,000.00 |
| **Increase for Fiscal Year 2007:** | | | |
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ | 36,000.00 | |
| Budget Year COLA Estimate (2.0% for 9 mos.) | | 63,000.00 | |
| | $ | 99,000.00 | |

SCHEDULE A – JOINT COMMITTEE ON TAXATION

HOUSE OF REPRESENTATIVES
JOINT COMMITTEE ON TAXATION
BY OBJECT CLASS

| | | FY 2005 Actual Dollars (000) | FY 2006 Enacted Dollars (000) | FY 2007 Estimated Dollars (000) | FY 07 vs. FY 06 Net Change Dollars (000) |
|---|---|---|---|---|---|
| 1100 | Personnel Compensation | $7,055 | $7,983 | $8,290 | $307 |
| 1200 | Personnel Benefits | $23 | $23 | $23 | |
| 1300 | Benefits to Former Personnel | | | | |
| 2100 | Travel | $13 | $12 | $12 | |
| 2200 | Transportation of Things | | | | |
| 2300 | Rent, Communications, Utilities | $60 | $36 | $37 | $1 |
| 2400 | Printing and Reproduction | $4 | $6 | $6 | |
| 2500 | Other Services | $88 | $127 | $130 | $3 |
| 2600 | Supplies and Materials | $233 | $189 | $193 | $4 |
| 3100 | Equipment | $481 | $317 | $414 | $97 |
| 4200 | Insurance Claims/Indemnities | | | | |
| Total | | $7,957 | $8,693 | $9,105 | $412 |

| | FY 2005 Actual | FY 2006 Enacted | FY 2007 Estimated | FY 07 vs. FY 06 Net Change |
|---|---|---|---|---|
| FULL TIME EQUIVALENT POSITIONS | 65 | 71 | 71 | |

SCHEDULE C – JOINT COMMITTEE ON TAXATION

HOUSE OF REPRESENTATIVES
DETAILED ANALYSIS OF CHANGE BY ORGANIZATION
JOINT COMMITTEE ON TAXATION

| | FY 2006 Enacted Dollars (000) | FY 2007 Estimated Dollars (000) | FY 07 vs. FY 06 Net Change Dollars (000) |
|---|---|---|---|
| A. MANDATORY CHANGES | $8,006 | $8,313 | $307 |
| Personnel Base | $7,983 | $7,983 | |
| Base Adjustment | | | |
| Cost of Living Adjustment Annualized | | $62 | $62 |
| Longevity Increases | | | |
| Reclassifications | | | |
| Meritorious Increases | | $82 | $82 |
| Cost of Living Adjustment | | $163 | $163 |
| Overtime Pay | | | |
| Temporary Positions | | | |
| Personnel Benefits | $23 | $23 | |
| Reimbursement to the Navy | | | |
| B. PRICE LEVEL INCREASES | | $15 | $15 |
| C. PROGRAM CHANGES | $687 | $777 | $90 |
| Tax Legislation | $687 | $777 | $90 |
| TOTAL | $8,693 | $9,105 | $412 |
| FULL TIME EQUIVALENT POSITIONS | 71 | 71 | |

Explanation of Changes Shown on Schedule C

JOINT COMMITTEE ON TAXATION

For salaries and expenses of the Joint Committee on Taxation, $9,105,000. The fiscal year 2007 budget request is an increase of $412,000 or 4.7% over the amount provided in fiscal year 2006 after accounting for an $88,000 rescission. This amount includes $8,313,000 for mandatory items, $15,000 for price level changes, and $687,000 for program current services, and an increase of $90,000 for program changes.

I. Personnel Details: FY'07 Request - $8,313,000

A. Base: $8,006,000
   i. The estimated FY'06 personnel compensation will be $7,983,000
   ii. The estimated FY'06 personnel benefits will be $23,000
B. Budget Calculations:
   i. FY'06 Cost of Living Annualized - (0.775%) 3.1%
   ii. FY'07 Cost of Living Prorated - (2.025%) 2.7%
   iii. FY'07 Meritorious Increase – 1%
C. Requested Changes:
   i. FY'06 Cost of Living Annualized - $62,000
   ii. FY'07 Cost of Living Prorated - $163,000
   iii. FY'07 Meritorious Increase - $82,000

II. Price Level Details: FY'07 Request - $15,000

The increase of $15,000 is based upon an inflation factor of 2.2%.

III. Program Details: FY'07 Request - $777,000

A. Current Services:
   i. Tax Legislation: $687,000 – The Joint Committee on Taxation provides support with respect to revenue legislation to the House and Senate. Joint Committee staff prepare markup documents, committee reports, statement of managers, and revenue estimates for all tax legislation considered by Congress.

B. Program Changes:
   i. Tax Legislation: $90,000 – The increase in the Tax Legislation program will restore funds rescinded in FY'06, and the level necessary to support the ongoing functions of the program.

SCHEDULE A – OFFICE OF THE ATTENDING PHYSICIAN

HOUSE OF REPRESENTATIVES
OFFICE OF THE ATTENDING PHYSICIAN
BY OBJECT CLASS

| | | FY 2005 Actual Dollars (000) | FY 2006 Enacted Dollars (000) | FY 2007 Estimated Dollars (000) | FY 07 vs. FY 06 Net Change Dollars (000) |
|---|---|---|---|---|---|
| 1100 | Personnel Compensation | | | | |
| 1200 | Personnel Benefits | $150 | $155 | $155 | |
| 1300 | Benefits to Former Personnel | | | | |
| 2100 | Travel | $26 | $16 | $16 | |
| 2200 | Transportation of Things | | $4 | $4 | |
| 2300 | Rent, Communications, Utilities | $45 | $60 | $66 | $6 |
| 2400 | Printing and Reproduction | $1 | | | |
| 2500 | Other Services | $1,733 | $1,840 | $1,926 | $86 |
| 2600 | Supplies and Materials | $367 | $370 | $405 | $35 |
| 3100 | Equipment | $66 | $75 | $80 | $5 |
| 4200 | Insurance Claims/Indemnities | | | | |
| Total | | $2,388 | $2,520 | $2,652 | $132 |

| | FY 2005 Actual | FY 2006 Enacted | FY 2007 Estimated | FY 07 vs. FY 06 Net Change |
|---|---|---|---|---|
| FULL TIME EQUIVALENT POSITIONS | | [18] | [18] | |

SCHEDULE C – OFFICE OF THE ATTENDING PHYSICIAN

HOUSE OF REPRESENTATIVES
DETAILED ANALYSIS OF CHANGE BY ORGANIZATION
OFFICE OF THE ATTENDING PHYSICIAN

| | FY 2006 Enacted Dollars (000) | FY 2007 Estimated Dollars (000) | FY 07 vs. FY 06 Net Change Dollars (000) |
|---|---|---|---|
| A. MANDATORY CHANGES | $155 | $155 | |
| Personnel Base | | | |
| Base Adjustment | | | |
| Cost of Living Adjustment Annualized | | | |
| Longevity Increases | | | |
| Reclassifications | | | |
| Meritorious Increases | | | |
| Cost of Living Adjustment | | | |
| Overtime Pay | | | |
| Temporary Positions | | | |
| Personnel Benefits | $155 | $155 | |
| Reimbursement to the Navy | | | |
| B. PRICE LEVEL INCREASES | | $5 | $5 |
| C. PROGRAM CHANGES | $2,365 | $2,492 | $127 |
| Reimbursement to the Navy | $1,834 | $1,920 | $86 |
| Miscellaneous | $215 | $240 | $25 |
| Preventive Health Maintenance | $89 | $98 | $9 |
| Emergency Preparedness | $57 | $62 | $5 |
| Capability Enhancement | $170 | $172 | $2 |
| TOTAL | $2,520 | $2,652 | $132 |
| FULL TIME EQUIVALENT POSITIONS | [18] | [18] | |

Explanation of Changes Shown on Schedule C

HOUSE OF REPRESENTATIVES
OFFICE OF THE ATTENDING PHYSICIAN

For salaries and expenses of the Office of the Attending Physician, $2,652,000. The fiscal year 2007 budget request is an increase of $132,000 or 5.3% over the amount provided in fiscal year 2006 after accounting for a $25,000 rescission. This amount includes $155,000 for mandatory items, $5,000 for price level changes, $2,365,000 for program current services, and an increase of $127,000 for program changes.

I. Personnel Details: FY'07 Request - $155,000
   i. The estimated FY'06 personnel benefits will be $155,000

II. Price Level Details: FY'07 Request - $5,000

The increase of $5,000 is based upon an inflation factor of 2.2%.

III. Program Details: FY'07 Request - $2,492,000

A. Current Services:
   i. Reimbursement to the Navy: $1,834,000 – The OAP has an ongoing contract with the Department of the Navy for services including medical staff and equipment.
   ii. Miscellaneous: $215,000 – This program contains items that are either not part of the other programs or support all programs. These items include training, telephone charges, wireless communications capabilities, and other costs incurred with training.
   iii. Preventive Health Maintenance: $89,000 - Preventive Health Maintenance refers to prophylactic medications, immunizations, physical exams, dietary information, physical therapy supplies, consumable supplies for all health units on Capitol Hill, laboratory chemicals and re-agents, equipment purchases, contracts for equipment maintenance and service, and administrative supplies.
   iv. Emergency Preparedness: $57,000 - Emergency Preparedness refers to the consumable supplies of medicines (injection and oral) for chemical/biological warfare, continuing education and associated travel costs, required supplies for House and Senate staff/OEC, CPR/AED & First Aid training, cost of maintenance of MeRV and cost of driver's training, and equipment to directly support continuity of operations and enduring constitutional government.
   v. Capability Enhancement: $170,000 - Capability Enhancement refers to on-going training to maintain licensure and certifications, and to increase knowledge of clinical issues. Costs incurred with communication devices; X-ray; laboratory; maintenance of electronic medical records; computers; contracts for maintenance and user fees; mobile capability upkeep, and reimbursement to the U.S. Navy.

B. Proposed Changes:
   i. Reimbursement to the Navy: $86,000 – This is part of a 4.7% increase in the Department of the Navy invoice to the OAP for contracted staff and equipment services. The increase is due to inflation and routine price increases as established by the Department of Defense.
   ii. Miscellaneous: $25,000 – This increase is to make up for the 1% rescission that was taken out of the account during FY 2006.

iii. Preventive Health Maintenance: $9,000 – The Preventive Health Maintenance program is increasing in FY 2007 due to increased costs for influenza vaccines and the purchase of consumable supplies needed to administer the vaccines.

iv. Emergency Preparedness: $5,000 – The Emergency Preparedness budget is increasing in FY 2007 because the cost of maintaining communications equipment for emergency responders during contingency events has increased.

v. Capability Enhancement: $2,000 – The Capability Enhancement program is increasing due to the increased cost of travel medications for staff and Member Congressional Delegates (CODELs) and consumable supplies for health units.

**CAPITOL GUIDE SERVICE AND SPECIAL SERVICES OFFICE**

This appropriation includes funds for salaries, agency contributions, and expenses of the Capitol Guide Service and Special Services Office. Pursuant to Public Law 91-510, dated October 26, 1970, the Capitol Guide Board is authorized with the prior approval of the Senate Committee on Rules and Administration and the House Oversight Committee, to establish and revise such number of guide service positions as necessary. The current authorization is for 48 permanent positions. The Special Services Office was established by Public Law 101-163, dated November 21, 1989. Public Law 104-53, agreed to November 19, 1995 combined the two offices into one appropriation account. Separate budget figures will be maintained for each office. Public Law 105-275, dated October 21, 1998, increased the number of positions for the Special Services Office to that of NTE 10 employees.

# BUDGET JUSTIFICATION WORKSHEET
## CAPITOL GUIDE AND SPECIAL SERVICES OFFICE
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 3,165,000.00 |
| Agency Contributions | | 1,076,000.00 |
| Expenses | | 179,000.00 |
| ESTIMATE | | $ 4,420,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 4,420,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 4,098,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 4,098,000.00 |
| Increase \ Decrease | | $ 322,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Annualization of COLA (FY06 3.44% for 3 mos.) | $ 27,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 47,000.00 |
| Administrative Salary Adjustments | 57,000.00 |
| Other Personnel Compensation (Overtime e.g.) | (500.00) |
| Agency Contributions Increase (Decrease) | 208,000.00 |
| Expenses Increase (Decrease) | (16,500.00) |
| | $ 322,000.00 |

# BUDGET JUSTIFICATION WORKSHEET
## CAPITOL GUIDE SERVICE
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 2,600,000.00 |
| Agency Contributions | | 884,000.00 |
| Expenses | | 123,000.00 |
| ESTIMATE | | $ 3,607,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 3,607,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 3,462,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm. | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 3,462,000.00 |
| Increase \ Decrease | | $ 145,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Base transferred to Special Services | $ (95,000.00) |
| Annualization of COLA (FY06 3.44% for 3 mos.) | 22,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 38,000.00 |
| Administrative Salary Adjustments | 40,000.00 |
| Agency Contribution Increase (Decrease) | 157,000.00 |
| Expenses Increase (Decrease) | (17,000.00) |
| | $ 145,000.00 |

# BUDGET JUSTIFICATION WORKSHEET
## SPECIAL SERVICES OFFICE
## FISCAL YEAR 2007

| | | |
|---|---|---|
| Compensation | | $ 565,000.00 |
| Agency Contributions | | 192,000.00 |
| Expenses | | 56,000.00 |
| ESTIMATE | | $ 813,000.00 |
| ESTIMATE FOR FISCAL YEAR 2007 | | $ 813,000.00 |
| LESS: AMOUNT AVAILABLE FOR F.Y. 2006: | | |
| Amount Appropriated - P.L. 109-55 | $ 636,000.00 | |
| **ADJUSTMENTS** | | |
| Reprogramming Authorized by Approp. Comm | $ 0.00 | |
| Increased Pay Costs Supplemental | $ 0.00 | |
| **TOTAL FOR F.Y. 2006** | | $ 636,000.00 |
| Increase \ Decrease | | $ 177,000.00 |

**Increase for Fiscal Year 2007:**

| | |
|---|---|
| Base transferred from Capitol Guide | $ 95,000.00 |
| Annualization of COLA (FY06 3.44% for 3 mos.) | 5,000.00 |
| Budget Year COLA Estimate (2.0% for 9 mos.) | 9,000.00 |
| Administrative Salary Adjustments | 17,000.00 |
| Other Personnel Compensation (Overtime e.g.) | (500.00) |
| Agency Contribution Increase (Decrease) | 51,000.00 |
| Expenses Increase (Decrease) | 500.00 |
| | $ 177,000.00 |

Explanation of Changes Shown on Schedule C

HOUSE OF REPRESENTATIVES
STATEMENTS OF APPROPRIATOINS

For Statements of Appropriations, $30,000. This is the same amount enacted for fiscal year 2006. The amount includes $30,000 for program current services.

I. Program Details: FY'07 Request - $30,000

A. Current Services

i. Statement Preparation: $30,000 – This account funds the preparation of the statements for the second session of the 109th Congress, showing appropriations made, indefinite appropriations, and contracts authorized, together with a chronological history of the regular appropriations bills as required by law.

B. Program Changes:

None.

# United States Capitol Police

# FY 2007
# Budget Estimate

**January 2006**

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# Introduction

The United States Capitol Police (USCP) maintains the honor of protecting the Congress, its legislative process, as well as staff and visitors from harm. As the foremost symbol of American representative democracy, Congressional operations are a highly visible target for individuals and organizations intent on causing harm to the United States and disrupting the legislative processes of our government. It is the duty of the men and women of the Capitol Police to do all in our power to prevent these acts and, if such acts should occur, to respond appropriately to ensure the safety and well being of our stakeholders.

History tells us that the Capitol is a tempting target for terrorists and those who seek to disrupt the national legislative process or strike a symbolic blow against the United States. We know that terrorists choose targets based on criteria such as symbolism, mass casualty, and the high likelihood of success. Our responsibility is to take every reasonable and prudent precaution that we can, to remove the likelihood of a successful attack against the Capitol, the House and Senate office buildings, and those that work and visit the Capitol complex.

No single event has impacted security of the Capitol and the House and Senate office buildings more than the events of September 11th. That attack, in which the Capitol was a clear target, is the latest in a series of actual or planned attacks that demonstrate the spectrum of threats directed against the Capitol complex. Those threats stem from international terrorism, domestic terrorism, or acts of violence by individuals acting alone. The bombings of the Capitol that occurred in 1915, 1971, and 1983; the attempted bombing of the House Chamber in 1983; the shootings that occurred in 1954 and 1998; and the bio-terrorism attacks that occurred in 2001 and 2004 all had lasting affects on the level of security needed to protect the Legislative Branch of the government. Likewise, terrorist events that occur outside the Capitol complex, either nationally or overseas, also cause us to review our security posture and apply lessons learned so that we may deter similar attacks at the Capitol.

Therefore, it is necessary for the United States Capitol Police to maintain the ability to deter, detect, respond to, and mitigate a wide variety of threats while keeping the Capitol complex open and accessible to the public.

In the ever-changing threat environment, the USCP accomplishes its mission through varied, and sometimes competing, functions to provide round the clock protection of Congress. In an effort to maintain the flexibility of Department operations and maintain operational readiness, the USCP over the past several years, and with the support of Congress, has made significant investments in human capital and Department infrastructure by augmenting our intelligence capabilities and coordination among the intelligence community, hardening our physical security as well as counter surveillance capabilities, automating antiquated security and administrative support systems, enhancing our detection and response capabilities for explosive devices as well as

chemical and biological agents, and augmenting our incident command and emergency response and notification systems. Each of these and their related activities has come with high resource requirements for maintenance in order to ensure that our systems are operational 24/7. The budget submission we present includes a significant amount of maintenance funds for these new systems and resources. The majority of these infrastructure investments were funded with emergency, supplemental or reprogrammed prior year funding and now require annual, on-going operational maintenance and life-cycle replacement. This has caused a significant increase in our funding requirements for FY 2007 and will require commensurate funds in the out-years.

In keeping with prior Conference Committee directives, good management of our core processes and maximum utilization of our workforce, the USCP has made concerted efforts to contract out activities that are conducive to outsourcing. Our FY 2007 budget submission includes our proposals for continuing funding for these outsourced activities as well as proposals for new outsourced activities, allowing the USCP to concentrate on its expertise.

The USCP is keenly aware of fiscal constraints, and we have been judicious in the new initiatives we included in our request. The majority of our budget request is for maintenance of existing systems purchased both with prior year annual funds or emergency supplemental funds for which maintenance is now due. New initiatives in our FY 2007 budget request include the cost of additional well defined personnel resources, costs for outsourcing functions in Human Resources, Information Systems maintenance and replacement systems, costs for the Office of Professional Responsibility and operating costs for the Office of Inspector General as well as new costs for activities acquired from other agencies such as maintenance of the radio communications systems transferred from the Senate and certain security equipment maintenance from the Department of Defense. In addition, we have included new installation costs for access control card readers for desperately needed on-campus offices, which was not funded in the prior year.

Sworn staffing levels are not sufficient to maintain coverage of all current operational requirements, and known future missions will exacerbate this situation. Our total sworn authorized FTE level, including the Library of Congress (LOC) positions, have increased since FY 2005 to an authorized FTE level of 1658 in FY 2006, but operational requirements have continued to increase. An increase in our sworn authorization of 91 FTE, plus 10 FTE for LOC attrition as well as seven civilian FTE are needed to cover these requirements. The increases in staffing relate to the anticipated opening of the Capitol Visitor Center; providing appropriate staffing levels for Dignitary Protection; staffing of the TIGER Team, an important component of our strategic prevention plan; as well as critical administrative support positions. These additions would result in a total Department strength of 2,180, including 421 civilians and 1,759 sworn.

In keeping with our mission focused strategic objectives, we have in FY 2005:

- Greeted and screened over 8.7 million staff and visitors throughout the Capitol complex (compared to 9.5 million in 2004 and 7.0 million in 2003) as well as screened over 59,500 people for three holiday events; conducted over 17,000 canine explosive detection sweeps; coordinated over 3,300 special events and dignitary visits; screened over 85,000 vehicles and 72,000 individuals at the Capitol Visitors Center as work proceeded uninterrupted; screened over 574,000 vehicles by the TIGER Team since January 2005; processed and responded to over 3,000 work orders; performed 1,618 systems installs; conducted 136 physical security assessments; and performed 521 electronic countermeasures assessments; as well as other protective functions.

- Provided incident-free protection to all of the Department's protectees and visiting foreign officials.

- Conducted, in addition to drills and exercises, two all-complex evacuations for AIRCON Red incidents; responded to a suspected suitcase bomber on the Lower West Terrace of the Capitol; a suspected car bomb on First Street/Louisiana Avenue; managed security for the Presidential Inauguration, the State of the Union Address, Peace Officers' Memorial Day service, the National Memorial Day Concert, the 4th of July Concert, the Labor Day Concert, Million More Movement, the Lying in Honor for Ms. Rosa Parks, Supreme Court Chief Justice confirmation hearing for John Roberts; and numerous other incidents.

- Implemented a new financial management system in 12 months, on time and within budget, as well as a new budget structure based upon programs and projects that coordinates the budget formulation and execution processes for the first time in the history of the Department.

- Developed a strategy and identified requirements and business processes for the implementation of the Asset Management System which will bring greater accountability and control over assets within the Department, as well as, launched the first steps to align the Department's internal controls with government-wide standards.

- Implemented a human resources management tool that automated position management and classification as well as the selection process for both civilian and sworn employees. In FY 2006, we plan on expanding the system to automate the performance management process.

Our FY 2007 budget request of $295.1 million represents an increase of 19.5% over the appropriated amounts for FY 2006. As stewards of public resources and an institution benchmarking itself against rising standards of success, we are aware of our increasingly lean environment. However, our budget issue is compounded by what has been both a saving grace for the Department as well as a challenge. Over the past several years,

Congress has generously allowed us to significantly augment daily operating costs through reprogramming of existing No-year funds. While this has enabled us to meet our operational requirements in tough budget times, through realignment of resources, it has meant that increases in our operating expenses appear larger than they actually are. The comparison of our actual FY 2006 operating costs with the FY 2007 request may be found in the appendix of this document. The availability of significant balances in our No-year accounts is no longer a viable option for funding wholesale portions of the USCP budget. As such, the increases reflected in the budget request reflects the resource requirements of the Department necessary to ensure success of our mission and the continued safety of the Congressional community. In support of critical mission requirements, the United States Capitol Police respectfully presents our FY 2007 Budget Estimate.

# Budget Request Summary

| FY 2007 Capitol Police Budget Request | |
|---|---|
| Personnel costs | $246,700,000 |
| Non-personnel costs | 48,383,000 |
| **Budget Request** | **$295,083,000** |

The Capitol Police FY 2007 budget estimate is $295,083,000, which includes personnel costs of $246,700,000 and non-personnel costs of $48,383,000. Compared to the FY 2006 net appropriation of $246,961,000, there is an overall increase of $48,122,000 (19.5%). This includes an increase of $31.4 million (14.6%) for personnel costs and $16.7 million (52.7%) for non-personnel costs.

**Request Compared to Prior Years (in millions)**

| Appropriation | FY 2005 | FY 2006** | FY 2007 Request | Change 06 vs. 07 | % Change |
|---|---|---|---|---|---|
| Personnel | **$204.0** | $215.3 | **$246.7** | $31.4 | **14.6%** |
| Non-Personnel | **39.7** | 31.7 | **48.4** | 16.7 | **52.7%** |
| Total | **$243.7** | $247.0 | **$295.1** | $48.1 | **19.5%** |

***Excludes $10 million reprogramming approved for annual operating expenses (provided under Conference Report 109-189 and approved by Committees on Appropriations of the House and Senate). FY 2006 estimated costs includes $31.7 million appropriated plus the approved $10 million dollars from prior year No-year funds for a total of $41.7 million. When the FY 2006 amounts are compared to FY 2007 request, the % change to the FY 2007 request is 16.1% for non-personnel, and 14.8% for both accounts. See Appendix for detail.*

**Personnel Costs.** The personnel portion of the request, $246,700,000, supports the current authorized FTE level of 1,658 sworn and 414 civilians as well as mandatory cost increases for COLAs, promotions, with-in-grade increases, annualization of FY 2006 positions, health benefit and retirement costs and an additional 91 new sworn FTE for operational requirements, 10 FTE for Library of Congress (LOC) attrition, and seven civilian FTE. The new officers would bring the FY 2007 sworn FTE level to1,759, while the civilian FTE level would increase to 421 for a total Department FTE level of 2,180.

Increases in sworn FTEs relate to security operations in the following areas: the Capitol Visitor Center, dignitary protection, and TIGER team. As required by law, all new hires for the LOC police force are USCP officers; therefore, this budget also includes 10 additional officers to cover LOC attrition. In addition, seven new civilian positions are requested for mission critical support requirements.

**Non-Personnel Costs.** The expense request of $48,383,000 will support Capitol Police responsibilities for law enforcement, physical security for the Capitol complex, dignitary protection, intelligence analysis, crowd control, hazardous material/devices and other specialized responses, as well as administrative and technical support.

| | |
|---|---|
| FY 2006 Appropriation | $31,680,000** |
| FY 2007 Request | 48,383,000 |
| **Increase** | **$16,703,000** |

***Excludes $10 million reprogramming approved for annual operating expenses (provided under Conference Report 109-189 and approved by Committees on Appropriations of the House and Senate). FY 2006 estimated costs includes $31.7 million appropriated plus the approved $10 million from prior year No-year funds for a total of $41.7 million. When the FY 2006 amounts, including the No-year funds, are compared to FY 2007 request, the % change to the FY 2007 request is 16.1% for non-personnel, and 14.8% for both accounts. See Appendix for detail.*

**Operating Expense Increase.** The request includes an increase of $16.7 million. The primary increases from FY 2006 appropriations to the request for FY 2007 (52.7%) are related to FY 2006 estimated annual operating expenses, which were funded with prior year No-year funds of $10 million. As provided in Conference Report 109-189, the Committees on Appropriations approved $10 million of prior year, No-year funds to support FY 2006 operating expenses. The $10 million funded in FY 2006 annual operating cost are for Information Systems and for partial costs of agency-wide fuel services. Other increases include non-personnel expenses for the request of new sworn (8.6%) and civilian (.4%) personnel. An increase is included for the estimated cost for Tort Claims, (.3%) which payment is legislatively required. The new support cost (30.8%) increase includes various expenses, as summarized below.

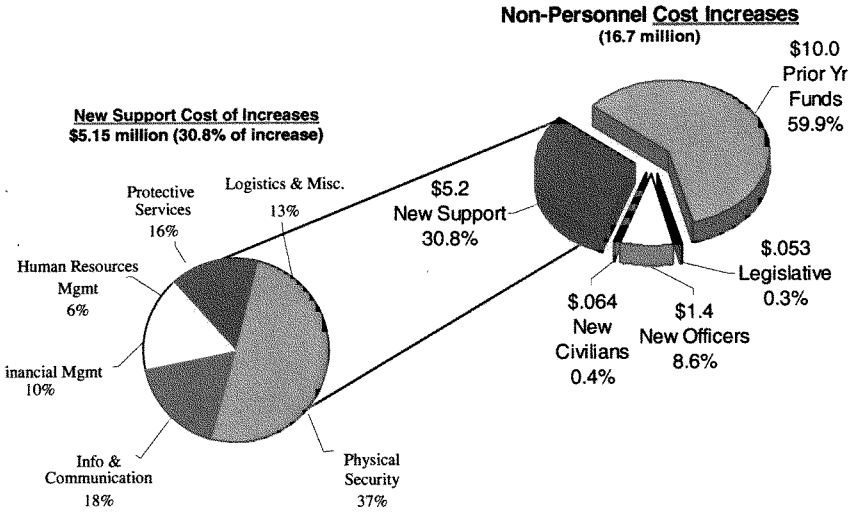
- **New Support Cost.** Support costs primarily related to new increases are in the following areas: equipment, systems, outsourcing support, and protection of the Capitol complex and dignitaries. These costs represent a $5.15 million increase, primarily composed of:

  - Physical security systems - $1.90 million
  - Information and communication systems - $.91 million
  - Financial management operations and other support - $.52 million
  - Human Resource (HR) management - $.33 million contract support to outsource polygraph and background investigation services.
  - Protection for Dignitaries - $.80 million in travel costs
  - Logistical Support & Miscelleanous - $.69 million

- **Staffing.** An additional $1.4 million will provide funds to recruit, evaluate, hire, train and support the 91 new officers, plus 10 LOC attrition officers, included in this request to support security requirements.

  Also, $0.064 million will provide funds to recruit, evaluate, hire, and support the 7 new civilians included in this request for administrative support requirements.

- **Legislative.** An additional increased cost of $0.053 million will provide funds for Tort Claims.




**Summary Conclusion.** The Budget Detail Section provides further detail on the make up of US Capitol Police FY 2007 Budget Request.

# Capitol Police Capabilities

The U.S. Capitol is faced with numerous threats, including a vehicle-borne explosive attack, terrorist-controlled aircraft attack, armed attacks on the Capitol complex, suicide bombers or positioned explosive attacks, chemical, biological and/or radiological attacks and attacks on Members and staff as well as ordinary crime.

The U.S. Capitol Police (USCP) is responsible for protecting the Congress and its legislative process from these threats. To accomplish this mission, the Department has worked diligently to enhance its intelligence capabilities and provide a professional 21st Century workforce capable of performing a myriad of security and law enforcement duties, supported by state of the art technology to prevent and detect potential threats and effectively respond to and control incidents. With the help of Congress and the Capitol Police Board, the Department will continue developing professional administrative capabilities based on sound business and best practices, while raising the caliber and capability of its sworn and civilian personnel.

The USCP is a world recognized and accredited law enforcement agency. On November 16, 2002, the Commission on Accreditation for Law Enforcement Agencies, Inc. (CALEA), made up of 21 Commissioners from within and outside law enforcement, voted unanimously to award accreditation to the USCP. The USCP is one of only a handful of federal agencies to receive accreditation thus far, and is the first full-service federal law enforcement agency to receive that honor. Since that time, the Department has worked hard to maintain that level of excellence. From December 4 through December 8, 2005, CALEA assessors returned to Capitol Hill and conducted a re-accreditation assessment. Following a four day inspection, the assessment team advised the Department that we will be recommended for reaccreditation at the March 2006 CALEA Commission Hearing. This repeated, independent, outside validation of our preparation and compliance with national standards clearly affirms our Strategic Plan, strength of policies, training, operational readiness and overall professionalism and indicates that the USCP has achieved a level of excellence and has internalized positive change.

The United States Capitol Police must maintain the ability to be prepared for any situation and the attainment of that goal depends, in part, on having the right people, the right strength and the right numbers, organized into an effective and flexible blend of capabilities and skills. The value that we put into our officers begins at the moment a decision is made to offer a position, continuing into their training where they receive the foundation of police techniques and response. Nevertheless, it is after they begin working their posts and patrols that we must, and do, continue to strengthen the officers' abilities to prevent and respond.

The Department continues to prepare and train officers by holding Department-wide intelligence briefings when significant or critical information is gathered; disseminating

intelligence and tactical information in daily roll-calls and conducting field and table-top exercises in efforts to enable our officers to have the tools necessary to do their jobs. Additionally, the Department's officials routinely participate in a wide-range of tabletop exercises with top experts in federal, state and local law enforcement.

But the officers cannot succeed with only the information they are provided on possible threats and capabilities to respond. Supervision is equally as important and the Department strives for excellence in quality of supervision. For example, a ratio of 10 officers to one sergeant is best practice in law enforcement. Effective communication between the supervisors and officers – from the top of the organization to the field – has improved and will continue to cultivate a better workforce. **In the end, the Department's success is dependent on its personnel**. The Department also has created a fitness program that is generating a healthier workforce, and is recognizing hundreds of officers each year in a rejuvenated awards program. The Department shoulders the responsibility to ensure the safety and security of all those who work and visit within the Capitol complex. As the Department's capabilities continue to expand, our ability to protect increases.

The accomplishments and capabilities depicted below are organized into the following categories and highlight significant progress in the transformation of the Department.

- Command, Control, and Intelligence Capabilities
- Operational Readiness and Response Capabilities
- Security Technology Investments and Capabilities
- Administrative Capabilities

## I. Command, Control, and Intelligence Capabilities

Over the past several years, the USCP has undertaken numerous security studies in cooperation with our stakeholders to determine the best means to accomplish our emerging security goals. The USCP has focused on four main areas: target hardening, increased detection, enhanced situational awareness and comprehensive response in addition to our traditional law enforcement mission. As each new threat has emerged, the USCP has worked closely with the Congress to modify our security mission to better serve the complex. These outcomes, while effective, are expensive and ever changing based on enhancements in technology and evolving threats.

As one of the nation's most visible symbols of democracy, the Capitol complex remains in the forefront for threats. While there are no direct threats, threats range from attacks against Members of Congress to attacks by vehicles or persons to radiological, biological and/or chemical attacks. The USCP must be prepared to prevent or respond to each of these types of threats in order to provide immediate, effective action for protecting the complex and the people within it. When an event occurs on the complex, the USCP must react quickly to provide specialized resources needed to address a Capitol complex

security matter. Therefore, the USCP has invested resources provided by the Congress to ensure the protection of the Capitol complex based on validated threat models.

Through these dynamic best processes, the Department has put in place a comprehensive countermeasures and response system for the Capitol complex. To continue this level of safety and security, the USCP will need to continue its efforts to modernize and maintain the Department's personnel and resources to meet emerging threats and enhancements in technology and tactics.

Further, by utilizing the outside expertise of newly hired civilian employees, as well as contractors in such areas as hazardous materials response, physical security, continuation of operations, intelligence, etc., the Department is better organized for response capabilities.

The USCP has also utilized lessons learned to become a more effective and efficient Department. Realizing that the Department must be the best in the nation, the USCP has utilized the resources provided by Congress to insure that its people have the training and resources they need to protect themselves and maintain the ability to bring order from chaos when an event occurs.

The USCP has also spent considerable time and resources revising, developing and enhancing response plans necessary to train and deploy the Department's assets to protect and serve the complex. We have also assisted stakeholders in developing their response capabilities.

In addition, the Department's investment in a command vehicle provides urgent command center capabilities for remote locations. As its primary mission, the command vehicle serves as an alternative, or back up, command and communications center should either of the primary centers become inoperable or uninhabitable. This capability is a core function of the Department's continuity of operations plan.

All of these efforts have resulted in the Department's ability to devolve decision-making to field deployed employees through better analysis, communication and procedures to handle incidents at the lowest levels, that have the potential to influence the highest levels. In short, the USCP is the command and control hub for security, law enforcement, and emergency operations for Capitol Hill.

***Command Center / Incident Command System***

The Department has spent considerable time and resources to develop an interoperable command center. Following 9/11, the Department retooled its command center focus to meet new and emerging communication and coordination challenges facing the law enforcement community. During this process, the Department visited and analyzed other command centers throughout government to ensure the utilization of best practices and adapted many of these in the command center we utilize today. Our command center is

now a model for best practices and is visited by state, local and international government officials.

The Department's capability was transformed from the use of paper charts and manual data collection/distribution to a state-of-the art command center. The investment in this command center has provided the Department with interoperable communications capabilities utilizing multi-media and providing for redundant operational capabilities.

Also, during this time, the Department instituted the utilization of a modified Incident Command System (ICS) to provide systemic command and control structures for readiness and response to events affecting the Capitol complex. The ICS is a universally adopted command structure used by first-responders. The adoption of this structure allows the USCP to operate in a coordinated fashion with other federal, state and local law enforcement and security organizations resulting in enhanced protection for the U.S. Capitol.

Funding provided by the Congress has allowed the Department to invest in communications, video, data, and situational awareness technology, as well as the training needed to perform efficient and effective law enforcement activities commensurate with the protection of the Congress.

The command center allows the Department's leadership to view an entire operational situation at one time using video, text and graphics. It also provides the Department the ability to communicate with various other law enforcement and Federal entities about real-time events affecting the Capitol complex and provides for the collaborative execution of a coordinated response. Further, it provides incident commanders with various mediums to collect, analyze and disseminate information required for operational readiness and response.

The Department continues to assess and enhance the capabilities of the command center to meet new demands for information and coordination. We are committed to providing the most dynamic, technologically sound command center available for operational application in order to protect the Capitol complex and respond quickly to the security needs of the Congress.

***Emergency Communications***

In the event of an emergency, notifications are made to Members and Congressional staff in a number of ways. Annunciators/pagers are employed throughout the Capitol complex as the most robust method of immediately providing notices and instruction to Members and staff, including timely follow-up information. In addition, the installation of the new public address system in public areas throughout the Capitol complex is being finalized, and these two systems will be synchronized and used to make rapid notifications of developing emergencies and direct Members, staff, and visitors to take specific actions.

In order to maintain operational readiness, the Command Center conducts frequent drills with all emergency notification systems, and the House and Senate are working on a joint effort to provide for the capability to place emergency notifications on the congressional television system. This center is the hub for command and control on the Capitol complex for all security.

The Command Center continues to work with the House and Senate to refine notification protocols to ensure timely notification to Members, staff and visitors, as appropriate.

***Emergency Preparedness***

The Department has continued to mature its emergency preparedness and response capabilities. Emergency management professionals have been fully integrated into the Department's incident management and response systems to provide on-scene expertise, training and policy development consistent with national incident management standards. This capability has led to greater effectiveness in the coordination of plans for major special events, Continuity of Operations (COOP), and Continuation of Government (COG) as well as response to major incidents involving multiple agencies from different Branches of the U.S. Government and state and local governments within the National Capital Region.

The Department has invested in the training of all leaders in the National Incident Management System and fully transitioned to the Incident Command System as the standard for USCP incident management throughout the Capitol complex.

Coordinated Hill-wide emergency preparedness is essential. To that end, the USCP chairs the Emergency Measures Task Force (EMTF). Active participants include the USCP, House Sergeant at Arms, House Office of Emergency Planning, Preparedness and Operations, the Senate Sergeant at Arms Office of Security and Emergency Preparedness, the Architect of the Capitol, the AOC Office of the Fire Marshal, the Congressional Budget Office, the Library of Congress Office of Security and Emergency Preparedness, the Administrative Office of the U. S. Courts, the Government Printing Office Police, the Securities and Exchange Commission Office of Security and the District of Columbia Fire/Emergency Medical Services. Numerous other agencies are invited to make presentations and participate as appropriate. The EMTF meets periodically to discuss contemporary life/safety and emergency preparedness issues, develop and propose resolutions and monitor progress to completion.

The Department continues to work closely with both the House and Senate to develop all-hazard emergency preparedness plans, emergency response and remediation plans, as well as COOP and COG plans. USCP led House and Senate emergency planners in efforts to enhance evacuation protocols for persons with disabilities. Department personnel oversee the emergency evacuation drill program with full-scale, periodic evacuation drills. The EMTF is currently spearheading a review and revision of emergency evacuation procedures in response to air security incidents and is preparing for the campus-wide replacement of the escape hoods.

*Intelligence Analysis/Member Protection*

As threats to the United States and its leaders have increased, the USCP has placed greater emphasis on the gathering, analysis and dissemination of intelligence from the perspective of the USCP and its responsibilities. To do so the USCP has invested in the expansion of its intelligence infrastructure. This expansion has allowed the Department to establish an enhanced, more robust capability specifically focused on providing reliable intelligence data to the Capitol Police Board and individual board members in their capacities as Senate and House Sergeants at Arms. Through this infrastructure, the Department is able to gather intelligence from various federal agencies and law enforcement organizations, provide immediate in-house analysis of threats relative to the Capitol complex, Members, visiting officials and visitors, and disseminate relevant threat information to our stakeholders. The USCP provides intelligence data specifically geared toward the protection of Congress and its ability to undertake its constitutional obligations.

To this end, the USCP has detailed personnel to other primary intelligence organizations in the Washington metropolitan area. These detail assignments, with the Department of Homeland Security, the Federal Bureau of Investigation, the Central Intelligence Agency through the National Counterterrorism Center, INTERPOL, the Joint Terrorism Task Force, the National Joint Terrorism Task Force, and the National Capitol Region Coordination Center, allow the USCP to proactively look after the protection interests of the Congress and the Capitol complex. The Department now has access to raw intelligence data, as well as other federal agencies' analyses, in order to develop an intelligence perspective specific to the U.S. Capitol. It also allows USCP personnel to work crosscutting law enforcement issues among relevant organizations. It allows the Department to look at emerging threats, whose focus may not currently be the Congress, and develop proactive approaches for addressing the potential future threat. These relationships are crucial to a seamless response to threats against the Congress.

Further, recognizing the changing dynamics related to the travel of Members of Congress within the United States, USCP has dedicated additional sworn personnel assets to this travel protection. USCP has also taken on the responsibility of providing security during the transport of Members to alternate locations following significant events at the complex to ensure the safety of the Legislative Branch of government. Most recently, the USCP was provided authority to expand its support of Congress when Senators travel abroad. These details of USCP personnel will also allow the USCP to access and validate critical intelligence information required to provide the highest level of protection to the Congress while abroad.

However, as these requirements grow, so do the Department's needs to recruit and train our workforce to meet the evolving needs, utilizing best practices and lessons learned. To this end, we have recruited, and continue to recruit, professional, civilian intelligence analysts. We have recruited individuals with significant intelligence analysis experience from agencies within the intelligence community, such as the FBI, State Department, and

Military Intelligence. Collectively, our analysts have over 130 years experience within all facets of the intelligence community.

***Relationship Building***

The USCP has worked diligently to build relationships with other Federal, state and local entities to improve response coordination and capabilities while reducing battles over jurisdiction authority. The USCP realizes that we cannot stand alone in the battle to address threats to safety and security, especially during complex response activities, within the Nation's Capitol. We must bring affected stakeholders and expertise into our coordination efforts to ensure that every possible resource is being utilized to protect lives, the complex and its surrounding areas.

These efforts are evident in our ability to effectively protect the Capitol complex during large special events, protests and demonstrations, and everyday activities. Further, these types of inter-departmental relationships allow our officers to learn best practices firsthand. However, these relationships cannot be one-way. The USCP must remain committed to providing like assistance and resources to surrounding, contiguous entities. Only through these efforts can the USCP keep viable threats well outside of the Capitol complex.

## II. Operational Readiness and Response Capabilities

The operational readiness of the Department reflects our ability to respond and reflects our ability to meet our mission and maximize the use of equipment as well as the training of the force to be able to take action under a variety of scenarios. The following address major capabilities in these areas.

***Hazardous Devices***

Intelligence indicates that an explosive device, delivered through a variety of methods, is the single most dangerous threat to the Capitol complex. As such, the manner in which we manage this threat has significant implications to the security of the Congress.

The USCP regularly responds to an increasing number of cases of suspicious packages throughout the Capitol complex. Because of the environment in which we work, each suspicious package is treated as a potential threat. With intelligence and analysis, the USCP has become more efficient and effective in investigating and addressing these occurrences, with a goal of quickly returning the Capitol complex to a safe and secure environment. The USCP has placed greater emphasis on addressing threats from suicide bombers, both vehicle and pedestrian, through state-of-the-art training and capability building. In addition, we have developed and implemented training for all sworn personnel on the handling of suicide bomber incidents to minimize the effects of such an event on the complex. In addition, the USCP maintains an expertise for mitigating large vehicle bombs. The USCP has trained with other federal agencies on response tactics

that are now incorporated into our response procedures and implemented them throughout the Capitol complex.

***Hazardous Materials Response***

The threat of the deployment of a chemical or biological agent within the Capitol complex is no longer a "what if," it is a reality that has touched the congressional community through both the anthrax and ricin incidents. To meet this threat, the USCP developed and implemented a hazardous materials response capability consistent with the importance of maintaining the operations of the Legislative Branch. Our abilities in this area for a quick, immediate response or mid-term mitigation are second to none.

To ensure that the Capitol complex remains safe and secure from these and other chemical and biological hazards, the USCP, with the support of the Congress and the Capitol Police Board, established a dedicated, highly trained and equipped Hazardous Materials Response Team (HMRT). This team is comprised of personnel with extensive professional backgrounds in this area of expertise. This team is also NFPA/NIOSH/ OSHA compliant, providing the highest level of capability available in the country.

Response assets include two intermediate response vehicles that carry mass decontamination, response and specialized emergency equipment in addition to two large response vehicles. The Department operates a Chemical Biological Radiological Law Enforcement Program, which includes multiple sworn officers trained/equipped/certified at the Hazardous Materials Operations Level and several dozens of sworn officers at the technician level (Advanced Law Enforcement Response Team- ALERT). Additionally, the Containment Emergency Response Team and Hazardous Devices Sections have operations level training and certification.

To protect the Department's specialized units from hazards, the USCP has also invested in specialized clothing, hardened gear, respiratory and bio-hazard equipment and other necessary tools to maintain responder safety and has trained officers in the use of this specialized equipment. The overall goal of this effort is to maintain order in the event of a catastrophic event by maintaining a law enforcement presence in the impacted area. These trained personnel can effectively respond to hazardous incidents involving chemical, biological, or radiological agents, and perform law enforcement and security functions in a chem-bio defensive posture. Using this highly trained professional unit, USCP is better able to provide on-site incident commanders with a holistic coordinated response effort.

These trained personnel provide the complex with the most rapid response capabilities available. By training additional personnel throughout the Department, USCP has ensured that the Department can maintain perimeter security, as well as provide proper decontamination, in a safe and effective manner.

Our highly trained personnel represent a fully capable team providing advance detection and response capabilities. In addition, our personnel are capable of supporting Congress

during special off-site events, such as political conventions and congressional workshops. Further, we provide holistic support to the complex by working with the House and Senate Sergeants at Arms to provide escape hood training to Members, staff, pages and interns within the complex. The Unit also supports events at the three postal facilities servicing the Capitol complex to ensure safe processing and delivery of mail to Member and other Capitol Hill offices.

To ensure cooperation and coordination during events, the USCP works closely with law enforcement entities at the Supreme Court, Library of Congress, Amtrak, Metro Transit and DC Fire Department. This coordination allows for the protection of the staff and visitors entering the complex, as well as the complex itself, from hazards and ensures an effective response to events as they occur.

***Canine***

USCP has continued its investment in the development, training and deployment of a specialized canine force. USCP utilizes its canine force for many things in addition to supplementing traditional law enforcement activities and screening of delivery vehicles coming into the complex.

With the threat from vehicle borne or suicide bombers increasing, we have emphasized the training and development of additional canine explosive detection resources. Recently, we worked very closely with the Bureau of Alcohol, Tobacco and Firearms to get all of our canines imprinted with the explosive TATP, which was used in the 2005 London Bombings. In addition, we maintain four extremely capable canines that are trained in the location of victims trapped in the rubble of a fallen structure. These canine resources have greatly increased the Department's ability to provide more universal protection to the Capitol complex and its inhabitants.

***Library of Congress***

In keeping with Congressional directives, the Capitol Police have detailed officers to the Library of Congress (LOC) to support and augment security operations within the Library as well as to fill LOC Police attrition. In order to facilitate the integration of USCP officers with LOC officers, a memorandum of understanding was signed between the USCP and the Library of Congress, and in keeping with Congressional directive remains in effect through the entirety of FY 2006. A smooth and seamless transition will be enhanced by the implementation of recommendations of a joint operational task force, which has identified best operating practices for the transition period. The Department has supported this effort by assigning an Inspector as the Chief of the LOC Police, supported by two other USCP officials, and has integrated the LOC Police operation with those of the Department's Uniformed Services Bureau. Critical to the success of this transition are training opportunities for the LOC police officers, which will enable them to meet the more stringent USCP standards of performance. As with all transitions, change management is key to success. The USCP is committed to working with the

Librarian to provide the appropriate level of police protection to the LOC in a cooperative and collaborative manner during these transitional times.

***Training***

Exceptional training is the key to readiness and the ability to effectively respond. With an ever-increasing threat environment, and the advent of new technology and equipment, and increasing application of federal health and safety regulations on Legislative Branch organizations, the USCP has placed greater emphasis on training to ensure that our workforce can meet current and future challenges. To remain a premiere security organization, the USCP has dedicated significant resources to training, such as tabletop and incident command exercises, the use and maintenance of personal protective and respiratory equipment, the use of new x-ray equipment and techniques, National Incident Management Systems and physical fitness awareness training, as well as recruit and field training.

While maintaining a formalized training structure within the Department, the USCP has also looked toward innovative means to deliver training to its personnel. In-service training has been decentralized to empower commanders to train on best practices at the lowest levels of the Department according to a standardized format. The Department is committed to ensuring that its officers know how to respond when events happen to protect the safety of the congressional community and the institution itself.

The USCP has placed great emphasis on providing the intensive formal and on-the-job training necessary to develop and maintain the capabilities of our workforce. We are utilizing adult learning techniques to adapt USCP training programs to the changing workforce. We are focusing on practical drills and exercises rather than standard classroom lectures. We have outsourced instructor positions and role-players, rather than pulling sworn personnel from regular duty, to perform these duties.

In addition, through the support of Congress, the Practical Applications Center (PAC) is being designed for the primary use of the Capitol Police at the Federal Law Enforcement Training Center at Cheltenham, Maryland. The PAC will create unique training venues that duplicate areas found on Capitol Hill, such as a mock CVC façade, a mock gallery and hearing room, mock Capitol staircase(s), and typical office building layouts. The PAC will allow for training in areas such as visitor processing, emergency evacuations, tactical positioning, counter surveillance and dignitary protection. This facility will primarily utilize simulation ammunition and other non-lethal training equipment, to simulate realistic operational environments.

***Transportation Interdiction Group Emergency Response (TIGER) Team***

Intelligence sources have indicated that enhancing overt security measures tends to thwart terrorist operational planning and execution. As such, the USCP has implemented the TIGER Team whose purpose is to conduct administrative searches of vehicles to prevent vehicle borne improvised explosive devices from accessing Capitol Grounds and

endangering the legislative process and the individuals who work for and visit the Congress. During these searches, sworn officers conduct administrative searches of vehicles as they pass through the security traffic check points that are randomly set up at different intersections throughout the Capitol complex. Vehicles seeking admission to the Capitol Grounds are randomly selected through a "blind" number selection process. Buses, Limousines, vans and any other vehicle that, by its size, may carry a large amount of explosive material, or a sedan type vehicle that causes an officer suspicion that the vehicle may contain a vehicle borne improvised explosive device are highlighted for search.

## III. Security Technology Investments and Capabilities

The greatest asset of the Capitol complex, its openness and accessibility, is also its greatest vulnerability. Unlike some other federal facilities, which have a secure perimeter and restricted public access, the United States Capitol and the House and Senate Office Buildings are situated, by design, in an open environment. As such, pedestrians and vehicles constantly come into close proximity to the buildings at all times of the day. Citizens may enter the buildings without appointment or escort and, after the initial screening process, may visit any congressional office, view the Congress from the galleries, or simply roam the hallways. Certainly the public's right of open access to their elected representatives should be preserved. However, while preserving that right, reasonable and prudent measures must be undertaken to protect the Congress, thousands of congressional staff, and millions of visitors who come to see their legislative process in action.

As we are painfully aware, the tragic events of September 11, 2001, changed the security atmosphere forever. The anthrax and ricin attacks over the three following years are unprecedented in American history. In order to meet the wide-ranging security and law enforcement efforts required to protect the Congress and the visiting public, the USCP is increasingly relying on the judicious application of security technology. USCP capabilities have expanded from the traditional law enforcement mission into comprehensive security enforcement.

These and other security decisions are based on continuous threat analyses, as well as a number of studies, analyses and vulnerability assessments that have been undertaken since 2001. As a result of the various analyses that have been performed, the USCP has implemented a number of initiatives to improve Capitol complex security. These initiatives include the installation of emergency call boxes and cameras, limited intrusion detection, the installation of a fiber optic infrastructure for video and data communication circuits, armored and bullet-resistant podiums at entry portals, and closed circuit television cameras, as well as numerous sensors and card readers throughout the complex.

In addition, the USCP maintains state-of-the-art security equipment throughout the complex for Members, their staff and other personnel, such as duress alarms, which

allows the USCP to respond more timely to their security needs. Other equipment spans the range from entrance protection devices, to chemical, biological and radiological detection devices, to alarm systems, to various types of exterior protection devices. The use of more visual deterrents has also been employed by the USCP to disrupt terrorist planning and their deployment of assets to threaten the Capitol complex.

Our investments have centered on our ability to provide timely and accurate information to affected parties throughout the complex and to enable rapid and precise response. The USCP has utilized funds provided by the Congress to develop, and is currently finalizing the implementation of a comprehensive public address system for emergency information dissemination. In addition, the USCP has implemented various direct access information points for better coordination during significant events for stakeholders.

These investments are critical to the well-being of the people and structures contained within the complex. However, they all must be maintained and periodically replaced with newer, more advanced technology to meet emerging threats. To maintain these assets, the USCP must rely on the private sector for assistance. This is an area where the USCP has found the greatest cost-benefit of outsourcing for capability.

***Perimeter Security***

The Department has focused many assets into the overall security of the Capitol complex perimeter area. These include the installation and integration of security systems at the USCP officer kiosks at various locations around the Capitol complex perimeter. The systems are comprised of video display, access control, intrusion detection, vehicle barrier control and emergency communication systems within the kiosks, as well as CCTV cameras and intercoms in the immediate area of the kiosks.

In addition, the Department has invested in enhanced x-ray machines. These machines, located at all screening locations, incorporate advanced technology to assist detection capabilities by placing a frame around potential threatening objects, automatically lighting for dense objects. In addition, the Department works closely with the Transportation Security Agency (TSA) for x-ray training capabilities. The Department has also worked closely with Congress to close access to roads that traverse between legislative office buildings based on threat information and vulnerabilities. These actions allow for greater control of access to these areas and provide another visual deterrent to terrorist acts, especially vehicle borne threats.

Further, the Department has developed a close working relationship with the Federal Aviation Administration (FAA) to provide access and coordination related to FAA aircraft monitoring resources. This has allowed the Department to maintain constant visual oversight of the airspace surrounding the U.S. Capitol. With this advanced capability, the Department is able to more rapidly detect possible air threats to the complex, coordinate proactive responses to those threats, and take the necessary actions to evacuate and protect the people within the complex.

*Access Control*

In order to provide for a secure environment within the complex, the Department has worked with the House and Senate, as well as the Architect of the Capitol, to provide a robust access control system. This enhanced system provides state-of-the-art alarm, duress and access control technology; however, we have not yet capitalized on access control technology. It provides for duress alarms in all Members' offices, as well as greater restriction to other critical areas. The Department believes that substantial work needs to be done in this area to maximize the benefit of current and emerging technology.

Our access control efforts have greatly increased the Department's responsibilities for oversight, maintenance and response for additional access control requirements within the structures on the Capitol complex. Much of this technology was acquired through No-year funds provided to the Department by the Congress and must now be maintained, upgraded and/or replaced as technology enhancements, as well as, stakeholder requirements and on-site inspections and analysis warrants.

*Capitol Visitor Center*

During construction of the Capitol Visitor Center (CVC), the Department is providing construction security to detect and prevent breaches to ensure that the security of the complex is maintained. This security process provides for proactive detection of security breaches, as well as terrorist interdiction. It provides for the secure storage of building materials and the oversight of contractors to monitor their activities in and around the sensitive areas of the CVC construction site. In addition the USCP has awarded a contract for technical security countermeasures oversight of the sensitive compartmental information facility (SCIF) construction sites.

At the completion of the CVC construction, the Department will provide state-of-the-art security systems in the center, as well as providing access control for securing sensitive areas. Video assessment of public areas with digital recording will also be installed in coordination with existing USCP monitoring programs. Crash, alert and intercom communications capabilities will be provided for the USCP officer locations to allow for inter-operable communications, as well as state-of-the-art metal detection and x-ray screening.

*Alternate Computer Center*

The Department has provided for the installation of perimeter intrusion detection, duress alarms, and access control systems for the Alternate Computer Facility. This system provides local control of the facility access and local monitoring of the intrusion and security system. In addition, the system reports security system events and access control information to the USCP Communications Center at the USCP Headquarters. The Department also provides for the on-site security at the facility through an outsourcing initiative.

*In-Building Emergency Notification*

Following the events of 2001, the Department set forth to provide redundant means to disseminate critical emergency information to Members and others within the Capitol complex.

The initial project provided for an in-building wireless system, which disseminates public address information throughout the complex for drills, emergencies and evacuations. The Department maintains the main transmitters, while the House and Senate maintain the operations of the individual pagers within Congressional offices. This maintenance schedule ensures that in the event of an emergency, the Department has a viable means to get information out to stakeholders.

In addition, the Department is also finalizing the installation and servicing of a permanent emergency public address system that will keep stakeholders informed in the event of an emergency. This redundant system will ensure that the Department can provide directions for a safe and secure evacuation of the Capitol complex and provide emergency guidance information. The system enables the Department to rapidly notify occupants of the complex, especially in public areas, of situation(s) that require immediate response and to provide, succinct, clear, intelligible and undistorted instructions.

*Member Briefing Rooms*

The USCP has completed the design and implementation of alternate Member briefing locations, as designated by the Capitol Police Board, to provide Congressional leadership with immediate information outside of the Capitol structure. As a part of this effort, the USCP has updated technology to better support congressional leadership during times of crisis. These include the enhancement of wireless communications, plasma video displays, and video teleconferencing throughout the complex for key responders to manage incidents and the implementation of redundant communications system to ensure communications capabilities during significant events.

## IV. Administrative Capabilities

In 2001, the Congress created the USCP Chief Administrative Officer (CAO) position. This position allowed the Department to streamline its administrative practices within a clear structure, while placing greater importance on the administrative functions of the Department. The CAO provides executive level administrative advice and support to the Chief of Police equivalent to that of the Assistant Chief of Police's operational support. This counter-balance of senior advisement provides for fiscal stewardship of the resources provided by Congress, while allowing the Department to grow operationally to meet the emerging security requirements of its stakeholders.

During this period, we have continued to civilianize the administrative operations of the Department to allow sworn personnel to re-focus on our security and law enforcement mission. We have raised the bar on the professional level of our civilian workforce by recruiting subject matter experts from the public and private arena to bring best practices to the USCP. The USCP has also drawn on civilian subject matter experts in the areas of emergency planning, response planning, intelligence analysis and dissemination, and hazardous substance response to create in-house capabilities dedicated specifically to the Congress.

To meet the elevated security and law enforcement mission of the Department, the USCP has focused on the use of best practices and technology to bridge its administrative challenges. The Department has sought out and recruited highly trained professional administrative services personnel to advance its administrative capabilities and oversight. The USCP has implemented an Enterprise Architecture Plan to ensure that capital investments are technologically and fiscally sound. The USCP has also instituted an Investment Review Board to review and validate technology resource requirements of the Department. Further, it is developing and implementing various administrative systems, such as the Internal Controls Program, to better meet human resource, financial and asset management, and training capabilities for the Department. In addition, the USCP is actively working with the Government Accountability Office to review, validate and improve administrative operations throughout the Department. All of these efforts are consistent with the direction provided by the Congress, the Department's strategic plan, and the best practices of the government and private industry.

***Human Capital***

The additional personnel and resources that the Congress has provided to the USCP have allowed for actualization of many of the strategic initiatives contained in the Department's strategic plan. This has allowed us to take the Department to the next level by building a sound, strategic infrastructure to achieve the operational mission and meet the expectations of the Department's stakeholders.

Prior to receiving authority to hire additional civilian staff, the Department largely relied on sworn personnel to fulfill administrative functions. As a result, the Department was consistently understaffed and unable to adequately meet the emerging security and law enforcement mission requirements. With the assistance of Congress, we have made significant headway in focusing our human capital resources to address many of the critical security and law enforcement mission requirements while developing a strong administrative foundation. This shift has enabled the Department to professionalize the human capital workforce and is resulting in the development of dynamic and strategic human capital advisory services.

At a macro level, these additional resources have allowed the Department to institutionalize programs, policies and procedures and position us to adopt best practices and functions, allowing the Department to recruit and retain the best-of-the-best in both the law enforcement and civilian fields. For example, we have successfully recruited

and/or provided opportunities for personnel to obtain advanced degrees and certifications such as, but not limited to; PhDs, Juris Doctorates, master and bachelor degrees as well as numerous professional certification programs including: National Crime Information Center Certification, Certification as a Community Anti-Terrorism Trainer, DoD Top Secret Special Indoctrination Technician, Emergency Preparedness Program Certification, Haz-Mat Technician, Emergency Medical Technicians, Incident Command System Certification, Hazardous Emergency Response Certification, Special Events Management Certification, Police Information Management Certification, Computer Aided Dispatch Certification, Information Systems Security Professional Certification, Enterprise and Network Architect Certification, Customer Relationship Management Certification, Microsoft and Novell Certified Engineer, Information Systems Security Professional Certification as well as Information Systems Auditor, Certified Fraud Examiner, Certified Public Accountant, Certified Government Financial Manager, DoD Acquisition Warrant as well as Federal Acquisition Regulation Warrant Certifications.

In addition, the Department implemented an educational assistance program, specialty, and proficiency pay programs and is implementing a monetary incentive awards program. These authorities, as well as highly competitive salaries, have allowed the USCP to stay in the forefront of compensation, incentives and benefits. As we have recruited for the additional sworn and civilian personnel provided by Congress, we have been able to successfully compete with other organizations for high quality personnel resources.

In order to keep pace with the needs of a highly functioning workforce, the USCP contracted for and is utilizing a Human Resource Management System to manage position descriptions, vacancy announcements and plans on incorporating the performance appraisal process into the system.

***Financial Management***

Capitol Police financial management operations have undergone significant changes in the last several years. Since FY 2000, the USCP salaries and general expense appropriations have increased over 193% including supplemental dollars. This influx of significant resources has made fiscal stewardship and responsibility all the more critical. The Capitol Police has risen to the challenge of judiciously utilizing appropriated funds to protect the legislative process and the Congress who administers it by stabilizing, standardizing and institutionalizing best financial management practices not only into the financial management office but also into the fabric of the organization. The following outlines the financial management activities, capabilities and planned activities.

In FY 2001, the administration of the Department's general expenses shifted from House control and management to USCP control utilizing the GAO's financial management system. In addition, in FY 2003 the USCP was established as a separate agency, allowing for the consolidation of the Department's Salaries appropriation, which was previously managed by the House and the Senate. To support these fiscal shifts, the Department developed best financial management practices and implemented polices and procedures to account for the Department's appropriated funds and resources. To further

management accountability, control, and decision making, the Department implemented, in FY 2004, a data mart to provide critical and timely financial data to managers, and in early October 2005, implemented a new financial management system to automate and streamline business processes, provide for greater accountability and control and facilitate improved management information. This system, which incorporates best financial management practices, was implemented in a 12-month period, on time and within budget. An asset management system is currently in the implementation phase. This new system will provide for better accountability and oversight of resources and assets, as well as provide accurate and timely financial management information for decision-making.

The Department developed and implemented a zero-based budgeting approach to ensure that it was effectively and efficiently utilizing scarce resources, and in FY 2006, further augmented the budget execution process by implementing a programmatic based budget. This approach enables the Department, for the first time in its history, to formulate and execute the USCP budget in the same manner. This enables better comparisons between budget estimates and actual expenditures and allows for greater accountability and control over appropriated funds and assists in linking the budget to the strategic planning process.

Additionally, the USCP has and continues to explore best practice solutions for improving financial management operations including the use of purchase cards and automated vendor billing to streamline operations and improve accountability over expenditures.

***Information Technology***

The USCP has made significant strides in updating antiquated computer systems and developing state of the art systems capability. Prior to 2001, the USCP operated its functions utilizing antiquated PCs from the Senate that were earmarked for the school computer donation program. The USCP literally took these machines off the Senate loading dock and utilized them for business operations. With the support of Congress, the USCP has received significant resources for its business systems modernization plan aimed at modernizing computer applications and capabilities within the Department. This technology enhancement has been an active part of the overall modernization and administrative streamlining for the Department.

With the influx of resources, the USCP initiated, and is aggressively updating, its computer operating capability. To better utilize scarce resources and ensure that the Department is utilizing efficient and effective technology, the Department developed the USCP Enterprise Architecture Plan (Plan). This Plan has been implemented and is being utilized to review business functions against the current and future architecture. In concert with the enterprise architecture, the USCP has standardized processes and procedures and has provided for certification and accreditation related to major systems implementations.

With Congressional support, the Department has been able to follow an aggressive schedule for several major systems implementations and upgrades, for example the Department has upgraded all law enforcement databases to Access 2000/SQL, and implemented a data-store whereby common data is stored in one, rather than multiple locations. The Department deployed a Computer Aided Dispatch system, which allows the Department to deploy assets more rapidly to meet mission requirements. The Department has also deployed a time and attendance system that allows for real-time tracking of personnel resources, staffing patterns and regular/overtime usage rates. This system allows decision-makers to better utilize data to make mission related decisions. In addition, the Department has enhanced its ability to track the various training requirements and accomplishments of its workforce through the implementation of a Training Tracker data system. In all, the Department has planned, developed, integrated and maintains 65 operational and administrative IT systems. GAO has recognized the Department's excellence in the management of this critical factor.

The Department also replaced a significant number of antiquated data communication routers to ensure critical data functions remain operational. In addition, a centralized PC desktop management system was deployed to track problems and provide systems administration personnel with the ability to push out virus patches to individual workstations. The Department is modernizing its document/records management system with workflow and electronic signature modules. Both of these activities provides for a more efficient administrative and operational environment.

With the passage of the FY 2006 appropriation, the USCP has taken over the operations of the radio system from the U.S. Senate and has conducted a full inventory and analysis of the radio dispatch infrastructure as related to the transmitter and receiver communications connectivity. The inventory and analysis generated a contractor report, "Integrated Communications Architecture Master Plan" which provides a number of recommendations. Although they state the current USCP communications system is sufficient for routine, day-to-day operations, the radio system is not sufficient during emergencies or large events and does not meet secure voice or APCO-25 requirements. Much of this new responsibility is being fulfilled through outsourcing.

The USCP has installed a back-up computer system at the Legislative Branch Alternate Computer Facility. This site allows redundant operational capability to perform the overall mission of the Department. This is currently a warm site for most applications. In addition, the financial and asset management systems are backed up by the National Business Center thru a cross-servicing agreement with the Department of Interior.

The USCP now enters a period where it must take the resources provided and bring the institution into alignment with the capabilities we have gained. This will require the USCP to right size its practices, budget and operations to create a strong, long-term data technology foundation upon which to sustain the level security that the congressional community has come to expect.

Additionally, the new and improved capabilities/systems provided to the USCP as discussed above, also bring with them an ongoing support burden if they are to be fully operational and provide the long-term level of security and efficiency for which they were intended. This support burden includes: maintenance of equipment; life-cycle replacement; training of operators; and training of support personnel to ensure maximum availability. Without adequate funding for these factors, the capabilities will be neither available nor reliable and the capabilities will be negated.

***Strategic Planning Division***

The USCP is devoted to excellence in security services and law enforcement, was the first Federal agency to receive the CALEA accreditation in 2004 and has successfully passed the reaccreditation process. The Strategic Planning Division of the Department manages the preparation for the biennial accreditation review, as well as during the year monitoring of activities. Good policies and procedures are the keystone to good management that is recognized through the CALEA process. In an effort to maintain the high quality of our operations, in FY 2005, the Department placed great emphasis on the review and revision of existing directives and standard operating procedures, as well as developing and implementing additional directives necessary to better manage the activities of the Department. These guiding documents serve as a corner stone for the administration and internal control of the Department's activities, personnel and resources.

***Office of General Counsel***

The Office of General Counsel has been instrumental in providing critical support to both the operational and administrative segments of the Department, as well as providing advice and counsel to the United States Capitol Police Board. The General Counsel provides the management of the Department with legal guidance and counsel necessary to ensure that legal compliance is maintained at every stage of the Department's activities. In FY 2005, the General Counsel contributions to the resolution of various personnel, appropriation and authorization matters proved most beneficial to the overall management of the Department.

***Office of Employment Counsel***

In addition to serving as the legal counsel for the Department regarding employment matters, the Office of Employment Counsel provides employment litigation services and continues to work with the management of the Department to provide training and legal advice in an effort to avoid future litigation. These efforts have resulted in the betterment of the management of the Department.

***Office of Professional Responsibility***

As a part of the Department's overall effort to improve its processes and ensure compliance with laws, directives, policies and regulations, the Office of Professional

Responsibility serves in two capacities for the Department. The Inspections Division has assessed a number of Department activities and organizational units on their application and adherence to established policies and procedures. Their efforts contribute to the Department's Internal Controls Program and provide benchmarking against which the organizational units may improve their readiness. The Internal Affairs Division continues to ensure that the employees of the Department carry out their duties and responsibilities in a professional and ethical manner by investigating allegations of wrongdoing and working with the Department's management to address these matters.

***Inspector General***

To assist the United States Capitol Police Board with its oversight responsibilities, an Inspector General is being established for the United States Capitol Police. The Department welcomes the opportunity to work collaboratively with its new Inspector General to continue our efforts to improve the Department's management practices, internal controls and operational readiness.

# Strategic Plans and Accomplishments

The continuing war on terrorism, and the increased emphasis on coordination among federal law enforcement agencies required the re-examination of the Department's ability to plan for, respond to, and recover from, possible terrorist and criminal incidents and to support emergency management, Continuity of Operations and Continuity of Government operations. The Department is constantly balancing its protection efforts with the need to allow access and promote openness to the nation's legislative process. The Strategic Plan, which is based on input from our stakeholders, reflects the vision of the Department and provides direction for our work and resources over the next five years, was revised in October 2005.

We recognize that our strategic planning process is iterative and will require resources in order to be implemented. In response to threat assessments, shifting funding priorities, and stakeholder input, we may change or alter our goals, objectives, measures, or related work. However, the planning and accountability process we have put in place ensures that work performed at all levels of the organization will be aligned with our overall strategic goals: Assess, Prevent, Respond to the Threat, and Support the Mission.

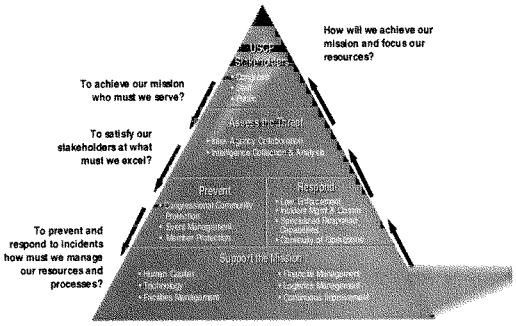
## Mission, Vision, and Values

### *Mission*

To protect the Congress, its legislative processes, Members, employees, visitors, and facilities from crime, disruption, or terrorism. We protect and secure Congress, so it can fulfill its constitutional responsibilities in a safe and open environment.

### *Vision*

The vision of the United States Capitol Police is to be a model federal law enforcement agency that occupies the forefront in developing and implementing state-of-the-art security and law enforcement programs. In meeting our mission of protecting the Congress and legislative process in a changing threat environment, we will leverage partnerships, enable our personnel to meet increasing challenges, demand accountability, perform at the highest level of professionalism, and achieve unity of purpose.



## Framework for Strategic Thinking

The most fundamental output of the strategic planning process is that it provides a framework for thinking more strategically about how we do our mission and serve our customers. We continually build our understanding of how individual processes fit together in a system. So we pay more attention to the systems dynamics, which allows us to prioritize tasking and see how paramount goals drive the most critical aspects of performance.

- The USCP strategic planning process includes a "futuring" dimension, and we are learning to anticipate and better plan for change by benchmarking organizations that have developed 'best practice" expertise in extrapolating upon trends in mission requirements, mission capabilities and resource management innovations.

- We have benchmarked with GAO, the FBI Academy, National Institute of Standards and Technology Law Enforcement Division and the DoD's Counter Intelligence Field Activity in a program to educate senior staff in new approaches to "futuring".

- Part of this process involves looking at the total mix of new security technology, leadership and management strategies. Our strategy is to find ways to improve not just the technology -- but the processes themselves, supporting our strategic goals of Assess, Prevent, and Respond to the Threat and Support the Mission.

## Strategic Goals and Objectives

The translation of conceptual Goals to specific objectives helps define the direction for action. The further translation of objectives into initiatives allows us to define the action in measurable ways. We then "operationalize" the initiatives for specific Bureaus and Offices to carry out in the form of Business Plans.

*Strategic Goals*

**Assess the Threat**
*Provide a comprehensive internal assessment capability to identify and validate threats to Members of Congress; the legislative process; and the buildings, staff, and visitors that make up the Capitol Community.*

The identification and assessment of threat drives USCP prevention and response efforts. USCP must identify, understand, and anticipate the potential risks to Members of Congress, the US Capitol buildings and grounds, and the individuals who work and visit here. To do this, the Department conducts many different types of threat assessments, including analysis of threat to Members of Congress. Based on these various threat assessments, USCP develops risk mitigation strategies and appropriate response plans should an incident occur.

**Prevent**
*Prevent criminal or terrorist activity from disrupting the legislative process and normal business operations.*

Providing outstanding protective services requires the USCP to be bold and innovative. By implementing preventive methods and techniques, the USCP can limit the number of actual incidents requiring a response. Programs that "harden the target" allow USCP to protect individuals and facilities from terrorist and criminal activity and enable normal business operations.

**Respond**
*Respond promptly and with the right resources to threats, disruptions, or other unlawful activities in order to quickly and safely return Congress to normal operations.*

The USCP must maintain the capability to respond to threats, disruptions, or other unlawful activities whenever they occur. The USCP is committed to developing and maintaining the best response capability to ensure that the right resources are deployed to meet threats or contingencies in a prompt, effective and tactically sound manner.

**Support the Mission**
*Improve the efficiency and effectiveness of internal business processes and procedures in support of delivering mission responsibilities at the highest possible level.*

Mission support provides the infrastructure to ensure USCP is able to achieve its three mission-focused goals. The primary areas of USCP's mission support are focused on people, technology, facilities management, financial management, logistics management and continuous improvement.

In the short-term, the primary focus has been on human capital needs, specifically recruiting and revision of policies as well as fiscal responsibility. For the mid-term, USCP's business systems modernization plan is underway, and in the long-term, new IT business systems will be coming on-line, and accountability reporting and cost accounting will be implemented.

## Accomplishments in FY 2005

The strategic plan goals and objectives are translated into annual initiatives, milestones and performance measures. The Office Directors and Bureau Commanders report out quarterly on their progress and through business plan briefings.

The Department made impressive strides in all four-goal areas this past fiscal year. First, key successes related to assessing, preventing and responding to threats helped us advance our core mission. Notably, we completed a Risk Mitigation Plan and are transitioning to a USCP-wide Continuity of Operations Plan, truly a monumental effort and key accomplishment for the Department. We also improved coordination among

elements within uniformed services. Rapid, organized, and effective response to planned and unplanned events throughout the year illustrated how focused efforts in planning and training paid off.

Re-organizing Command Center, special events, communications, and emergency preparedness into a streamlined bureau was a structural change undertaken early in the year that resulted in mission improving results. The Office of Plans, Operations and Homeland Security became a bureau-level entity that quickly developed into a highly responsive organization prepared to meet the challenges of a dynamic Congressional Community. The blending of multi-discipline talents within one organization has transformed several single-focused elements into one multi-dimensional unit that provides the Chief of Operations with expanded capabilities during routine operations as well as major special events or emergencies.

FY 2005 successes in our "Support the Mission" goal area accelerated our progress sustaining a solid foundation of management excellence. As a steward of public resources and an institution benchmarking itself against rising standards of success yet operating within an increasingly lean environment, we continually strive to improve the way we manage and operate. Successfully implementing a new financial management system, launching the first steps to align the Department's internal controls with government-wide standards, implementing an automated human resources system as well as integrating performance management and an executive performance appraisal system into the organization, reaching our goal in core competency mandatory training, and sustaining top-notch and secure IT systems illustrate that we remain staunchly committed to establishing cornerstones of accountability.

FY 2005 marked an important shift in our approach to strategic planning and performance management. Over the past year, the Department introduced and explored the concept of a *strategic thinking system.* This approach focuses on the communications, teamwork and leadership processes that underlie strategic awareness, planning and implementation of courses of action.

## Performance Highlights for FY 2005

### *Assess the Threat*

- Overhauled the organizational structure of critical surveillance and operational units to create the Office of Plans, Operations and Homeland Security.
- Coordinated with Federal intelligence units through details of USCP personnel to the Department of Homeland Security, Federal Bureau of Investigation, the Central Intelligence Agency, through the National Counterterrorism Center, Joint Terrorism Task Force, INTERPOL, the Joint Terrorism Task Force, the National Joint Terrorism Task Force, and the National Capital Region Coordination Center.
- Published daily intelligence reports for all Department officials.

*Prevent*

- Sustained no attack or major disruption of the Legislative process.
- Provided incident-free protection to all the Department's protectees and visiting foreign officials.
- Achieved significant progress planning, developing, procuring, acquiring, deploying, integrating, and maintaining security systems and countermeasures operations. This progress was made despite operating within an environment of changing threats, increased demands for service, staffing issues, and evolving budget constraints and demands.
- Identified and implemented initiatives that enhanced the operational effectiveness of the uniformed cadre of officers performing the core mission of the agency. Coordination among elements within the Uniformed Services Bureau was excellent, as evidenced by the successful response to both planned and unplanned events occurring throughout the period.
- Improved the overall operations of the Library of Congress (LOC) Police, their ability to meet their mission requirements as well as facilitated integration with the USCP by implementing a memorandum of understanding between the two agencies.
- Screened 59,500 people for three holiday events (Memorial Day 20,000, Fourth of July 30,000, and Labor Day 9,500).
- Screened over 574,000 vehicles by the TIGER Team since January 2005.
- Screened and processed 85,353 vehicles and 72,243 individuals as work proceeded uninterrupted at the Capitol Visitor Center; processed and responded to over 3,050 work orders; performed 1,618 system installs; conducted 136 physical security assessments; and performed 521 electronic countermeasures assessments as well as other protective functions.
- Greeted and screened over 8.7 million staff and visitors throughout the Capitol complex (compared to 9.5 million in 2004).
- Conducted multiple drills and exercises as well as responded to actual incidents during the year, including two all-complex evacuations (AIRCON Red), a suspected suitcase bomber on the Lower West Terrace of the Capitol, elevation to Homeland Security Threat Level "Orange," a suspected car bomb on First Street/Louisiana Avenue, and numerous other special and frequently occurring incidents that demonstrated the versatility of the Command and Communication Centers staffs.

- Completed several Physical Security Improvements, including an upgrade to access control equipment and technology as well as an upgrade of the duress alarm system.

***Respond***

- Responded to and investigated 202 suspicious package incidents.

- Planned, prepared, coordinated and executed police services for National Special Security Events, as well as emergencies, affecting the U.S. Capitol complex. These included the 55th Presidential Inaugural Ceremony, lying in state of civil rights activist Rosa Parks, Supreme Court Chief Justice confirmation hearings for John Roberts, and the Million More Movement.

- Developed procedures for responding to threats to the Capitol complex posed by aircraft.

- Adopted a complex-wide evacuation procedure for persons with disabilities.

***Support the Mission***

- Underwent a comprehensive review and overhaul of USCP directives and standard operating procedures to better manage the department.

- Developed and implemented an Executive Performance Appraisal System as well as a Performance Evaluation and Communications System for staff to ensure accountability in achieving mission.

- Successfully re-negotiated a new four-year Teamsters Bargaining Agreement

- Made significant progress toward designing and implementing programs to assure compliance with environmental, safety/OSHA regulations, including establishing a safety awareness program.

- Reached the goal of core competency mandatory training in Firearms, X-ray and Fire Extinguisher.

- Developed a web-based course on Member recognition and revised the Experienced Officer Training Program to include mandated training and adult learning techniques.

- Implemented a new financial management system in a 12-month period, on time and within budget and implemented a purchase card program.

- Implemented a new budget structure based upon programs and projects, incorporated it into the new financial management system and, for the first time in

the history of the Department, aligned the budget formulation and execution processes.

- Completed requirements and identification of required business process re-alignments for an asset management system. The implementation of the asset management system has started and Phase 1 should be completed during FY 2006.

- Began developing asset management policies that will address the Department's needs while ensuring that internal controls are in place to assure better accountability, inventory control, and resource management.

- Restructured warehouse inventory management and developed internal procedures to address weaknesses and improve inventory quality and control.

- Planned, developed, procured, acquired, deployed, integrated and maintained 65 administrative information technology systems.

- Certified and accredited the Time and Attendance System (Workbrain) in accordance with FISMA standards.

- Implemented a new electronic Documents Management System; fleet management system, system and computer aided dispatching system.

- Completed the refreshment of computer workstations for the Department as well as new and updated network capabilities (new fiber, routers, hubs, switches).

- Maintained the established Service Level Agreements (SLAs) related to operations, maintenance, and licensing.

- Relocated over 300 employees from various Capitol Hill locations to the Fairchild and Government Printing Office buildings, and in coordination with the AOC, completed construction and fit out of the K-9 training and explosive storage facilities.

The accomplishments of the Department are the result of the application of resources provided by the Congress. The chart below demonstrates how the Department has applied our operating expense funds against the strategic plan goal areas for FY 2006 and the Department plan for FY 2007.

**FY 2006 Estimated Operating Plan and FY 2007 Non-Personnel Request by Strategic Goals**

| FY 2007 Thrust | FY 2006 Appropriation | Prior Yr Funds | FY2006 Estimate | FY 2007 Budget Request | Change (Funded) | % |
|---|---|---|---|---|---|---|
| Assess The Threat | 373,000 | - | 373,000 | 360,499 | (12,501) | -3.4% |
| Prevention | 16,409,000 | - | 16,409,000 | 18,617,712 | 2,208,712 | 13.5% |
| Respond | 1,683,000 | 5,355,000 | 7,038,000 | 8,808,747 | 1,770,747 | 25.2% |
| Support The Mission | 13,215,000 | 4,645,000 | 17,860,000 | 20,596,042 | 2,736,042 | 15.3% |
| Grand Total | 31,680,000 | 10,000,000 | 41,680,000 | 48,383,000 | 6,703,000 | 16.1% |

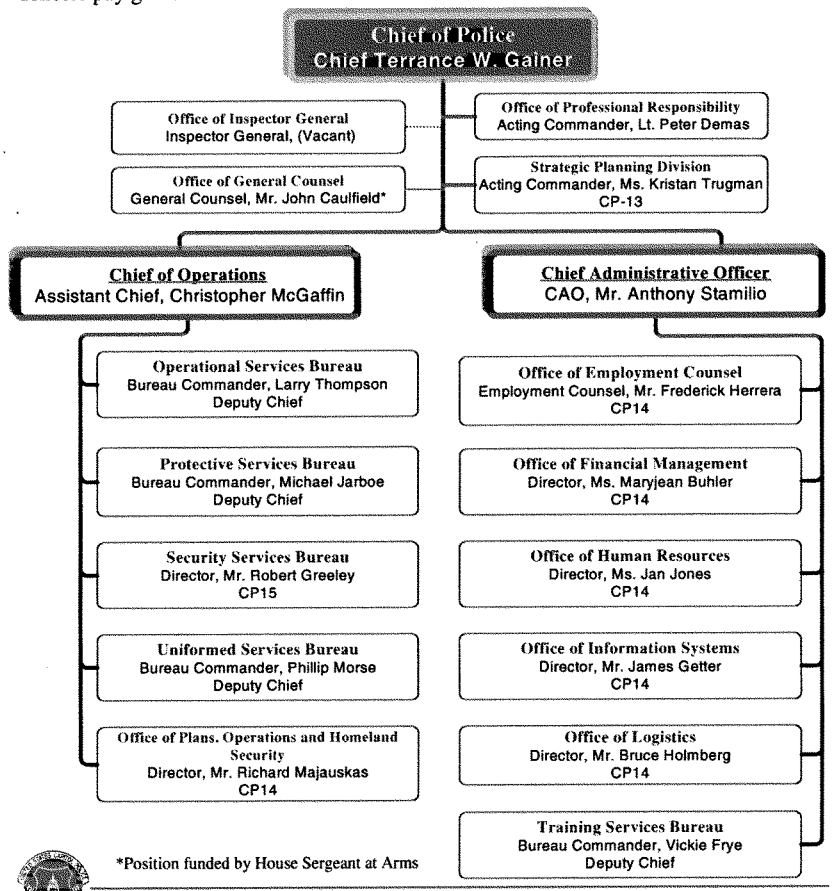
# Organization Charts

This section provides three organizational views of the Capitol Police:

1. Major Organizational Levels Chart,
2. Major Organizational Levels Function Chart, and
3. Department Position Levels by Organization, Rank, and Grade.

## Capitol Police Major Organization Levels

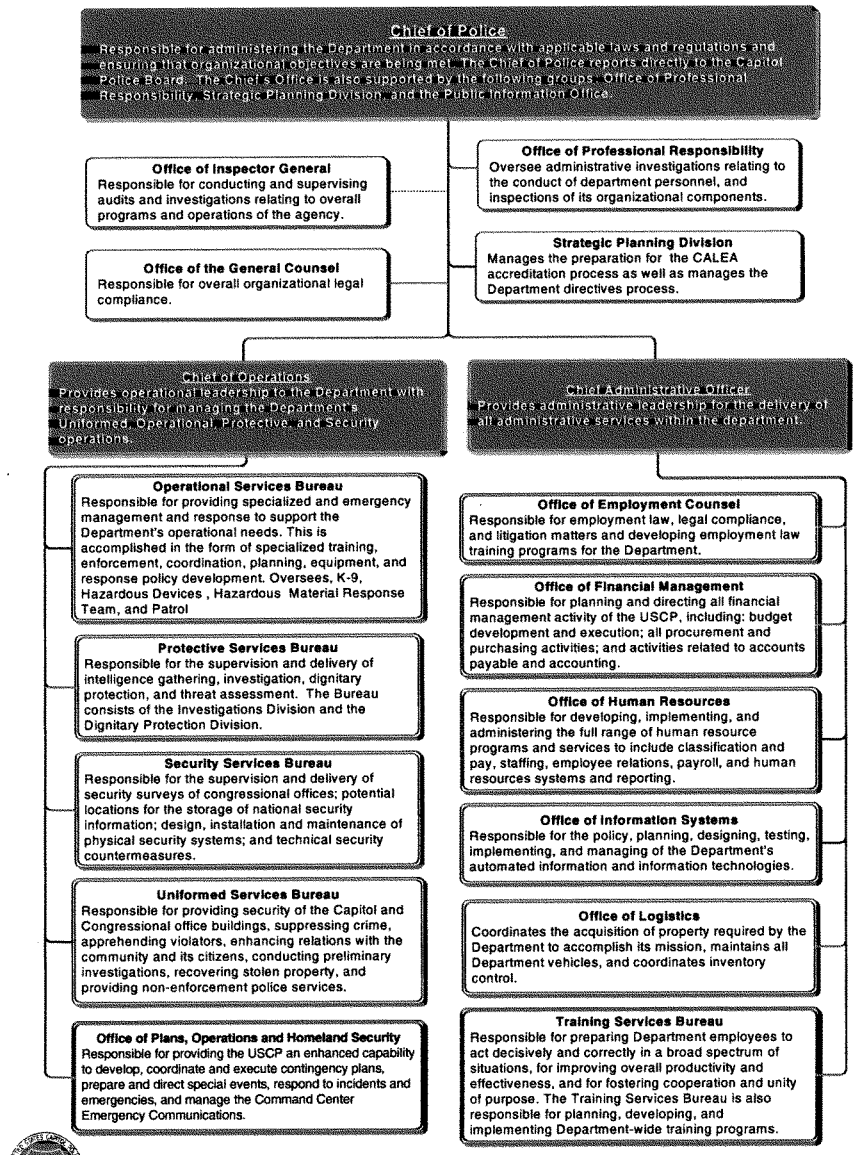
This chart illustrates the three major organizational levels: the Chief of Police, and the Operational and Administrative lines of operation. Each organizational element includes the name of the bureau commander or office director, their title and pay grade; rank denotes pay grade for sworn officers.




*Position funded by House Sergeant at Arms

## Capitol Police Functional Organization Chart

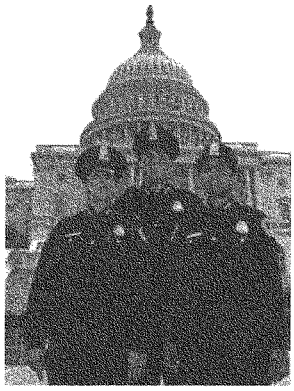
This Functional Organization Chart describes the overall responsibilities of each major organizational unit.



**Capitol Police FTEs by Bureau and Office**

This chart is an analysis of the FY 2007 personnel request for full time equivalents (FTEs), by bureau/office, rank, and grade. Sworn and civilian employees are compensated under two separate pay tables: the civilian pay table (CP) is a graded system from 1 to 15; while, the sworn pay table is rank ordered from Private through Deputy Chief. The Chief of Police, Assistant Chief, Chief Administrative Officer, and Inspector General are statutory employees and compensation is directed by statute.

| Grade / Bureau/Office | Chief of Police | Office of Inspector General | Office of the General Counsel | Chief of Operations | Operational Services Bureau | Protective Services Bureau | Office of Event Operations and Homeland Security | Investigative Services Bureau | Security Services Bureau | Chief Administrative Officer | Office of Employment Counsel | Office of Human Resources | Office of Financial Management | Office of Information Systems | Training Services Bureau | Office of Logistics | Total USCP |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Chief, Asst. Chief, Deputy Chief | 1 | | | 1 | 1 | 1 | 1 | 1 | | | | | | | 1 | | 6 |
| Inspector | | | | 1 | 1 | 2 | 1 | 4 | 1 | | | | | | | | 11 |
| Captain | | | | | 2 | 2 | 1 | 6 | 1 | | | | | | 1 | | 13 |
| Lieutenant and Sergeant | 14 | | | 1 | 33 | 19 | 22 | 113 | 5 | | | 1 | | 1 | 18 | | 225 |
| Detective and Below | 3 | | | | 198 | 334 | 37 | 1020 | 31 | | | | | 1 | 54 | 3 | 1501 |
| TOTAL SWORN | 19 | 0 | 0 | 3 | 235 | 157 | 81 | 1147 | 38 | 0 | 0 | 1 | 0 | 2 | 72 | 4 | 1759 |
| CAO, GIG, CP-14/15 | | | | | | | | 1 | 1 | 2 | 1 | 1 | 1 | 1 | | | 8 |
| CP-13 | 1 | 1 | 3 | | | | 1 | | 2 | 2 | 2 | 3 | 3 | 3 | 1 | | 18 |
| CP-11 to 12 | 1 | 2 | 3 | | 1 | 2 | | | 6 | 1 | 2 | 4 | 13 | 8 | | 3 | 36 |
| CP-1 to 10 | 10 | 1 | 1 | 3 | 62 | 10 | 15 | 12 | 73 | 2 | 3 | 27 | 14 | 7 | 12 | 26 | 274 |
| CP-3 | 3 | | | | 17 | 1 | 2 | 38 | | | | | | | | 2 | 63 |
| TOTAL CIVILIAN | 15 | 4 | 7 | 3 | 70 | 18 | 19 | 50 | 82 | 7 | 8 | 45 | 31 | 19 | 13 | 30 | 421 |
| TOTAL | 34 | 4 | 7 | 6 | 305 | 175 | 100 | 1197 | 120 | 7 | 8 | 46 | 31 | 21 | 85 | 34 | 2180 |



# Budget Details

Traditionally, the Capitol Police receives two annual appropriations: Salaries and General Expenses, for personnel and non-personnel expenses respectively. The explanations and analyses for each appropriation are provided separately. The Capitol Police use a zero-based budgeting method for formulation, and by doing so, completely reevaluate all necessary resources to support the mission each fiscal year. In FY 2006, the USCP developed a new budget structure based upon programs and projects and submitted the FY 2006 annual operating plan based on these programs and projects. This change, facilitated by the implementation of a new financial management system, marks the first time in the history of the Capitol Police that the budget is executed in the same way it was formulated. We anticipate that this new process will enable better management decision-making as well as augment accountability and control over resources.

The chart below depicts the budget according to identified programs:

| Bureau / Programs | FY 2006 Appropriation | FY 2007 Request | Δ | %Δ |
|---|---|---|---|---|
| **USCP Salaries** | 215,281,440 | 246,700,000 | 31,418,560 | 14.6% |
| *Personnel Compensation* | 163,268,955 | 187,326,000 | 24,057,045 | |
| *Benefits* | 30,482,485 | 33,906,000 | 3,423,515 | |
| *Overtime* | 20,000,000 | 23,658,000 | 3,658,000 | |
| *Overtime Benefits* | 1,530,000 | 1,810,000 | 280,000 | |
| **Chief Administrative Officer** | 44,000 | 44,000 | - | 0.0% |
| *Administration - Chief Administrative Officer* | 44,000 | 44,000 | - | |
| **Chief of Operations** | 18,000 | 18,000 | - | 0.0% |
| *Command Operations* | 18,000 | 18,000 | - | |
| **Chief of Police** | 106,000 | 91,200 | (14,800) | -14.0% |
| *Administration - Chief of Police* | 87,500 | 72,700 | (14,800) | |
| *Police Board Support* | 13,500 | 13,500 | - | |
| *Representation Fund* | 5,000 | 5,000 | - | |
| **Facilities Management Division** | 65,500 | 413,200 | 347,700 | 530.8% |
| *Administration - Facilities Management Division* | 20,500 | 27,200 | 6,700 | |
| *Fixture, Furniture, Equip. Refreshment and Contrac* | 30,000 | 55,000 | 25,000 | |
| *Furniture and Safety Contracts* | 15,000 | 331,000 | 316,000 | |
| **Office of Employment Counsel** | 281,000 | 281,000 | - | 0.0% |
| *Employment Law Services* | 281,000 | 281,000 | - | |
| **Office of Financial Management** | 3,849,000 | 4,760,000 | 911,000 | 23.7% |
| *Administration - Office of Financial Management* | 262,000 | 235,000 | (27,000) | |
| *Agency-wide Services* | 1,254,000 | 1,794,000 | 540,000 | |
| *Financial Management & Accountability* | 2,333,000 | 2,731,000 | 398,000 | |
| **Office of General Counsel** | 110,000 | 130,000 | 20,000 | 18.2% |
| *Police Board Support* | 110,000 | 130,000 | 20,000 | |
| **Office of Human Resources** | 2,590,500 | 2,915,681 | 325,181 | 12.6% |
| *Administration - Office of Human Resources* | 1,191,000 | 910,110 | (280,890) | |
| *Human Resources Systems* | 901,000 | 1,166,821 | 265,821 | |
| *Recruiting & Employment* | 498,500 | 838,750 | 340,250 | |

Programs continue:

| Bureau / Programs | FY 2006 Appropriation | FY 2007 Request | Δ | %Δ |
|---|---|---|---|---|
| **Office of Inspector General** | - | 170,000 | 170,000 | New |
| Administration - Office of Inspector General | - | 170,000 | 170,000 | |
| **Office of Information Systems** | 960,000 | 11,232,446 | 10,272,446 | 1070.0% |
| Administration - Office of Information Systems | - | 165,000 | 165,000 | |
| Communication Operations & Maintenance - Existing Systems | - | 1,550,365 | 1,550,365 | |
| Communication Systems Engineering/ Professional Services | - | 940,000 | 940,000 | |
| IS Operations & Maintenance - Existing Systems | - | 1,936,801 | 1,936,801 | |
| IS Systems Engineering/ Professional Services | - | 1,007,700 | 1,007,700 | |
| IS Systems Modernization Phase III | 960,000 | 2,135,000 | 1,175,000 | |
| Radio, Voice, & Data Communications | - | 3,497,580 | 3,497,580 | |
| **Office of Logistics** | 10,000 | 10,000 | - | 0.0% |
| Administration - Office of Logistics | 10,000 | 10,000 | - | |
| **Office of Plans, Operations, and Homeland Security** | 856,000 | 1,492,000 | 636,000 | 74.3% |
| Administration - Office of Plans, Operations, and Homeland Security | 22,000 | 27,000 | 5,000 | |
| Operations Office of Plans, Operations, and Homeland Security | 834,000 | 1,465,000 | 631,000 | |
| **Office of Professional Responsibility** | - | 47,002 | 47,002 | Prgm Change |
| Office of Professional Responsibility | - | 47,002 | 47,002 | |
| **Operational Services Bureau** | 945,000 | 1,054,599 | 109,599 | 11.6% |
| Administration - Operational Services Bureau | 49,000 | 46,825 | (2,175) | |
| Hazardous Incident Response | 673,000 | 786,244 | 113,244 | |
| Patrol Mobile Response | 223,000 | 221,530 | (1,470) | |
| **Property Management Division** | 1,406,000 | 1,478,500 | 72,500 | 5.2% |
| Administration - Property Management Division | 31,000 | 30,500 | (500) | |
| Logistical Support | 1,375,000 | 1,448,000 | 73,000 | |
| **Protective Services Bureau** | 3,516,000 | 4,317,500 | 801,500 | 22.8% |
| Administration - Protective Services Bureau | 103,000 | 101,000 | (2,000) | |
| Protective Detail Travel | 3,000,000 | 3,850,000 | 850,000 | |
| Protective Services | 413,000 | 366,500 | (46,500) | |
| **Security Services Bureau** | 13,197,000 | 14,353,670 | 1,156,670 | 8.8% |
| Access Control | 2,607,000 | 2,927,420 | 320,420 | |
| Administration - Security Services Bureau | 150,000 | 150,000 | - | |
| Detection and Screening Systems | 2,525,000 | 2,036,000 | (489,000) | |
| Security Systems Maintenance | 5,704,000 | 5,907,250 | 203,250 | |
| Technical Countermeasures | 2,211,000 | 3,333,000 | 1,122,000 | |
| **Training Services Bureau** | 2,674,000 | 2,751,221 | 77,221 | 2.9% |
| Administration - Training Services Bureau | 382,000 | 373,135 | (8,865) | |
| Training Services | 2,292,000 | 2,378,086 | 86,086 | |
| **Uniformed Services Bureau** | 155,000 | 150,330 | (4,670) | -3.0% |
| Administration - Uniformed Services Bureau | 155,000 | 150,330 | (4,670) | |
| **Vehicle Maintenance Division** | 897,000 | 1,175,000 | 278,000 | 31.0% |
| Administration - Vehicle Maintenance Division | 65,000 | 68,000 | 3,000 | |
| Fleet Management | 832,000 | 1,107,000 | 275,000 | |
| **Grand Total** | 246,961,440 | 295,083,000 | 48,121,560 | 19.5% |

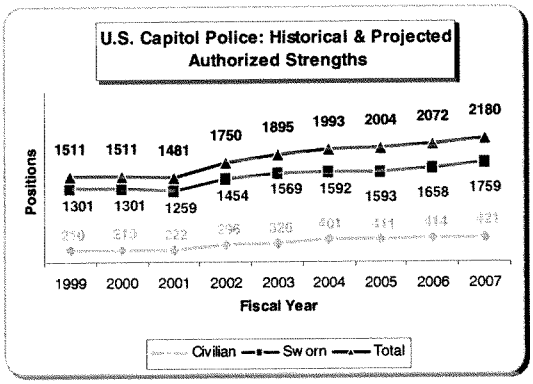
## Personnel Costs

**Budget Request.** The personnel portion of the request of $246,700,000 supports the current authorized FTE levels of 1,658 sworn and 414 civilians, as well as, an additional request of 91 new officer FTEs for critical operational requirements, 10 additional FTEs for LOC attrition and seven new civilian support positions. With the new officers, the sworn FTE level is 1,759. The revised civilian FTE level is 421 for a total Department FTE count of 2,180. Salaries and benefits to support these FTEs include mandatory cost increases for COLAs, promotions, with-in-grade increases, and annualization of FY 2006 new employees, health benefit and retirement costs.

| Personnel Request (in millions) | | | |
|---|---|---|---|
| FY 2006 | FY 2007 | Difference | % |
| $ 215.3 | $ 246.7 | $ 31.4 | 14.6% |

| FY 2007 Personnel Request (FTEs) | | | |
|---|---|---|---|
| | FY 2006 Authorized | Increase | FY 2007 Request |
| Sworn | 1,658 | 101 | 1,759 |
| Civilian | 414 | 7 | 421 |
| Total | 2,072 | 108 | 2,180 |

**Staffing Requirement.** The FY 2006 FTE authorization for the Department is 2,072, including 1,658 sworn and 414 civilians. The sworn authorization includes 10 officers related to attrition for Library of Congress police officers for the remainder of FY 2006 as well as 45 positions allocated for the CVC for FY 2006. The Department is requesting 91 new sworn FTEs and 10 officers to accommodate LOC attrition for FY 2007 above the authorized FY 2006 sworn FTE level of 1,658 for a FY 2007 FTE level of 1,759. The requested increases of 101 sworn FTEs is related to security operations in the following areas: 63 FTEs for the opening of the Capitol Visitor Center (to cover staffing the main access points, response, truck tunnel, loading dock, public exits, and the Jefferson tunnel), this is a net requirement after adjusting for some post deletions resulting from construction completion and the outsourcing of background investigation and polygraphs; 11 FTEs for the Dignitary Protection Division (DPD) to cover protective assignments; 17 FTEs to create a dedicated anti-terrorism TIGER Team; and 10 FTEs for Library of Congress Police attrition. Full funding is also requested for the 45 FTEs authorized in FY 2006 for the CVC. The total staffing authorization request for FY 2007 is 2,180 FTEs. Seven new civilian positions are also requested to cover mission



support and administrative operations. The following identifies the specific positions and provide justification for the requests.

## Sworn Manpower – 91 new positions, plus 10 LOC Attrition

*Capitol Visitors Center (CVC) - 63 positions*

The CVC is perhaps the largest and potentially most significant fixed security site built on Capitol grounds. Designed to receive, screen, hold and manage the traffic of visitors going into the Capitol, the CVC presents some significant security challenges. Given existing guidance, these challenges can only be met with sworn manpower. The overall size of the facility, 2/3 the size of the Capitol with a very open interior design, allows visitors substantial latitude in their ability to wander about the facility. This is obviously challenging from a security perspective, and the risk to the mission is exacerbated because of the two Sensitive Compartmented Information Facilities (SCIF) and the Committee rooms that will be in the CVC. This environment requires the use of building patrols in sufficient quantities to provide for observation and reaction to incidents. Additionally, the CVC will have eight portal sites that require manning with one officer per piece of screening equipment and podium. Staffing of these portals is based upon the anticipated visitor flow and hours of operation provided to the Department as planning factors. Because the CVC is the principal visitor entrance to the Capitol, with direct access to the House and Senate office buildings and the Library of Congress, this facility represents one of the highest risk pedestrian threat avenues of approach. Failure to resource this operation with sufficient police officers represents a risk to the entire complex.

Based on current planning and policy assumptions, the total staffing requirement for CVC is 139 FTEs. This total number is reduced by 45 positions provided for through the FY 2006 Appropriation (authorization pending). The total requirement is reduced further by 25, due to the transfer of security posts from the Capitol Division, and six because of outsourcing the Background Investigation function, which is a component of our FY 2007 budget request.

*TIGER Team - 17 positions*

The Vehicle Borne Improvised Explosive Device (VBIED) is one of the most likely and most dangerous threats the Department must counter. The operational concept is to ensure we have redundant means to both prevent and react to this threat. Staffing vehicle checkpoints at each location across campus is both cost prohibitive, disruptive to city traffic management, and an extreme inconvenience without a specific threat. The TIGER Team provides the capability to conduct random vehicle checkpoint operations at two intersections concurrently throughout the day. This same team can provide immediate reaction to any contingency on campus. Random checkpoint operations provide two significant advantages in preventing the threat. First, it demonstrates our resolve through a visible interdiction tactic. Demonstrated resolve has been determined to be a key factor in choice of targets by terrorists. Terrorists abhor a well protected target. Additionally the random nature of the TIGER Team's interdiction effort is disruptive to the enemy's overall operational planning capability.

For these reasons, the continuation of the TIGER Team as a permanent component of the operation provides great benefit in this effort. In FY 2006, staffing for this initiative was funded exclusively with additional duty appropriations.

*Dignitary Protection Division (DPD) - 11 positions*

At the request of the USCP, the Police Board approved a minimum standard for protection for the Congressional Leadership, based upon position, physical location, and travel of the Principals. DPD FY 2006 staffing levels are 82% of required strength to meet this standard for protection, thus requiring agents to work excessive amounts of additional duty. As a result, the Division's ability to meet its mission is significantly diminished, due to an exhausted workforce, and the cost to the Department in overtime is higher per capita than any other operational element. These additional positions will reduce overtime costs and allow the Division to provide the required levels of protection to Congressional Leaders, with a reasonable stress on the members of the detail.

*Library of Congress Attrition - 10*

As provided in Congressional directive, the Department continues to replace Library of Congress officers who depart with USCP officers. LOC Police attrition is estimated at 10 for FY 2007; however, the authorization is limited to actual attrition. Each year we increase our FTE authorization by the LOC actual attrition, while the LOC reduces its allocation by the same amount. Attrition above this level will be reimbursed by the LOC, in accordance with the Memorandum of Understanding between the USCP and the LOC.

## Civilian Manpower – 7 new positions

*Office of Financial Management - 2*

**Budget Analyst:** The Budget Division is not sufficiently resourced to support the financial management needs of the Department or the information needs of our stakeholders. The resulting shortcomings associated with this manpower shortage has been mentioned by both GAO and conference language. The Budget process has recently moved to a program based formulation and execution method, which has placed additional responsibilities on the Budget Division. The responsibilities for the analyst will be to develop business partnerships with internal bureaus, manage budget execution and formulation for assigned accounts, monitor overtime usage, monitor spending plans of assigned accounts, analyze budget submissions, respond to external stakeholders and develop the budget briefing book. A staffing study performed by an outside contractor determined the need for 4 additional budget staff to perform formulation, execution and other budget duties. One of those positions was approved in FY 05 and, of the remaining staff identified, the Department considers one critical for this fiscal year.

**Accountant:** The requirement for a formal internal controls program requires the Department to focus additional attention on accounting with the target of having a full set of financial statements by the end of FY 2007. A staffing study was performed by

an outside contractor that determined the need for 4 additional staff to perform performance and accountability reports, cost management, general ledger reconciliations, quarterly closings and other accounting duties as necessary to provide accountability and control over financial transactions and financial management reporting. The Department considers one of these as critical this fiscal year.

*Security Services Bureau - 2*

**Security Network Specialist:** The Security Services Bureau (SSB) has a secure Cisco Local Area Network, separate from the USCP network, which is used as the transmission means for the entire security network. All cameras, alarms, secure video-teleconference, and all other security devices are supported by this network. This system requires constant monitoring and adjustment to keep the installed base of security systems operational. These systems can grant access, monitor, and provide data for SCIFs, Credit Unions, alarms, access control systems, chem bio sensors and many other sensitive areas and items. This system continues to grow and is utilized by other government agencies to support congressional needs.

Currently, there is one employee managing the system and no network specialist. Therefore, the Department lacks redundancy in this area. Because the unique configuration and supported equipment, the specialists from the Office of Information Systems are not capable of fully supporting this network. We currently have many contractors working on the system, but the management, granting access rights, and configuration must be done by a USCP employee. SSB is not currently capable of maintaining the system to ensure that the network is fully operational at all times, and contractor support is not appropriate in the long term, because of the complex configuration and the type, variety, and unique nature of the supported equipment. The Department's inability to support this secure network increases risk to the security mission of the complex.

**Project Manager:** The Physical Security Division of SSB has assumed a larger role in project management and is reducing its dependence on Volpe for security projects. This endeavor has been discussed numerous times by GAO. USCP should have the primary responsibility for the coordination, oversight and management of all security projects that fall in line with industry best practices for internal controls that the Department is mandated to meet. A project manager is a critical resource to accomplish this function.

*Office of Information Systems - 1*

**Command and Control Systems Support Specialist:** The USCP Command Center is the hub for command and control of all security in the Legislative Branch. The array and complexity of equipment to support this Command and Control function is staggering. The USCP is supported by a number of Applications to perform the duties necessary for the Watch Commander. These include but are not limited to the "Watch Commanders Log", Conference Bridge, Dialogic, and a number of other related technologies. Much of this equipment was procured by other agencies for USCP use, which is supported with neither documentation nor manpower. Dedicated

senior information systems engineering support is required to support the Watch Commander's Office and its Command and Control functions. The duties will include knowledge of the existing network and connectivity to partner organizations, testing the existing technologies on a periodic basis, and the ability to trouble shoot problems related to the available technologies, as well as, training, and documentation.

*Office of General Counsel – 2*

**General Counsel:** The General Counsel for the USCP is an employee of the House Sergeant at Arms, serving as counsel for that position as well as General Counsel for the USCP and the Police Board. The Chief of Police lacks a dedicated General Counsel to fully support the law enforcement and administrative requirements in the Department. The Board unanimously concurs that the Department must have a dedicated General Counsel, employed by the USCP, and the Police Board authorized the request for a separate General Counsel position for the Department.

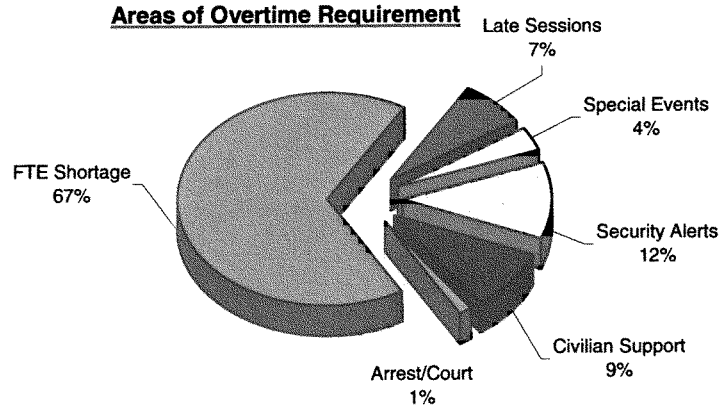
**Deputy General Counsel:** The Office of the General Counsel has nearly tripled in size adding two more attorneys and two legal assistants. In addition, the General Counsel provides routine coordination and collaboration with the three attorneys and legal staff of the Office of Employment Counsel. An attorney is also assigned to the Office of Professional Responsibility to assist in the work of that office. With the ever increasingly complex operational and administrative matters to address, this resource level is insufficient. This is particularly important given the array of meetings across the Legislative Branch that occupies the time of the General Counsel. A Deputy General Counsel is required to manage and oversee the daily functioning of the office and serve as General Counsel when required.

## Overtime

Staffing levels are driven by security needs and augmented through the use of overtime to meet operational requirements. For FY 2007 the overtime budget is being presented with a separate amount for the related FICA/Medicare portion to clarify requirements. In previous years, the benefits for FICA/Medicare were included in one line item for regular overtime. The table below shows the hours and funding requested for the various aspects of the FY 2007 overtime budget. The additional personnel costs, such as within-grades, promotions and related COLAs impacted by overtime are shown for illustrative purposes since they do impact the cost of overtime.

The 494,700 hours requested consist of 449,300 hours for sworn and 45,400 hours for civilians. The $28.1 million request is based on estimated overtime posting and coverage requirements and approximate costs for the following areas:

| OT Categories | Hours | FY 07 Request |
|---|---|---|
| Regular overtime | 494,700 | $23,658,000 |
| FICA/Medicare Overtime Benefits | | $ 1,810,000 |
| Total Overtime Request | | **$25,468,000** |
| Within Grade Increases, Promotions and Cost of Living Adjustments | | $ 2,646,000 |
| Total Overtime plus related WIG/Promotions and COLA Request | | **$28,114,000** |




- The Capitol Police mission requirements exceed our available manpower. This shortage requires additional duty hours of the current sworn staff. In fiscal year 2007, there is an estimated 331,200 hours of manpower shortage at an approximate cost of $18.8 million. This equates to approximately 200 Full Time Equivalent (FTE).

- Late Sessions of Congress require unscheduled work hours to maintain necessary security levels. It is expected that 35,000 overtime hours are needed at an approximate cost of $2.0 million.

- Special events on the Capitol complex create extra law enforcement and security concerns. These events include various demonstrations, State of the Union

Address and Concerts, which create an estimated 17,980 hours of overtime work at an approximate cost of $1.0 million.

- Security alerts that require extra officer hours for vehicle inspection creating 58,320 hours of overtime at an approximate cost of $3.3 million.

- Civilian workforce overtime hours are estimated at 45,700 hours at an approximate cost of $2.6 million to support the operational teams, security systems, and the administrative functions of the Department.

- Arrests and court overtime are estimated at 6,500 hours costing approximately $0.4 million.

**Non-Personnel Costs**

Expenses of $48,383,000 are requested to support Capitol Police responsibilities for law enforcement, Capitol complex physical security, dignitary protection, intelligence analysis, crowd control, hazardous material/devices and other specialized response, as well as administrative and technical support.

| Non-Personnel Request (in millions) | | | |
|---|---|---|---|
| **FY 2006**** | **FY 2007** | **Difference** | **%** |
| $31.7 | $48.4 | $16.7 | 52.7% |

*** Excludes $10 million reprogramming approved for annual expenses provided under Conference Report 109-189 and approved by Committees on Appropriations of the House and Senate. FY 2006 estimated costs includes $31.7 million appropriated plus the approved $10 million dollars from prior year No-year funds for a total of $41.7 million. When compared to FY 2006 fund, the % change to the FY 2007 request is 16.1% for non-personnel. See Appendix for detail.*

There are several factors affecting the overall increase of the FY 2007 Budget Request. One of the primary increases from FY 2006 appropriations to the request for FY 2007 are generally related to the FY 2006 estimated annual operating expenses, which were funded by a reprogramming of $10 million in prior year No-year funds. As provided in Conference Report 109-189, the Committees on Appropriations approved $10 million of prior year, No-year funds to cover annual operating expenses. The $10 million funded in FY 2006 for annual operating costs completely funded our Information Systems and partially funded the agency-wide fuel services.

- **New Support Costs.** Support costs of $5.15 million are primarily related to equipment, systems, outsourcing support, and protection of the Capitol complex and dignitaries:

- Physical security systems - $1.90 million
- Information and communication systems - $.91 million
- Financial management operations and other support - $.52 million
- Human Resource (HR) management - $.33 million contract support included for polygraph and background investigations
- Protection for Dignitaries - $.80 million in travel costs
- Logistical Support & Misc. - $.69 million

- **101 New Officers.** An additional $1.4 million will provide funds to recruit, evaluate, hire, train and support the 101 new officers included in this request.

- **7 New Civilians.** An additional $0.06 million will provide funds to recruit, evaluate, hire, and support the 7 new civilians included in this request.

- **Legislative.** An additional $0.053 million will provide funds for Tort claims.

*Highlights of FY 2007 Non-personnel Budget Request*

**Outsourcing Support.** In response to Congressional directives contained in prior years, Conference Reports, the USCP is making concerted efforts to outsource functions. Of our FY 2007 Budget Request, $20.4 million is for the outsourcing of services. In the FY 2007 budget request, outsourcing includes information technology, physical security systems and maintenance, administration, background and polygraph services, veterinarian services, security control operators, financial asset management system, accounts payable, and installation of equipment. For a detail list of outsourcing support see the Appendix.

The operating expenses of the USCP have risen significantly since the terrorist attacks on America, the Anthrax and Ricin incidents, the wartime alert status and the subsequent and rapid growth of the Department. As a result of these incidents or conditions, the Capitol Police has had to engage outside support. The USCP is making a concerted effort to outsource certain of these support functions as requirements dictate. For many of the areas, the use of in-house assets is not a viable option both from the standpoint of a lack of specialized knowledge to support the systems and from the standpoint of personnel requirements in other mission areas that require law enforcement personnel.

The tools and technology used today in providing a safe and secure working environment for the Congressional community require that USCP field personnel have the knowledge, experience and training required to operate these specialized systems, i.e., specialized security equipment, technical countermeasures equipment, engineering support for all systems, and existing CCTV equipment to mention a few in support of the USCP mission. Contractor support in the form of on call and/or onsite expertise and ongoing training to USCP personnel is the most viable solution to this requirement and is critical in order to meet the USCP mission.

In addition to the requirement to have knowledgeable and trained personnel to use these systems, the maintenance, and future lifecycle replacement costs of these items, i.e., Intrusion Alarm Systems, maintenance of existing X-ray equipment, financial management system, asset management system, and Human Resources management system, are a critical part of related budget requirements and must be considered as an integral cost of the system(s). Many of the systems purchased are complex, state of the art systems that require the use of sophisticated test equipment and trained maintenance personnel to maintain the systems in a high state of readiness. Without this support, these valuable tools either will not operate or will operate in a degraded status, i.e., one or more of the included subsystems will not function properly, if at all. Further, the vast majority of these systems require a series of periodic maintenance checks based on such criteria as hours used and/or days in service. Failure to perform this periodic maintenance increases the risk of unnecessary "downtime" for the systems and may void the manufacturer's warranty. Contractor support in the area of maintenance is the most viable and cost effective solution to this requirement.

Additionally, consideration must be given to the eventual replacement of these systems as the items reach the end of their useful lifecycle. Continual and/or frequent use of the items will accelerate this requirement. Also, with the rapid advances being made in this type of equipment, it may be necessary to replace fully functioning equipment with more technologically advanced models or alternate technology in order to respond to the continually evolving threats.

Initial purchase cost of these items is only one part of the costs involved in ensuring that these systems are both reliable and available to USCP personnel to allow them to provide increased security to the Capitol. The factors discussed above represent a significant andongoing budget requirement for FY 2007 and beyond.

***Cost of Transfers from other Agencies:***

In recent years, some of the USCP costs have increased due to transfers from other agencies. The following show a list of budget items that were once under another agency; however, have now come under the purview of the US Capitol Police.

| Cost of Transfers from other Agencies | FY 2006 | FY 2007 Bureau Request | Δ | Δ% |
|---|---|---|---|---|
| Department Wide Copier Maintenance Agreement | 249,000 | 462,000 | 213,000 | 85.5% |
| Training - Compliance/sustainment of NFPA / OSHA Regulations | 75,000 | 106,318 | 31,318 | 41.8% |
| Supplies-Compliance w/ NFPA, OSHA, Regulations | - | 95,692 | 95,692 | New |
| Tort Claims | 47,000 | 100,000 | 53,000 | 112.8% |
| Fixture, Furnishing & Equipment Refreshment | 30,000 | 55,000 | 25,000 | 83.3% |
| Local Telecommunications - (GPO,OIS,Off-site,K-9 Facility, Property) | | 50,000 | 50,000 | Workload |
| Local Telecommunications - (Fairchild) | | 160,680 | 160,680 | Workload |
| **Sub Total** | **401,000** | **1,029,690** | **628,690** | **156.8%** |

**FY 2007 Non-Personnel Request by Object Class.**

The table below is an object class comparison of the FY 2006 Appropriation versus the FY 2007 request. The largest budget category is services, including outside technical and general support, professional services, maintenance and repair costs for outside contractors, etc.

| Object Class | FY 2006 Appropriation | FY 2007 Budget Request | Δ | Δ% |
|---|---|---|---|---|
| Travel | 3,647,000 | 4,657,983 | 1,010,983 | 27.7% |
| Freight | 2,000 | 23,000 | 21,000 | 1050.0% |
| Rent, Communication, Utilities | 35,000 | 1,999,132 | 1,964,132 | 5611.8% |
| Printing | 181,000 | 259,625 | 78,625 | 43.4% |
| Services | 18,064,500 | 27,146,062 | 9,081,562 | 50.3% |
| Supplies | 4,636,500 | 6,635,145 | 1,998,645 | 43.1% |
| Equipment | 5,067,000 | 7,562,053 | 2,495,053 | 49.2% |
| Ins. Claims & Indemnities | 47,000 | 100,000 | 53,000 | 112.8% |
| **Grand Total** | **31,680,000** | **48,383,000** | **16,703,000** | **52.7%** |

*** Excludes $10 million reprogramming approved for annual expenses provided under Conference Report 109-189 and approved by Committees on Appropriations of the House and Senate. FY 2006 estimated costs includes $31.7 million appropriated plus the approved $10 million from prior year No-year funds for a total of $41.7 million. When compared to FY 2006 funded, the % change to FY 2007 request is 16.1% for non-personnel. See Appendix for detail.*

# Budget Schedules

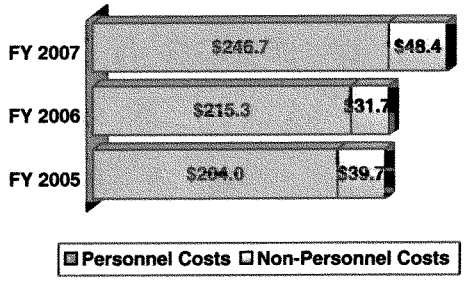
## United States Capitol Police
## FISCAL YEAR 2007 Resource Summary
(Dollars in Thousands)

| Category | | | | | |
|---|---|---|---|---|---|
| **Personnel** | **FY2005 Actual** | **FY2006 estimate** | **FY2007 Request** | **Change 07 vs. 06** | **% Change** |
| Appropriation | $203,440 | $217,456 | $246,700 | $29,244 | 13.4% |
| Transfer In | $5,400 | ..... | ..... | | |
| Transfer Out* | ($3,200) | ..... | ..... | | |
| Rescission (Pub. L. 108-447) | ($1,628) | ..... | ..... | | |
| Rescission (Pub. L. 109-148) | ..... | ($2,175) | ..... | | |
| Total | **$204,012** | **$215,281** | **$246,700** | **$31,419** | **14.6%** |
| **Non-Personnel** | **FY2005 Actual** | **FY2006 estimate**** | **FY2007 Request** | **Change 07 vs. 06** | **% Change** |
| Appropriation | $28,888 | $32,000 | $48,383 | $16,383 | 51.2% |
| Supplemental (Pub Law 109-13) | $11,000 | ..... | ..... | | |
| Rescission (Pub. L. 108-447) | ($231) | ..... | ..... | | |
| Rescission (Pub. L. 109-148) | ..... | ($320) | ..... | | |
| Total | **$39,657** | **$31,680** | **$48,383** | **$16,703** | **52.7%** |
| **Total Appropriations** | **$243,669** | **$246,961** | **$295,083** | **$48,122** | 19.5% |

**Pending final approval*

*** Excludes $10 million reprogramming approved for annual expenses provided under Conference Report 109-189 and approved by Committees on Appropriations of the House and Senate. FY 2006 estimated costs includes $31.7 million appropriated plus the approved $10 million from prior year No-year funds for a total of $41.7 million. When compared to FY 2006 funded, the % change to FY 2007 request is 16.1% for non-personnel. See Appendix for detail.*

**Comparison of Resources for**
**FY 2005, 2006, and 2007 Request**
**(in millions)**



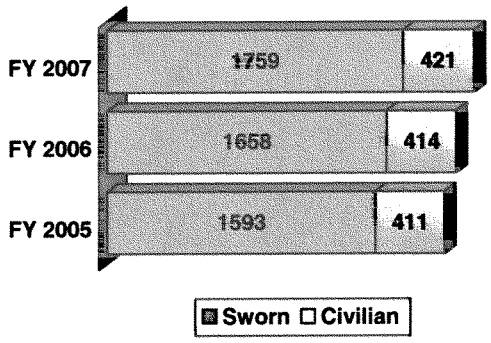
## United States Capitol Police
## Staffing Summary - FTEs

| Direct Funded by Appropriation | FY2005 Authorized | FY2006 Authorized | FY2007 Request |
|---|---|---|---|
| Salaries Appropriation..... | Number of FTEs | | |
| Sworn..... | 1,593 | 1,658* | 1,759 |
| Civilian..... | 411 | 414 | 421 |
| Total FTEs Agency-wide..... | 2,004 | 2,072 | 2,180 |

**Includes 45 CVC position, pending approval.*

As previously stated under the personnel section of this document, the Department requests a sworn authorization of 1,759 FTEs. This is an increase of 101 FTEs including the 10 FTEs for the Library of Congress attrition. Additionally, the Department requests a civilian authorization of 421 FTEs. This is an increase of seven over the current authorized level. The total FY 2007 requested staffing authorization is 2,180.

**Comparison of FTE Authorizations for FY 2005, 2006, and 2007 Request**
**(in millions)**



# United States Capitol Police
## FY 2007 Personnel Expense Request
## SCHEDULE A

**Summary By Object Class** (Dollars in Thousands)

| Object Class | FY 2005 Actual | FY 2006 Appropriation | FY 2007 Request | Change Appropriation |
|---|---|---|---|---|
| 11 Personnel Compensation | $158,093 | $163,269 | $187,326 | $24,057 |
| 12 Personnel Benefits | 45,577 | 51,814 | 59,176 | 7,362 |
| 13 Benefits for Former Personnel | 64 | 198 | 198 | 0 |
| 21 Travel | ..... | ..... | ..... | ..... |
| 22 Transportation of Things | ..... | ..... | ..... | ..... |
| 23 Rent, Communications and Utilities | ..... | ..... | ..... | ..... |
| 24 Printing and Reproduction | ..... | ..... | ..... | ..... |
| 25 Other Contractual Services | ..... | ..... | ..... | ..... |
| 26 Supplies and Materials | ..... | ..... | ..... | ..... |
| 31 Equipment | ..... | ..... | ..... | ..... |
| 32 Land and Structures | ..... | ..... | ..... | ..... |
| 41 Grants | ..... | ..... | ..... | ..... |
| 42 Insurance Claims and Indemnities | ..... | ..... | ..... | ..... |
| 43 Interest | ..... | ..... | ..... | ..... |
| 44 Refunds | ..... | ..... | ..... | ..... |
| **Total Budget** | $203,734 | $215,281 | $246,700 | +/- $31,419 |

# United States Capitol Police
## FY 2007 Personnel Expense Request
## SCHEDULE B

### Analysis of Change
(Dollars in Thousands)

| | FY2007 FTE | FY2007 Amount |
|---|---|---|
| **FY 2006 Appropriation** | | |
| Salaries | 2,072 | $217,456 |
| Rescission (Pub. L. 109-148) | ..... | (2,175) |
| **Total FY 2006 Available** | **2,072** | **$215,281** |
| **FY 2007 Mandatory Pay and Related Costs:** | | |
| 1. COLA - January 2007, 2.7% | ..... | $4,668 |
| 2. Annualization of COLA, January 2006 3.1% | ..... | 1,941 |
| 3. Annualization of new FY 2006 Civilian Positions | ..... | 226 |
| 4. Annualization of new FY 2006 Sworn Positions | ..... | 3,385 |
| 5. Within-grade Increases & Promotions | ..... | 7,196 |
| 6. Overtime (includes FICA/Medicare) | ..... | 4,120 |
| 7. Health Benefit Increases | ..... | 432 |
| 8. Full funding of sworn staff (restoration of rescission) | ..... | 402 |
| 7. Student Loans, Workers Comp., Monetary Awards, Specialty Pay, Lump Sum & Misc. Benefits | ..... | 2,472 |
| **Total FY 2007 Mandatory Pay and Related Costs** | ..... | **$24,842** |
| **FY 2007 Program Increases:** | | |
| Additional 101 Sworn Positions | 101 | $5,561 |
| Additional 7 Civilian Positions | 7 | 1,016 |
| **Total FY 2007 Program Increases** | ..... | **$6,577** |
| **Net Increases/Decrease** | 108 | $31,419 |
| **Total Appropriation** | 2,180 | $246,700 |

## Analysis of Change Explanation
## FY 2007 Differences Compared to FY 2006
## Personnel Expenses
(Dollars in Thousands)

| FY 2007 Personnel Expense Changes | Request Differences |
|---|---|
| **FY 2007 Mandatory Pay and Related Cost Increases** | **$ 24,842** |
| **1. January 07 COLA**<br>Nine-months funding of 2.7 % COLA. | 4,668 |
| **2. January 06 COLA**<br>Three-months annualization of 3.1% COLA. | 1,941 |
| **3. FY 06 Sworn Positions Annualized**<br>Full-year funding for 45 CVC positions and LOC positions authorized in FY 06. | 3,385 |
| **4. FY 06 Civilian Positions Annualized**<br>Full-year funding for 4 Inspector General positions authorized in FY 06. | 226 |
| **5. Within-Grade Increases & Promotions**<br>Estimated longevity and promotion pay increases for within rank and grade increases. Items paid in accordance with the USCP Unified Pay Schedule. | 7,196 |
| **6. Overtime**<br>For FY 2007, the estimated overtime need is 494,700 hours, which will cost approximately $28.1 million based on overtime posting and coverage requirements and approximate costs for the following areas:<br>▪ Sworn staffing level shortage of 200 FTE to maintain coverage, posts, and operations. This shortage equates to 331,200 overtime hours at a cost of $18.8 million.<br>▪ Late sessions of Congress require unscheduled work hours to maintain necessary security levels. It is expected that 35,000 overtime hours are needed at a cost of $2.0 million. | 4,120 |

| FY 2007 Personnel Expense Changes | Request Differences |
|---|---|

- Special events on the Capitol complex create extra law enforcement and security concerns. These events include various demonstrations, the State of the Union Address, and concerts, which create an estimated 17,980 hours of overtime work at a cost of $1.0 million.

- Security alerts that require extra officer hours for vehicle inspections creating 58,320 hours of overtime at $3.3 million.

- Civilian workforce overtime hours are estimated at 45,700 hours at a cost of $2.6 million to support the operational teams, security systems, and the administrative functions of the Department.

- Arrests and court overtime are estimated at 6,500 hours costing $0.4 million.

| | | |
|---|---|---|
| 7. | **Health Benefit Increases**<br>Estimated increases to employer paid health benefits. | 432 |
| 8. | **Full funding of sworn staff**<br>The FY 2006 rescission postponed the hiring of a recruit class in January 2006. This is a restoration of that rescission amount for FY 2007. | 402 |
| 9. | **Student Loans, Workers Comp, Lump Sum, Monetary Awards, Specialty Pay & Misc. Benefit Adjustments**<br>Other increases are estimated for student loans ($299), workers' compensation ($1,543), lump sum ($93), monetary awards program ($246), specialty pay ($185) and other miscellaneous benefits ($106). | 2,472 |
| **FY 2007 Request for an Additional Staffing** | | **$ 6,577** |
| 1. | **Increase in sworn FTEs (+101)**<br>Sworn positions are proposed to increase by 101 FTEs. The total authorization requested is 1,759. Increases of 63 for the CVC staff, 11 for DPD staff, 17 for Anti terrorism TIGER Team and 10 for LOC attrition | 5,561 |
| 2. | **Increase in civilian FTEs (+7)**<br>Civilian positions are proposed to increase by 7 FTEs. This increase includes 2 positions for Financial Management, 2 for Security Services Bureau, 1 for the Office of Information Services and 2 for the Office of General Counsel. | 1,016 |

# United States Capitol Police
## FY 2007 Non-Personnel Expense Request
## SCHEDULE A

### Summary By Object Class
(Dollars in Thousands)

| Object Class | FY 2005 Actual* | FY 2006** Appropriation | FY 2007 Request | Change Appropriation |
|---|---|---|---|---|
| 11 Personnel Compensation | ..... | ..... | ..... | ..... |
| 12 Personnel Benefits | ..... | ..... | ..... | ..... |
| 13 Benefits for Former Personnel | ..... | ..... | ..... | ..... |
| 21 Travel | $3,565 | $3,647 | $4,658 | $1,011 |
| 22 Transportation of Things | 6 | 2 | 23 | 21 |
| 23 Rent, Communications and Utilities | 1,492 | 35 | 1,999 | 1,964 |
| 24 Printing and Reproduction | 59 | 181 | 260 | 79 |
| 25 Other Contractual Services | 12,244 | 18,065 | 27,146 | 9,082 |
| 26 Supplies and Materials | 3,232 | 4,637 | 6,635 | 1,999 |
| 31 Equipment | 9,514 | 5,067 | 7,562 | 2,495 |
| 32 Land and Structures | 5,218 | ..... | ..... | ..... |
| 41 Grants | ..... | ..... | ..... | ..... |
| 42 Insurance Claims and Indemnities | ..... | ..... | ..... | ..... |
| 43 Interest | ..... | ..... | ..... | ..... |
| 44 Refunds | ..... | ..... | ..... | ..... |
| 91 Unvouchered (Tort Claims) | $25 | $47 | $100 | $53 |
| **Total Budget** | $35,355 | $31,680 | $48,383 | +/- $16,703 |

**Includes expenditures from no-year funds*

*** Excludes $10 million reprogramming approved for annual expenses provided under Conference Report 109-189 and approved by Committees on Appropriations of the House and Senate. FY 2006 estimated cost includes $31.7 million appropriated plus the approved $10 million from prior year No-year funds for a total of $41.7 million. When compared to FY 2006 funded, the % change to FY 2007 request is 16.1% for non-personnel. See Appendix for detail.*

# United States Capitol Police
## FY 2007 Non-Personnel Expense Request
## SCHEDULE B

### Analysis of Change
(Dollars in Thousands)

| | Amount |
|---|---|
| **FY 2006 Appropriation** | |
| General Expenses | $32,000 |
| Rescission (Pub. L. 109-148) | (320) |
| **Total FY 2006 Available** | **$31,680** |
| **FY 2006 Non-recurring Costs:** | **($500)** |
| Loronix Expansion (Camera Recording) General Expenses | |
| **FY 2007 Price Level Changes:** | **$481** |
| Various Expenses | |
| **FY 2007 Program Increases:** | |
| 1. Administrative | $51 |
| 2. Fixture, Furnishings, and Equipment Refreshment and Contracts | 25 |
| 3. Furniture and Contracts | 316 |
| 4. Agency-wide Services | 294 |
| 5. Financial Management & Accountability | 398 |
| 6. Police Board Support | 20 |
| 7. HR Systems | 257 |
| 8. Recruiting & Employment | 339 |
| 9. Communication Operations & Maintenance - Existing Systems | 1,550 |
| 10. Communication Systems Engineering/ Professional Services | 940 |
| 11. IS Operations & Maintenance - Existing Systems | 1,936 |
| 12. IS Systems Engineering/ Professional Services | 1,008 |
| 13. IS Systems Modernization Phase III | 1,175 |
| 14. Radio, Voice, & Data Communications | 3,498 |
| 15. Operations OPOHS | 631 |
| 16. Hazardous Incident Response | 113 |
| 17. Patrol Mobile Response | (4) |
| 18. Logistical Support | 66 |
| 19. Protective Detail Travel | 850 |
| 20. Protective Services | (47) |
| 21. Access Control | 223 |
| 22. Detection and Screening Systems | (26) |
| 23. Security Systems Maintenance | 151 |
| 24. Technical Countermeasures | 1,122 |
| 25. Training Services | 63 |
| 26. Fleet Management | 275 |
| 27. Additional Staffing Civilian | 64 |
| 28. Additional Staffing Sworn | 1,434 |
| **Total FY 2007 Program Increases** | **$16,722** |
| **Net Increases/Decrease** | **$16,703** |
| **Total Appropriation** | **$48,383** |

## Analysis of Change Explanation
## FY 2007 Differences Compared to FY 2006
## Non-Personnel Expenses
(Dollars in Thousands)

| FY 2007 Non-Personnel Expense Changes | | |
|---|---|---|
| **Bureau/Program** | | **Amount Requested** |
| **Chief Administrative Officer** | | $44 |
| 0. Administration CAO --- Request $44 | No Change | $0 |

CAO Administrative costs consist of normal operating costs such as travel, training, supplies, subscriptions, printing and binding and office equipment required to operate the CAO office. Additionally, there is $13,000 for an agency-wide management development program.

| **Chief of Operations** | | $18 |
|---|---|---|
| 0. Administration – COP --- Request $18 | No Change | $0 |

Includes administrative costs such as official travel, training and supplies

| **Chief of Police** | | $91 |
|---|---|---|
| 1. Administration COP --- Request $73 | Decrease | ($15) |

Funds are used for official travel & training and to create directive manuals, obtain operational supplies, and to support the Commission on Accreditation for Law Enforcement Agencies (CALEA) membership fees and training.

*Program Changes: The increases in this program are attributed to the following: Membership fees, training and travel to CALEA $14,000; Directive Manuals $2,000; Operational Supplies $2,000 and Office Equipment $600. Decrease of $33,400 in the program are in External Training, Photo Lab, Official Travel, & Training Travel.*

| 0. Police Board Support ---Request $14 | No Change | $0 |
|---|---|---|

Board funds are for equipment, training, professional services, supplies, and travel for the Board's Executive Officer.

| 0. Representation Fund ---Request $5 | No Change | $0 |
|---|---|---|

Representation fund is primarily used to extend official courtesies to various dignitaries, officials and prominent citizens that visit the United States Capitol Police organization.

| **Facilities Management Division** | | $413 |
|---|---|---|
| 1. Administration - FMD --- Request $27 | Increase | $7 |

Includes administrative costs such as official travel, transportation of things training, subscriptions, safety equipment and supplies.

*Program Change: The major increase is for small internal moves requiring the services of an outside vendor. Such moves include the relocation of 120 full size*

**FY 2007 Non-Personnel Expense Changes**

| Bureau/Program | Amount Requested |
|---|---|

*lockers from Police Headquarters to a warehouse for future use at an off-site delivery center.*

2. Fixture, Furnishings, and Equipment --- Request $55 Increase $25

Provides allowances for reconfiguration of system/modular furniture, equipment/supplies storage cabinets, high density filing system, lockers, bulletin/white marker boards that are generally located in common areas such as lobbies and hallways, break room furnishings, and other associated office furniture furnishings and equipment for the immediate needs of the department and unique furniture furnishings and equipment specific to law enforcement.

*Program Change: The major increases are for modular furniture replacements and lockers.*

3. Furniture and Contracts --- Request $331 Increase $316

The contracts include Radiation Monitoring, Respiratory Medical Questionnaire; Occupational Health and Medical Screening, Video Teleconferencing Contract (VTC) Maintenance and Health and Safety Personnel.

*Program Change: The funding for the video teleconferencing maintenance project was included in the $10 million reprogramming approved by the House and Senate Appropriation Committees and referenced in Conference Report 109-189. There is a net total increase in this program of $316,000, increases of $53,000 for Health and Safety Personnel, $8,000 for the Respiratory Medical Questionnaire contract; $5,000 for the current Occupational Health and Medical Screening contract and $250,000 for the maintenance of the video teleconferencing equipment.*

**Office of Employment Counsel** **$281**

0. Employment Law Services --- Request $281 No Change $0

Continued response to legal inquires form all elements of the Department require needed funding for printing & binding (reproduction services), court reporting, clerical/secretarial assistance, paralegals, document management, publications, supplies, management development, travel, equipment, and training to maintain professional certifications.

**Office of Financial Management** **$4,760**

1. Administration - OFM --- Request $235 Decrease ($27)

Includes travel, training, supplies, subscriptions and miscellaneous office equipment required to run the Office of Financial Management.

*Program Change: Decrease is due primarily to a reduction in the Miscellaneous Office Equipment*

**FY 2007 Non-Personnel Expense Changes**

| Bureau/Program | | Amount Requested |
|---|---|---|

4. Agency Wide Service ---Request $1,794 Increase $540

The Office of Financial Management (OFM) is responsible for planning and directing all financial activity of the United States Capitol Police including budget development and execution, all procurement and purchasing activities, as well as the activities related to accounts/payable and accounting. Through the Agency-wide Services account, the Office of Financial Management administers the fleet card program, management of copiers, commercial faxes and multi-functional machines (copy/scan/print/fax), postage & fees, tort claims and contingency funds.

*Price Level Change: A net increase of $246,000 is related to inflation for fuel costs. Program Change: A partial amount of the Vehicle fuel project was included in the $10 million reprogramming approved by the House and Senate Appropriation Committees and referenced in Conference Report 109-189. There is a net total increase of $294,000 in this program consisting of a net increase of $7,000 in the copier machine refreshment and copier maintenance projects; an increase in the Tort Claims budget of $53,000 and an increase of $334,000 in recurring expenses; there is a decrease in the Special Purpose Contracts of $100,000.*

---

5. Financial Management and Accountability --- Request $2,731 Increase $398

This program includes funding requests for contractual support which includes audit and review services, outsourcing contract support and the Cross Servicing Agreement for the new Financial Management System.

*Program Change: The major increase is $346,000 for the new Financial Management System. Included in the budget request is funding for procurement of the Momentum Project Cost Accounting (PCAS) module.*

**Office of General Counsel** **$130**

6. Police Board Support --- Request $130 Increase $20

Includes legal service support for the Capitol Police Board. Included in such support is funding for administrative support items such as training, travel, supplies, subscriptions, printing and binding. Additionally, funds are requested for Electronic reference databases such as Lexis and Westlaw.

*Program Change: Primarily due to Lexis and Westlaw legal database support costs.*

**Office of Human Resources (OHR)** **$2,916**

1. Administration HR --- Request $910 Decrease ($281)

Funds requested for Administration are for training, travel, printing & binding, membership fees, operational supplies, and publications. Additionally, this program includes funding for employees benefit services such as the tuition reimbursement program and awards program; and HR support services for such items as contract support for an interpreter for hearing impaired staff.

**FY 2007 Non-Personnel Expense Changes**

| Bureau/Program | Amount Requested |
|---|---|

*Program Changes: Increases include the tuition reimbursement program of $100,000; $25,000 in consulting contracts and $20,000 in the six HR support positions project. A 2 year promotion list for Sergeant, Lieutenants and Captains is generated every other year by an independent contractor. Funding is not requested in FY 07 for this contract, resulting in a decrease of $425,000.*

7. HR Systems---Request $1,167 Increase $266

Funds will support contract services used at the United States Department of Agriculture (USDA) and the National Financing Center (NFC). Additionally, this program includes continual funding for annual licensing, user fees and new modules for the Human Resources Management System (AVUE). Funding is also requested for the time & attendance system programming (Workbrain), which includes employee training.

*Price Level Change: Inflationary increase of $9,000 for HR systems.*

*Program Changes: Increases in this program include the new modules, contract cost and user fees for the AVUE system of $302,000. Additional changes include Contract Services with USDA & NFCof $9,000: Retirement & Benefits Calculation Software of $5,000. There is a proposed reduction of $50,000 in the funding for the Time and Attendance System (Workbrain).*

8. Recruiting & Employment --- Request $839 Increase $340

This program includes all aspects related to recruiting and employment for FY 2007. This includes items such as, background investigations and polygraph testing; credit checks, medical services and psychological screening. Additionally, there are funds requested for certain administrative items related to recruiting such as job fair, travel, advertising, supplies.

*Price Level Change: There is an inflationary increase of $1,000 for recruitment advertising.*

*Program Change: The major program change is the outsourcing of the Background Investigations/Polygraphs function. The six sworn officers currently responsible for this service would be transferred back to Operational assignments. The contractual cost for the full outsourcing is an increase of $364,000. There is a reduction in internet design of $25,000*

**Office of Information Systems** **$11,232**

1. Administration - OIS --- Request $165 Increase $165

The program request is for administrative consisting of official travel, operational supplies, subscriptions (CD Reference information), training and travel. Training and travel is primarily for IT specialist in the areas of cyber security, program management, web content, database administration, records and document management, internal controls, Micro-soft systems administration, Network engineering, Microsoft Sequal (MS SQL), Capability Maturity Model Index (CMMI), and others. This is in addition to maintaining any certification requirements.

**FY 2007 Non-Personnel Expense Changes**

| Bureau/Program | Amount Requested |
|---|---|

*Program Change: The amounts contained in the various projects were part of the $10 million reprogramming approved by the House and Senate Appropriation Committees and referenced in Conference Report 109-189; therefore, the entire $165,000 is considered a Program Change. However, if the amounts requested were compared to the FY2006 reprogrammed amount of $215,000, a net decrease of $50,000 would be reflected in the areas of supplies, subscriptions, and official travel*

---

9. Communication Operations & Maintenance - Existing Systems --- Request $1,550 Increase $1,550

This program includes funding request for communication system support and maintenance, repair, licensing, and support of systems. Communications System Support is for blackberry e-mail integration software, Cisco Network equipment, and Network Analysis Tools. In addition This program covers maintenance repair, licensing and support of new systems, command center, command vehicle, criminal prisoner processing, existing system, and miscellaneous communication equipment.

*Program Change: The amount contained in the various projects were part of the $10 million reprogramming approved by the House and Senate Appropriation Committees and referenced in Conference Report 109-189. therefore, the entire $1,550,000 is considered a Program Change. However, if the amounts were compared to the reprogrammed amount of $1,852,000, a net decrease of $302,000 would be reflected in the areas of:*

*Criminal Prisoner Processing - decrease of ($400,000)*
*Cisco Network equipment - decrease of ($50,000)*
*Blackberry e-mail integration software - increase of $2,500*
*Misc. Communication Equipment - increase of $25,000*
*New Systems - increase of $120,865*

---

10. Communication Systems Engineering/ Professional Services --- Request $940 Increase $940

This funding request is for Communications Support Services which covers engineering and professional services for Radio systems support with Bearcom approximately 4 FTEs, and engineering professional services/system support (Network engineer, Cisco Tech).

*Program Change: The amounts contained in the various projects were part of the $10 million reprogramming approved by the House and Senate Appropriation Committees and referenced in Conference Report 109-189; therefore the entire $940,000 is considered a program change. However, if the amounts were compared to the reprogrammed amounts of $850,000 for this program, there would be a net increase of $90,000 for contractual support services.*

---

11. Information System Operations & Maintenance - Existing Systems --- Request $1,937 Increase $1,937

This program includes funding request for Life-cycle replacement and maintenance,

repair, licensing, and support of systems for Misc. hardware (Time clocks, servers, other computer equipment), refreshment of printer base, software of new computers, data storage systems etc.

*Program Change: The amount contained in the various projects were part of the $10 million reprogramming approved by the House and Senate Appropriation Committees and referenced in Conference Report 109-189; therefore, the entire amount is considered a Program change. However, if the amounts requested were compared to the FY 2006 reprogrammed amount of $1,656,000, a net increase of approximately $281,000 would be reflected in the areas of:*

*Data Storage Systems - increase of $95,000*
*Replace cost for PC workstations (~56 units) - increase of $150,000*
*Software for new computers - increase of $7,000*
*Backup servers (Server refresh, Maint. Support) - increase of $81,000*
*Support of existing systems (Intranet, Veritas Backup software, Vertias Maint. Support, Track it, IAPRO, Wlinslight, Faster, Computer Aided Dispatch (CAD), ILEADS, ERWIN, Change Management Expert, OnDuty, Quask, Time and Attendance System (Workbrain), Rational Rose, Haines, Quest, Altirus, Adobe - increase of $119,000*
*Support of existing applications (Hummingbird, Salina, Argent, Script logic, SANS) - decrease of ($171,000)*

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12. Information Systems Engineering/Professional Services
--- Request $1,008 Increase $1,008

This program includes funding request for Life-cycle replacement and maintenance, repair, licensing, and support of systems for Misc. hardware (Time clocks, servers, other computer equipment), refreshment of printer base, software of new computers, data storage systems etc.

*Program Change: The amount contained in the various projects were part of the $10 million reprogramming approved by the House and Senate Appropriation Committees and referenced in Conference Report 109-189. therefore, the entire amount is considered a Program Change. However, if the amounts requested were compared to the FY 2006 reprogrammed amount, a net increase would be reflected in the following areas. If the FY 2006 cost included in the reprogramming were compared to FY 2007 amounts the changes would be as follows:*
*Decrease of ($22,300) for Professional Services/System Support (Senior Window Engineer, IT help desk, data conversion Microstragety, Armour, Pippins, Business Modeling)*

---

13. IS Systems Modernization Phase III --- Request $2,135 Increase $1,175

Funding for this program is for the Alternate Computing Facility and Information Systems Modernization Phase III. The funding for this program supports the USCP Continuity of

**FY 2007 Non-Personnel Expense Changes**

| Bureau/Program | Amount Requested |
|---|---|

Operations (COOP) and Continuation of Government (COG) activities related to the enterprise data and information being hosted on the USCP servers. The ACF is a warm site soon to be a "hot site" where data and information will reside in the event of emergency operations anywhere anytime. Additionally this program provides for maintenance and increase cost for the Asset Management System - Maximo

*Program Change: The amount contained in the various projects were part of the $10 million reprogramming approved by the House and Senate Appropriation Committees and referenced in Conference Report 109-189; therefore the majority of the program changes in this program are associated with prior year reprogrammed funds. If the amounts were compared to actual FY 2006 operating expenses, the changes would be as follows:*

*-- ACF increase of $25,000. Estimates provided by the contractor were higher than FY 2006 estimate annual cost for ACF. Additionally, ACF includes cost-sharing with Senate Sergeant at Arms and hardware/software.*

*-- Asset Management System of 40,000. The increase for the Asset Management System provides for the increased cost in building out the system. Additional Module was cut from FY 2007 budget during formulation.*

*-- Other increases of $1,110,000 are recurring estimated costs accounted for in the reprogramming of funds.*

---

14. Radio, Voice, & Data Communications --- Request $3,498 Increase $3,498

This request is for sustainment of Police & Wireless Devices Life-cycle, and for voice, data & access fees and services. This program provides for the support of Text paging (blackberry), service fees for Washington Area Law Enforcement System (WALES) National Crime Information Center (NCIC), local, long distance telephone, data circuits, and system support.

*Program Change: The amount contained in the various projects were part of the $10 million reprogramming approved by the House and Senate Appropriation Committees and referenced in Conference Report 109-189; therefore the entire $3,498,000 is considered a Program change. However, if the amounts were compared to the reprogrammed amount of $2,653,000, a net increase of $845,000 would be reflected as follows:*

*-- A net increase of recurring expenses of $751,000; a new initiative to provide off-site location phone service estimated at $50,000. A $43,000 increase to provide a Travel System and Equipment for the Radio Van.*

**Office of Inspector General** **$170**

1. Administration - OIG Request $170,000 Increase $170

New Office – administrative funding to support 4 FTE for travel, training, operations supplies, membership fees, office equipment, subscriptions and publications.

## FY 2007 Non-Personnel Expense Changes

| Bureau/Program | | Amount Requested |
|---|---|---|
| **Office of Logistics** | | **$10** |
| 0. Administration - OOL --- Request $10 | No Change | $0 |

Includes administrative costs such as supplies, training and travel for the Office of Logistics.

| | | |
|---|---|---|
| **Office of Plans, Operations, and Homeland Security** | | **$1,492** |
| 1. Administration - OPOHS --- Request $27 | Increase | $5 |

Includes administrative cost such as supplies, software and training

*Program Change: Increase primarily due to restoration of Management training funds reduced during fiscal year 2006 budget process*

| | | |
|---|---|---|
| 15. Operations - OPOHS --- Request $1,465 | Increase | $631 |

Includes funding requests for the Command Center Operations, Command Vehicle Operations and Communications Center Operations.

*Program Change: Increase due to full funding of the outsourcing of 20 Security Control Operators as part of the Communications Center Operations project. There was 6 months of funding included in FY 2006 while the program was established. These Operators are responsible for monitoring security screens 24/7 and are part of the vital security operations provided by the USCP.*

| | | |
|---|---|---|
| **Office of Professional Responsibility** | | **$47** |
| 1. Office of Professional Responsibility---Request $47 | Increase | $47 |

This new office was previously under the Chief of Police. It accomplishes its mission through two subordinate divisions, the Internal Affairs Division (IAD) and the Inspection Division (ID). IAD has functional responsibility for conducting internal administrative investigations of allegations of misconduct made against members of the Department. ID is responsible for implementing inspections programs designed to review Departmental operations, program facilities, personnel, documents, process and activities for efficiency and effectiveness as well as for legal and regulatory compliance.

*Program Changes: Funds are needed to start up this new office: Administrative support costs include funds for operations of the office such as travel, training, supplies, subscriptions, publications, memberships, equipment. Funds also requested to be used to create sensitive internal manuals consisting of written documents, audio and video taped interviews.*

| | | |
|---|---|---|
| **Operational Services Bureau** | | **$1,035** |
| 1. Administration --- Request $47 | Decrease | ($2) |

Includes administrative costs such as official travel, mountain bike maintenance, and office supplies.

*Program Change: Decrease is due primarily to reduction of $8,000 in external training and an increase of $3,000 in official travel and $3,000 in equipment.*

**FY 2007 Non-Personnel Expense Changes**

| Bureau/Program | | Amount Requested |
|---|---|---|
| 16. Hazardous Incident Response--- Request $786 | Increase | $113 |

Hazardous incident response encompasses hazardous devices and the hazardous materials response team who are responsible for prevention and mitigation of explosive devices as well as chemical, biological, radiological and nuclear device mitigation and response.

*Program Change: Decreases of approximately $73,000 for biohazard supplies, medical services, and bomb detection equipment. Increase of approximately $111,000 for purchase of required equipment and supplies for the hazardous materials response team to comply with OSHA and NFPA safety standards. This equipment was previously provided by the Department of Defense. Also included is the replacement of a bomb suit for hazardous devices. Increase of approximately $75,000 for maintenance of radiological and biological detectors and hazardous material equipment life cycle replacement.*

| | | |
|---|---|---|
| 17. Patrol Mobile Response — Request $222 | Decrease | ($1) |

Program Increases and Decreases as follows:

*Price Level: Increases of $2,600 for K-9, offsite delivery and Patrol Mobile Response.*
*Program Change: Decrease of $4,100 primarily due to decreases in external training and equipment, with increases in supplies for canine equipment.*

| **Property Management Division** | | **$1,479** |
|---|---|---|
| 1. Administration - PMD ---Request $31 | Decrease | ($1) |

Includes administrative costs such as supplies, training and travel.

*Program Change: Decrease in training travel.*

| | | |
|---|---|---|
| 18. Logistical Support - PMD --- Request $1,448 | Increase | $73 |

Includes funding for purchase of new uniforms and equipment for recruits, CERT, K-9 and others as well as uniforms and equipment refreshment. Dry cleaning, alterations, metals and ribbon funding are also included in this program.

*Price Level Change: Increase of $7,000 for Logistical support.*
*Program Change: Increase primarily due to purchase of new uniforms for an estimated 100 new recruits.*

| **Protective Services Bureau** | | **$4,318** |
|---|---|---|
| 1. Administration - PSB --- Request $101 | Decrease | ($2) |

Includes administrative costs such as supplies and contractual support.

*Program Change: decrease due to reduction in contract support.*

| | | |
|---|---|---|
| 19. Protective Detail Travel - PSB --- Request $3,850 | Increase | $850 |

**FY 2007 Non-Personnel Expense Changes**

| Bureau/Program | Amount Requested |
|---|---|

The Dignitary Protection Division (DPD) is required to travel to destinations throughout the United States to ensure the safety and security of the Congressional Leadership and other Congressional Protectees.

*Program Change: The $850,000 or 28% increase requested in this program is due to the increase in per diem rates, fuel prices, and the number of sworn officers requiring training due to staff increase. In addition, PSB has historically exceeded their allocation and expended approximately $3.1 million in travel costs in FY 2005. This increase is to fund the program at an appropriate level.*

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20. Protective Services - PSB --- Request $367 Decrease ($47)

The Dignitary Protection Division (DPD) is responsible for protecting Members assigned to Leadership positions in the House and Senate as well as Members who receive significant direct threats that are assessed through PSB and approved by the Capitol Police Board. This program also provides protective escorts within the Capitol Complex for Heads of State, VIP's and other visiting dignitaries. This program consists of two projects. The first project is for Dignitary Protection training and related travel. The second project is for Protective Intelligence. The majority of funds being requested are for training and related travel.

*Program Change: Decreases are primarily due to a reduction in training travel and official travel for Intelligence functions.*

**Security Services Bureau** **$14,354**

21. Access Control---Request $2.927 Increase $320

This program includes numerous projects such as the Wackenhut Security contract for the alternative computer facility (ACF), vehicle barrier support, card access system, command center, fire doors, kiosks, locks and keys, new installs and podiums.

*Price level Increases--Inflation of $97,000 includes Wackenhut security contract for ACF, barriers, card access, command center, kiosks, and podiums.*

*Program Change: There is a $68,000 increase in the Barriers project. There are currently 103 barriers which are expected to increase to 125 barriers in FY 07. There is an increase of $76,000 for the Card Access project. There are 1,495 card readers installed to control public access. Funds are needed to ensure technology is replaced as part of the Fleet Management Plan and software is upgraded as new versions are released by the manufactures. The Fire Door project requires a net increase of $19,000 for replacement parts and maintenance in order to comply with life safety codes. There is an increase of $32,000 for the Podium project. Included is a request for 2 new podiums for the Upper House and Senate Steps to replace the existing units that are not weather proof. The Headquarters (HQ) North Door entrance, including lobby is being renovated by the AOC at a related cost to the USCP of $29,000.*

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0. Administration SSB---Request $150 No Change $0

**FY 2007 Non-Personnel Expense Changes**

| Bureau/Program | Amount Requested |
|---|---|

Funding for travel, training, maintenance and repairs of ADP equipment and supplies.

22. Detection and Screening Systems---Request $2,036 Decrease ($489)

This program includes several projects to provide detection and screening throughout the Capitol complex. Such projects include Closed Circuit Television (CCTV), digital video recorder, duress, emergency call boxes, explosive detectors, fraudulent document detection, freight x-ray, intrusion alarm, metal detectors, pedestrian monitoring, Secure Compartmented Information Facilities (SCIF) alarms, and X-ray.

*Non recurring: Decrease of $500,000 due to reduced need for upgrades of software licenses and other maintenance activities for the Loronix Expansion.*

*Price level Increases: There is $37,000 included for inflation. Projects with inflation include closed captioning TV, Duress, Emergency call boxes, Explosive Detectors, Freight X-ray, Intrusion Alarm, Metal Detectors, Pedestrian Monitoring, SCIF alarms and X-ray.*

*Program Change: Increase of $40,000 for maintenance of existing Closed Circuit Television (CCTV) equipment; increase of $85,000 in Digital Video Recorder project, for archiving and/or storage of video images; the Duress project is reduced by $147,000 because of a change in life cycle replacement of committee equipment; Explosive Detectors project increased by $21,000 due to life cycle replacement and maintenance; Fraudulent Documentation project reduced by $33,000 due to legal issues; Freight X-ray project is reduced by $100,000 to complete the replacement of old x-ray machines at offsite delivery. Intrusion Alarm project reduction of $100,000 was based on analysis done by outside contractor; and an increase in the x-ray project of $208,000 for maintenance.*

23. Security Systems Maintenance---Request $5,907 Increase $203

This program consists of annunciators (wireless public address system) , the comprehensive maintenance contract to support the maintenance, repair and preventive maintenance of the security systems on the Capitol Complex on a 24x7 basis to include security installation support, security network, and specialized security equipment.

*Price level Increases--Inflation of $52,000 includes annunciators, security installation support and network security support.*

*Program Change: Increase of $128,000 for the public address system is due to maintenance of new system; $23,000 in the Specialized Security Equipment project represents an overall increase of $5,000, and a move of $18,000 from the FY 06 Technical Countermeasure program. Funding for this program is for the procurement of equipment, tools, parts and supplies to maintain a baseline of security systems installed on the Capitol complex.*

24. Technical Countermeasures---Request $3,333 Increase $1,122

This program includes funding for projects such as detection maintenance, equipment services and supplies, life cycle replacement and Technical Countermeasure (TCM) specialized security equipment.

## FY 2007 Non-Personnel Expense Changes

| Bureau/Program | Amount Requested |
|---|---|

*Program Change: Increase in Technical Countermeasure (TCM) equipment, services and supplies of $924,000 for contract support, supplies and new equipment. Recent contract support costs have risen. In addition to the existing contract personnel, there is a request for an engineer / manager to oversee the In Place Monitoring System (IPMS); the increase of $216,000 in the Life Cycle Replacement project is for life cycle upgrade and replacement of both portable and in-place equipment; The Specialized Security Equipment program ($18,000) has been moved to another program (Security Systems Maintenance) for FY 2007.*

**Training Services Bureau** **$2,751**

1. Administration---Request $373 Decrease ($9)

Includes administrative costs for the Training Services Bureau (TSB) such as official travel, relocation moves for USCP personnel assigned to FLETC, Georgia, office supplies as well as firing range simulation and gym equipment.

*Price Level Increases for supplies are approximately $3,600.*

*Program Change: Approximately $94,000 in decreases are in executive training seminars for TSB staff, elimination of funds for relocation moves, reductions for travel staff, elimination of funds for relocation moves, reductions for travel. Approximately $82,000 in program increases are for life cycle replacement of equipment for the firing range, storage facilities and the gym.*

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25. Training Services---$2,378 Increase $86

Includes operational costs for recruit and in-service training for USCP sworn staff, costs for ammunition and firing range administration, Cheltenham usage (firing and driving range) and facility costs as well as costs for the Police Executive Leadership Program.

*Price Level Increases of approximately $23,000 are primarily composed of ammunition cost increases, contract cost increases for firing range cleaning, recruit travel, role player contract costs , as well as supply cost increases.*

*Program Change: Decreases include Police Executive Leadership Program of approximately $51,000 Distance learning initiatives of approximately $20,000 Driving and firing range usage fees and FLETC contract services of approximately $5,000*

*Increases include: Fitness instructor contract costs of approximately $89,000 Ammunition and controlled explosive costs of approximately $50,000*

**Uniformed Services Bureau** **$150**

1. Administration --- Request $150 Decrease ($5)

Administrative costs consist of normal operating costs such as travel, training, supplies, and office equipment required to operate the office.

*Program Change: Decreases are in the areas of external training and travel for Department managers, supervisors and officers and specialty equipment. The*

| FY 2007 Non-Personnel Expense Changes | |
|---|---|
| **Bureau/Program** | **Amount Requested** |

*program change will fund travel, training, and supplies for the four Divisions of the Uniformed Services Bureau, i.e., Capitol Division, House Division, Library of Congress, and Senate Division.*

**Vehicle Maintenance Division** **$1,175**

1. Administration - VMD --- Request $68 Increase $3

This program keeps all mechanics and VMD personnel trained, equipped and prepared for changes and normal daily duties to keep the USCP fleet at a high state of readiness. Additional personnel have been hired and require training and travel to external training facilities. USCP has purchased heavy duty rescue trucks, a refurbished command center and armored Suburban. These vehicles and tasks will all require training, travel and teaching tools that will encompass additional funding.

*Program Change: There is an increase being requested for training travel and a decrease for supplies in this program.*

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26. Fleet Management --- Request $1,107 Increase $275

The Vehicle Maintenance Division (VMD) is responsible for preventative maintenance, repairing and purchasing of 233 vehicles, 67 motorcycles, 14 trailers, 20 light towers and 9 message centers.

*Program Change: There is an increase being requested for training travel and a decrease for supplies in this program.*

**Full Time Equivalent-- General Expenses** **$1,498**

27. & 28. New Positions--- Request $1,498 Increase $1,498

Cost of general expenses for hire of sworn and civilian positions within FY 2007 request.

*Program Change: In FY 2007, the cost of fitting out the 101 new sworn positions is approximately $1.434m. The support cost for the 7 requested civilian positions is approximately $64,000.*

0.Represents no change in funding level from FY 2006 to FY 2007.
1.Represents all administrative program increases/decreases from FY 2006 to FY 2007 Budget Request. See schedule "B", on analysis of change.

UNITED STATES CAPITOL POLICE
FY 2007 PROPOSED LANGUAGE

## CAPITOL POLICE

### SALARIES

For salaries of employees of the Capitol Police, including overtime, hazardous duty pay differential, and Government contributions for health, retirement, social security, professional liability insurance, and other applicable employee benefits, $246,700,000 to be disbursed by the Chief of the Capitol Police or his designee.

### GENERAL EXPENSES

For necessary expenses of the Capitol Police, including motor vehicles, communications and other equipment, security equipment and installation, uniforms, weapons, supplies, materials, training, medical services, forensic services, stenographic services, personal and professional services, the employee assistance program, the awards program, postage, communication services, domestic travel, foreign travel as approved by the Capitol Police Board for training and Senate Congressional delegations, travel advances, relocation of instructor and liaison personnel for the Federal Law Enforcement Training Center, and not more than $5,000 to be expended on the certification of the Chief of the Capitol Police in connection with official representation and reception expenses, $48,383,000, to be disbursed by the Chief of the Capitol Police or his designee: Provided, That, notwithstanding any other provision of law, the cost of law enforcement related services required by the United States Capitol Police from other Federal law enforcement agencies, including basic training at the Federal Law Enforcement Training Center, the use of facilities and services at the Federal Law Enforcement Training Center in Cheltenham, Maryland, access to the Federal Bureau of Investigation's fingerprint data base, and access to the United States Secret Service's data bases for fiscal year 2007 shall be paid by the Departments who provide such services.

### ADMINISTRATIVE PROVISIONS

(INCLUDING TRANSFER OF FUNDS)

SEC. 1001. TRANSFER AUTHORITY. Amounts appropriated for fiscal year 2007 for the Capitol Police may be transferred between the headings "SALARIES" and "GENERAL EXPENSES" upon the approval of the Committees on Appropriations of the Senate and the House of Representatives.

SEC. 1002. COMPENSATION FOR DAMAGED OR LOST PROPERTY IN GENERAL. (a) Any amounts received by the Capitol Police for compensation for damage to or loss of property of the Capitol Police) including any insurance payments or payment made by an

officer or civilian employee of the Capitol Police) shall be credited to the account established for the general expenses of the Capitol Police, and shall be available to carry out the purposes of such account during the fiscal year in which the amounts are received and the following fiscal year.

(b) EFFECTIVE DATE. – This section shall apply to fiscal year 2007 and each fiscal year thereafter.

SEC. 1003. EDUCATIONAL ASSISTANCE PROGRAM. Section 908 of the Emergency Supplemental Act, 2002 (2 U.S.C. 1924, Public Law 107-117; 115 Stat.2319), as amended, is further amended in Subsection ( c ) by striking $40,000 and inserting $60,000.

SEC. 1004. ADVANCE PAYMENTS. Notwithstanding any other provision of law, when it is determined by the CFO of the United States Capitol Police that it is in the best interest of the government, the United States Capitol Police is authorized to make advanced payments for obligations.

# Appendix

USCP Budget by Program: FY 2006 Funded vs. FY 2007 Request

## Table 1-A

| Bureau / Programs | FY 2006 Appropriation | FY 2007 Request | Δ | %Δ |
|---|---|---|---|---|
| **USCP Salaries** | 215,281,440 | 246,700,000 | 31,418,560 | 14.6% |
| Personnel Compensation | 163,268,955 | 187,326,000 | 24,057,045 | |
| Benefits | 30,482,485 | 33,906,000 | 3,423,515 | |
| Overtime | 20,000,000 | 23,658,000 | 3,658,000 | |
| Overtime Benefits | 1,530,000 | 1,810,000 | 280,000 | |
| **Chief Administrative Officer** | 44,000 | 44,000 | - | 0.0% |
| Administration - Chief Administrative Officer | 44,000 | 44,000 | - | |
| **Chief of Operations** | 18,000 | 18,000 | - | 0.0% |
| *Command Operations* | 18,000 | 18,000 | - | |
| **Chief of Police** | 106,000 | 91,200 | (14,800) | -14.0% |
| *Administration - Chief of Police* | 87,500 | 72,700 | (14,800) | |
| *Police Board Support* | 13,500 | 13,500 | - | |
| *Representation Fund* | 5,000 | 5,000 | - | |
| **Facilities Management Division** | 65,500 | 413,200 | 347,700 | 530.8% |
| *Administration - Facilities Management Division* | 20,500 | 27,200 | 6,700 | |
| *Fixture, Furniture, Equip, Refreshment and Contrac* | 30,000 | 55,000 | 25,000 | |
| *Furniture and Safety Contracts* | 15,000 | 331,000 | 316,000 | |
| **Office of Employment Counsel** | 281,000 | 281,000 | - | 0.0% |
| *Employment Law Services* | 281,000 | 281,000 | - | |
| **Office of Financial Management** | 3,849,000 | 4,760,000 | 911,000 | 23.7% |
| *Administration - Office of Financial Management* | 262,000 | 235,000 | (27,000) | |
| *Agency-wide Services* | 1,254,000 | 1,794,000 | 540,000 | |
| *Financial Management & Accountability* | 2,333,000 | 2,731,000 | 398,000 | |
| **Office of General Counsel** | 110,000 | 130,000 | 20,000 | 18.2% |
| *Police Board Support* | 110,000 | 130,000 | 20,000 | |
| **Office of Human Resources** | 2,590,500 | 2,915,681 | 325,181 | 12.6% |
| *Administration - Office of Human Resources* | 1,191,000 | 910,110 | (280,890) | |
| *Human Resources Systems* | 901,000 | 1,166,821 | 265,821 | |
| *Recruiting & Employment* | 498,500 | 838,750 | 340,250 | |
| **Office of Information Systems** | 960,000 | 11,232,446 | 10,272,446 | 1070.0% |
| *Administration - Office of Information Systems* | - | 165,000 | 165,000 | |
| *Communication Operations & Maintenance - Existin* | - | 1,550,365 | 1,550,365 | |
| *Communication Systems Engineering/ Professional* | - | 940,000 | 940,000 | |
| *IS Operations & Maintenance - Existing Systems* | - | 1,936,801 | 1,936,801 | |
| *IS Systems Engineering/ Professional Services* | - | 1,007,700 | 1,007,700 | |
| *IS Systems Modernization Phase III* | 960,000 | 2,135,000 | 1,175,000 | |
| *Radio, Voice, & Data Communications* | - | 3,497,580 | 3,497,580 | |
| **Office of Inspector General** | - | 170,000 | 170,000 | New |
| *Administration - Office of Inspector General* | - | 170,000 | 170,000 | |

Programs continue Table 1-A:

| Bureau / Programs | FY 2006 Appropriation | FY 2007 Request | Δ | %Δ |
|---|---|---|---|---|
| **Office of Logistics** | 10,000 | 10,000 | - | 0.0% |
| *Administration - Office of Logistics* | 10,000 | 10,000 | - | |
| **Office of Plans, Operations, and Homeland Security** | 856,000 | 1,492,000 | 636,000 | 74.3% |
| *Administration - Office of Plans, Operations, and Ho* | 22,000 | 27,000 | 5,000 | |
| *Operations Office of Plans, Operations, and Homela* | 834,000 | 1,465,000 | 631,000 | |
| **Office of Professional Responsibility** | - | 47,002 | 47,002 | Prgm Change |
| *Office of Professional Responsibility* | - | 47,002 | 47,002 | |
| **Operational Services Bureau** | 945,000 | 1,054,599 | 109,599 | 11.6% |
| *Administration - Operational Services Bureau* | 49,000 | 46,825 | (2,175) | |
| *Hazardous Incident Response* | 673,000 | 786,244 | 113,244 | |
| *Patrol Mobile Response* | 223,000 | 221,530 | (1,470) | |
| **Property Management Division** | 1,406,000 | 1,478,500 | 72,500 | 5.2% |
| *Administration - Property Management Division* | 31,000 | 30,500 | (500) | |
| *Logistical Support* | 1,375,000 | 1,448,000 | 73,000 | |
| **Protective Services Bureau** | 3,516,000 | 4,317,500 | 801,500 | 22.8% |
| *Administration - Protective Services Bureau* | 103,000 | 101,000 | (2,000) | |
| *Protective Detail Travel* | 3,000,000 | 3,850,000 | 850,000 | |
| *Protective Services* | 413,000 | 366,500 | (46,500) | |
| **Security Services Bureau** | 13,197,000 | 14,353,670 | 1,156,670 | 8.8% |
| *Access Control* | 2,607,000 | 2,927,420 | 320,420 | |
| *Administration - Security Services Bureau* | 150,000 | 150,000 | - | |
| *Detection and Screening Systems* | 2,525,000 | 2,036,000 | (489,000) | |
| *Security Systems Maintenance* | 5,704,000 | 5,907,250 | 203,250 | |
| *Technical Countermeasures* | 2,211,000 | 3,333,000 | 1,122,000 | |
| **Training Services Bureau** | 2,674,000 | 2,751,221 | 77,221 | 2.9% |
| *Administration - Training Services Bureau* | 382,000 | 373,135 | (8,865) | |
| *Training Services* | 2,292,000 | 2,378,086 | 86,086 | |
| **Uniformed Services Bureau** | 155,000 | 150,330 | (4,670) | -3.0% |
| *Administration - Uniformed Services Bureau* | 155,000 | 150,330 | (4,670) | |
| **Vehicle Maintenance Division** | 897,000 | 1,175,000 | 278,000 | 31.0% |
| *Administration - Vehicle Maintenance Division* | 65,000 | 68,000 | 3,000 | |
| *Fleet Management* | 832,000 | 1,107,000 | 275,000 | |
| **Full Time Equivalent General Expenses** | - | 1,497,651 | 1,497,651 | New |
| *New Positions* | - | 1,497,651 | 1,497,651 | |
| Grand Total | 246,961,440 | 295,083,000 | 48,121,560 | 19.5% |

**USCP Budget by Object Class: FY 2006 Funded vs. FY 2007 Request**

# Table 2-A

| Object Class | FY2006 Approps | FY06 (No-Year Funds) | FY06 Funding | FY 2007 Bureau Request | *Change* | % *Change* |
|---|---|---|---|---|---|---|
| Travel | 3,647,000 | 80,000 | 3,727,000 | 4,657,983 | 930,983 | 25.0% |
| Freight | 2,000 | - | 2,000 | 23,000 | 21,000 | 1050.0% |
| Rent, Communication, Utilities | 35,000 | 1,613,000 | 1,648,000 | 1,999,132 | 351,132 | 21.3% |
| Printing | 181,000 | - | 181,000 | 259,625 | 78,625 | 43.4% |
| Services | 18,064,500 | 5,594,000 | 23,658,500 | 27,146,062 | 3,487,562 | 14.7% |
| Supplies | 4,636,500 | 729,000 | 5,365,500 | 6,635,145 | 1,269,645 | 23.7% |
| Equipment | 5,067,000 | 1,984,000 | 7,051,000 | 7,562,053 | 511,053 | 7.2% |
| Ins. Claims & Indemnities | 47,000 | - | 47,000 | 100,000 | 53,000 | 112.8% |
| **Grand Total** | **31,680,000** | **10,000,000** | **41,680,000** | **48,383,000** | **6,703,000** | **16.1%** |

## USCP Outsourcing - FY 2006 and FY 2007 Requested

# Table 3-A

| Bureau / Outsourcing Support (by budget line item) | FY 2006 Appropriations | FY 2007 Request |
|---|---|---|
| **Facilities Management Division** | - | 308,000 |
| VTC Maintenance - FMD | - | 250,000 |
| Health & Safety Personnel - FMD | - | 53,000 |
| Occupational. Health & Medical Screening - FMD | - | 5,000 |
| **Office of Employment Counsel** | 125,000 | 125,000 |
| Support: court reporting, clerical/secretarial assistance, paralegals, Doc Mgmt, Witness, Process Serving - OEC | 125,000 | 125,000 |
| **Office of Financial Management** | 1,883,000 | 2,316,000 |
| Financial Management System / Cross Servicing - OFM | 1,543,000 | 1,889,000 |
| Outsourcing Contract Support - OFM | 340,000 | 427,000 |
| **Office of Human Resources** | 860,500 | 1,228,750 |
| Background Investigations / Polygraphs - OHR | 94,500 | 458,750 |
| Contract Services: USDA, NFC - OHR | 331,000 | 340,000 |
| Psyc Screening - OHR | 100,000 | 100,000 |
| Consulting & Contracts - OHR | 75,000 | 100,000 |
| Six HR Support Positions - OHR | 60,000 | 80,000 |
| Medical Services: Physicals, vaccines, & lab tests - OHR | 55,000 | 55,000 |
| Time & Attendance (Workbrain) System Programming - OHR | 100,000 | 50,000 |
| Time & Attendance (Workbrain) Employee Training - OHR | 40,000 | 40,000 |
| Credit Checks - OHR | 5,000 | 5,000 |
| **Office of Information Systems** | 960,000 | 5,400,317 |
| Asset Mgmt System - Asset Module (Maximo) - OIS | 960,000 | 1,000,000 |
| Engineering Professional Services / Systems Support - OIS | - | 747,700 |
| Maintenance, Repair, Licensing, and Support of Existing Systems - OIS | - | 658,197 |
| Engineering Prof. Srvcs/Radio Sys Support [BearCom Contract w/ 4 FTE]-OIS Comm. | - | 500,000 |
| Engineering Professional Services/Systems Support - OIS Comm. | - | 440,000 |
| Maintenance, Repair, Licensing, & Support of New Systems - OIS Comm. | - | 420,865 |
| Modernization: Integration of Admin. & LE Systems - OIS | - | 410,000 |
| Maintenance, Repair, Licensing, and Support of Backup Servers - OIS | - | 330,521 |
| Maintenance, Repair, Licensing, and Support of Existing Applications - OIS | - | 303,034 |
| Engineering Professional Services / Security Systems Support - OIS | - | 260,000 |
| Maintenance, Repair, Licensing, & Support: Command Center - OIS Comm. | - | 250,000 |
| Maintenance, Repair, Licensing, & Support: Command Vehicle - OIS Comm. | - | 80,000 |
| **Office of Inspector General** | - | 145,000 |
| Contract Support - OIG | - | 145,000 |

Outsourcing continue Table 3-A:

| Bureau | Outsourcing Support (by budget line item) | FY 2006 Appropriations | FY 2007 Request |
|---|---|---|---|
| Office of Plans, Operations and Homeland Security | | 744,000 | 1,405,000 |
| | Outsource Support (21 Security Control Operators) - OPOHS | 694,000 | 1,380,000 |
| | Command Vehicle Maintenance & Operations - OPOHS | 50,000 | 25,000 |
| Operational Services Bureau | | 362,000 | 370,287 |
| | Maintenance of Radiological/Bio/Radiological Detectors & PPE - OSB HMRT | 122,000 | 186,479 |
| | Medical Services - OSB HMRT | 163,000 | 98,195 |
| | Veterinarian Services - OSB K9 | 40,000 | 40,680 |
| | Contractor Support Services - OSDC | 9,000 | 12,187 |
| | Government Contract- Quantico Demolition Range - OSB HDS | 11,000 | 11,200 |
| | Maintenance of Mountain Bikes (62 units) - OSB ADMIN | 10,000 | 10,000 |
| | Armed Forces Institute of Pathology - OSB PMRD | - | 5,085 |
| | Equipment Maintenance Services - OSB HDS | 4,000 | 3,410 |
| | Biological Decontamination Services - OSB PMRD | 3,000 | 3,051 |
| Protective Services Bureau | | 50,000 | 48,000 |
| | Contract Support - PSB ADMIN | 50,000 | 48,000 |
| Security Services Bureau | | 7,069,000 | 7,468,850 |
| | Preventive Maintenance, Comprehensive Program (Proj. 630) - SSB | 4,600,000 | 4,600,000 |
| | Alternate Computing Facility: Contract Guard Force - SSB | 750,000 | 792,000 |
| | Contractual Security Installation Support (Proj. 631) - SSB | 737,000 | 781,000 |
| | Vehicle Barrier Support (Proj. 638) - SSB | 600,000 | 618,000 |
| | Digital Recorder Maintenance (Proj. 625) - SSB | 110,000 | 195,000 |
| | Public Address System - SSB | - | 126,850 |
| | Mobile Guard Booths: Maintenance - SSB | 101,000 | 101,000 |
| | Maintenance of Existing Server Equipment (Proj. 621) - SSB | 100,000 | 100,000 |
| | Maintenance of Existing X-Ray Package Inspection (Proj. 605) - SSB | 10,000 | 54,000 |
| | Command Center Maintenance of Equipment (Real Time) (Proj. 634) - SSB | 40,000 | 41,000 |
| | Maintenance and Repairs of ADP Equipment - SSB | 20,000 | 20,000 |
| | Maintenance of Explosive Detector (624) - SSB | 1,000 | 20,000 |
| | Maintenance of Existing CCTV Equipment (Proj. 602) - SSB | - | 20,000 |
| Training Services Bureau | | 990,000 | 1,051,863 |
| | FLETC - Contract Services-Facilities - TSB | 346,000 | 344,261 |
| | Professional Role Players - TSB | 332,000 | 337,644 |
| | FLETC Contract Services: Firing Range Usage - TSB | 262,000 | 260,036 |
| | Fitness Instructor - TSB | - | 88,801 |
| | FLETC Contract Services: Driving Range Usage - TSB | 21,000 | 19,572 |
| | Training / Distance Learning - TSB | 29,000 | 9,153 |
| | Maintenance Agreement - TSB | - | 2,396 |
| Vehicle Management Division | | 367,000 | 497,000 |
| | Vehicle, Outside Repairs - VMD | 240,000 | 370,000 |
| | Vehicle Car Washing Service - VMD | 127,000 | 127,000 |
| **Grand Total** | | **13,410,500** | **20,374,067** |

# Appendix

USCP Budget by Program: FY 2006 Funded vs. FY 2007 Request

## Table 1-A

| Bureau / Programs | FY 2006 Appropriation | FY 2007 Request | Δ | %Δ |
|---|---|---|---|---|
| **USCP Salaries** | 215,281,440 | 246,700,000 | 31,418,560 | 14.6% |
| Personnel Compensation | 163,268,955 | 187,326,000 | 24,057,045 | |
| Benefits | 30,482,485 | 33,906,000 | 3,423,515 | |
| Overtime | 20,000,000 | 23,658,000 | 3,658,000 | |
| Overtime Benefits | 1,530,000 | 1,810,000 | 280,000 | |
| **Chief Administrative Officer** | 44,000 | 44,000 | - | 0.0% |
| Administration - Chief Administrative Officer | 44,000 | 44,000 | - | |
| **Chief of Operations** | 18,000 | 18,000 | - | 0.0% |
| Command Operations | 18,000 | 18,000 | - | |
| **Chief of Police** | 106,000 | 91,200 | (14,800) | -14.0% |
| Administration - Chief of Police | 87,500 | 72,700 | (14,800) | |
| Police Board Support | 13,500 | 13,500 | - | |
| Representation Fund | 5,000 | 5,000 | - | |
| **Facilities Management Division** | 65,500 | 413,200 | 347,700 | 530.8% |
| Administration - Facilities Management Division | 20,500 | 27,200 | 6,700 | |
| Fixture, Furniture, Equip. Refreshment and Contrac | 30,000 | 55,000 | 25,000 | |
| Furniture and Safety Contracts | 15,000 | 331,000 | 316,000 | |
| **Office of Employment Counsel** | 281,000 | 281,000 | - | 0.0% |
| Employment Law Services | 281,000 | 281,000 | - | |
| **Office of Financial Management** | 3,849,000 | 4,760,000 | 911,000 | 23.7% |
| Administration - Office of Financial Management | 262,000 | 235,000 | (27,000) | |
| Agency-wide Services | 1,254,000 | 1,794,000 | 540,000 | |
| Financial Management & Accountability | 2,333,000 | 2,731,000 | 398,000 | |
| **Office of General Counsel** | 110,000 | 130,000 | 20,000 | 18.2% |
| Police Board Support | 110,000 | 130,000 | 20,000 | |
| **Office of Human Resources** | 2,590,500 | 2,915,681 | 325,181 | 12.6% |
| Administration - Office of Human Resources | 1,191,000 | 910,110 | (280,890) | |
| Human Resources Systems | 901,000 | 1,166,821 | 265,821 | |
| Recruiting & Employment | 498,500 | 838,750 | 340,250 | |
| **Office of Information Systems** | 960,000 | 11,232,446 | 10,272,446 | 1070.0% |
| Administration - Office of Information Systems | - | 165,000 | 165,000 | |
| Communication Operations & Maintenance - Existin | - | 1,550,365 | 1,550,365 | |
| Communication Systems Engineering/ Professional | - | 940,000 | 940,000 | |
| IS Operations & Maintenance - Existing Systems | - | 1,936,801 | 1,936,801 | |
| IS Systems Engineering/ Professional Services | - | 1,007,700 | 1,007,700 | |
| IS Systems Modernization Phase III | 960,000 | 2,135,000 | 1,175,000 | |
| Radio, Voice, & Data Communications | - | 3,497,580 | 3,497,580 | |
| **Office of Inspector General** | - | 170,000 | 170,000 | New |
| Administration - Office of Inspector General | - | 170,000 | 170,000 | |

Programs continue Table 1-A:

| Bureau / Programs | FY 2006 Appropriation | FY 2007 Request | Δ | %Δ |
|---|---|---|---|---|
| **Office of Logistics** | 10,000 | 10,000 | - | 0.0% |
| *Administration - Office of Logistics* | 10,000 | 10,000 | - | |
| **Office of Plans, Operations, and Homeland Security** | 856,000 | 1,492,000 | 636,000 | 74.3% |
| *Administration - Office of Plans, Operations, and Ho* | 22,000 | 27,000 | 5,000 | |
| *Operations Office of Plans, Operations, and Homela* | 834,000 | 1,465,000 | 631,000 | |
| **Office of Professional Responsibility** | - | 47,002 | 47,002 | Prgm Change |
| *Office of Professional Responsibility* | - | 47,002 | 47,002 | |
| **Operational Services Bureau** | 945,000 | 1,054,599 | 109,599 | 11.6% |
| *Administration - Operational Services Bureau* | 49,000 | 46,825 | (2,175) | |
| *Hazardous Incident Response* | 679,000 | 792,244 | 113,244 | |
| *Patrol Mobile Response* | 223,000 | 221,530 | (1,470) | |
| **Property Management Division** | 1,406,000 | 1,478,500 | 72,500 | 5.2% |
| *Administration - Property Management Division* | 31,000 | 30,500 | (500) | |
| *Logistical Support* | 1,375,000 | 1,448,000 | 73,000 | |
| **Protective Services Bureau** | 3,516,000 | 4,317,500 | 801,500 | 22.8% |
| *Administration - Protective Services Bureau* | 103,000 | 101,000 | (2,000) | |
| *Protective Detail Travel* | 3,000,000 | 3,850,000 | 850,000 | |
| *Protective Services* | 413,000 | 366,500 | (46,500) | |
| **Security Services Bureau** | 13,197,000 | 14,353,670 | 1,156,670 | 8.8% |
| *Access Control* | 2,607,000 | 2,927,420 | 320,420 | |
| *Administration - Security Services Bureau* | 150,000 | 150,000 | - | |
| *Detection and Screening Systems* | 2,525,000 | 2,036,000 | (489,000) | |
| *Security Systems Maintenance* | 5,704,000 | 5,907,250 | 203,250 | |
| *Technical Countermeasures* | 2,211,000 | 3,333,000 | 1,122,000 | |
| **Training Services Bureau** | 2,674,000 | 2,751,221 | 77,221 | 2.9% |
| *Administration - Training Services Bureau* | 382,000 | 373,135 | (8,865) | |
| *Training Services* | 2,292,000 | 2,378,085 | 86,086 | |
| **Uniformed Services Bureau** | 155,000 | 150,330 | (4,670) | -3.0% |
| *Administration - Uniformed Services Bureau* | 155,000 | 150,330 | (4,670) | |
| **Vehicle Maintenance Division** | 897,000 | 1,175,000 | 278,000 | 31.0% |
| *Administration - Vehicle Maintenance Division* | 65,000 | 68,000 | 3,000 | |
| *Fleet Management* | 832,000 | 1,107,000 | 275,000 | |
| **Full Time Equivalent General Expenses** | - | 1,497,651 | 1,497,651 | New |
| *New Positions* | - | 1,497,651 | 1,497,651 | |
| **Grand Total** | 246,961,440 | 295,083,000 | 48,121,560 | 19.5% |

**USCP Budget by Object Class: FY 2006 Funded vs. FY 2007 Request**

# Table 2-A

| Object Class | FY2006 Approps | FY06 (No-Year Funds) | FY06 Funding | FY 2007 Bureau Request | *Change* | % *Change* |
|---|---|---|---|---|---|---|
| Travel | 3,647,000 | 80,000 | 3,727,000 | 4,657,983 | 930,983 | 25.0% |
| Freight | 2,000 | - | 2,000 | 23,000 | 21,000 | 1050.0% |
| Rent, Communication, Utilities | 35,000 | 1,613,000 | 1,648,000 | 1,999,132 | 351,132 | 21.3% |
| Printing | 181,000 | - | 181,000 | 259,625 | 78,625 | 43.4% |
| Services | 18,064,500 | 5,594,000 | 23,658,500 | 27,146,062 | 3,487,562 | 14.7% |
| Supplies | 4,636,500 | 729,000 | 5,365,500 | 6,635,145 | 1,269,645 | 23.7% |
| Equipment | 5,067,000 | 1,984,000 | 7,051,000 | 7,562,053 | 511,053 | 7.2% |
| Ins. Claims & Indemnities | 47,000 | - | 47,000 | 100,000 | 53,000 | 112.8% |
| **Grand Total** | **31,680,000** | **10,000,000** | **41,680,000** | **48,383,000** | **6,703,000** | **16.1%** |

## USCP Outsourcing - FY 2006 and FY 2007 Requested

# Table 3-A

| Bureau | Outsourcing Support (by budget line item) | FY 2006 Appropriations | FY 2007 Request |
|---|---|---|---|
| **Facilities Management Division** | | - | 308,000 |
| | VTC Maintenance - FMD | - | 250,000 |
| | Health & Safety Personnel - FMD | - | 53,000 |
| | Occupational. Health & Medical Screening - FMD | - | 5,000 |
| **Office of Employment Counsel** | | 125,000 | 125,000 |
| | Support: court reporting, clerical/secretarial assistance, paralegals, Doc Mgmt, Witness, Process Serving - OEC | 125,000 | 125,000 |
| **Office of Financial Management** | | 1,883,000 | 2,316,000 |
| | Financial Management System / Cross Servicing - OFM | 1,543,000 | 1,889,000 |
| | Outsourcing Contract Support - OFM | 340,000 | 427,000 |
| **Office of Human Resources** | | 860,500 | 1,228,750 |
| | Background Investigations / Polygraphs - OHR | 94,500 | 458,750 |
| | Contract Services: USDA, NFC - OHR | 331,000 | 340,000 |
| | Psyc Screening - OHR | 100,000 | 100,000 |
| | Consulting & Contracts - OHR | 75,000 | 100,000 |
| | Six HR Support Positions - OHR | 60,000 | 80,000 |
| | Medical Services: Physicals, vaccines, & lab tests - OHR | 55,000 | 55,000 |
| | Time & Attendance (Workbrain) System Programming - OHR | 100,000 | 50,000 |
| | Time & Attendance (Workbrain) Employee Training - OHR | 40,000 | 40,000 |
| | Credit Checks - OHR | 5,000 | 5,000 |
| **Office of Information Systems** | | 960,000 | 5,400,317 |
| | Asset Mgmt System - Asset Module (Maximo) - OIS | 960,000 | 1,000,000 |
| | Engineering Professional Services / Systems Support - OIS | - | 747,700 |
| | Maintenance, Repair, Licensing, and Support of Existing Systems - OIS | - | 658,197 |
| | Engineering Prof. Srvcs/Radio Sys Support [BearCom Contract w/ 4 FTE]-OIS Comm. | - | 500,000 |
| | Engineering Professional Services/Systems Support - OIS Comm. | - | 440,000 |
| | Maintenance, Repair, Licensing, & Support of New Systems - OIS Comm. | - | 420,865 |
| | Modernization: Integration of Admin. & LE Systems - OIS | - | 410,000 |
| | Maintenance, Repair, Licensing, and Support of Backup Servers - OIS | - | 330,521 |
| | Maintenance, Repair, Licensing, and Support of Existing Applications - OIS | - | 303,034 |
| | Engineering Professional Services / Security Systems Support - OIS | - | 260,000 |
| | Maintenance, Repair, Licensing, & Support: Command Center - OIS Comm. | - | 250,000 |
| | Maintenance, Repair, Licensing, & Support: Command Vehicle - OIS Comm. | - | 80,000 |
| **Office of Inspector General** | | - | 145,000 |
| | Contract Support - OIG | - | 145,000 |

Outsourcing continue Table 3-A:

| Bureau / Outsourcing Support (by budget line item) | FY 2006 Appropriations | FY 2007 Request |
|---|---|---|
| **Office of Plans, Operations and Homeland Security** | **744,000** | **1,405,000** |
| Outsource Support (21 Security Control Operators) - OPOHS | 694,000 | 1,380,000 |
| Command Vehicle Maintenance & Operations - OPOHS | 50,000 | 25,000 |
| **Operational Services Bureau** | **362,000** | **370,287** |
| Maintenance of Radiological/Bio/Radiological Detectors & PPE - OSB HMRT | 122,000 | 186,479 |
| Medical Services - OSB HMRT | 163,000 | 98,195 |
| Veterinarian Services - OSB K9 | 40,000 | 40,680 |
| Contractor Support Services - OSDC | 9,000 | 12,187 |
| Government Contract- Quantico Demolition Range - OSB HDS | 11,000 | 11,200 |
| Maintenance of Mountain Bikes (62 units) - OSB ADMIN | 10,000 | 10,000 |
| Armed Forces Institute of Pathology - OSB PMRD | - | 5,085 |
| Equipment Maintenance Services - OSB HDS | 4,000 | 3,410 |
| Biological Decontamination Services - OSB PMRD | 3,000 | 3,051 |
| **Protective Services Bureau** | **50,000** | **48,000** |
| Contract Support - PSB ADMIN | 50,000 | 48,000 |
| **Security Services Bureau** | **7,069,000** | **7,468,850** |
| Preventive Maintenance, Comprehensive Program (Proj. 630) - SSB | 4,600,000 | 4,600,000 |
| Alternate Computing Facility: Contract Guard Force - SSB | 750,000 | 792,000 |
| Contractual Security Installation Support (Proj. 631) - SSB | 737,000 | 781,000 |
| Vehicle Barrier Support (Proj. 638) - SSB | 600,000 | 618,000 |
| Digital Recorder Maintenance (Proj. 625) - SSB | 110,000 | 195,000 |
| Public Address System - SSB | - | 126,850 |
| Mobile Guard Booths: Maintenance - SSB | 101,000 | 101,000 |
| Maintenance of Existing Server Equipment (Proj. 621) - SSB | 100,000 | 100,000 |
| Maintenance of Existing X-Ray Package Inspection (Proj. 605) - SSB | 10,000 | 54,000 |
| Command Center Maintenance of Equipment (Real Time) (Proj. 634) - SSB | 40,000 | 41,000 |
| Maintenance and Repairs of ADP Equipment - SSB | 20,000 | 20,000 |
| Maintenance of Explosive Detector (624) - SSB | 1,000 | 20,000 |
| Maintenance of Existing CCTV Equipment (Proj. 602) - SSB | - | 20,000 |
| **Training Services Bureau** | **990,000** | **1,061,863** |
| FLETC - Contract Services-Facilities - TSB | 346,000 | 344,261 |
| Professional Role Players - TSB | 332,000 | 337,644 |
| FLETC Contract Services: Firing Range Usage - TSB | 262,000 | 260,036 |
| Fitness Instructor - TSB | - | 88,801 |
| FLETC Contract Services: Driving Range Usage - TSB | 21,000 | 19,572 |
| Training / Distance Learning - TSB | 29,000 | 9,153 |
| Maintenance Agreement - TSB | - | 2,396 |
| **Vehicle Management Division** | **367,000** | **497,000** |
| Vehicle, Outside Repairs - VMD | 240,000 | 370,000 |
| Vehicle Car Washing Service - VMD | 127,000 | 127,000 |
| **Grand Total** | **13,410,500** | **20,374,067** |

*advancing safety, health, and workplace rights in the legislative branch*

*Office of Compliance*

Office of the Executive Director

William W. Thompson, II
*Executive Director*

January 17, 2006

The Honorable Jerry Lewis
Chairman
Committee on Appropriations
U.S. House of Representatives
Washington, D.C. 20515

Dear Mr. Chairman:

The Office of Compliance hereby transmits its budget request of $3,418,000 for fiscal year 2007 operations, for the Salaries and Expenses appropriation. Included is a budget justification with an overview of our authority and responsibilities, descriptions of the primary functions of the Office of Compliance, our major accomplishments of FY 2005, detailed direct and indirect costs, and requested changes in funding.

As you are aware, in previous fiscal years the Office has requested that the legislative branch appropriations act include language authorizing an appropriation that was established by section 415 of the Congressional Accountability Act. This appropriation has been authorized in the Legislative Branch Appropriations Acts of 1996 through 2006. These sections appropriate "such sums as may be necessary" for awards and settlements under the CAA. I am requesting that this section also be included in the FY 2007 appropriations bill.

The Office is also requesting that funding in the amount of $780,000 for essential contracts, such as hearing officers and mediators, as well as safety and health consultants, remain available until September 30, 2008. This will enable the agency to address periodic fluctuations in our mandatory workload without the need for a supplemental appropriation.

In light of the importance of the mission of the Office of Compliance and our continuing efforts to minimize both staffing and non-personal services costs, I respectfully request your favorable consideration of the Office of Compliance's budget submission for FY 2007.

Sincerely,

William W. Thompson, II
Executive Director

cc: The Honorable David R. Obey
Ranking Member

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  - Labor relations investigation and enforcement
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*advancing safety, health, and workplace rights in the legislative branch*

*Office of Compliance*

Office of the Executive Director

William W. Thompson, II
*Executive Director*

**STATEMENT OF THE EXECUTIVE DIRECTOR**

On behalf of the Office of Compliance, I hereby submit the FY 2007 budget request and justification for your consideration. The Office of Compliance continues its effort to enhance our services in the mandated areas of dispute resolution, safety and health enforcement, and education and outreach to our regulated community.

As reflected in the goals and objectives of the Office's Strategic Plan for FY 2004-2006, and as recommended in the 2004 GAO Report "Office of Compliance: Status of Management Control Efforts to Improve Effectiveness" (GAO-04-400), we seek to better educate the Congressional community, and to enable regulated employers to achieve greater voluntary compliance with the Congressional Accountability Act. In light of the employment, security and safety challenges legislative branch agencies and employees face, our goal is to enable the regulated community to achieve substantial compliance with all requirements of the Act.

**THE CONGRESSIONAL MANDATE**

The Congressional Accountability Act has passed its decennial milestone; this fiscal year marked the tenth anniversary of the passage of the CAA. The Congressional Accountability Act applies 12 workplace, employment, and safety laws to Congress and other agencies and Instrumentalities of the legislative branch throughout the United States. These laws include: the Occupational Safety and Health Act of 1970; the Federal Service Labor Management Relations Act; Title VII of the Civil Rights Act of 1964; the Americans with Disabilities Act; the Rehabilitation Act of 1970; the Family Medical Leave Act; the Fair Labor Standards Act; the Age Discrimination in Employment Act; the Worker Adjustment and Retraining Notification Act; the Employee Polygraph Protection Act; and veteran's employment and reemployment rights at Chapter 43 of Title 38 of the U.S. Code. The Act was amended in 1998 to apply the Veterans Employment Opportunities Act. Currently, the Office has regulatory responsibility for employers in the legislative branch employing approximately 30,500 employees. The Office is also charged by the Act to make recommendations to Congress as to whether additional employment and public services and accommodations laws should be made applicable to the employing offices within the legislative branch.

Under the direction of the Executive Director, the Office administers a dispute resolution system to resolve disputes and complaints arising under the Act, and carries out an education and training program for the regulated community on the rights and responsibilities under the Act. The General Counsel has independent investigatory and enforcement authority with respect to

certain of the laws administered under the Act and represents the Office in all judicial proceedings under the Act.

The Office has a five-member, non-partisan Board of Directors appointed by the Majority and Minority Leaders of both Houses of Congress. The Board members, who serve five-year terms, come from across the United States, and are chosen for their expertise in the laws administered under the Act. The Board acts as an adjudicative body in reviewing appeals by parties aggrieved by decisions of Hearing Officers on complaints filed with the Office and advises Congress on needed changes and amendments to the Act.

The Office of Compliance currently has 17 full-time employees and pays the part-time Board members on a "when-actually-employed" basis. This employee complement performs a multiplicity of functions, including: dispute resolution, occupational safety and health, disability access, labor relations, education, training, Congressional relations and professional support for the Board of Directors, and general administrative and fiscal functions. The Office also regularly contracts for the part-time services of approximately 25 other individuals as mediators, Hearing Officers, and safety and health investigators. The Office's senior full-time safety and health investigator is on permanent detail from the Department of Labor's Occupational Safety and Health Administration.

## THE CURRENT OPERATION OF THE OFFICE OF COMPLIANCE

Since the passage of the Act, significant progress has been made by the Office in improving the safety of the legislative branch; recognizing and implementing the rights of employees; responding to the rights of the disabled; and educating our constituency on the mandates of the Act.

Benefits stemming from the passage of the Act include ongoing major improvements in health and safety conditions on the Capitol Hill campus since 1995. Less publicly, the Office has efficiently administered the confidential dispute resolution process mandated by the Act, allowing for the swift settlement of employee-employer disputes.

With 17 employees and a part-time Board of Directors, we serve the functions of multiple agencies in and for the Executive Branch, including, but not limited to, the EEOC, OSHA, OSHRC and the Federal Labor Relations Authority. Now in its tenth year, the Office of Compliance continues to implement more collaborative enforcement strategies for carrying out the Office's statutory functions without compromising the regulatory mandates of our Act. Our focus is on achieving continuous improvement of existing efforts while enhancing initiatives that will better serve our regulated community.

## ACCOMPLISHMENTS IN FY 2005

The Office's administrative dispute resolution program continues to produce a high rate of successful voluntary settlements of employment disputes involving employers and employees in both Houses of Congress, as well as most of the Congressional agencies. Controversies involving alleged violations of many of the 12 statutes administered and enforced by the Office were

successfully resolved during FY 2005 without resort to formal adversarial proceedings. We continue to search for ways to improve our dispute resolution assistance and add value to our service to our covered community.

Perhaps the most visible aspect of the Office's varied responsibilities is its administration and enforcement of the Occupational Safety and Health Act. The Office's OSHA jurisdiction includes the physical safety and security of legislative branch employees, as well as the assurance that emergency response plans and procedures are adequate to meet the many and varied threats to the safety and security of everyone who works in or visits Capitol Hill. The agency's resources have in the past been unequal to this task. In FY 2005 we made major progress both in the quality and range of our health and safety inspections, and in our facilitation of health and safety improvements by the legislative branch agencies. FY 2005 saw the successful groundwork laid within the Office of the General Counsel for a major increase in the Office's safety and health inspections and enforcement resources for FY 2006.

In sum, FY 2005 was a year in which this agency continued to strengthen its operational infrastructure, its education and outreach efforts, and its active engagement with stakeholders across the legislative branch in improving the work place for both employers and employees.

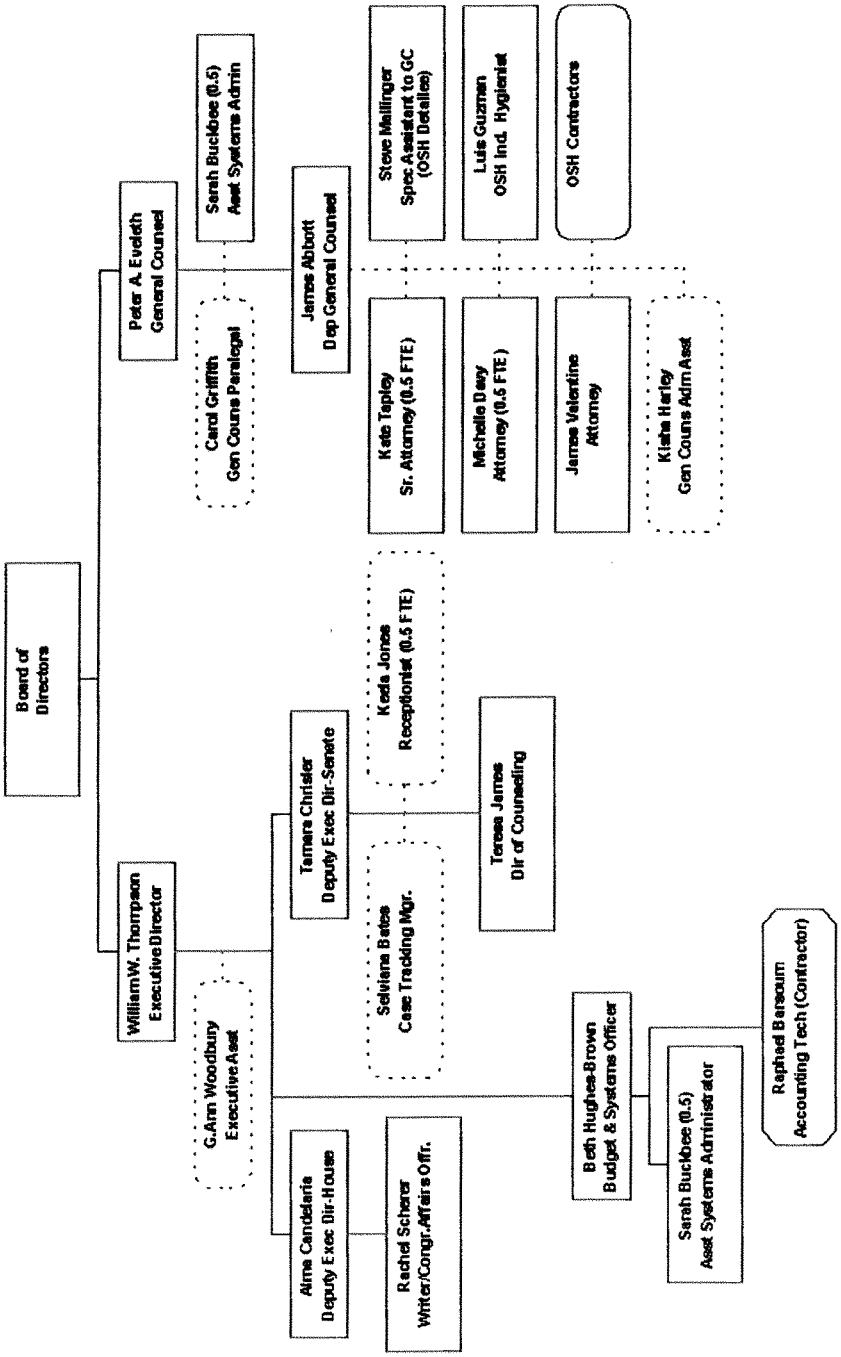
FY 2005 saw the introduction and passage of two pieces of legislation which have a major positive impact on the institutional stability and management continuity at the Office of Compliance. As the fiscal year began, the House and Senate passed H.R. 5122, which authorized the current Board of Directors of the agency to serve for a second five year term. Board Chair Susan Robfogel of New York, and Board Members Alan Friedman of California, Barbara Childs Wallace of Mississippi, Barbara Camens of Washington, D.C., and Roberta Holzwarth of Illinois have been reappointed by the bipartisan leadership of both Houses.

In the summer of 2005, at the request of the Board of Directors, H.R. 3071 was introduced and passed. H.R. 3071 provides the Board authority to reappoint the current executive leadership staff for second five year terms, including the Executive Director, General Counsel, and two Deputy Executive Directors. Both of these pieces of legislation respond to several recommendations regarding term limits made by the Government Accountability Office in its February 2004 Report "Office of Compliance: Status of Management Control Efforts to Improve Effectiveness." The Office appreciates the support offered by the Congressional leadership and by the Chairs and Ranking Members of the Office's oversight committees: the Committee on House Administration, Senate Committee on Rules and Administration, and Senate Committee on Homeland Security and Governmental Affairs. The Office is a stronger and more responsive institution as the result of these measures.

FY 2005 was a year of continued significant accomplishment for the Office of Compliance in other respects, as well. The agency continued its strategic planning implementation and follow-through, completed reorganizations of the administrative support staff and of the Office of the General Counsel's Occupational Safety and Health enforcement structure, and continued to enhance education and outreach efforts throughout the Congressional community. These efforts helped form the basis for the adoption of Interim Performance Measures for FY 2006, for a major

increase in the Office's OSH enforcement appropriation for FY 2006, and for additional educational initiatives for the coming year.

A visit to the Office of Compliance web site, www.compliance.gov, now provides even more user-friendly information, and includes new navigational features that make access to every aspect of the Office's activities, from appellate decisions by the Board of Directors to *Fast Facts* discussions of employee rights and responsibilities easier and more accessible. The agency's hard copy materials, particularly the new *CAA Handbook*, provide more comprehensive information in a far more efficient format. We are receiving comments from stakeholders across Capitol Hill and in Congressional district offices that our web site is one of the best small agency web sites in Government, and that our written materials are both easy to read and informative. While we are pleased by such feedback, the Office's operating philosophy is committed to continuous improvement. We continue to invite comments and criticisms from anyone who uses or is impacted by the activities of this agency.


Board of Directors
William W. Thompson Executive Director
Peter A. Eveleth General Counsel
Sarah Buckbee (0.5) Asst Systems Admin
Carol Griffith Gen Couns Paralegal
James Abbott Dep General Counsel
Steve Mellinger Spec Assistant to GC (OSH Detailee)
Luis Guzman OSH Ind. Hygienist
OSH Contractors
Kate Tapley Sr. Attorney (0.5 FTE)
Michelle Davy Attorney (0.5 FTE)
James Valentine Attorney
Kisha Harley Gen Couns Adm Asst
G.Ann Woodbury Executive Asst
Tamara Chrisler Deputy Exec Dir-Senate
Keela Jones Receptionist (0.5 FTE)
Selviana Bates Case Tracking Mgr.
Teresa James Dir of Counseling
Alma Candelaria Deputy Exec Dir-House
Rachel Scherer Writer/Congr.Affairs Offr.
Beth Hughes-Brown Budget & Systems Officer
Sarah Buckbee (0.5) Asst Systems Administrator
Raphael Barsoum Accounting Tech (Contractor)

**OFFICE OF COMPLIANCE**
STAFFING CHART

| | | |
|---|---|---|
| *Exec Director staff* | | |
| | EXEC. DIRECTOR | $131,400 |
| | DEP EX DIR-HOUSE | $126,144 |
| | DEP EX DIR-SENATE | $126,144 |
| | DIR. OF COUNSELING | $95,601 |
| | BUDGET/SYSTEMS OFFICER | $88,691 |
| | WRITER/CONG. AFFAIRS OFFR. | $50,000 |
| | EXEC ASST | $47,253 |
| | ASST SYSTEMS ADMIN (0.5) | $47,500 * |
| | CASE TRACKING MGR. | $40,000 |
| | RECEPTIONIST (0.5) | $25,000 * |
| *General Counsel staff* | | |
| | GEN. COUNSEL | $131,400 |
| | DEP GEN COUNSEL | $113,850 |
| | SR. ATTORNEY (0.5) | $92,728 * |
| | ATTORNEY (0.5) | $89,000 * |
| | ATTORNEY | $85,000 |
| | OSH INDUSTRIAL HYGIENIST | $82,000 |
| | GEN COUNS PARALEGAL | $48,634 |
| | ASST SYSTEMS ADMIN (0.5) | $47,500 * |
| | GEN COUNS ADM ASST | $45,002 |
| *Board of Directors* | | |
| | BOARD OF DIRECTORS | $131,400 |

* Annualized (full-time) salary

BASE BUDGET REVIEW

## OFFICE OF COMPLIANCE

**FY 2006 - FY 2007 Resource Summary**

**(Dollars in Thousands)**

| Activity | Prior Year Enacted FTE | Prior Year Enacted $ | Prior Year Actual FTE | Prior Year Actual $ | Current Year Estimate FTE | Current Year Estimate $ | Budget Year Estimate FTE | Budget Year Estimate $ | Change Current Year to Budget Year FTE | Change Current Year to Budget Year $ |
|---|---|---|---|---|---|---|---|---|---|---|
| **Operations:** | | | | | | | | | | |
| Administer CAA | 16 | $2,402 | 15.25 | $2,299 | 17 | $3,081 | 20 | 3,418 | +3 | $337 |
| Subtotal – Operations | 16 | $2,402 | 15.25 | $2,299 | 17 | $3,081 | 20 | 3,418 | +3 | $337 |
| **Projects and Initiatives: (Subset of Operations total)** | | | | | | | | | | |
| Safety & Health Inspections | 0 | $100 | 0 | $246 | 1 | $570 | 2 | $570 | +1 | -$7 |
| Subtotal - Projects and Initiatives | 0 | $100 | 0 | $246 | 1 | $570 | 2 | $570 | +1 | -$7 |
| **Grand Total** | **16** | **$2,402** | **15.25** | **$2,299** | **17** | **$3,081** | **20** | **$3,418** | **+3** | $337 |

Schedule A

# OFFICE OF COMPLIANCE
## BY OBJECT CLASS

| | FY 05 ACTUAL | | FY 06 ESTIMATE | | FY 07 ESTIMATE | | NET CHANGE FY 06 - FY 07 | |
|---|---|---|---|---|---|---|---|---|
| | STAFF (FTEs) | DOLLARS ($000) | STAFF (FTEs) | DOLLARS ($000) | STAFF (FTEs) | DOLLARS ($000) | STAFF (FTEs) | DOLLARS ($000) |
| 11 Personnel Compensation | 16 | 1,203 | 17 | 1,521 | 20 | 1,715 | 3 | 193 |
| 12 Personnel Benefits | | 326 | | 360 | | 410 | | 49 |
| 13 Benefits to Former Personnel | | 7 | | 2 | | 2 | | 0 |
| 21 Travel | | 28 | | 27 | | 29 | | 2 |
| 22 Transportation of Things | | 0 | | 0 | | 0 | | 0 |
| 23 Rent, Communications and Utilities | | 46 | | 53 | | 56 | | 3 |
| 24 Printing and Reproduction | | 44 | | 31 | | 52 | | 22 |
| 25 Other Services | | 596 | | 1,005 | | 1,057 | | 52 |
| 26 Supplies and Materials | | 32 | | 34 | | 38 | | 4 |
| 31 Equipment | | 19 | | 47 | | 60 | | 13 |
| 32 Land and Structures | | | | | | | | 0 |
| 42 Insurance Claims and Indemnities | | | | | | | | 0 |
| Total | 16 | 2,299 | 17 | 3,081 | 20 | 3,418 | 3 | 337 |

Note: Columns and rows may not add due to rounding.

Schedule B

# OFFICE OF COMPLIANCE
# ANALYSIS OF CHANGE

## By Organization and by Object Class

| Breakdown by Organization | MANDATORY PAY AND RELATED COSTS | | PRICE LEVEL CHANGES | | PROGRAM TYPE CHANGES | | | | | | TOTAL CHANGES | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | LEGISLATION | | WORKLOAD | | EQUIPMENT, ALTERATIONS, MAINTENANCE, REPAIRS, ETC. | | | |
| | STAFF (FTEs) | DOLLARS ($000) | STAFF (FTEs) | DOLLARS ($000) | STAFF (FTEs) | DOLLARS ($000) | STAFF (FTEs) | DOLLARS ($000) | STAFF (FTEs) | DOLLARS ($000) | STAFF (FTEs) | DOLLARS ($000) |
| 11 Personnel Compensation | | 93 | | | * | * | 3 | 101 | | | 3 | 193 |
| 12 Personnel Benefits | | 23 | | | | | | 26 | | | | 49 |
| 13 Benefits to Former Personnel | | | | | | | | | | | | 0 |
| 21 Travel | | | | | | | | 2 | | | | 2 |
| 22 Transportation of Things | | | | | | | | | | ** | | 0 |
| 23 Rent, Communications and Utilities | | | | | | | | 3 | | ** | | 3 |
| 24 Printing and Reproduction | | | | | | | | 22 | | | | 22 |
| 25 Other Services | | | | 2 | | | | 50 | | | | 52 |
| 26 Supplies and Materials | | | | | | | | 4 | | | | 4 |
| 31 Equipment | | | | | | | | | | 13 | | 13 |
| 32 Land and Structures | | | | | | | | | | | | 0 |
| 42 Insurance Claims and Indemnities | | | | | | | | | | | | 0 |
| Total | | 116 | | 2 | | 0 | 1 | 206 | | 13 | 3 | 337 |

Note: Columns and rows may not add due to rounding.

Schedule C

**OFFICE OF COMPLIANCE**
**Detailed Analysis of Change by Organization**

| | Calculation of Base | |
|---|---|---|
| | Staff | Amount ($000) |
| Appropriation, 2006 | 17 | 3,081 |
| Budget Base, 2006 | 17 | 3,081 |
| | 2007 Request | |
| I. Adjustments to Base | Staff | Amount ($000) |
| A. Mandatory Changes | | 116 |
| 1. FY 06 Cost of Living Salary & Benefits Annualized | | 14 |
| 2. FY 07 Cost of Living Adjustment | | 37 |
| 3. FY 07 Salary & Benefits Increases-Merit & Accretion | | 66 |
| B. Price Level Changes | | |
| 1. Other Services | | 2 2 |
| C. Program Type Changes | | |
| 1. Legislation | * | |
| 2. Workload | | 206 |
| A. Personnel Compensation & Benefits | 3 | 127 |
| B. Travel | | 2 |
| C. Rent, Communications and Utilities | | 3 |
| D. Printing and Reproduction | | 22 |
| E. Other Services | | 50 |
| F. Supplies & Materials | | 4 |
| 3. Equipment, Maint, Repairs, Etc. | | |
| A. Equipment | | 13 13 |
| II. Net Increase/Decrease Requested | | 337 |
| III. Total Appropriation Request, 2007 | 20 | 3,418 |

Note: Columns may not add due to rounding.

**EXPLANATION OF CHANGES SHOWN ON SCHEDULE C:**

For salaries and expenses for the Office of Compliance, $3,418,000. This reflects an increase of $337,100 from the FY 2006 appropriation of $3,080,900, with an additional three FTE positions.

**Mandatory Pay and Related Changes:**

Mandatory personnel increases, including salary and benefits, that total $50,100 are requested to fund a projected cost of living adjustment of 2.7 percent of staff salaries.

Relatively uncontrollable incentive and accretion staff salary increases totaling $65,800 are requested. The total is commensurate with general schedule step increases.

**Price Level Changes:**

An increase from the FY 2006 approved levels is requested in other services ($2,000), based on inflation factors in the cost of the Office's interagency agreement for administrative services with the Library of Congress.

**Program Type Changes:**

Legislation:

* Additional staff may be required if Congress decides that GPO, GAO, and/or the Library of Congress are to fall under the purview of the Congressional Accountability Act, more so than they do presently. (The LOC and the GAO are covered by the safety and health provisions of the CAA.) No such staffing increase was included in this request.

Workload:

In personnel services, increases totaling of $136,000 is requested for three FTE positions and concomitant benefits for two management analysts and an accounting technician. The cost for two of the three positions is offset by decreases totaling $75,250 in contract funds.

An increase of $2,300 is requested for travel, to comply with the mandate to inspect all legislative branch facilities in the DC metro area.

An increase of $2,500 is requested for rent, communications and utilities, to fund phone lines for new OGC staff and contractors.

In printing services, increases of $14,000, $3,000 and $2,500, respectively, are requested for printing a second version of the OSH and ADA biennial reports, to provide training resources on ADA accessibility, and to print congressional and agency protocols.

In other services, a net increase of $52,000 is requested, for: procurement of a replacement dispute resolution case tracking system ($32,500); contracting for an initial study of comparable measures reported by executive branch agencies for benchmarking purposes ($20,000); contract services for completing a campus-wide baseline survey of our covered community by the end of the 109th Congress ($18,000); a followup survey and/or focus group for attendees of the agency's first dispute resolution workshop ($17,500); initial safety and health inspection of Capitol Visitors Center (an additional 700,000 square feet of space under the agency's OSH jurisdiction) ($35,000); a pilot self-certification/spot inspection of House and Senate District offices ($25,000), and an initial pilot inspection of employing office health and safety plans ($25,000).

The increases are offset in large part by decreases in non-recurring education and outreach contracts (-$27,000), and non-recurring contracts for safety & health inspections (-$82,250). A total of $31,100 will restore funding for the contracts originally funded in FY 2006, eliminated due to a one percent rescission.

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** Although no additional funding is requested for FY 2007 for rent, communications and utilities, additional funds will be requested for this purpose in a supplemental request, in the event that the Office of Compliance vacates the Library of Congress during this fiscal year.

*advancing safety, health, and workplace rights in the legislative branch*

*Office of Compliance*

Office of the Executive Director

William W. Thompson, II
*Executive Director*

## OFFICE OF COMPLIANCE

## OVERVIEW OF FISCAL YEAR 2007 BUDGET REQUEST

### Introduction

The Office of Compliance is requesting $3,418,000 for fiscal year 2007 operations, reflecting an increase of $337,100 or 10.9 percent from the agency's fiscal year 2006 approved level of $3,080,900. The increase will provide funding necessary for the Office's mandated operations, including hearings, mediations, and educational activities. The increase also includes funding for three additional FTE positions.

### Funding Requests

The agency is requesting FTE positions for two management analysts – one to support the safety and health inspection function ($47,000, including benefits), and the second to provide administrative support ($45,000, including benefits). An additional FTE position is requested for an accounting technician ($35,000, including benefits). The costs for two of the three positions are offset by a decrease of $75,250 in contract funds, resulting from reassignment of functions from contractors to the FTE employees.

A total increase of $35,400 is requested in other services. Among the new services requested are:

- procurement of a replacement dispute resolution case tracking system ($32,500);
- contracting for an initial study of comparable measures reported by executive branch agencies for benchmarking purposes ($20,000);
- contract services for completing a campus-wide baseline survey of our covered community by the end of the 109th Congress ($18,000);
- a followup survey and/or focus group for attendees of the agency's first dispute resolution workshop ($17,500);
- initial safety and health inspection of Capitol Visitors Center (an additional 700,000 square feet of space under the agency's OSH jurisdiction) ($35,000);
- a pilot self-certification/spot inspection of House and Senate District offices ($25,000), and
- an initial pilot inspection of employing office health and safety plans ($25,000).

The increases are offset in large part by decreases in non-recurring education and outreach contracts (-$27,000), and non-recurring contracts for safety & health inspections (-$82,250).

The balance of the increase that is being requested is $115,900 for mandatory cost of living increases, staff salary increases, and the associated benefits. The request includes:

- funding for 20 full-time equivalent positions (FTEs), reflecting an increase of three positions from FY 2006; and
- funding for a 2.7 percent cost of living increase for Office staff.

The Office is requesting that a total of $780,000 remain available until September 30, 2008 for the per diem services of essential contractors, including Hearing Officers, mediators, and safety and health consultants.

The Office is again presenting its FY 2007 budget request using the zero-based budget template we developed and first used in FY 2005, which allows us to transparently present our current use of personnel and other resources. We hope that this method enables Appropriations Committee and Subcommittee Members and staff to assess the increases being requested with a unique level of detail and clarity.

## ZERO-BASED BUDGET

The Office of Compliance administers a single program, i.e., we administer the Congressional Accountability Act. The Act has dual emphasis on dispute resolution and enforcement activities.

The program is comprised of five primary and three supporting functional areas, within which the activities of the Office are performed. The main functional areas are:

- the dispute resolution process;
- investigation and enforcement activities under the occupational safety and health and disability access sections of the Act;
- labor relations investigation and enforcement;
- education and outreach;
- reports and recommendations to Congress;
- budget and fiscal operations;
- information technology; and
- office administration, representation, and relations with Congress and agencies.

Of the functional areas, the first five are the core functions of the agency's program. For this reason, the expenses directly attributable to the first five are considered to be direct costs, and those of the final three are indirect costs, or overhead.

## STRATEGIC PLAN and INTERIM PERFORMANCE MEASURES

The Office of Compliance has a three-year Strategic Plan for FY 2004 through FY 2006. It is available at www.compliance.gov/organization/2004-2006strategicplan.pdf for review. The Plan sets forth three fundamental objectives for the Office, as follows:

**I. Protect the health and safety of legislative branch employees and assure equal access to individuals with disabilities.**

**II. Improve knowledge and understanding of rights and responsibilities under the CAA, and promptly/fairly resolve disputes.**

**III. Provide legislative and regulatory recommendations and assistance to Congress to improve the administration of the Congressional Accountability Act.**

However, no Strategic Plan can be complete until the agency has established quantifiable measures which will track progress in key areas of the agency's activities. As GAO stated in its February 2004 Report on the Office of Compliance:

> *Results-oriented organizations we have studied, which were successful in measuring their performance, developed measures that were:*
> - *tied to program goals and demonstrated the degree to which the desired results were achieved,*
> - *limited to the vital few that were considered essential to producing data for decision making,*
> - *responsive to multiple priorities, and*
> - *responsibility-linked to establish accountability for results.*

During FY 2005, the management team of the Office met for several months to identify specific measures against which we can gauge the level of progress being achieved in various areas of the Office's Strategic Plan goals. These draft measures were also reviewed by the Board of Directors of the Office of Compliance. Draft measures were shared with the entire staff, with the Government Accountability Office, the House and Senate Appropriations Committees, the Committee on House Administration, the Senate Committee on Rules and Administration, the Senate Committee on Homeland Security and Governmental Affairs, the Architect of the Capitol, and the House Chief Administrative Officer.

### "INTERIM" PERFORMANCE MEASURES

The agency has developed "interim" performance measures because the Office needs to establish more comprehensive and authoritative baselines against which to measure our success. Some of these intermediate measures are concerned with establishing such baselines. Establishing authoritative baseline data, as explained by GAO, normally requires that extensive stakeholder surveys be completed. Such surveys are resource intensive. These particular interim measures were adopted because they relate to important benchmarks concerning core functions

of the Office. However, they are "interim" because the Office does not yet have adequate across-the-board baseline data regarding the conditions, knowledge and understanding among the regulated community to establish comprehensive measures.

### RELATIONSHIP BETWEEN MEASURES AND THE STRATEGIC PLAN

The measures are directly related to one or more of the goals set forth in the FY 2004-2006 Strategic Plan. Their primary purpose is to improve the quality of service to our customers. Our effort has been to establish measures which are both relevant and achievable.

Not every goal in the Strategic Plan has a "measure" identified. In the long term, the agency will focus on those measures that are the most indicative of our success in fulfilling our core mission. In addition, some goals are less amenable to measuring, and some goals cannot yet be measured because the Office needs to accomplish interim steps before establishing measures.

In FY 2006, the Office will begin the process of developing our next Strategic Plan. That process will lead to goals and measures for FY 2007 and beyond. We encourage continued input from all stakeholders.

## FUNCTIONAL AREAS

### DISPUTE RESOLUTION

**Mandate: Congressional Accountability Act, Sections 401-416**

**"...the procedure for consideration of alleged violations of part A of title II consists of...counseling...mediation...and election...of either...a formal complaint and hearing...subject to Board review..." 2 U.S.C. 1401.**

**Description of Functional Area**

*Requests for Information, Counseling, and Mediation*: Under the Act, employees must engage in counseling and mediation under the auspices of the Office of Compliance as a precursor to filing a formal administrative complaint or initiating a Court action. The Office provides counseling and mediation in a neutral, confidential setting. During the 30-day counseling period, the counselor explores the alleged violation, advises the employee of his or her rights and responsibilities under the Act, and facilitates resolution of the problem. If the counseling does not resolve the employee's concerns, the Office provides neutral, trained mediators to assist the parties in resolving the dispute. The period for mediation is generally 30 days, but may be extended only at the request of both parties. All counseling and mediation is strictly confidential under the Act.

*Adjudication*: If the dispute remains unresolved after counseling and mediation, the employee may choose either to pursue the claim through a formal administrative hearing process under the auspices of the Office, or to file suit in U.S. District Court. An employee who elects the adjudicative procedures of the Office files a formal complaint. The Executive Director appoints an independent Hearing Officer to consider the case and render a written decision, which may be appealed to the Office's Board of Directors. The Board of Directors issues a written decision, which may then be appealed to the U.S. Court of Appeals for the Federal Circuit. The administrative hearing process provides speedier resolution and confidentiality, while offering the same remedies as civil action.

**Accomplishments in FY 2005**

*Dispute Resolution Process:* Nine new complaints requiring a hearing were filed in FY 2005, as compared to five in FY 2004. Thus the number of new complaints filed increased by 80 percent over FY 2004, and exceeded the average of the past eight years (i.e., 8.25) by ten percent. Since hearings are the Office's most expensive recurring dispute resolution cost, and since they are mandated by the Congressional Accountability Act to be conducted within strict time lines, an increase in the number of hearings necessarily results in a substantial increased cost for this mandated process. In addition, a total of 45 new requests for mediation were received in FY 2005, and 60 new requests for counseling were received.

Three new appeals requiring a Board of Directors decision were filed in FY 2005, and Board decisions were filed in four cases. Board of Directors final decisions are generally published on our web site (www.compliance.gov/decisions/decisions.html). Four cases were still pending before the Board at the end of the fiscal year; two of these have subsequently been resolved as of this date.

*Improvements in Efficiency:* To measure progress in effectiveness and efficiency, the Office took a multi-pronged approach. We surveyed participants in our process at the mediation stage; we reviewed our case tracking software and hardware systems; and we analyzed how we procure contractual services.

In FY 2005, the Office reviewed, restructured, and redesigned the mediation survey we initiated in FY 2004. The survey is now more user-friendly and has better enabled us to capture the participants' level of satisfaction with the process.

Our comprehensive dispute resolution review also included an evaluation of our case tracking system. Currently, we utilize a ten-year old software package to track the processing of disputes that are filed with the Office through the various stages. This software system is several generations behind currently available systems, and is no longer compatible with our operating systems.

The Office has determined that a review and assessment of newer case tracking systems is critical to maintain the efficient processing of claims through the dispute resolution program. In FY 2005, a planning team was convened to review and analyze various software programs. Our comprehensive review includes both off-the-shelf systems and interviews of case managers from similar-sized administrative tribunals. Our ultimate goal is to upgrade services while meeting the unique processing requirements of the Congressional Accountability Act and the Office's Procedural Rules.

Finally, we reviewed our contracts with mediators and Hearing Officers, in terms of each contractor's success rate versus relative costs of service. This resulted in the Office amending its contracts for mediators and Hearing Officers beginning in FY 2006, and using the most cost effective and efficient contractors as much as possible. These changes allow for more cost-efficiency without compromising accountability or effectiveness in dispute resolution services.

*Litigation:* The General Counsel is tasked by the CAA to represent the Board of Directors, Executive Director, and Office in any judicial proceeding arising under the Act in which the Office is a party. The Office continues to see a large number of appeals to the Federal Circuit Court of Appeals arising from decisions of the Board. As the Board's dispute resolution caseload continues to expand, it is anticipated that a corresponding increase in the number of appeals to the Federal Circuit will result.

In the past two fiscal years (FY 2004 and FY 2005), eight petitions for review of Board decisions were filed with the Federal Circuit Court of Appeals for the Federal Circuit. Four cases were scheduled for briefing and oral argument in FY 2005. The remaining cases are

anticipated to be heard during FY 2006. The OGC's representation of the Office in each appeal demands a significant investment of time, resources, and in some cases contracted legal services in order to comply with Court filing deadlines, prepare quality legal briefs, and preparation for oral argument. Every decision issued by the Federal Circuit Court of Appeals since FY 2004 has sustained the position of the Board.

*Representation Cases:* The Office of Compliance carries out the Board of Directors' investigative authorities under Section 220 of the CAA, involving issues concerning the appropriateness of bargaining units for labor organization representation, the duty to bargain, and exceptions to arbitrators' awards. The Board exercises adjudicatory authority over those matters, as well as unfair labor practice complaints at the appellate stage. In FY 2005, two labor organizations sought to be the exclusive representatives of two bargaining units. Two secret ballot elections were supervised by the Office, and the labor organizations received the majority of votes cast in both instances.

**Demand**

The Act requires dispute resolution services to be available on demand, including mandatory counseling and mediation, as well as available on demand administrative hearings and appellate review by the Board of Directors. Key users are covered employees and employing offices in the legislative branch. Demand for this service is generated by allegations of violations of one or more of the 12 statutes administered by the Office. Demand for this service fluctuates, but is generally increasing over time.

**Workload**

Dispute resolution is a core mandate of the Act. Required upon request: counseling; furnishing of mediator and mediation room; furnishing of Hearing Officer, room, court reporter, and hearing clerk; review of appeal by Board of Directors; staffing of Board review; briefing and oral argument (by the Office's General Counsel) of appeals before the Federal Circuit; general case processing administration, electronic tracking, filing, and communications with parties; review and approval of settlements; processing of settlements and judgments/awards for payment. There is no backlog; cases are not queued up for entry to the next stage of the procedure. However, the increase in petitions for review of Board orders filed with the U.S. Court of Appeals for the Federal Circuit has had a substantial impact on the workload of the Office of the General Counsel.

***FY 1997 - FY 2005 Comparison***

| | *Calls for Information* | *Requests for Counseling* | *Requests for Mediation* | *Complaints Filed* |
|---|---|---|---|---|
| FY 1997 | 1,716 | 165 | 158 | 6 |
| FY 1998 | 961 | 68 | 56 | 8 |
| FY 1999* | 1,098 | 323 | 49 | 14 |
| FY 2000 | 611 | 75 | 329 | 3 |
| FY 2001* | 595 | 430 | 386 | 10 |
| FY 2002 | 543 | 77 | 54 | 12 |
| FY 2003 | 497 | 92 | 70 | 8 |
| FY 2004 | 593 | 84 | 76 | 5 |
| FY 2005 | 476** | 60 | 45 | 9 |

* The Office experienced mass filings of two series of related controversies.
** Differs from number reported in Annual Report (323) due to a difference in methodology. The number reported herein includes calls to the Office's information line.

**Productivity/Effectiveness**

We seek to measure productivity for this service by the time taken to process cases, and by the participants' level of satisfaction with the process. No fees support this service. Efficiencies achieved to date include: contracting out of Hearing Officer and mediation services; collapsing of functions (Hearing/Board Clerk; Case management/Board staffing); Board telephone conference calls instead of live meetings; consolidated mediations; shortened counseling period; and assigning the same mediator to related cases. Current plans to review/improve effectiveness include: develop, review and establish benchmarks for case processing time; enhance evaluation of mediators; and survey and respond to user experience. No alternatives exist for the provision of these functions.

This function requires intense interpersonal interaction; therefore, the employment of technology chiefly relates to record keeping, and has limited impact. These services are provided the executive branch by various agencies responsible for enforcing each of the laws. However, ceding such enforcement responsibility to the executive branch would violate the Separation of Powers and Congressional immunity which the Act was created to protect. Within the legislative branch, the Personnel Appeals Board at GAO provides dispute resolution services for GAO employees regarding some of the statutes applied through the Act.

*Process Review:* A systematic review of efficiency in our case handling processes has resulted in an operational review of our contractual services of mediators and Hearing Officers. This in-depth review resulted in the Office amending its contracts for mediators and Hearing Officers beginning in FY 2006.

**Measuring Results**

The Office has analyzed its dispute resolution process in terms of efficiency and participant satisfaction, and has found that its procedures support the resolution of disputes in a timely manner. Working to achieve resolution at the earliest possible stage is both efficient and cost-effective. Yet, due to issues with confidentiality and the unique nature of each controversy, we are limited in our ability to establish criteria to reliably determine the effectiveness of the outcomes.

Relatively few employees file complaints following unsuccessful mediation. An exact explanation for this pattern remains elusive. Whether it is because the employees receive a satisfactory explanation from the employing office during mediation, have a lack of understanding of the process, are afraid of retribution, reach an informal settlement, or do not wish to hire a lawyer, the Office cannot know for certain because of the confidential nature of the mediation process itself.

In FY 2004, the Office initiated a survey of participants in the case mediation experience. Our aim was to gauge the Office's effectiveness regarding participants' experience in the mediation process. This first effort proved unsuccessful due to a low response rate. We used the experience to refine the survey instrument and delivery method.

In FY 2005, the Office requested advice from Government Accountability Office survey experts to review the restructured and redesigned mediation survey. The resulting survey is now more user-friendly and has better enabled us to capture the participants' level of satisfaction with the process. The Office also revised the survey distribution process by requiring mediators to disseminate the survey to the parties immediately upon conclusion of the final mediation session. The Office continues to assess whether the immediate distribution of the survey will further increase the response rate. The Office anticipates that the data received from the survey will provide a better overview of the participants' experience enabling the Office to improve the mediation process for employers and employees.

| *Interim Performance Measure* | | |
|---|---|---|
| **DR-1. Increase by 25% the number of responses to the mediation survey during FY 06.** | | |
| *Strategic Initiative* | Promote mediation as a better, more comprehensive tool for resolving work place disputes. | |
| *FY 2005 data* | 12% (20 of possible 159 surveys completed) | (7/1/04-6/30/05) |
| *Purpose of Interim Measure* | These FY 2006 responses will yield data from which to measure participants' satisfaction with the mediation program. | |

During the period of July 1, 2004 through June 30, 2005, the Office utilized a surveying instrument to gauge the effectiveness of its mediation program. Although useful feedback was obtained from the survey, few completed surveys were returned, and the acquisition of data was hampered. The results of this survey established the baseline from which to measure participant response to the mediation survey in FY 2005.

The redesigned instrument will better capture the participants' level of satisfaction with the process, and identify areas where improvements may be made. The survey's questions inquire into the participants' satisfaction with the mediator's effectiveness (explanation of the process, ability to listen to the parties, facilitation of communication between the parties), whether the matter was resolved through settlement or other means, and how the mediation experience could be improved.

**Current (FY05) Functional Area Costs** *(Direct only)*

| *Major Costs* | | *FTE /Contractor* | *Est. Cost per Year FTE (incl benefits)* |
|---|---|---|---|
| *Professional Staff* | Dep Exec Dir-Sen. | 33% FTE | $13,201 |
| | Board of Directors | 35% FTE | $44,710 |
| | Dir. of Counseling | 61% FTE | $72,238 |
| | Sr. Attorney | 22% FTE | $15,402 |
| | Attorney | 28% FTE | $25,380 |
| | Executive Director | 12% FTE | $20,262 |
| | Dep Exec Dir-House | 5% FTE | $8,459 |
| | Dep. Gen Counsel | 6% FTE | $8,031 |
| | General Counsel | 6% FTE | $9,778 |
| Admin/Support | Case Manager | 98% FTE | $47,320 |
| | Exec Asst to ED | 55% FTE | $32,016 |
| | Gen Couns Paralegal | 6% FTE | $3,425 |
| | Gen Couns Adm Asst | 30% FTE | $16,838 |
| Non Personal Svcs | Mediators/ Hearing Officers | Contractors | $151,007 |
| | Attny: Circuit Ct Appeals | | $10,636 |
| | Transcripts/Ct reporters | | $13,234 |
| | Other Non-Pers Svcs | | $11,385 |
| **Subtotal Functional Area** | | | **$403,723** |
| **Indirect Costs** ** **( 28% of $1,682,366--includes new FY06 funding)** | | | **$475,093** |
| **TOTAL for Functional Area (Base)** | | | **$878,816** |

** *Indirect costs are allocated based on each functional area's percentage of FY 05 total direct costs, based on FY 05 actual expenditures.*

**Requested Changes**

| | |
|---|---|
| 1. Comparison Study | $20,000 |
| 2. Mediation Training | $3,500 |
| 3. Dispute Resolution Case Tracking system (2-yr $$) | $32,500 |
| ***Net Increase: Subtotal for Functional Area*** | ***$56,000*** |
| **Indirect Costs (29% of $160,038)** | **$45,918** |
| **Total for Functional Area (Change)** | **$101,918** |
| **TOTAL REQUEST FOR FUNCTIONAL AREA** | **$980,734** |

**Rationale for Changes in Functional Area Funding**

1. Comparison Study: The Government Accountability Office issued a report to Congress in February 2004 on the Office of Compliance: "Status of Management Control Efforts to Improve Effectiveness." In its report, GAO recommended that the Office of Compliance consider "potential improvements on how it measures its activities and workload."

To benchmark its data, GAO suggested the Office consider studying comparable measures reported by executive branch agencies; such as the Equal Employment Opportunity Commission, the Federal Labor Relations Authority, and certain divisions of the Department of Labor. Performing a thorough comparison study would be quite time-consuming. Given the limited staffing resources within the Office of Compliance, the Office hopes to contract with a consultant or obtain at-cost services from another legislative branch agency to perform the comparison study. (Strategic Objective II)

2. Mediation Training: In line with its Strategic Plan goal II D, the Office seeks to reduce its costs and improve its mediation program by enabling its in-house case management leadership to conduct mediations through its dispute resolution program. Additional training for these staff as well as certification will be necessary to ensure that the Office is utilizing current mediation approaches and techniques. (Strategic Objective II)

3. Dispute Resolution Case Tracking system: The Office currently utilizes a ten year-old software package to track the processing of disputes that are filed with the Office through the various stages. This software system is several generations behind currently available systems, and is no longer compatible with the agency's operating system software. After having completed a comprehensive review and analysis of various software programs, the Office has determined that a newer case tracking system is critical to maintain the efficient processing of claims through the dispute resolution program. Our ultimate goal is to upgrade services while meeting the unique processing requirements of the Congressional Accountability Act and the Office's Procedural Rules. (Strategic Objective II)

OCCUPATIONAL SAFETY AND HEALTH/AMERICANS WITH DISABILITIES INVESTIGATION AND ENFORCEMENT

**Mandate: Congressional Accountability Act, Sections 215 and 210**

**"...Each employing office and each covered employee shall comply with the provisions of section 5 of the Occupational Safety and Health Act of 1970..." 2 U.S.C. 1341.**

**"...The rights and protections against discrimination in the provision of public services and accommodations established by sections...of the Americans with Disabilities Act of 1990 shall apply to the entities listed..." 2 U.S.C. 1331.**

**Description of Functional Area**

*Safety and Health--Periodic Inspection:* The Act requires the General Counsel of the Office of Compliance to inspect all covered facilities in the legislative branch for compliance with safety and health standards at least once each Congress, and to report the findings to Congress. Approximately 30,000 employees are covered by the OSHA standards.

*Requests for Safety and Health Inspections:* The Act's safety and health provisions give covered employees and offices the right to request inspections of potentially hazardous conditions in work areas. When a request for inspection is received, the Office of the General Counsel ("OGC") initiates an on-site investigation, after which it sends a detailed report to the employing office which describes the conditions found, reports the results of any tests performed, and explains any steps that may be needed to remedy the problem. In the event that the responsible employing office fails to correct the problem within a specified time, the OGC issues citations and/or notifications, as appropriate.

*Technical Assistance:* Like the Occupational Safety and Health Administration (OSHA), the OGC provides compliance assistance to employing offices and covered employees. The OGC also advises employing offices about consensus standards and interpretations of OSHA standards upon request, and provides information about proposed OSHA regulations that affect their operations. In addition, the OGC assists in the development of programs to reduce occupational injuries in legislative branch agencies that have high lost-time injury and illness rates, and facilitates the development of emergency action plans by employing offices

*Disability Access Inspections:* Pursuant to section 210 of the Act, the Office of the General Counsel is required to conduct inspections of all covered legislative branch facilities at least once each Congress to determine compliance with the rights and protections against discrimination in the provision of public services and accommodations established by the Americans with Disabilities Act. The General Counsel is also responsible for investigating charges of disability access discrimination. If the General Counsel concludes that a violation has

occurred, he may either request mediation to resolve the dispute, or file a complaint against the entity responsible for correcting the violation.

*Technical Assistance:* The Act authorizes the OGC to provide employing offices with technical advice to assist them in complying with disability access requirements. In addition, the OGC routinely answers questions from congressional offices and legislative branch employees on disability access laws.

**Accomplishments in FY 2005**

*Inspections of covered facilities:* In FY 2005, the Office of the General Counsel (OGC) continued its effort initiated in FY 2004 to conduct more thorough inspections of 16 facilities. The OGC also made a substantial effort to reduce the backlog of open cases initiated by specific requests, while continuing its mandated biennial inspection of the 108th Congress. As part of the 108th Congress inspections, approximately five million square feet of the 17 million Capitol Hill complex facilities were inspected. The Office identified over 2,600 violations, as opposed to only 350 violations in the 107th Congress inspection cycle.

In an effort to increase productivity and communicate OSH-ADA inspection findings more effectively to stakeholders, the Office of the General Counsel adopted a standardized evaluation system in FY 2005 to evaluate safety and fire hazards: the Risk Assessment Code (RAC—the industry-wide evaluation system used by the Department of Defense and others). The Office of the General Counsel also utilized measures established by the National Fire Protection Association (NFPA) to evaluate fire risk in legislative branch facilities. The NFPA standards consider such factors as age, quality, and coverage of alarm and sprinkler systems. Both evaluation systems help bring an increased level of objectivity of the inspection process and enable the General Counsel and his inspection team to take a more strategic and risk-based approach towards enforcement priorities.

During the course of the Office of the General Counsel's inspection of the 108th Congress, it found significant problems in numerous areas, including potentially fire hazardous unenclosed stairwells, breaches in fire barriers, non-rated fire doors, and exposure to lead, asbestos, and electrical hazards. Many of the worst violations were in areas identified as serious hazards in prior inspection reports.

*Addressing the periodic fluctuation in OSHA inspection workload:* The Office of the General Counsel began its inspections of the 109th Congress in June 2005. As was documented in the FY 2004 Annual Report, the scheduling of the periodic inspections no longer occurs in the second half of the congressional session. This operational decision reduces compression of the inspection calendar by allowing the use of the entire congressional term, increasing the quality of inspections. The Office now operates a continuous inspection regimen.

For FY 2005, the General Counsel's inspection team gave priority attention to those facilities that had not been inspected during the 108th Congress inspection period. Scheduling inspections often presents significant delays while Congress is in session. The GC's inspection

squad maximized recess periods in FY 2005. In particular, teams began inspections of Member and Committee offices in both the Senate and House while Members were on summer recess. To ensure that all covered facilities in the vast D.C. metropolitan area are inspected during the 109th Congress, inspectors will engage in continuous biennial and requestor initiated inspections. This will maximize the efficiency of the inspection process.

Each of these changes required a significant infusion of staff and contractor resources. The agency used all of its remaining two-year funds from FY 2004, all of its FY 2005-2006 funds, and reprogrammed any and all available funds to conduct the inspections. The depth and scope of the new methodology for inspections, as well as the additional time it takes to accommodate and include our regulated community, required us to request an amended appropriation for FY 2006 in order to satisfy our statutory mandate to conduct a comprehensive inspection of all covered facilities during the 109th Congress. We provided information about the inspections, including that we had not yet finished inspecting all of the facilities, to the leadership of our Oversight Committees in December of 2004. Both the House and Senate approved an amended FY 2006 budget request, which provided a significant increase in health and safety inspector resources to conduct full campus-wide inspections during the 109th Congress.

*Systemically examine findings for patterns and underlying causes*: During the past year, the Office completed upgrading its IT capabilities as they pertain to the safety and health and the ADA-related matters. This is the next phase of a strategic initiative that was of primary import during FY 2005: *Acquire and install a new comprehensive record keeping system for OSHA and ADA-related cases, and complete data input/conversion of prior case data.*

In FY 2005, the Office procured and installed computer software that was acquired after an exhaustive comparative study. The software allows the Office of the General Counsel to perform its mandated functions—including monitoring compliance with OSHA and ADA public access and public-accommodations-related matters—more effectively. The software also allows us to monitor whether cases have been successfully closed, tracks the time taken to address all violations, and effectively sorts all violations into categories such as nature, location, severity, and type. The system further enables the OGC to carry out its enforcement program to monitor the abatement status of outstanding hazards and unremediated citations.

*Requested Inspections:* In this period of transition, the number of inspections requested by employees, labor unions, and employing offices continued. The General Counsel received 17 new requests for safety and health inspections. Inspections were initiated in all of these cases, as well as continuing investigations of those matters filed in previous years. The OGC has placed particular emphasis on the closure of cases open for more than one year. The OGC received one request for an ADA-related inspection during FY 2005.

The OGC has initiated new efforts to monitor all unabated violations with the funding included in the FY 2006 appropriation, and by means of the upgraded software.

**Demand**

Health and safety enforcement is mandated by the Act, which requires that the General Counsel investigate and seek remediation of all violations of the OSH Act and the public access provisions of the ADA. If necessary, the General Counsel files an administrative complaint with the Executive Director, which is processed through the administrative hearing and appeal process of the Office. Key users of this service are the covered employees and the covered employing offices under the Act, including those of the Architect of the Capitol, U.S. Capitol Police, and the Library of Congress. The factor that drives the demand for this service is alleged and/or actual violations of the OSH Act and/or public access provisions of the ADA. The General Counsel is required to conduct biennial inspections of all covered legislative branch facilities, and also to conduct inspections in response to employees, labor unions, and employing offices. As the GAO found in 2004, "the annual workload of requested inspections has risen dramatically..." (GAO Report, pp. 24-25). Eliminating the backlog of these requests is a major priority for the OGC.

**Workload**

This service is a core mandate of the Act. Required upon request: investigation by inspectors of alleged violations and periodic self-initiated inspections; preparation and processing of inspection reports; enforcement follow-up by General Counsel legal staff and inspectors; general case processing administration, electronic tracking, filing, and communications with parties. There is an existing backlog of inspection reports and a lack of systematic monitoring of the abatement efforts of employing offices. Required every Congress: a comprehensive OSH/ADA inspection of every employing office under the jurisdiction of the Office.

**Productivity/Effectiveness**

Productivity in this functional area is measured by correction of violations, and by the length of time it takes to correct violations by nature of their complexity and severity. Since we have no operational control of the actual abatement of violations, our success may be measured by increased monitoring, and by the enforcement measures we take. During FY 2005, the agency utilized the services of one full-time detailee from the Occupational Safety and Health Administration, and per diem contractors to undertake the inspections and determinations regarding the existence or remediation of violations. This service is not supported by fees. Safety and health services are provided in the executive branch by the Occupational Safety and Health Administration in the Department of Labor, and ADA services by the Department of Justice. However, ceding authority for OSH enforcement would violate the Separation of Powers and Congressional immunity which the Act and the Office were created to avoid. No other entity in the legislative branch provides independent enforcement of the OSH Act and ADA. The technology component of this functional area chiefly relates to investigation and violation case processing and tracking.

**Measuring Results**

The Office has acquired the database system to record and measure each step in the inspection process, from request for inspection to the final verification of abatement of all identified health and safety and ADA violations. Once the system is fully employed, the OGC will be able to ascertain categories of severity, establish priorities for inspections and follow-up actions, recommend appropriations necessary to correct violations, project personnel and other resource needs, and more effectively manage workflow within the OGC. It will also be able to develop a variety of reports, such as lost-time accidents, violation frequency, case aging, and real time legislative branch or employing office-wide compliance status.

As of FY 2006, the Office of Compliance has received substantial additional funds to be used in the ongoing effort to complete a thorough and comprehensive inspection of the entire Capitol Hill campus during the 109th Congress. The agency is committed to the efficient and effective use of these resources to provide a comprehensive baseline regarding the conditions across the campus, and to assist employing offices quickly improve health, safety and disability access conditions. The agency is also committed to using the funds to reduce the time it takes to resolve requestor-initiated OSH-ADA inspections, and to getting inspection results into the hands of employing offices' officials who can address the most egregious findings as quickly as possible.

| *Interim Performance Measures* | | |
|---|---|---|
| **OSH-1. By the end of FY 2006 reduce by 25% the number of unresolved requestor-initiated OSH-ADA inspections which have been open for 12 months or more.** | | |
| *Strategic Initiative* | Complete all required health and safety and public access inspections. | |
| *FY 2005 data* | 52 inspection requests pending for 12 months or more | As of 9/30/2005. |
| *Purpose of Interim Measure* | To provide better customer service and a safer working environment to those individuals or entities who request inspections of alleged violations of the law. | |
| **OSH-2. During the period of the OSH/ADA biennial inspections for the 109th Congress, reduce the average time between the inspection and the delivery of the charts tabulating the results of the inspection to the responsible employing office by 5 %.** | | |
| *Strategic Initiative* | Same as Measure #OSH-1. | |
| *FY 2005 data* | 61 days | 108th Congress |
| *Purpose of Interim Measure* | To provide employing offices with inspection results more quickly, giving employing offices earlier notice to correct violations. | |
| **OSH-3. During the 109th Congress, complete an OSH/ADA inspection of 100% of the covered premises in the Washington, D.C. metropolitan area.** | | |
| *Strategic Initiative* | Same as Measure #OSH-1. | |
| *FY 2004-2005 data* | 4 million (25%) sq. feet of covered premises inspected | 108th Congress |
| *Purpose of Interim Measure* | To provide employing offices with comprehensive inspection results, to assist employing offices to make all necessary improvements re: health, safety and disability access conditions on the campus. | |

*OSH-1:* The Office is committed to increasing the speed and efficiency of its requestor-initiated OSH-ADA inspection operations so as to provide better customer service to those individuals or entities who request inspections of alleged violations of the law. The baseline for measure OSH-1 is the number of inspection requests pending for 12 months or more as of the end of FY 2005.

*OSH-2:* The Office seeks to provide employing offices with inspection results more quickly. Quicker inspection turnarounds have two beneficial effects: giving employing offices earlier notice to correct violations, and enabling the Office to complete more inspections within the same amount of time. The ultimate result of this effort will be a safer and healthier Capitol

Hill. Measure OSH-2 will be impacted by factors outside the control of the agency, such as the level of cooperation of agencies being inspected, and the number and complexity of violations identified. Its baseline will be the average time between the inspection and the delivery of the charts tabulating the results to the responsible employing office during the 108th Congress biennial inspection.

*OSH-3:* The additional appropriated funds which the Office received in FY 2006 will be used in the ongoing effort to complete a detailed, comprehensive inspection of the entire Capitol Hill campus during the 109th Congress. The baseline for this measure is the approximately 4 million square feet inspected by the Office in the greater Washington area during the 108th Congress biennial inspection. The successful implementation of this measure will mark an approximately 400% improvement in the Office's inspection coverage over the biennial inspection which took place during the 108th Congress.

Measure OSH-3 will be impacted by varied external circumstances, including but not limited to: the addition of large new buildings to the inventory of covered premises, such as the CVC and the new USCP headquarters, the level of cooperation of agencies being inspected, the number, severity and complexity of violations identified, and the need to re-inspect conditions to ascertain whether violations have been corrected.

**Current (FY05) Functional Area Costs** (Direct only)
** No staff dollars included in chart below 5% or $1,000, whichever is lower. However, these minimal amounts are included in totals.*

| Major Costs | | FTE /Contractor | Est. Cost per Year FTE (incl benefits) |
|---|---|---|---|
| Investigators | Industrial Hygienist | Non-reimbursable OSHA detailee | $0 |
| Professional Staff | Dep. Gen. Counsel<br>Sr. Attorney<br>General Counsel<br>Attorney<br>Board of Directors<br>Executive Director<br>Dir. of Counseling | 50% FTE<br>41% FTE<br>55% FTE<br>48% FTE<br>5% FTE<br>4% FTE<br>3% FTE | $66,721<br>$29,156<br>$89,633<br>$43,307<br>$6,387<br>$5,864<br>$2,988 |
| Admin/Support | Gen Couns Paralegal<br>Asst Systems Admin<br>Exec Asst to ED | 92% FTE<br>11% FTE<br>13% FTE | $55,629<br>$5,920<br>$7,484 |
| Non Personal Svcs | Safety & Health Experts (including fire safety) | Contractors | $210,762 |
| | Other Non-Pers Svcs | | $23,417 |
| **Subtotal Functional Area** | | | **$537,268** |
| **Indirect Costs ** ( 38% of $1,682,366--includes new FY06 funding)** | | | **$644,015** |
| **TOTAL for Functional Area (Base)** | | | **$1,191,283** |

***Indirect costs are allocated based on each functional area's percentage of FY 05 total direct costs, based on FY 05 actual expenditures.*

**Requested Changes**

| | |
|---|---|
| 1. FTE for Management Analyst (Salary & Benefits)<br>Non-recurring contract for management analyst (2-yr $$) | $47,000<br>-$35,250 |
| 2. Staff Travel | $2,300 |
| 3. Travel to attend OSH/ADA &/or Labor-Management Relations Conferences | $8,000 |
| 4. ADA/OSH Printing | $14,000 |

| | |
|---|---|
| 5. Printing & materials: ADA seminar | $3,000 |
| 6. Safety and Health Resource Library materials | $778 |
| 7. Safety and Health Testing Equipment | $4,500 |
| 8. Case Tracking system compatible PDAs | $3,000 |
| 9. Personal Computers | $3,000 |
| 10. District Office self-certification inspection (2-yr $$) | $25,000 |
| 11. Review/Inspect Safety Plans (2-yr $$) | $25,000 |
| 12. Initial Inspection of CVC (2-yr $$) | $35,000 |
| 13. Non-recurring contracts for safety & health inspections (2-yr $$) | -$82,250 |
| ***Net Increase: Subtotal for Functional Area*** | ***$53,078*** |
| **Indirect Costs (38% of $160,038)** | **$61,123** |
| **Total for Functional Area (Change)** | **$114,201** |
| **TOTAL REQUEST FOR FUNCTIONAL AREA** | **$1,305,485** |

**Rationale for Changes in Functional Area Funding**

1. FTE: Management Analyst FTE: The request for a Management/Program Analyst directly supports the increasing inspection burden placed on the OGC to complete both a comprehensive biennial inspection and requestor-initiated OSH/ADA inspections filed under Section 215 of the CAA. In the past, contractors made arrangements with employing offices to schedule inspections, performed inspections, translated their inspection data into findings, reports, etc. Contractors typically spent from 1-2 hours of administrative time for each 2 hours spent conducting inspections. Contract inspectors, because of their varying levels of expertise required to perform inspections, are paid from $70-100 per hour.

The Office used FY 2005 funding to purchase a specialized software (OGC case tracking system) to make the post-inspection administrative process more efficient and to assist in monitoring efforts. The requested Analyst FTE will ensure that inspection funds are used for direct inspection costs in order to reduce the time spent by higher cost inspectors in performing associated administrative tasks. This position can fulfill the necessary administrative summary functions at a significantly lower cost (approximately 1/3) of the cost of subject matter expert contractors. The cost of this FTE position is largely offset by reduction in 2-year funds for a contracted management analyst. (Strategic Objective I)

2. Staff Travel: The OGC is initiating efforts to comply with the mandate to inspect all legislative branch facilities in the DC metro area. This includes travel to local sites off campus, such as Ft. Meade, Culpeper, and Manassas. Even locally, there are times that it is more cost

effective for staff members and contractors to stay at the inspection sites on multi-day inspections rather than to pay for travel. (Strategic Objective I)

3. Travel to Attend OSH/ADA &/or LMR Conferences: It is essential for the Office to retain the subject matter expertise in the fields of OSH and LMR over which the office provides enforcement authority. See GAO Report/Office Strategic Plan (Establish the office as a repository of information and technical Guidance). Benchmarking with enforcement agencies in the executive branch that perform similar functions is essential to maintaining currency in substantive and procedural areas of the law. (Strategic Objective I)

4. ADA/OSH Printing: The budget for printing of the OSH and ADA biennial reports was underestimated and hence underfunded in FY 2006 because of the need to print two versions of its reports (i.e., redacted and unredacted), in response to U.S. Capitol Police concerns about security-sensitive material. Since the agency is currently obligated to utilize either the GPO or in-house printing, these costs are non-negotiable. (Strategic Objective I)

5. Printing & Materials: ADA seminar: Various Member offices in the House of Representatives have requested that the OGC provide training resources on ADA accessibility. (Strategic Objective I)

6. Safety and Health Resource Library materials: Due to the increase in inspection speed and workload, the OGC's staff industrial hygienists need ready access to additional essential technical publications. (Strategic Objective I)

7. Safety and Health Testing Equipment: Most of the existing testing equipment is old and needs replacement. In addition, due to the increase in inspections, the OGC's staff industrial hygienists need additional essential testing equipment, so that more than one inspection team can be in operation at a time. (Strategic Objective I)

8. Case Tracking system compatible PDAs: The OGC case tracking system was procured to make the inspection process as efficient as possible. The system is designed to allow inspectors to remotely access prior findings during inspections and to directly enter updates during the course of inspection in order to monitor abatement. This substantially shortens the amount of time required for entry and preparation of reports and findings and ensures that the inspectors can more readily verify employing office representations regarding the status of compliance. (Strategic Objective I)

9. Personal Computers: No OGC computers have been upgraded for three years, due to the fact that agency equipment funds have been reprogrammed into the critical inspection process. Upgrade is overdue. (Infrastructure)

10. District Office self-certification inspection: The OGC is statutorily mandated to conduct biennial inspections of all legislative branch facilities, including Congressional District offices. Past levels of funding have not permitted the OGC to complete an inspection of all of the Washington, DC metropolitan area legislative branch facilities. With the additional resources

provided by the FY 2006 budget, the OGC anticipates initiating the first phase of a self-certification process for District offices as an initial step in improving District office conditions, as part of the 109th Congress inspection process. This proposed additional funding allows the OGC to move forward with the second phase, a test plan to provide training for District offices and a process for them to self-inspect, followed by spot inspections by OGC inspectors. (Strategic Objective I)

11. Review/Inspect Safety Plans: A comprehensive inspection must include an inspection of employing office health and safety plans. The Office also has a duty to assist employing offices to create/improve their plans. The absence of adequate plans substantially contributes to numerous recurring health and safety violations. Additional funding is required to evaluate the plans of employing offices. It is anticipated that this function will require approximately ½ work year to fund a pilot project for undertaking this essential function. (Strategic Objective I)

12. Initial Inspection of CVC: Current funding is based on the current square footage that is occupied by DC-area legislative branch buildings. The CVC, which adds approximately 700,000 square feet of facility, will increase the area that must be inspected by approximately 5%. Pre-inspection briefings of OGC inspectors by the AOC and the initial inspection and follow-up that will be necessary at the time of occupation by legislative branch employees of the CVC will require the proposed additional resources. (Strategic Objective 1).

13. Non-recurring contracts for safety & health inspections: It is projected that the increased efficiency in inspecting covered facilities resulting from the current comprehensive inspections will result in an estimated reduction in cost for the next, and subsequent, inspections by approximately 17.5%. (Strategic Objective I).

## LABOR RELATIONS INVESTIGATION AND ENFORCEMENT

**Mandate: Congressional Accountability Act, Section 220**

**"...The rights, protections, and responsibilities established under sections 7102, 7106, ...and 7131 of title 5, United States Code, shall apply to employing offices and to covered employees and representatives of those employees." 2 U.S.C. 1351.**

### Description of Functional Area

The General Counsel is responsible for investigating allegations of unfair labor practices filed under section 220 of the Act, and for filing and prosecuting complaints of unfair labor practices. The General Counsel is also responsible for providing compliance assistance to employing offices, and responding to employees' questions. The OGC may be called upon to provide training in this area, as well.

### Accomplishments in FY 2005

Four new unfair labor practice (Title II, Part D) charges were filed during FY 2005, increasing the total number of ULP charges requiring investigation from the 18 carried over from FY 2004, to the new total of 22. Fifteen charges (two of the new, and 13 of the pending) were resolved through the intensive use of alternative dispute resolution (ADR) techniques during FY 2005. The remaining seven cases are currently under investigation to determine whether formal complaints will be filed.

The Office of the General Counsel credits its ADR success to its focus on "interest-based" resolution of the pending unfair labor practices. This approach encourages a full review of each party's underlying "interests" as well as their arguments. The General Counsel's effort resulted in a better focus on the remaining unfair labor practice cases.

### Demand

Enforcement of the Federal Services Labor-Management Relations Act (FSLMRA) provision is a core mandate of the Act. It requires that the General Counsel investigate and seek remediation of all unfair labor practice violations. If necessary, the General Counsel files an administrative complaint with the Executive Director, which is processed through the administrative hearing and appeal process of the Office. Key users of this service are the covered employees, employee representative organizations, and the covered employing offices under the Act, including those at GAO and the Library of Congress. The factor that drives the demand for this service is alleged and/or actual unfair labor practice violations of the FSLMRA.

**Workload**

This service is a core mandate of the Act. Required upon request: investigation by General Counsel legal staff of alleged violations; efforts to obtain voluntary remediation if an unfair labor practice is determined to have occurred; filing of an administrative complaint by General Counsel legal staff; general case processing administration, electronic tracking, filing, and communications with parties.

**Productivity/Effectiveness**

Productivity in this functional area is measured by length of time of the investigation, and by the length of time it takes to achieve a final remedy. This service is not supported by fees. These services can be provided by the Federal Labor Relations Authority, an independent agency in the executive branch. However, such an arrangement would violate the Separation of Powers and Congressional immunity which the Act and the Office were created to avoid. In the legislative branch, the Personnel Appeals Board of GAO provides similar services for GAO and its employees. The technology component of this functional area chiefly relates to investigation and violation case processing and tracking.

**Measuring Results**

The Office is developing an additional data base application that will measure the length of time each step in the investigation and remediation process takes, and the patterns of outcomes over time. As a result of this development, the Office will undertake a comparison of this data with relevant comparable systems, and establish goals related to time frames and outcomes.

**Current (FY05) Functional Area Costs** (Direct only)
** No staff dollars included in chart below 5% or $1,000, whichever is lower. However, these minimal amounts are included in totals.*

| Major Costs | | FTE /Contractor | Est. Cost per Year FTE (incl benefits) |
|---|---|---|---|
| Professional Staff | Attorney<br>Dep. Gen. Counsel | 7% FTE<br>8% FTE | $6,043<br>$11,120 |
| Non Personal Svcs | | | $240 |
| **Subtotal Functional Area Cost** | | | **$17,403** |
| **Indirect Costs** (1% of $1,682,366---includes new FY06 funding)** | | | **$20,480** |
| **TOTAL for Functional Area (Base)** | | | **$37,883** |

***Indirect costs are allocated based on each functional area's percentage of FY 05 total direct costs, based on FY 05 actual expenditures.*

**Requested Changes**

| | |
|---|---|
| *1. LMR Training Plan* | *$5,000* |
| *Net Increase: Subtotal for Functional Area* | *$5,000* |
| Indirect Costs (1% of $160,038) | $2,106 |
| **Total for Functional Area (Change)** | **$7,106** |
| TOTAL REQUEST FOR FUNCTIONAL AREA | **$44,990** |

**Rationale for Change in Functional Area Funding**

1. LMR Training Plan: An essential statutory function of the OGC is to provide education to legislative branch employers and employees on rights, obligations, and remedies available in Labor Relations matters. No such educational effort has been undertaken in this regard to date with Congressional and Senate District Office staffs. The purpose of this request is to develop a targeted, test training module for District Offices designed to educate on rights, obligations, and remedies under the CAA. (Strategic Objective I)

## EDUCATION AND OUTREACH

**Mandate: Congressional Accountability Act, Section 301(h)**

**"...The Office shall...carry out a program of education for Members of Congress and other employing authorities of the legislative branch of the Federal Government respecting the laws made applicable to them and a program to inform individuals of their rights under laws made applicable to the legislative branch..." 2 U.S.C. 1381.**

**Description of Functional Area**

The Office of Compliance provides education and information to Congress, other employing offices of the legislative branch, and covered employees. Education and information activities include developing and distributing written materials and publications; conducting conferences, briefings, and workshops; maintaining a web site on the Internet; and providing information and referrals to employees and employing offices on an individual or group basis.

**Accomplishments in FY 2005**

*Materials and Products:* Significant accomplishments in the education area include the addition of a powerful search engine on the agency's web site, an update of all educational products, a complete reprint and redesign of the text of the CAA, a completely revamped version of the Office of Compliance Regulations, a new educational resource manual and accompanying CD-Rom, and a new printing of the Office of Compliance Procedural Rules. Our products are improved and easier to read. They incorporate the new Office of Compliance logo, which has yielded the additional benefit of uniformity of appearance of all materials, thus enhancing our organizational identity.

The redesign of the web site—an integral part of the new suite of materials—was a substantial improvement. The web site is the online component for the information contained in the CAA Handbook and eHandbook, integrating the content of all Office products in one place. The redesign also added significant new features to the site, including new pages on events and press releases, an integrated section for tools and educational resources, and a powerful search engine to aid in the use of the site.

The most dramatic accomplishment relating to this aspect of the Strategic Plan was the launch of a new suite of innovative educational products, the CAA Handbook, and the eHandbook on CD-ROM. These materials were a complete departure from previous office products, emphasizing ease of use and greater access to in-depth information for readers. Both products also incorporate identical language on all topics, ensuring that major Office materials are uniform and consistent in content.

A companion to the CAA Handbook, the eHandbook is an electronic reference library of materials related to the CAA. It offers readers quick access to all of the information in the CAA

Handbook, as well as additional reference material previously available only online or not at all. The CD-ROM permits easy access to all significant Office of Compliance reference information for those who do not have easy access to the Internet or do not wish to make use of the web site. The eResources initiative is aimed at providing online tools and educational resources like new PowerPoint presentations, posters, and publications.

The increased visibility resulting from these improvements has caused the Office of Compliance's products and resources to gain broader attention across the legislative branch and beyond. For example, the effort to provide more content online and offer more tools and resources on the web site has resulted in major increases in web site traffic, with total hits to the site increasing by well over 100% compared to FY 2004. Future success of similar endeavors relies heavily on the Office of Compliance's ability to acquire additional resources, as well as its ability to solicit additional cooperation from the legislative branch and access to the information infrastructure to meet the CAA's education mandate.

*Dispute Resolution Conference:* As a complement to our education efforts, our outreach efforts in FY 2005 included a one-day training conference on dispute resolution in the workplace in June 2005. In preparation for the event, an Office of Compliance contractor interviewed covered community members to identify needs, assess how Capitol Hill agencies handle dispute resolution "in-house," and held a focus group to validate findings. The workshop proved to be quite successful, not only because it was so well received, but also because it demonstrated the effectiveness of communication through live education and training. The depth of knowledge of our facilitators and an opportunity to apply lessons were especially appreciated by attendees and reflected in participant evaluations.

*Baseline Survey:* The primary focus of education efforts for FY 2006 will be the implementation of a baseline survey to help the office systematically measure progress in improving awareness and to help gauge knowledge of the laws and procedures administered by the Office among the employing offices and employees. By establishing a baseline for the level of awareness and knowledge among the population served, the Office of Compliance will be able to establish quantifiable measures to track its progress periodically.

*Outreach:* Collaboration and stakeholder involvement took on many forms in FY 2005. Reportable accomplishments include: topics of publications, focus of conference agenda, direction of regulations, participation at safety conferences, sharing resources, and leveraging external relationships.

The Office of General Counsel has initiated regular monthly meetings with representatives from the General Counsel and Safety Offices of the AOC and LOC in an effort to facilitate abatement of existing hazards and citations and new violations that are identified during the ongoing periodic and requestor-initiated inspections. These meetings have proven to be an effective tool at facilitating abatement efforts, the sharing of information regarding obstacles to abatement, overall communication, and improving processes.

The OGC negotiated a memorandum of understanding (MOU) with the U.S.Capitol Police to resolve issues surrounding the classification of and sharing of security-sensitive information. The MOU establishes guidelines and procedures related to the publication of the OGC's statutorily mandated reports and the investigation of matters pending before the OGC. In implementing the MOU, the Committee on House Administration has assisted the OGC to secure eight security clearances for key staff members in the Office.

Finally, the Office collaborated with managers, staff, our Board of Directors and external stakeholders to develop performance measures to measure our success during FY 2006 and beyond. These specific, measurable, achievable, results-oriented and timely measures gauge the Office of Compliance's effectiveness against several of our strategic goals. These interim measures are a first step taken by the Office of Compliance to develop more results-oriented performance measures that will adequately reflect our long-term objectives in the areas of safety and health, education and outreach, and dispute resolution.

*Repository of information and technical guidance:* One of GAO's recommendations to the Office in its management audit included, "the establish(ment) of a clearinghouse for shared best practice information on topics covered by the CAA," (GAO-04-400 Review of the Office of Compliance, p. 32). In FY 2005, the Office opened discussions with private sector and not-for-profit organizations such as the National Safety Council (NSC), and the Volunteer Protection Participants Program Association (VPPPA) to leverage expertise and establish inroads with best practice organizations in the private, public and state and local government sectors. These relationships have proved instrumental resources for future partnership activities. Our discussions with VPPPA hopefully portend a pilot program to help legislative branch agencies utilize the expertise of safety personnel from Fortune 500 organizations. Discussions with the NSC, a congressionally chartered organization and leader in safety and health advocacy, have explored the possibility of a comprehensive safety and health survey and another safety and health conference.

**Demand**

This service is a core mandate of the Act. To fulfill the demand, the Office provides periodic educational pamphlets and circulars to employing offices and employees; makes presentations to employing offices and employees; facilitates conferences and seminars within the legislative branch; responds to requests for information; and maintains an electronic information site which is fully accessible to all employing offices and employees with Internet accessing capacity. The need for this service is gauged by the relative level of knowledge and awareness of employing offices and employees regarding the laws and procedures administered by the Office, which is complicated by the constant staff turnover and relative youth of the employee community.

**Workload**

The Office is in the process of improving this service by revamping the design and editorial style of our publications; enhancing our web site; taking advantage of opportunities to

make presentations to new employees and present training to current covered employees; and capitalizing on the success of our legislative branch-wide conferences on alternative dispute resolution, and safety and health. We are seeking greater ability to provide educational material to employing offices and employees via live and electronic means. The Office will be able to identify the best mix of these activities once a formal baseline survey is complete.

**Productivity/Effectiveness**

The effectiveness of this functional area may be measured by the increase in awareness and understanding of the laws and procedures administered by this Office among employing offices and employees. The Office is attempting to increase efficiency by gaining access to electronic communications systems which serve the employing offices and employees, which would generate a significant financial benefit, and add to the variety of means by which the Office fulfills the educational mandate. Various agencies and tribunals in the executive branch provide information to the public regarding the statutes administered under the Act. The Office utilizes some such material as copy for our educational efforts. However, because the administering agency and the dispute resolution procedure is different under the Act, such executive branch material cannot generally be distributed. In facilitating conferences and seminars, the Office utilizes the substantive expertise of officials from the executive branch, and the private sector. No fees support this service.

**Measuring Results**

The Office currently has no systematic method for measuring progress in improving awareness and knowledge of the laws and procedure administered by the Office among the employing offices and employees. The Office intends to undertake a survey process to establish a baseline for the level of awareness and knowledge among the population we serve. We will then establish goals to improve that level by factors to be measured via periodic surveys. The best mix of activities for achieving these goals will be identified as a result of this process.

The Office requested and received funding for the first two phases of a baseline survey in FY 2005 and FY 2006. In the current year, we are contracting for the design of the survey itself. We plan to implement it in the House and Senate, to the degree funds are available and our stakeholders agree to work with us. Additional funds are being requested in FY 2007 to implement the campus-wide survey. Once the survey has been completed, we will have sufficient data to devise and adopt measures about:

- increasing community awareness of the Congressional Accountability Act and the services offered by the Office by a given percent per year
- increasing responses that our Office is "very successful" or "successful" at responding to the needs of covered employers and employees by a given percent per year

In the interim, the Office is continuing our efforts to further increase the demonstrated use of the agency's web site, which is a partial reflection of the Office's information and education efforts within the regulated community, as well as the public at large.

| *Interim Performance Measures* | | |
|---|---|---|
| **EO-1. Increase by 10% the average monthly number of hits on the web site during FY 2006.** | | |
| *Strategic Initiative* | Conduct education and outreach efforts to improve voluntary compliance with workplace laws, and to improve the quality of the employing office-employee relationship. | |
| *FY 2005 data* | 12,915/month (154,985 total) | 10/1/04-9/30/05 |
| *Purpose of Interim Measure* | Using limited data currently available data, measure increases in the covered community's awareness of the Congressional Accountability Act and the services offered by the Office. | |
| **EO-2. Increase by 10% the number of average monthly downloads per visit to the Office web site during FY 2006.** | | |
| *Strategic Initiative* | Same as Measure #EO-1. | |
| *FY 2005 data* | 15,665/month | 10/1/04-9/30/05 |
| *Purpose of Interim Measure* | Same as Measure #EO-1. | |

The baseline for measure EO-1 is the average monthly number of hits per visit during FY 2005. The Office's web site came online soon after the establishment of the Office. The early web site was information rich but not user friendly. The Office has completed two major upgrades of the site. Today, the site is easier to navigate, logical and intuitive.

The baseline for measure EO-2 is the average monthly downloads per visit during FY 2005. Downloads represent the level of usage of online products: OSH and ADA-related "*Fast Facts*," and "*OOC Bulletins*". An important goal of the education/communications strategy of the Office continues to be to provide value-added resources in a useable format.

**Current (FY05) Functional Area Costs** (Direct only)
** No staff dollars included in chart below 5% or $1,000, whichever is lower. However, these minimal amounts are included in totals.*

| Major Costs | | FTE /Contractor | Est. Cost per Year FTE (incl benefits) |
|---|---|---|---|
| Professional Staff | Dep Exec Dir-House | 47% FTE | $73,891 |
| | Writer/Cong Affairs Offr | 99% FTE | $78,803 |
| | General Counsel | 7% FTE | $11,408 |
| | Executive Director | 12% FTE | $20,121 |
| | Board of Directors | 10% FTE | $12,274 |
| | Sr. Attorney | 6% FTE | $4,448 |
| | Dir. of Counseling | 6% FTE | $7,536 |
| | Attorney | 3% FTE | $2,417 |
| | Dep Exec Dir-Sen | 7% FTE | $2,748 |
| Admin/Support | Exec Asst to ED | 8% FTE | $4,395 |
| | Gen Couns Adm Asst | 9% FTE | $5,118 |
| Non Personal Svcs | Safety & Health Experts | Contractors | $8,464 |
| | Consultants & Designer | | $37,396 |
| | Other Non-Pers Svcs . | | $39,903 |
| **Subtotal Functional Area** | | | **$308,921** |
| **Indirect Costs** ( 22% of $1,682,366--includes new FY06 funding)** | | | **$363,533** |
| **TOTAL for Functional Area (Base)** | | | **$672,454** |

***Indirect costs are allocated based on each functional area's percentage of FY 05 total direct costs, based on FY 05 actual expenditures.*

**Requested Changes**

| | |
|---|---|
| 1. Printing: Congressional Protocols | $2,500 |
| 2. Non-recurring contracts | -$27,000 |
| 3. Baseline survey | $18,000 |
| 4. Member Training | $5,000 |
| 5. OSH/ADA Training | $5,000 |
| 6. Web Site Upgrades | $5,000 |

| | |
|---|---|
| 7. ADR Follow Up/Survey/Focus Groups | $17,500 |
| 8. Representation Allowance: Board/Congressional Reception | $1,000 |
| 9. Subscription to Legislative Tracking System | $3,000 |
| 10. CBO Training | $2,000 |
| ***Net Increase: Subtotal for Functional Area*** | ***$32,000*** |
| **Indirect Costs (22% of $160,038)** | **$34,603** |
| **Total for Functional Area (Change)** | **$66,603** |
| **TOTAL REQUEST FOR FUNCTIONAL AREA** | **$739,057** |

**Rationale for Changes in Functional Area Funding**

1. Printing: Congressional Protocols: In the February 2004 management audit, the Government Accountability Office (GAO), made a series of related recommendations to the Office of Compliance and our oversight bodies. Three recommendations relate to the development of congressional and agency protocols and their development and implementation. In FY 2007, we hope to begin the process of developing a formal product for distribution. Given its importance in the overall suite of resource products, a professionalized product is paramount. The sum of $2,500 represents the initial expense to enlist the graphic and design portion of this product. (Strategic Objective III)

2. A total of $27,000 has been eliminated from the FY 2006 budget request for non-recurring contracts, including the pilot phase of the comprehensive baseline survey and the agency's safety and health conference.

3. Baseline Survey: The Office hopes to complete a campus-wide baseline survey of our covered community by the end of the 109th Congress. The primary purpose of developing and implementing a survey instrument is to help systematically measure progress in improving awareness, knowledge of the Congressional Accountability Act and the Office of Compliance. We will also be able to gauge work climate in the legislative branch. With full implementation and analysis of survey results, the Office will be better able to establish quantifiable measures to track progress periodically. These results, in turn, will allow the Office to target funding to areas where improvement is needed. As funds allow, we would like to create a specialized instrument which will enable us to measure legislative branch staff's knowledge in high priority areas in the safety and health arena. (Strategic Objective II)

4. Member Training: Pursuant to Goal II of the Office's Strategic Plan, and in an effort to increase awareness of the Office's services and procedures with its stakeholders, the Office is developing a training program that will provide Member and Committee offices with information about the CAA and its covered areas of law. The Office anticipates that this

program will provide an objective dissemination of information of different areas of the law and accompanying procedures.

An initial amount of $5,000 is being requested because this initiative envisions a phased approach: Getting Started, Program Development and Program Implementation. This "real-time" approach to education features a tailored fit to the receiving audience. We expect to start small with electronic products and grow as need is demonstrated. With time and interest, we see this project incorporating video and print material in a library format. A library format will save the Office money otherwise used in live training. (Strategic Objective II)

5. OSH/ADA Training: Like the agency's overall educational mandate, the OGC maintains the statutory obligation to provide training and assistance to employing offices in best practices that promote compliance with OSHA and ADA. Moreover, a GAO recommendation was for the Office to establish a clearinghouse for shared best practices information on topics covered by the CAA. In response to these two recommendations, the Office plans to increase its Occupational Safety and Health and Disability Access material and training. During FY 2005, we began this initiative via our "*Fast Facts*" and e-Resource tools. Moreover, we are utilizing the Legislative Branch OSH/ADA Workgroup as a feedback mechanism to gather and distribute information.

The OSH/ADA Training initiative foresees being able to leverage relationships we have built with leading safety and health and ADA access organizations to help develop and tailor tools for the legislative branch. Training can take the form of printed, electronic materials, live or taped training. The $5,000 being requested will fund an initial selection of these products in FY 2007. (Strategic Objective I)

6. Web Site Upgrades: Significant accomplishments to date in the educational area for the Office include the addition of a powerful search engine on the agency's web site and an upgrade of all our educational products. The redesign of the web site was a sweeping change and vast improvement to our earlier site. The web site is now the online component for the information contained in the CAA Handbook and e-Handbook, integrating the contents of all office products in one place.

With growth and progress comes increased visibility. Our products and resources have gained broader attention across the legislative branch and beyond. Web site traffic to our *Fast Fact* tool has increased well over 100%. Future success of similar endeavors will depend heavily on our ability to continue to produce new, timely and useful resources. At present, the Office is still not tied to the intranet systems of the legislative branch (the House and Senate). The Office is seeking information infrastructure access to both systems. We anticipate increased access to help optimize limited outreach and education funds. With increased access, we expect higher traffic and usage prompting the need for additional products to continue to add value for our covered community. (Strategic Objective II)

7. ADR Follow Up/Survey/Focus Groups: In June 2005, the Office of Compliance hosted its first dispute resolution workshop. The live training was a great success. The Office prepared for the dispute resolution workshop by commissioning a study of stakeholder practices and interests.

We followed up with individual interviews and a focus group. To finalize the workshop agenda, the Office surveyed employing offices. In FY 2007, the Office will be overdue for a followup to the dispute resolution workshop. We anticipate using the $17,500 to cover cost associated with a follow-up survey and/or focus group for attendees. Given limited resources, we are exploring development of a "train the trainer" model to engage the covered employment community to help us lead the educational charge for dispute resolution. (Strategic Objective II)

8. Representation Allowance: Board/Congressional Reception: As an organization with a dual responsibility of education and enforcement in twelve areas of the law, the Office continues to build relationships with a broad range of stakeholders. The 108th and 109th Congress' were both banner years in terms of stakeholder involvement, at both the staff and Board level.

The Board of Directors has actively engaged in their responsibilities in the legislative branch. The Board needs additional opportunities to interact with its stakeholders to better understand their needs and to improve the effectiveness of the agency. This is particularly important for a part-time, geographically scattered Board of Directors. The $1,000 request will increase the agency's representation and reception allowance. (Strategic Objective III)

9. Subscription to Legislative Tracking System: In FY 2006, the Office of Compliance purchased its first subscription to a legislative tracking system. A formal mandate of the CAA, this function was relegated to a single staffer as one of his many functions, prior to FY 2006. Given both the Board and executive staff's interest in keeping current with legislation in workplace, safety and access areas, the Office purchased a portion of the full product line a la carte. This pilot project and new system has allowed for the testing of the system via our configuration and better tracking of key legislation.

The Office is seeking an additional $3,000 in FY 2007 to purchase a fuller complement of products to fulfill this statutory mandate. (Strategic Objective III)

10. CBO Training: Pursuant to Goal III of the Office's Strategic Plan, the Office makes efforts to complete projects that enhance the Office's interaction with stakeholders. As such, the Office has begun preliminary discussions for holding training for legislative branch employees on avoiding workplace disputes, and other similar topics. This training may be held in conjunction with an agency which has a noticeable lack of workplace disputes, as well as a wealth of information from which other agencies of the legislative branch would benefit. This program is merely a concept at this point and has not been fully developed with any other agency. The requested funds are needed for a contractor engaged for this purpose. (Strategic Objective III)

## REPORTS AND RECOMMENDATIONS TO CONGRESS

### Mandate: Congressional Accountability Act, Section 102(b)

**"The Board shall review provisions of Federal law (including regulations) relating to (A) the terms and conditions of employment (including hiring, promotion, demotion, termination, salary, wages, overtime compensation, benefits, work assignments or reassignments, grievance and disciplinary procedures, protection from discrimination in personnel actions, occupational health and safety, and family and medical and other leave) of employees, and (B) access to public services and accommodations . . . [and] the Board shall report on (A) whether or to what degree the provisions described [above] . . . are applicable or inapplicable to the legislative branch, and (B) with respect to provisions inapplicable to the legislative branch, whether such provisions should be made applicable to the legislative branch. The presiding officers of the House . . . and the Senate shall cause each such report to be printed in the Congressional Record and each such report shall be referred to the committees of the House . . . And the Senate with jurisdiction." 2 U.S.C. 1302(b).**

### Description of Functional Area

Section 102(b)(2) of the Act requires the Board to submit a biennial report to Congress on the applicability to the legislative branch of any employment laws not made applicable by the Act. Section 301(h) of the Act requires an annual report to Congress presenting statistics on the use of the Office of Compliance.

### Demand

As set forth under "Mandate" above, this function is required by the Act, in order that Congress be kept informed and up to date regarding issues affecting congressional accountability. The biennial section 102(b) report and recommendation(s) are required to be submitted to Congress once during each Congress.

### Workload

This service is a core mandate of the Act. Comprehensive reports and recommendations are required from the Board of Directors not less than every even-numbered calendar year. A report was submitted at the end of calendar year 2004. The next comprehensive report and recommendation is due at the end of calendar year 2006, which requires that most of the preparation take place during FY 2006. Performance of this function requires the time and attention of Board Members, and the professional staff, including the Executive Director, General Counsel, and other employees/contractors. Preparation of a report requires a comprehensive survey of legislative and regulatory developments in the areas specified by the Act, and the policy development of recommendations regarding congressional action in relation

thereto. Under section 304 of the Act, the Board is also required to submit proposed regulations to Congress, to ensure that regulations for Congress and the legislative branch are substantially identical with those promulgated by the executive branch.

**Productivity/Effectiveness**

We measure effectiveness for this service by reviewing the comprehensive quality of the report and recommendations. No fees support this service.

**Measuring Results**

Results in this area are measured by the Congressional response and review of the Board's reports and recommendations.

**Accomplishments in FY 2005**

In December 2004, the Board of Directors transmitted its sixth Section 102(b) Report. Section 102(b) mandates that the Board of Directors recommend improvements in Congressional accountability every two years. In its report, the Board reiterated the formal recommendations previously submitted since 1996. The Board is actively committed to regarding these proposals for amendments to the Congressional Accountability Act.

Major progress was made in FY 2005 in the submission of new substantive regulations to the Congressional Accountability Act. Following the Veterans Employment Opportunities Act (VEOA) consultations of FY 2004, the Board acted on comments received and reestablished key stakeholder contact during FY 2005 on the proposed regulations. Throughout the summer and fall of FY 2005, the Board continued to meet with stakeholders to ensure that the proposed regulations address the needs of the stakeholders. The Board anticipates submitting the proposed regulations for approval during the second session of the 109th Congress.

Beginning in FY 2004, the Board of Directors submitted proposed amended substantive regulations relating to the changes in the Fair Labor Standards Act (FLSA) regarding exemptions from the payment of overtime. These proposed regulations were prompted by the August 2004 Department of Labor overtime exemption regulations. During FY 2005, the Board of Directors reviewed comments received from stakeholders and transmitted the proposed regulations to Congress for publication in the Congressional Record. The Board is currently awaiting Congressional action on the proposed regulations.

**Current (FY05) Functional Area Costs** (Direct only)
** No staff dollars included in chart below 5% or $1,000, whichever is lower. However, these minimal amounts are included in totals.*

| Major Costs | | FTE /Contractor | Est. Cost per Year FTE (incl benefits) |
|---|---|---|---|
| Professional Staff | Exec. Director | 38% FTE | $62,284 |
| | Dep Exec Dir-Sen | 32% FTE | $12,570 |
| | Board of Directors | 27% FTE | $34,490 |
| | Dep Exec Dir-House | 13% FTE | $21,027 |
| | Gen Counsel | 4% FTE | $5,767 |
| | Dir. of Counseling | 4% FTE | $4,677 |
| Admin/Support | Exec. Asst to ED | 2% FTE | $1,069 |
| | Gen Couns Adm Asst | 3% FTE | $1,779 |
| Non Personal Svcs | | | $8,655 |
| **Subtotal Functional Area** | | | **$152,318** |
| **Indirect Costs** ( 11% of $1,682,366--includes new FY06 funding)** | | | **$179,245** |
| **TOTAL for Functional Area (Base)** | | | **$331,563** |

***Indirect costs are allocated based on each functional area's percentage of FY 05 total direct costs, based on FY 05 actual expenditures.*

**Requested Changes**

| | |
|---|---|
| ***Net Increase: Subtotal for Functional Area*** | ***$0*** |
| **Indirect Costs (10% of $160,038)** | **$16,287** |
| **Total for Functional Area (Change)** | **$16,287** |
| **TOTAL REQUEST FOR FUNCTIONAL AREA** | **$347,850** |

## BUDGET AND FISCAL OPERATIONS

### Mandate: Supports Office of Compliance core functions

### Description of Functional Area

The Office delivers comprehensive financial services, in compliance with all applicable Federal appropriations laws, and maintains adequate spending controls.

### Accomplishments in FY 2005

*New accounting system*: One of the most resource intensive initiatives undertaken by the Office during FY 2005 was the transition from a substantially paper-based accounting methodology to "Momentum," the new web-based accounting system we share with the Library of Congress and the Congressional Budget Office. This electronic system went live for the Office of Compliance on October 1, 2004.

Momentum is the culmination of three years of planning, needs assessment, documentation, and training. The new paperless system is web-based and is one of only a handful of accounting systems that is certified to be compliant with all JFMIP (Joint Financial Management Improvement Program) requirements. A management decision to devolve the authority and day-to-day management of program funding to the appropriate manager necessitated a significant learning curve, which added to both the challenge and the success of the Office's implementation of the system.

### Demand

This service is necessary to support the core functions of the Office. The primary customers of these services are the vendors that supply services, employees, Federal agencies that require various reports, and Office managers who are able to oversee their functional areas as a result of spending reports, projections, and trends.

### Workload

These services are provided part-time by the Budget Officer who manages the agency's budget, spending projections, contracts, and external reporting, and serves as the Office's certifying officer. A part-time contractor provides accounts payable services for the agency, and a part-time accounting technician performs data entry functions. The agency is assisted by Library of Congress accountants and disbursement technicians who provide varied services under an interagency agreement.

### Productivity/Effectiveness

Productivity in this functional area are achieved by the confluence of employees, contractors, and LOC accountants working together. Given the small number of FTE positions

in the Office's current complement, many functions must be contracted out, but the agency still maintains an adequate degree of fiscal control. The current arrangement also ensures the necessary separation of duties.

**Measuring Results**

The Office has recently begun to conduct a pre-audit. A weaknesses report will be generated, which will measure our success in complying with mandated financial laws, as well as generally accepted accounting practices (GAAP), and other practices that we comply with voluntarily. We will also evaluate our internal controls by these means.

**Current (FY05) Functional Area Costs** (Direct only)
** No staff dollars included in chart below 5% or $1,000, whichever is lower. However, these minimal amounts are included in totals.*

| Major Costs | | FTE /Contractor | Est. Cost per Year FTE (incl benefits) |
|---|---|---|---|
| Professional Staff | Budget Officer/ Systems Manager | 67% FTE | $73,987 |
| | Exec Director | 9% FTE | $14,277 |
| | Gen Counsel | 1% FTE | $1,630 |
| | Dep Exec Dir-House | 7% FTE | $10,820 |
| | Dep Exec Dir-Sen | 6% FTE | $2,329 |
| | Dep Gen Counsel | 10% FTE | $12,974 |
| | Dir. of Counseling | 1% FTE | $1,039 |
| Admin/Support | Exec Asst to ED | 6% FTE | $3,683 |
| | Asst Systems Admin. | 22% FTE | $12,318 |
| Non Personal Svcs | Accting Tech | Contractor | $19,535 |
| | Disbursing, Payroll | Interag. agreements | $112,935 |
| | Other Non-Pers Svcs | | $1,042 |
| **TOTAL for Functional Area (Base)** | | | **$247,034** |

**Requested Changes**

| | |
|---|---|
| ***FTE: Accounts Payable technician (incl. Benefits)*** | ***$35,000*** |
| ***Non-recurring: Contract for Accounts Payable Tech*** | ***-$40,000*** |
| ***Net Change: Functional Area*** | ***-$5,000*** |
| **TOTAL REQUEST FOR INDIRECT FUNCTIONAL AREA** | **$242,034** |

**Rationale for Changes in Functional Area Funding**

1. FTE: Accounts Payable technician: A full-time contractor currently performs accounts payable, accounts receivable, and various administrative functions for the agency. For accountability purposes, as well as the fact that the contractor is functioning as a de facto employee of the Office, an FTE position is requested for this function. The cost will be offset by savings of approximately $40,000 in contracts. (Infrastructure)

## INFORMATION TECHNOLOGY

**Mandate: Supports Office of Compliance core functions**

**Description of Functional Area**

The Office administers a local area network, personal computers for 17 employees and a number of on-site personal services contractors, and the hardware and software required to support them. We maintain telecommunications linkages with the Library of Congress, the National Finance Center, the Government Printing Office, and an off-site location that serves as the lynchpin of our disaster recovery plan.

**Accomplishments in FY 2005**

*IT Task Force*: The Office's Information Technology Task Force is continuing its efforts to help better integrate technology into the overall operations of the Office of Compliance. In FY 2005, the IT Task Force substantially completed a three-year Plan that coincides with our Strategic Plan, prioritizes the tasks that remain, and will help us continue to make progress in achieving overarching areas identified for consideration.

Completing and implementing the IT training plan for current staff is primary among the tasks for FY 2006. Due to shortfalls of resources for statutorily mandated program areas, funds earmarked for training have been used for other purposes in the past several years, with a resulting loss in some essential skills. Funding has been allocated for desktop software training for on-board staff.

*Server Upgrades and Electronic File Standardization:* As a now ten-year old agency, we have realized the need for standardizing and organizing both our paper and data files. As a result, in FY 2005, the agency's server hardware and software were upgraded, and electronic files were standardized and consolidated. In FY 2006, we plan to do the same thing with our paper files, and have allocated funds for the contracted services of an archivist to assist us in developing and implementing archive guidelines.

*OGC Case Tracking system:* In FY 2005, the agency acquired and installed a new comprehensive record-keeping system for OSHA and ADA related cases. This represents a significant upgrade of the OGC's information technology capabilities with the procurement and activation of computer software that was acquired after an exhaustive comparative study. The software allows the Office of the General Counsel to perform its mandated functions—including monitoring compliance with OSHA and ADA public access and public-accommodations-related matters—more effectively. The technologically upgraded software also allows us to monitor whether cases have been successfully closed, track the time taken to address all violations, and effectively sorts all violations into categories such as nature, location, severity, and type. The system further enables the OGC to carry out its enforcement program to access abatement of outstanding hazards and unremediated citations.

The system is the second major agency procurement that had a formal needs assessment in place, and it was procured by means of a consensus decision among all affected staff and contractors.

**Demand**

This service is necessitated by the core functions of the Office. The primary customers of this service are the Office's employees. In addition, thousands of people access our web site every year.

**Workload**

The need for these services varies widely. Services include PC configuration and troubleshooting; data analysis and report generation; maintenance of telecommunications links; maintenance of phone and voice mail systems; software installation and user help desk functions; fax machines, network printers, and TDD maintenance, server maintenance and backups, and administration of the agency's disaster recovery plan.

**Productivity/Effectiveness**

The effectiveness of this functional area is indicated in the ability of Office employees to perform their work assignments with minimal disruption attributable to "down time" of Office systems, slowness of response to problems that arise, or inability of systems personnel to remedy issues.

**Measuring Results**

The Office will evaluate its effectiveness in this area in two ways; we will measure the basic IT capabilities of all staff, and we will measure the satisfaction of internal customers with IT services.

The Office devised and administered a basic IT skills test in the summer of 2005. It measures employees' facility with various computer skills. After a training plan is completed and administered during FY 2006, we will re-administer the test. Our goal is for all staff to achieve the average score of 78 this year.

In FY 2006, the IT Task Force will establish a mechanism for measuring employee satisfaction with IT resources and services. Once this baseline measurement has been established, we will use it as the basis for measuring improvement in internal customer satisfaction in future years.

**Current (FY05) Functional Area Costs** (Direct only)
** No staff dollars included in chart below 5% or $1,000, whichever is lower. However, these minimal amounts are included in totals.*

| Major Costs | | FTE /Contractor | Est. Cost per Year FTE (incl benefits) |
|---|---|---|---|
| Professional Staff | Budget Officer/ Systems Admin | 17% FTE | $18,277 |
| | Executive Director | 5% FTE | $8,493 |
| | General Counsel | 4% FTE | $6,542 |
| | Dep Exec Dir-House | 4% FTE | $6,712 |
| | Dep Gen Counsel | 2% FTE | $3,089 |
| | Dir. of Counseling | 1% FTE | $1,559 |
| Admin/Support | Assistant Systems Administrator | 37% FTE | $20,467 |
| | Receptionist | 34% FTE | $2,641 |
| Non Personal Svcs | | | $20,691 |
| **TOTAL for Functional Area (Base)** | | | **$88,471** |

**Requested Changes**

| | |
|---|---|
| 1. Utilities: Phones lines for new OGC staff | $2,500 |
| 2. Desktop software training for on-board staff | $5,000 |
| 3. Job Fair/Conferences attendance | $200 |
| 4. Desktop publishing software | $5,000 |
| 5. Additional software licenses | $3,000 |
| 6. Non recurring: Network printers | -$5,500 |
| ***Net Change: Functional Area*** | ***$10,200*** |
| **TOTAL REQUEST FOR INDIRECT FUNCTIONAL AREA** | **$98,671** |

**Rationale for Changes in Functional Area Funding**

1. Utilities: Phones lines for new OGC FTE staff and contractors (Infrastructure)

2. Desktop software training for on-board staff: The Office will procure training in word processing and related software for our on-board staff in FY 2007. Due to shortfalls in other

areas, funds earmarked for training have been used for other purposes in the past several years, with a resulting loss in some essential skills. *(Infrastructure)*

3. Attendance at Job Fair/Conferences: The Office currently has internal office initiatives that involve staffing needs in general, and information management staffing needs in particular. The Office has made efforts to establish a non-paid intern program during the school semesters to address these needs. The Office's efforts of posting vacancy announcements have yet to be successful. As such, the Office would like to register for job fairs/conferences to meet students, and explain the benefits of interning with the Office. (Infrastructure)

4. Desktop publishing software and training: To the maximum extent possible, the agency would like to publish its reports internally. Having desktop publishing software and staff capacity to use it will enable this change. (Infrastructure)

5. Additional word processing software licenses: The agency has additional staff and contractors, and requires the software to accommodate them. (Infrastructure)

6. Non recurring: Network printers were purchased with FY 2006 funds: (Infrastructure)

## OFFICE ADMINISTRATION, REPRESENTATION, AND RELATIONS WITH CONGRESS AND AGENCIES

**Mandate: Supports Office of Compliance core functions**

**Description of Functional Area**

General office administration includes overall agency supervision and personnel functions. The representation and relations function includes communication and consultation with Appropriations and Oversight Committees, Congressional Leadership, and other legislative branch agencies (not already captured in Education and Outreach, above).

**Accomplishments in FY 2005**

The Office continues to make major efforts to broaden and deepen our consultation and communication with Congressional oversight bodies and other stakeholders. We continue to be a member agency of the Chief Administrative Officers' Council, including the legislative branch-wide safety council. We have also worked extensively with the U.S. Capitol Police to create and implement procedures to protect security-sensitive information, and, with the assistance of the House Committee on Administration, to have our staff cleared for accessing police-sensitive information.

*Strategic Plan:* The Office of Compliance operated under the FY 2004-2006 plan during FY 2005. During this period, the Office of Compliance worked to refine its existing plan, and to enhance the quality of its efforts to track its performance against the Strategic Plan's objectives. In FY 2005, Office of Compliance managers, staff, the Board of Directors and several stakeholders worked together to develop the interim performance measures that are incorporated into this budget request for the first time. They will enable us to measure our effectiveness against many current strategic goals in FY 2006.

During FY 2006, the Office of Compliance intends to involve all staff, leadership, and important stakeholders to adopt a successor Strategic Plan for FY 2007 and beyond.

*Evaluation System* In FY 2005, the Office largely completed refining its evaluation system to reflect and support the Office's Strategic Plan. Work plans for staff are related in a "line-of-sight" with the goals and objectives in the Office's Strategic Plan for FY 2004-2006. The evaluation system tracks each employee's work plan, which directly feeds into and informs the Strategic Plan. During FY 2006, the Office will continue to refine this transparent "line of sight" between the Strategic Plan, an annual comprehensive Office-wide work plan that is planned for FY 2006, the intermediate performance measures for FY 2006, and the performance evaluations systems for all staff.

Both the Executive Director and the General Counsel have finalized and implemented their formal performance agreements with the Board of Directors. Both the Executive Director

and the General Counsel regularly report to the Board regarding their performance against the requirements of their respective performance agreements.

*Human Capital Plan:* During FY 2005, the Office also completed an IT skills inventory of all staff. That inventory has become a source document for the Office's interim human capital measures for FY 2006.

In 2006, the Office will continue its current efforts to develop a comprehensive human capital plan. We have devised a skills assessment vehicle that will allow us to compare our current staffing complement to our actual needs, we will administer the skills assessment early in FY 2006 in order to develop the overall plan. To that end, we will have desk audits of many staff conducted by an external agency, and undertake the development of a comprehensive pay system, to help us clarify and compensate our personnel as appropriately as possible.

*Administrative Publications:* The agency recently completed an update of our Employee Handbook, including our Personnel Handbook, Emergency Action Plan (including our Shelter-in-Place plan), our newly published Administrative Grievance Procedure, and information technology policies. During FY 2005 the agency also adopted more stringent internal ethics rules of conduct for all employees.

**Demand**

This activity is generated by the requirement to efficiently manage and supervise the other services mandated for this Office. It is also mandated by the need to communicate and consult with Congressional oversight bodies and other stakeholders. In addition to the management and supervision of the six functional areas identified above, this activity also responds to a core mandate of the Act requiring the Board of Directors and the Office to make periodic reports and recommendations to Congress regarding proposed additions/amendments to the Act.

**Workload**

This activity is multidimensional and is growing dramatically as the Office reaches out to Congress and other stakeholders. The workload of operational supervision of the Office (e.g., hiring, negotiating service contracts, appropriations and oversight cycles, and generation of reports and recommendations) also varies widely. There is also considerable overlap in this function (e.g., meeting or discussion agendas which span several functional areas). Where possible, costs have been allocated to the core function they most directly support.

**Productivity/Effectiveness**

Effectiveness of this activity is measured by the success the Office has in making and reaching goals in each and every one of its service activities, in achieving positive and consistent relations with Congress and other stakeholders, in the legislative response to appropriations

requests, and to the reports and recommendations regarding proposed amendments/additions to the Act. No fees support this service. No alternatives exist for providing these services.

**Measuring Results**

Measuring progress in this activity is achieved by reviewing the level of goal achievement in each of the six service functional areas, and in the legislative response to Office appropriations requests and recommended proposals for amendments/additions to the Act.

**Current (FY05) Functional Area Costs** (Direct only)
** No staff dollars included in chart below 5% or $1,000, whichever is lower. However, these minimal amounts are included in totals.*

| Major Costs | | FTE /Contractor | Est. Cost per Year FTE (incl benefits) |
|---|---|---|---|
| Professional Staff | General Counsel | 23% FTE | $37,483 |
| | Dep Exec Dir-House | 22% FTE | $35,161 |
| | Board of Directors | 23% FTE | $29,381 |
| | Executive Director | 19% FTE | $30,859 |
| | Dir. of Counseling | 24% FTE | $28,453 |
| | Dep. Gen. Counsel | 22% FTE | $29,654 |
| | Budget/Systems Offr. | 16% FTE | $17,662 |
| | Attorney | 14% FTE | $12,287 |
| | Dep Exec Dir-Sen | 21% FTE | $8,424 |
| | Sr. Attorney | 4% FTE | $2,856 |
| Admin/Support | Exec Asst to ED | 17% FTE | $9,801 |
| | Receptionist | 58% FTE | $4,511 |
| | Asst Systems Admin | 28% FTE | $15,565 |
| | Gen.Couns Adm.Asst | 53% FTE | $29,338 |
| Non Personal Svcs | | | $31,546 |
| **TOTAL for Functional Area (Base)** | | | **$322,981** |

**Requested Changes**

| | |
|---|---|
| 1. Cost of Living Adjustment, incl. Benefits<br>2. Increases: Incentive "steps" ; Accretion of duties: incl. Benefits | $50,093<br>$65,807 |
| 3. FTE: Management Analyst (incl. benefits) | $45,000 |
| 4. Non-recurring: Contract services: Archivist | -$8,000 |

| | |
|---|---|
| 5. Contracted services: Inflation | $1,938 |
| ***Net Increase: Functional Area*** | ***$154,838*** |
| **TOTAL REQUEST FOR (Indirect) FUNCTIONAL AREA** | **$477,819** |

**Rationale for Changes in Functional Area Funding**

1. **Mandatory:** Cost of Living Adjustment, incl. Benefits, based on 2.7 % of current salary & benefits. *(Infrastructure)*

2. **Relatively uncontrollable:** Incentive and accretion staff salary increases (commensurate with general schedule step increases).

3. **Workload:** FTE: Management Analyst. This shared FTE's responsibilities include mid-level analyst duties now being done by executive management staff including but not limited to: human resources support, procurement support, organizational development, legislative tracking, legal research, public relations support, report writing, logistical support, IT support, desk top/graphic support. (Infrastructure)

5. **Non-recurring:** Archive System Contract: Pursuant to the Office's general Strategic Plan goal to increase the Office's efficiency and effectiveness, the Office allocated $8,000 in FY 2006 to procure services to develop an office-wide system for the storage and retrieval of office documents and case files. While the project is in its initial stages at this time, the Office does not anticipate needing any additional funds in FY 2007 for this purpose. *(Infrastructure)*

12. **Price change:** Inflation: Based on FY 2005 actual expenditures for services contracted via interagency agreement and projected ECI of 2.0%. *(Infrastructure)*

### AWARDS AND SETTLEMENTS APPROPRIATION

Section 415 of the Act established "an account of the Office in the Treasury of the United States for the payment of awards and settlements . . . under this Act," and further authorized to be appropriated "such sums as may be necessary to pay such awards and settlements." Section 415 stipulated that awards and settlements under the Act should only be paid from that account, which is to be separate from the operating expenses account of the Office of Compliance established under section 305 of the Act. The Executive Director approves all such awards.

The legislative branch appropriations of 1996 through 2006 have appropriated funds for awards and settlements under the Act.

In FY 2005, a total of $909,872.00 was awarded and disbursed under 15 settlements made under section 415 of the CAA. To date in FY 2006, five settlements have been awarded.

**Settlements by Fiscal Year**

| Fiscal Year | Number of Settlements | Total $ Amount |
|---|---|---|
| *FY 1997* | 6 | $39,429.00 |
| *FY 1998* | 16 | $103,180.00 |
| *FY 1999* | 6 | $72,350.00 |
| *FY 2000* | 15 | $45,638.00 |
| *FY 2001* | 7 | $121,400.00 |
| *FY 2002* | 10 | $3,974,077.00 |
| *FY 2003* | 11 | $720,071.00 |
| *FY 2004* | 15 | $388,209.00 |
| *FY 2005* | 14 | $909,872.00 |
| *FY 2006 (to date)* | 5 | $292,360.00 |

*advancing safety, health, and workplace rights in the legislative branch*

*Office of Compliance*

Office of the Executive Director

William W. Thompson, II
*Executive Director*

## ADMINISTRATIVE PROVISIONS

The Office of Compliance is respectfully requesting to be authorized to offer employees two new opportunities for benefits. The first would allow Office of Compliance employees to receive the retirement benefits provided to Members of Congress, their staff, and most Congressional agencies and instrumentalities. The second benefit is one that is allowed for executive branch, and virtually all legislative branch employees This requested provision is for authority to provide incentive awards.

### RETIREMENT BENEFIT

The Office of Compliance is requesting to have its employees defined as "Congressional employees" so they may receive retirement benefits under Title II, instead of under Title V. We wish to offer prospective employees and current staff retirement benefits which are comparable to those accorded employees of the House and Senate, Architect of the Capitol, U.S. Capitol Police, and other Congressional agencies we regulate. We have a very hard time recruiting and retaining professional staff, with our relatively low salaries, term limits, and virtually no promotion potential.

Since we have such a small number of FTE positions (17), many of our current employees fulfill many functions, and are required to fill an unusually broad assortment of functions. It is important that this agency be able to provide attractive benefits which will encourage staff to stay with us.

To this end, we request that Section 2107 of title 5, U.S. Code, be amended as follows:

*Sec. 1100. Section 2107 of title 5, United States Code, is amended–*

*(1) by inserting after paragraph (9) the following new paragraph (10) "an employee of the Office of Compliance".*

### INCENTIVE AWARDS

The Office does not currently have authority to provide incentive awards for exceptional performance. In the words of a U.S. Army HR department website,

> "Recognizing employees with incentive awards is probably the most flexible management tool you have as a manager. Public recognition of superior ideas and outstanding individual and group performance helps build morale. It can also help you as a manager to build and maintain a highly motivated and productive organization. Your employees will perceive that you welcome new ideas and reward high performance." (http://cpol.army.mil/permiss/53.html)

Particularly in light of the current increase in the levels of intensity and engagement the agency is undergoing, it is crucial that we have the motivational tools to keep our employees energized and engaged. We are expecting staff to do more with existing resources. Therefore, to authorize the Office to offer incentive awards, we are requesting the following language:

> *SEC. 102. (a) The Executive Director of the Office of Compliance shall have the authority to make lump-sum payments to reward exceptional performance by an employee or a group of employees.*
>
> *(b) Subsection (a) shall apply with respect to fiscal years beginning after September 30, 2006.*



# THE CONGRESSIONAL BUDGET OFFICE

## Budget Justification:

## Fiscal Year 2007 Request for Appropriations

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# Overview of CBO's Budget Request for Fiscal Year 2007

The Congressional Budget Office's (CBO's) proposed budget for fiscal year 2007 represents a "current services" request, in which the increases from 2006 are accounted for by pay, benefits, and general inflation. The request totals $37,026,000, a $1.9 million or 5.5 percent increase over the appropriation for fiscal year 2006.

The requested increase includes $1.7 million for expected increases in staff salaries and benefits. Salaries and benefits constitute 90 percent of CBO's budget, and those costs will grow by 5.3 percent in fiscal year 2007.

In the request, CBO's information technology (IT) accounts increase by 15.6 percent, or $220,000. That increase primarily would restore IT efforts that were reduced in fiscal year 2006 because of the 1 percent rescission taken by CBO.

CBO has budgeted its share of funding for the Federal Accounting Standards Advisory Board (FASAB) at $443,025, which is a 3 percent increase over the fiscal year 2006 funding level.

The remainder of CBO's nonpersonnel budget will increase by 1.7 percent.

With the requested funds for fiscal year 2007, CBO plans to continue to:

- Increase the number and reduce the preparation time of reports for the Congress, extending progress begun in 2004;
- Maintain support for the Federal Accounting Standards Advisory Board;
- Sustain and continue to improve CBO's financial management system, Momentum; and
- Upgrade CBO's Microsoft Office software across the agency.

**In fiscal year 2006**, CBO will focus on its core functions of scorekeeping, budget analysis, and economic and revenue forecasting. During the year, CBO expects to further improve its long-term (50- to 75-year) analysis of legislative proposals for mandatory programs through the continued development of economic and budget models. CBO also expects to produce major policy studies on the economy, national security, health, revenue, microeconomic issues, financial institutions, retirement, and other issues. In addition, it will continue to work with the other legislative branch agencies to develop the ability to maintain operations in any future emergency. CBO's activities will be supported by 235 full-time-equivalent (FTE) positions and a budget of $35,095,500. The agency will also provide a projected 3.44 percent across-the-board

increase for staff who earn less than $100,000, along with a merit increase for eligible staff whose salary exceeds $100,000 and, therefore, do not receive an automatic annual increase;

CBO also expects to complete the third audit of the agency in 2006. The first audit resulted in a clean opinion of CBO's fiscal year 2003 balance sheet. The second audit resulted in a clean opinion for all of CBO's fiscal year 2004 financial statements. The third audit will again cover all financial statements. As in the past, CBO will continue to work closely with Kearney and Company, the auditing firm, to look for ways to improve the integrity of the agency's fiscal position.

**In fiscal year 2007**, CBO's request will allow the agency to build on current efforts—specifically it:

- Supports a workload of more than 1,700 formal estimates of the costs of proposed or enacted legislation and of mandates included in legislation, 93 major analytical reports (4 percent more than in 2005), 70 other publications, and a heavy schedule of Congressional testimony;
- Supports 235 FTEs, the same number as in 2006, including an across-the-board pay adjustment of 2.7 percent for staff earning a salary of $100,000 or less, consistent with the pay adjustment requested by other legislative branch agencies;
- Funds a projected 5.4 percent increase in the cost of benefits and funds a combination of promotions and merit increases for staff;
- Supports CBO's share of the FASAB budget requirement ($443,025);
- Sustains management and professional training ($152,400);
- Maintains and continues development of CBO's financial management system ($101,390);
- Supports the agency's telecommunications services to the Alternate Computing Facility ($75,000); and
- Allows for upgrading Microsoft Office throughout the agency ($75,000).

**Congressional Budget Office**
**Summary of Budget Request for FY 2007**
(Dollars in thousands)

| | FTE | Amount |
|---|---|---|
| **Appropriation, FY 2006** | | **35,450** |
| Minus Rescission | | (354) |
| **Adjusted Appropriation, FY 2006** | **235** | **35,096** |
| **Proposed Changes for FY 2007** | | |
| Nonrecurring Costs | | 0 |
| Mandatory Pay and Related Costs | | 1,679 |
| Price-Level Changes | | 79 |
| Program/Project/Activity Changes | | 172 |
| **Total, Proposed Changes** | **0** | **1,930** |
| **FY 2007 Budget Request** | **235** | **37,026** |

Note: Columns may not add up to totals because of rounding.

Table 1A

**Congressional Budget Office**
**Salaries and Expenses Appropriation**
**Summary by Organizational Unit**
(Dollars in thousands)

| | FY 2005 Actual | | FY 2006 Enacted | | FY 2007 Request | | FY 2006/2007 Net Change | |
|---|---|---|---|---|---|---|---|---|
| **Organizational Unit** | **FTE** | **Amount** | **FTE** | **Amount** | **FTE** | **Amount** | **FTE** | **Amount** |
| Office of the Director | 12 | 1,804 | 12 | 1,864 | 12 | 1,950 | 0 | 86 |
| Budget Analysis | 74 | 9,397 | 76 | 9,731 | 75 | 10,261 | (1) | 530 |
| Macroeconomic Analysis | 24 | 3,361 | 29 | 4,199 | 29 | 4,418 | 0 | 219 |
| Tax Analysis | 17 | 2,418 | 17 | 2,531 | 18 | 2,664 | 1 | 133 |
| Program Divisions: Microeconomic Studies, Health and Human Resources, and National Security | 69 | 9,764 | 68 | 9,601 | 68 | 10,126 | 0 | 525 |
| Management, Business, and Information Services | 35 | 7,633 | 33 | 7,170 | 33 | 7,607 | 0 | 437 |
| **Total, Agency** | **231** | **34,377** | **235** | **35,096** | **235** | **37,026** | **0** | **1,930** |

Notes: Columns and rows may not add up to totals because of rounding.
CBO was authorized 235 FTEs in fiscal year 2005.

Table 1B

**Congressional Budget Office**
**Salaries and Expenses Appropriation**
**Staffing Summary**

| Direct Funded by Appropriation | FY 2005 Actual | FY 2006 Enacted | FY 2007 Request |
|---|---|---|---|
| 11.1 Full-Time Permanent (FTEs) | 214 | 216 | 216 |
| 11.3 Other Than Full-Time Permanent | 17 | 19 | 19 |
| **Total, Agency** | **231** | **235** | **235** |

Note: CBO was authorized 235 FTEs in fiscal year 2005.

Table 2

**Congressional Budget Office**
**Salaries and Expenses Appropriation**
**Analysis of Change**
(Dollars in thousands)

| | FY 2007 | |
|---|---|---|
| | **FTE** | **Amount** |
| **Appropriation, Fiscal Year 2006** | 235 | **35,450** |
| Plus/Minus Rescissions | | (354) |
| **Adjusted Appropriation, Fiscal Year 2006** | | **35,096** |
| **Nonrecurring Costs** | | |
| CBO has no nonrecurring costs | | 0 |
| **Total, Nonrecurring Costs** | | **0** |
| **Mandatory Pay and Related Costs** | | |
| Annualization of Prior Year Personnel Actions (Pay only) | | 585 |
| Fiscal Year 2007 Across-the-Board Pay Adjustment (Pay only) | | 172 |
| Fiscal Year 2007 Performance Increases for All Staff (Pay only) | | 486 |
| Performance Awards (Pay only) | | 10 |
| Personnel Benefits Under Current Law | | 426 |
| **Total, Mandatory Pay and Related Costs** | | **1,679** |
| **Price-Level Changes** | | 79 |
| Price Increases | | |
| **Total, Price-Level Changes** | | **79** |
| **Program/Project/Activity Changes** | | |
| IT Support | | 206 |
| Other Workload Changes | | (34) |
| **Total, Program/Project/Activity Changes** | | **172** |
| **Net Increase/Decrease** | **0** | **1,930** |
| **Total, Budget and Appropriation** | **235** | **37,026** |

Note: Columns may not add up to totals because of rounding.

**Congressional Budget Office**
**Salaries and Expenses Appropriation**
**Explanation of Changes from Fiscal Year 2006 to Fiscal Year 2007**
**Shown in Table 2**
(Dollars in thousands)

| **Nonrecurring Costs** | **FTE** | **Amount** |
|---|---|---|
| CBO projects no nonrecurring costs changes for FY 2007 | | 0 |
| **Mandatory Pay and Related Costs** | **FTE** | **Amount** |
| Annualization of Prior Fiscal Year Personnel Actions<br>Annualization of the fiscal year 2006 across-the-board pay adjustment, promotions, merit increases, and performance-based increases for managers and senior analysts. | | 585 |
| Fiscal Year 2007 Across-the-Board Pay Adjustment<br>Funding for a projected 2.7 percent across-the-board pay increase in January 2007, given to staff whose salary is below $100,000. The increase is consistent with that planned by other legislative branch entities. | | 172 |
| Fiscal Year 2007 Annual Performance Increases for All Staff<br>Funding for the annual performance-based increases for all staff. | | 486 |
| Performance Awards<br>The budget for performance awards is approximately 1 percent of base pay. | | 10 |
| Personnel Benefits Under Current Law<br>Estimated cost of the increase in benefits associated with the salary increases listed above, benefit program price increases, the growing rate of participation in the Federal Employees Retirement System, and the student loan repayment program. | | 426 |
| **Price-Level Changes** | **FTE** | **Amount** |
| Price Increases<br>Include increases for travel, subscriptions, books, interagency agreements, software requirements and equipment—based on information from vendors or on CBO's forecast of the change in the consumer price index. | | 79 |

Note: This table continues on the next page.

**Congressional Budget Office**
**Salaries and Expenses Appropriation**
**Explanation of Changes from Fiscal Year 2006 to Fiscal Year 2007**
**Shown on Table 2 (Continued)**
(Dollars in thousands)

| Program/Project/Activity Changes | FTE | Amount |
|---|---|---|
| IT Support<br>This amount reflects restored funding for equipment replacement, software development, and temporary IT contractor support, because CBO applied most of the fiscal year 2006 1 percent rescission to IT requirements. | | 206 |
| Other Workload Changes<br>The category reflects the net change in workloads for temporary technical support, books, subscriptions, other services, training, travel, furniture, supplies, and equipment. | | (34) |

Table 3

**Congressional Budget Office**
**Salaries and Expenses Appropriation**
**Summary by Object Class**
(Dollars in thousands)

| Object Class | | FY 2005 Actual | FY 2006 Enacted | FY 2007 Requested | FY 2006/2007 Net Change |
|---|---|---|---|---|---|
| 11 | Personnel Compensation | 23,200 | 23,961 | 25,214 | 1,253 |
| 12 | Personnel Benefits | 7,090 | 7,827 | 8,253 | 426 |
| 13 | Benefits to Former Personnel | 5 | 5 | 5 | 0 |
| 21 | Travel | 117 | 150 | 153 | 3 |
| 22 | Transportation of Things | 1 | 1 | 1 | 0 |
| 23 | Rent, Communications, and Utilities | 218 | 234 | 229 | (5) |
| 24 | Printing and Reproduction | 34 | 77 | 63 | (14) |
| 25 | Other Services | 2,242 | 1,851 | 1,925 | 74 |
| 26 | Supplies and Materials | 346 | 409 | 400 | (9) |
| 31 | Equipment | 1,124 | 581 | 783 | 202 |
| **Total, Agency** | | **34,377** | **35,096** | **37,026** | **1,930** |

Notes: Columns and rows may not add up to totals because of rounding.

Fiscal year 2006 reflects the 1 percent rescission.

## CBO's Role in Support of the Congress

CBO's mission is to support the Congress in exercising its responsibilities for the budget of the United States government and other legislation affecting the economy. CBO supports the Congressional budget process by providing objective, timely, and nonpartisan analyses required by law or requested by the Committees on the Budget, the Committees on Appropriations, the Committee on Ways and Means, the Committee on Finance, other committees, and individual Members. Contributing in a variety of forms, CBO:

- Reports on the outlook for the budget and the economy to help the Congress prepare for the legislative year, including the construction of baseline budget projections to serve as neutral benchmarks for gauging the effects of spending and revenue proposals;

- Analyzes the likely effects of the President's budgetary proposals on outlays and revenues, including effects resulting from impacts on macroeconomic activity;

- Assists the Committees on the Budget in developing the Congressional budget resolution by providing alternative spending and revenue paths and the estimated effects of a variety of budget options;

- Reports on programs and activities for which authorizations for appropriations were not enacted or are scheduled to expire;

- Estimates the costs of legislative proposals, including formal cost estimates for all bills reported by committees of the House and Senate, which also identify the costs of mandates on states, localities, and the private sector;

- Conducts policy studies of governmental activities having major economic and budgetary impacts;

- Provides the Congress with analyses of policy options, but not policy recommendations, to alter federal outlays and receipts in the near term and over the longer horizon to help the Congress with making budgetary choices, setting priorities, and adapting to changes in circumstances;

- Constructs statistical, behavioral, and computational models to project short- and long-term costs and revenues of government programs and their effects on the economy; and

- Reports on emerging economic developments (such as natural disasters) and their possible budgetary consequences.

## Accomplishments in Fiscal Year 2005

Consistent with its legislative mandates and strategic priorities, in fiscal year 2005 CBO developed economic forecasts, baseline budget projections, and cost estimates; issued analytical reports; and presented Congressional testimony on a wide variety of topics. CBO also published *Budget Options*, which presents a wide range of specific options for altering federal spending and revenues. CBO assisted the Committees on the Budget in their development of the Congressional budget resolution for fiscal year 2006 and the subsequent efforts related to the reconciliation instructions contained in that resolution. In all of its work, CBO maintained close communication with the Congress, responded to formal and informal requests in a timely fashion, enhanced productivity, and strived to continue making its analyses transparent.

### Cost Estimates and Other Legislative Analyses

CBO prepared more than 1,700 formal estimates of federal budgetary impacts and mandate costs during fiscal year 2005 and many more informal estimates for proposals or options being considered by the Congress. A major focus of such work in 2005 (as well as the early part of fiscal year 2006) was the budget reconciliation legislation considered in both the Senate and the House of Representatives. CBO prepared numerous informal estimates for authorizing committees while they were developing their reconciliation recommendations, culminating in the 16 formal cost estimates (near the beginning of fiscal year 2006) for such recommendations provided by the authorizing committees to the two budget committees. That work included analyses of proposals to make significant legislative changes in federal programs for higher education, pensions, health care, agriculture, and natural resources.

Other legislation with a significant budgetary impact included the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users; the Energy Policy Act of 2005; the National Defense Authorization Act for Fiscal Year 2006; the Veterans Benefits Improvement Act of 2004; the Intelligence Reform and Terrorism Prevention Act of 2004; and legislation related to resolution of asbestos injury claims, reauthorization of higher education programs, and a wide variety of other issue areas.

On an ongoing basis, CBO estimated the budgetary impact of appropriation bills at all stages of the legislative process, tabulated the effects of other Congressional spending actions, and worked closely with the budget committees and the Office of Management and Budget on scorekeeping and budgetary treatment issues.

It also reviewed reported bills and other legislative proposals to estimate their effects on the private sector and on state, local, and tribal governments and to determine whether they contained intergovernmental or private-sector mandates as defined in the Unfunded Mandates Reform Act (UMRA).

**Reports and Testimony**

CBO's analyses resulted in reports and testimony in many areas of major policy interest at the request of the Committees on the Budget, the Committees on Appropriations, the Committee on Ways and Means, the Committee on Finance, other committees, and individual Members. (Attachment B is a list of committees and Members requesting CBO analyses.) A selected list of such products follows.

***Retirement, Health, and Employment***

- ***Long-term financial status of Social Security***, including updated projections of the 100-year outlook for Social Security's outlays and revenues under current law and long-term cost analyses of the effects of legislative proposals;

- ***Spending patterns in Medicare***, including analyses of the concentration and persistence of spending by high-cost program beneficiaries and the likely effects of the Medicare Modernization Act on regional preferred provider organizations;

- ***The cost of prescription drugs***, including examination of the prices paid for prescription drugs under federal programs, Medicaid's reimbursements to pharmacies for prescription drugs, and the rebate Medicaid receives from manufacturers for brand-name drugs; and

- ***Labor market issues***, including analyses of what has been happening to youth employment rates and the reasons why some baby boomers leave the labor force early.

***National Security***

- Resource implications of the Navy's interim report on shipbuilding;

- The potential costs resulting from increased usage of military equipment in ongoing operations;

- Options for restructuring the army;
- Issues associated with the Global Information Grid—Bandwidth Expansion;
- The future of the Navy's amphibious and maritime prepositioning forces;
- The effects of reserve call-ups on civilian employers;
- The potential costs of meeting veterans' demands for health care;
- The long-term implications of current plans for investment in major unclassified military space programs;
- The summary update for fiscal year 2006 of the long-term implications of current defense plans and alternatives;
- Options for strategic military transportation systems;
- Logistics support for deployed military forces; and
- An update of an analysis of the ability of the U.S. military to sustain an occupation in Iraq.

***Revenue Issues***

- An update of CBO's measures of average effective tax rates;
- A comparison of annual and multiyear measures effective tax rates by income;
- Modeling flows into and out of tax-deferred retirement savings accounts;
- An examination of the effects of the federal estate tax on farms and small businesses;
- A description of the implications for taxpayers and the budget of the individual alternative minimum tax; and

- An explanation of differences in wage and salary income included in various tax bases for CBO's revenue projections.

*Microeconomic and Financial Issues*

- ***Budget policy***, including current federal financial accounting and alternative ways to measure the federal government's fiscal position and the use of tools of modern financial analysis to estimate the costs to the government of loans and loan guarantees;

- ***Energy and the environment***, including analysis of the economic issues involved in policies to reduce emissions of carbon dioxide and problems that uncertainty about climate change pose for policymakers;

- ***Federal personnel,*** including an analysis comparing the pay of federal and nonfederal law enforcement officers;

- ***Government-sponsored enterprises***, including an analysis of the costs and benefits of those entities in housing;

- ***Homeland security and terrorism***, including analysis of the private-sector's response to increased risk of terrorism and federal terrorism insurance;

- ***International trade***, including an analysis of the prevalence of policies that distort trade in agriculture and the current status of the United States' trade relations with China;

- ***Postal reform***, including an analysis of the long-term financial outlook of the U.S. Postal Service;

- ***Telecommunications***, including an analysis of alternative means of financing the Universal Service Fund and policies supporting the participation of small business bidders in selected spectrum auctions by the Federal Communications Commission;

- ***Transportation***, including a review of developments in the freight rail industry; and

- ***Water resources***, including an analysis of federal subsidies for desalinization facilities.

**Improvements in Internal Management**

CBO analysts depend on the ability to store and access large amounts of data for modeling and analysis. Accordingly, the agency significantly improved its data storage and management capabilities in 2005. It doubled the amount of online storage, which should satisfy anticipated data storage requirements for the next several years. CBO also implemented a "storage area network virtualization," which allows for reconfiguring data volumes while they are active and increasing or replacing storage without any system downtime and which significantly improves system reliability.

CBO successfully expanded its online job application system from use by applicants for internships to use by applicants for all positions. With the new system, CBO is able to process applications more quickly and provide managers with more complete information.

As CBO's Web site has become the primary vehicle for disseminating CBO publications, the agency has steadily reduced its printing, distribution, and storage of copies of publications—to the point that the agency now no longer needs to contract for an outside storage and mailing facility. (Annual savings are more than $20,000.) Last year, the agency's increased emphasis on electronic distribution was aided by developing a system (available on its Web site) that allows subscribers to get "real-time" e-mailed notifications of new releases. An ongoing project (to conclude this year) is to scan all of the agency's older publications and post them in a fully searchable format—thereby making more than 1,700 additional publications available online.

In addition, CBO is continuing a review of both the content and the underlying technology to make the site as useful and reliable as possible. Last year, that review led to, among other things, some new "special collections" of publications on topics of particular interest (such as Social Security reform), a new "Visitors' Gallery" section for the site, and a backup Web server that automatically comes online if needed.

## Strategic Priorities for Fiscal Years 2006 and 2007

In carrying out its mission in 2006 and 2007, CBO will continue to focus on meeting its five core strategic goals: promoting outreach to and communication with the Congress, improving the accuracy of economic forecasts and budget estimates, ensuring timely responses to Congressional requests, enhancing productivity, and making analyses more transparent.

**Promote Outreach to and Communication with the Congress**

CBO's primary mission is to assist the Committees on the Budget, Committees on Appropriations, the Committee on Ways and Means, the Committee on Finance, other committees, and Members of Congress with their budgetary and policy deliberations in an objective and nonpartisan manner. CBO strives to ensure that its work is widely and easily available to all Members and Congressional staff.

CBO staff keep Congressional clients regularly apprised of the progress of pending requests. The broader Congressional community is immediately notified when CBO products have been publicly released, and those products are distributed in both electronic and printed form.

In addition to providing copies of cost estimates, testimonies, reports, and other publications to the Congress, CBO maintains a Web site (www.cbo.gov), where all released material is immediately posted and can be searched and retrieved.

CBO's Web site has replaced conventional printing as the agency's principal method of publishing, and the agency is continually working on improving the accessibility of its documents on the site. Following the recent implementation of a backup Web server to minimize any downtime and an upgrade to its system providing e-mailed notification of new releases, the agency will enhance the site's search function. CBO will continue to review the design and accessibility of the site to improve its ease of use, appearance, and functionality.

**Improve the Accuracy of Forecasts and Estimates**

CBO continues to work to improve the accuracy of its economic forecasts and budget estimates.

In recent years, federal revenues have been especially volatile and difficult to forecast. Consequently, CBO has focused its efforts on evaluating recent revenue trends to determine their causes. In the coming year, CBO's tax staff will continue to update and expand their analysis of receipts relative to gross domestic product over the past decade. CBO's tax models will incorporate the results of that analysis.

CBO regularly publishes an evaluation of its economic forecasts, which have been comparable in accuracy to those of the private sector and the Administration.

The agency plans further efforts to improve the accuracy of its forecasts and estimates. During 2007, it will:

- Review its current revenue models and estimating methods to determine if alternative procedures would yield improved forecasts and identify areas for further investigation and development;

- Use both tax data from the Internal Revenue Service and financial information from the private sector to improve projections of federal receipts;

- Continue to consult broadly with federal, state, and private forecasters to compare projections and to evaluate different methods of forecasting revenues;

- Analyze the reliability of the procedures CBO uses to project the income categories that are important for revenue projections;

- Study the relative accuracy of alternative ways to forecast short-term interest rates;

- Evaluate various methods used to project immigration;

- Continue to closely monitor actual spending as reported in the *Monthly Treasury Statement* and in the Treasury's final statement for fiscal year 2005 so that the new projections prepared for fiscal years 2006 through 2016 will be consistent with recent spending trends; and

- Continue to refine CBO's models for the major spending programs such as Social Security, Medicare, and Medicaid.

**Ensure Timely Responses**

Because CBO's work is used in the legislative process, it must be available when the Congress considers legislation. CBO meets the often demanding schedule of the Congress and quickly responds to its information needs. Certainly, that responsiveness can be challenging when the legislative schedule becomes crowded. Nevertheless, formal CBO cost estimates are available before floor action for more than 99 percent of bills reported by committees. Although the number of employees at CBO has basically remained stable throughout its existence, the Congress's demand for budget information and analysis has increased in fiscal year 2005. In 2005, CBO provided more than 2,000 formal or informal cost estimates of pending legislative proposals before the Congress and issued more than 100 publications, including more than 20 testimonies for various Congressional committees.

**Enhance Productivity**

Much of CBO's work is set by statute (for instance, the preparation of its annual budget and economic outlook) or is required in anticipation of legislation being considered by the Congress. Those publications follow an established routine or coincide with various stages of the legislative process. Other analyses feed into and bolster that work. In recent years, CBO has boosted the number of its analyses by about half. It has also reduced the time for producing them. CBO will continue to enhance productivity in part by utilizing current computer technology to streamline report production.

**Make Analyses Transparent**

CBO's goal is to make its products widely accessible. As discussed above, once a projection, cost estimate, or other analysis has been completed, it is made available to all Members of Congress and the public at large, and it is displayed on CBO's Web site. CBO also explains the methodologies and assumptions that it uses to produce its various analyses and regularly publishes an evaluation of its record of economic forecasts and budget projections. Moreover, the agency seeks outside review of its analyses. For example, it convenes a panel of distinguished economists twice each year to seek input on its latest economic forecast, and, as a matter of course, it turns to experts in the relevant fields to review drafts of publications. Moreover, CBO posts on its Web site spreadsheets for selected estimates and projections. Last year, to further its goal of transparency, the agency began a new type of publication: background papers.

**Provide Legislative Support**

In addition to pursuing its core strategic goals, CBO will continue to provide assistance to the Congress on proposed legislation, which is likely to include the following:

***Education, Labor, Welfare***

- Reauthorization of the Head Start program,
- Reauthorization of higher education programs,
- Reauthorization of the State Children's Health Insurance Program,
- Immigration legislation,
- Reauthorization of the Temporary Assistance for Needy Families program, and
- Reauthorization of the Workforce Investment Act.

***Health***

- Additional legislation aimed at addressing a potential flu pandemic;
- Modifications to the Medicaid program;
- Changes to Medicare's payments to providers;
- Expansion of private health insurance coverage; and
- Changes to the Medicare prescription drug program.

***Retirement***

- Pension and pension insurance reform and
- Changes to the Social Security system.

***Miscellaneous***

- Changes to the existing flood insurance program and disaster reinsurance;
- Additional changes related to energy markets, including leasing of federal lands for development of natural resources;
- Compensation for persons injured by asbestos use;
- Reauthorization of farm programs;
- Defense authorization bills;
- Changes in veterans' benefits;
- Tort reform;
- Postal reform;
- Telecommunications legislation; and

- Water resources authorizations.

## Specific Work Priorities for Fiscal Years 2006 and 2007

CBO issued its biennial *Long-Term Budget Outlook* volume in December 2005. That regular report summarizes and extends a growing body of work that looks ahead to the coming decades to examine the sources of budgetary stress and the kinds of policy choices lawmakers may face.

CBO will issue its biennial report Budget Options in February 2007. That regular report is a compilation of options to help inform federal lawmakers about the budgetary implication of policy choices.

CBO will also work closely with the budget and authorizing committees to provide timely estimates for the reconciliation bills as they move through the legislative process. (CBO is already assisting the authorizing committees in the development of their initial proposals.)

Specific priorities include analyses of these issues:

- ***Long-term budgetary pressures***, including analysis of a range of legislative proposals to reform the Social Security, Medicare, and Medicaid programs in terms of their effects on overall budgetary outcomes and their likely distributional consequences.

- ***Medicare***, including proposals to modify the program's payments to providers in the traditional fee-for-service sector, promote greater competition among health plans, and increase the quality of care. CBO also anticipates responding to Congressional requests for analyses and information as Medicare's prescription drug program begins operation.

- ***Health insurance***, including proposals to expand private and public coverage and reduce its cost.

- ***Labor market issues***, including the causes and consequences of worker dislocation, the economic circumstances of and prospects for low-wage workers, and the effects of disability on workers' participation in the labor force.

- ***Farm program reauthorization***—The last major farm bill was completed in 2002; the major programs that it covers, including the commodity income program and Food Stamps, are scheduled for reauthorization in 2007. Changes to agricultural land conservation and other related farm programs will also be part of the 2007 reauthorization efforts. CBO will provide cost-estimating support to the Congress as it considers those reauthorizations.

- ***Dynamic analysis of fiscal policy***—CBO will continue its efforts to provide to the Congress information on the dynamic macroeconomic effects of policy decisions. The agency has developed macroeconomic models for that purpose and will continue to use commercially available models to provide a full range of analysis. CBO's first formal dynamic analysis using those models was reported in the *Analysis of the President's Budgetary Proposals for Fiscal Year 2004*, published in March 2003. Since then, CBO's modeling effort has been presented in several publications, and more are planned in the coming year. In early fiscal year 2006, CBO published a fiscal policy brief on the effects of taxes on the economy, and this year, it expects to publish another brief on the economic effects of transfers. The agency will also continue to expand and enhance its macroeconomic models and their capability for analyzing the economic effects of fiscal policies. In 2007, CBO expects to carry out additional work on the empirical validation of its models.

- ***Immigration***—CBO published two papers in its series on immigration in fiscal year 2006 and expects to publish another paper later this year. The published papers included an examination of the effects of immigrants on the labor markets and a discussion of global aging and its implications for immigration. The upcoming paper will review current immigration policy.

**National Security**

CBO's current and planned work on national security includes a variety of efforts supporting legislative activities. For example, CBO is studying the implications of continuing shortfalls in recruiting for the active and reserve components of the Army, the implications of switching Navy public shipyards from the working capital fund to mission funding, the cost-effectiveness of alternatives for improving U.S. capabilities for long-range strike, the cost-effectiveness of alternatives to the Future Combat System program for modernizing the Army, the cost-effectiveness of alternative approaches to implementing space radar, the budgetary implications of alternative paths for modernizing all of the major elements of U.S. naval forces, and the budgetary implications of meeting the United States' future needs for space launch capability—particularly the needs associated with the Administration's vision for space exploration. Other broad national security issues that CBO will examine during 2006 and 2007 include the following:

- ***Sea-basing***—analyzing the extent to which the Navy's and Marine Corps's goals for sea-basing (supporting troops ashore from ships rather than by establishing a land base) can be satisfied by current modernization plans. If shortfalls relative to those goals are found, CBO will develop alternatives to mitigate them and estimate the budgetary implications of implementing the alternatives.

- ***Long-term resource trends***—updating the results of CBO's series of studies of *The Long-Term Implications of Current Defense Plans* to account for the results of the Quadrennial Defense Review (QDR) as well as analyzing the implications of alternatives to the program that emerges from the QDR.

- ***Tactical Air Force modernization***—developing alternative approaches for modernizing U.S. tactical air forces and assessing their implications for resources and capabilities.

- ***Military pay***—analyzing the extent to which trends in civilian pay and benefits indicate that the pay and benefits provided to U.S. military personnel are adequate.

- ***Space-related science and technology (S&T) activities***—comparing the content and funding for S&T activities supporting the Defense Department's major space programs with S&T activities used to support other major defense programs.

- ***Army aviation***—developing alternative approaches for modernizing the Army's attack and utility aviation assets and assessing their cost-effectiveness.

- ***National Security Personnel System (NSPS)***—using experience in the private sector and with pilot programs undertaken within the Defense Department, assessing the extent to which the NSPS is being structured to achieve its stated goals.

**Revenue Issues**

- ***Revenues***, including calculations of new measures of effective marginal tax rates on capital and labor, additional analyses of the response of taxable income to changes in tax rates, analyses of changes in income growth among high-income taxpayers, an analysis of the extent to which nonprofit institutions use tax-exempt bonds to finance the holding of otherwise taxable portfolio investments, and examinations of models of behavioral response to corporate taxation.

- ***Tax Reform,*** including assessments of various issues raised by proposals for comprehensive revision of the federal tax system in response to the recommendations of the President's Commission on Tax Reform.

**Macroeconomic and Other Financial Issues**

- ***Understanding the economy, to improve CBO's economic forecast*** —CBO expects to explore alternative ways of projecting productivity growth; incorporate more information about medical outlays in its macroeconomic projection; consider factors, besides the business cycle, that can affect the unemployment rate; examine issues of job creation and destruction; and examine possible long-term links between labor force growth and interest rates that could be important for long-term projections. CBO will also issue a brief report exploring the mechanisms by which the current-account deficit might be resolved.

- ***Federal financial programs that subject the federal government to financial risks***—CBO will report on several programs in which the federal government may be exposed to risks that can be quantified using the methods of modern finance. CBO will continue its work on the risks implied by Social Security proposals that guarantee a minimum level of benefits from private accounts. Other areas to be examined include deposit insurance, student loans, and the Federal Housing Administration's mortgage insurance. CBO will also discuss how information on those risks may be presented in a budgetary context.

- ***Federal insurance programs***—Both terrorism insurance and insurance for natural disasters have federal components, and both are likely to have continued Congressional attention. CBO expects to write additional papers and testimonies on those topics.

- ***Risk***—CBO will examine how changes in the economy have altered the risks that people face and how that might have affected the labor supply and people's spending and financial decisions.

**Microeconomic Issues**

CBO's microeconomic research covers both estimates of the impact on the private sector of potential mandates being considered by the Congress and analyses of issues being considered by the Congress in which market forces are used or altered to achieve a public goal. In that work, analysts apply economic principles and empirical techniques to evaluate the efficiency and equity of policy proposals compared with current policy and other alternatives.

- ***Spreading and reducing the risks of natural disaster***—In light of the economic and budgetary cost of recent natural disasters, CBO will examine policies that mitigate the risks of natural disasters and share those risks through various forms of insurance.

- ***Freight rail***—Continuing a body of work on surface transportation issues, CBO will examine trends in freight rail traffic and projections for growth; review factors affecting the ability of railroads to finance capital investments; and discuss policy options for increasing freight rail capacity.

- ***Pharmaceutical R&D***—In a primer on R&D in the pharmaceutical industry, CBO will present descriptive information on trends in R&D spending and analyze key issues related to the productivity of research and the relationship between public spending and private R&D.

- ***Oil markets and gasoline prices***—CBO will report on the consequences of ongoing changes in China's demand for petroleum (and motor fuels in particular) for oil markets in the United States.

- ***Cost of subsidies for the telecommunication Universal Service Fund***—Continuing its work on the Universal Service Fund, CBO will examine the factors that have and are likely to continue to increase the cost of the high-cost support mechanism that accounts for the bulk of spending from the fund.

- ***The federal civilian workforce***—CBO continues to conduct research on important trends affecting the employment of federal civilian employees.

- ***Incentives for decreasing fossil fuel use***—CBO is evaluating policy options for encouraging the private sector to develop and deploy technologies for decreasing fossil fuel use. The focus is on the role that price incentives (such as taxes or cap-and-trade programs) might play versus federal funding of R&D.

- ***Pharmaceutical prices***—CBO will report on the prices that different private purchasers pay for prescription drugs and on the effects of generic drugs on overall drug prices and spending.

- ***Drought and federal water issues***—CBO is completing research on the role of the federal government in water management, including the impact of droughts on the federal management and the role of markets in managing water supply.

- ***International trade***—CBO will survey the current research on the economic effects of reducing agricultural trade restrictions, the objective of the ongoing Doha round of multilateral trade negotiations.

## Internal Management Strategy - Priorities for Fiscal Years 2006 and 2007

Like any successful organization, in addition to focusing directly on its mission, CBO must devote resources to attracting talented staff members, developing their skills, and equipping them with the tools necessary to do their jobs most effectively. It must also organize its key work processes to be as efficient as possible and capitalize on technology whenever possible. During 2007, CBO will continue to pursue many of the same management and operational goals that it has had in recent years, although the emphasis will change to reflect past progress and emerging needs.

### Continue to Focus on Recruitment, Retention, and Development of CBO Staff

CBO has dramatically improved its ability to identify, hire, and retain a highly talented and diverse workforce. In fiscal year 2007, it will continue those successful efforts and look for ways to improve upon its results. In particular, CBO will continue to recruit Ph.D. economist candidates at the national conference of the American Economic Association and candidates with master's and bachelor's degrees by visiting approximately 20 college campuses. CBO will also participate in consortium events providing access to students from approximately 30 additional campuses.

In addition, CBO will continue its efforts to develop new staff quickly and retain strong performers by focusing on professional development and performance management. Toward that end, the agency will maintain the increased emphasis on training that it has adopted during the past several years. One initiative involves redesigning and augmenting CBO's writing training.

### Enhance the Recruitment System

In 2005 and 2006, CBO implemented an online application system, which enables the agency to process applications more quickly and provide managers with more information. The system will also improve the agency's ability to analyze and report on recruitment data and will be more capable of recovery in the event of a disaster.

Building on that success, during fiscal years 2006 and 2007, CBO will undertake a redesign of the existing Applicant Resume Tracking System (ARTS). The redesign will focus on speeding applicant data to hiring managers for consideration; improving the ability to analyze and report on various recruitment data elements; and enhancing disaster

recovery efforts so that recruitment and hiring can continue, if need be, in the event of a disaster.

**Make Other Information Technology Improvements**

CBO continually works to improve its technology infrastructure. Improvements planned for 2006 and 2007 include replacement of its streaming video technology to increase capacity and simplify transmissions of internal conferences, panel meetings, and press announcements to CBO desktop computers; implementation of new modeling techniques to substantially decrease the time for running complex models; better utilization of high-capacity printing; and better processes to improve technical assistance to staff.

***Update Microsoft Office Products***—In 2007, CBO plans to upgrade its version of Microsoft Office throughout the agency. That major upgrade is integral to the agency's effort to continue streamlining its publication process.

***Strengthen CBO's Financial Management***—CBO will continue to partner with the Library of Congress to implement new phases of its financial management system. Those enhancements will continue to expand the agency's ability to provide accurate and timely information directly to the staff responsible for managing the resources. They will also help ensure that CBO continues to receive clean audits of its financial statements.

***Modernize CBO's Report Production System***—To foster timeliness and productivity, CBO is automating aspects of its report production system that relies on a desktop publishing program. The aim is to automate as much of the process as possible.

***Update CBO's Web Site***—As CBO continues its review of its Web site in order to make improvements, a more comprehensive search function is in the works, as is a redesign of aspects of the site based on input from users.

***Back Up or Move Mission-Critical Systems to the Alternate Computer Facility***—CBO will also continue the process of mirroring its mission-critical applications at the Legislative Branch Alternate Computing Facility, which opened in mid-2004.

## Staffing and Organizational Changes

**Donald B. Marron** became CBO's Deputy Director in October 2005 and began serving as the agency's Acting Director as of December 30, 2005.

Dr. Marron previously served as Chief Economist for the President's Council of Economic Advisers. In that capacity, he analyzed a broad range of fiscal, regulatory, and

macroeconomic policies and directed a team that monitored the state of the economy and developed economic forecasts.

Prior to holding that post, Dr. Marron was the Executive Director and Chief Economist of the Congress's Joint Economic Committee, where he led a team that advised Members of Congress and Congressional staff about the performance of the economy, fiscal policy challenges, and the impacts of legislative proposals.

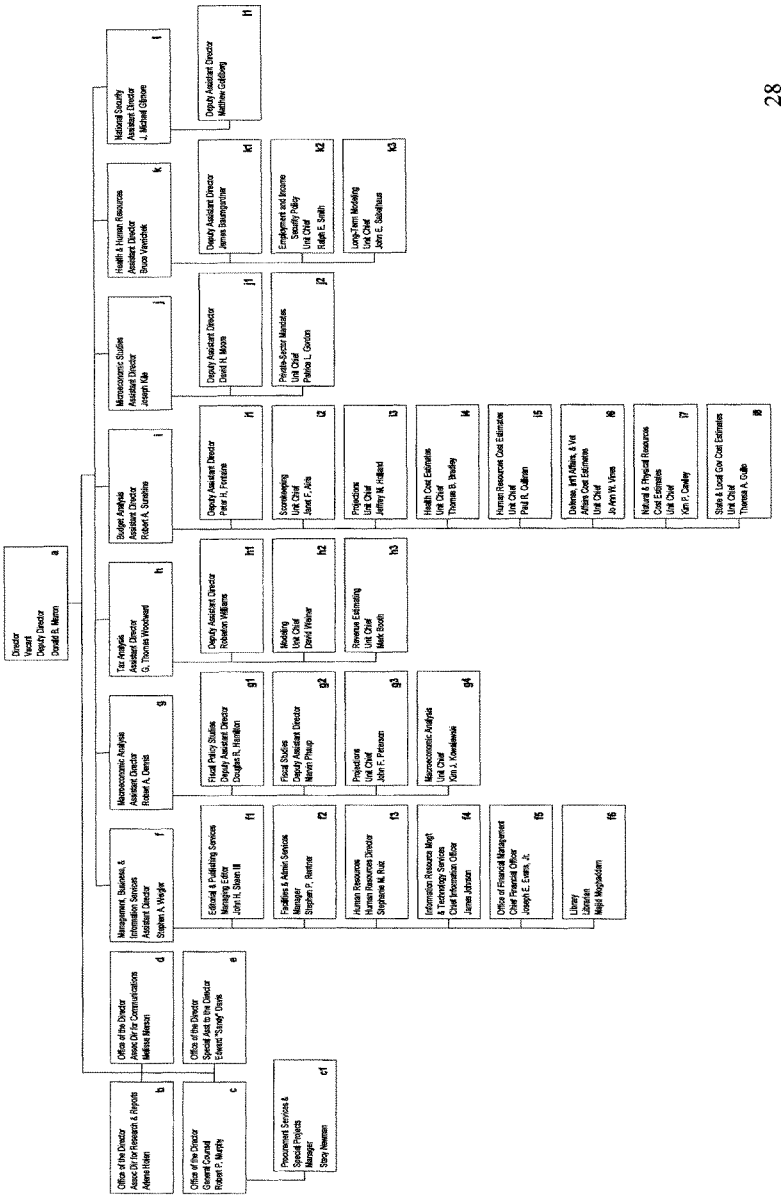
Before his government service, Dr. Marron was chief financial officer of a medical software start-up in Austin, Texas, and a principal and senior associate with the Washington, D.C., office of Charles River Associates, where he provided business consulting and litigation support to companies in a variety of industries. He also served as an assistant professor of economics at the University of Chicago's Graduate School of Business from 1994 to 1998, where he taught courses in microeconomics, entrepreneurial finance and private equity, and environmental policy.

Dr. Marron graduated summa cum laude from Harvard College with a B.A. in mathematics and received his Ph.D. in economics from the Massachusetts Institute of Technology. He has published articles on a broad range of topics, including tax policy, intellectual property, and energy and environmental policy.

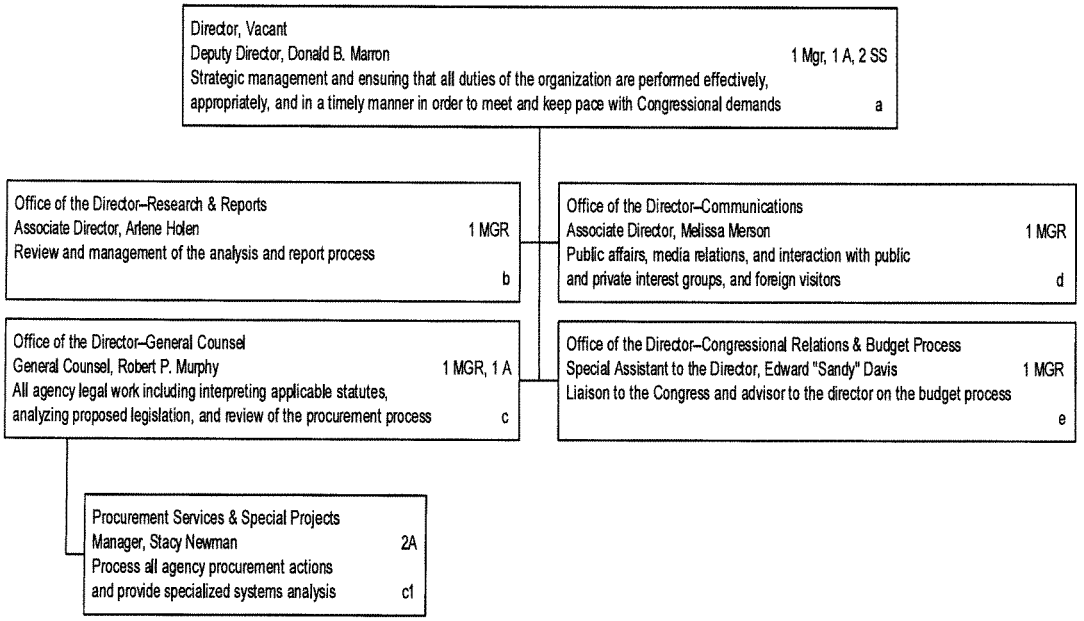
**Joseph Kile,** Assistant Director for Microeconomic Studies Division, came to CBO in June 2005, following 16 years in various positions at the Government Accountability Office (GAO). Most recently, he led the GAO's Center for Economics, within the Applied Research and Methods Team—overseeing a group of economists that provided analyses and reviews of a broad range of issues. Before that, he was a senior economist and an assistant director within GAO's Office of the Chief Economist. His analyses focused, in particular, on the issues of transportation (especially aviation financing, airline competition, and air service to small communities), energy, natural resources and the environment, and the pharmaceutical industry.

Dr. Kile holds a Ph.D. in economics from the University of Wisconsin and a B.A. in mathematics and economics from St. Olaf College. In addition, he is a member of the adjunct faculty at Georgetown University, where he teaches microeconomics in the Graduate Public Policy Institute.

# Basic Organization Chart



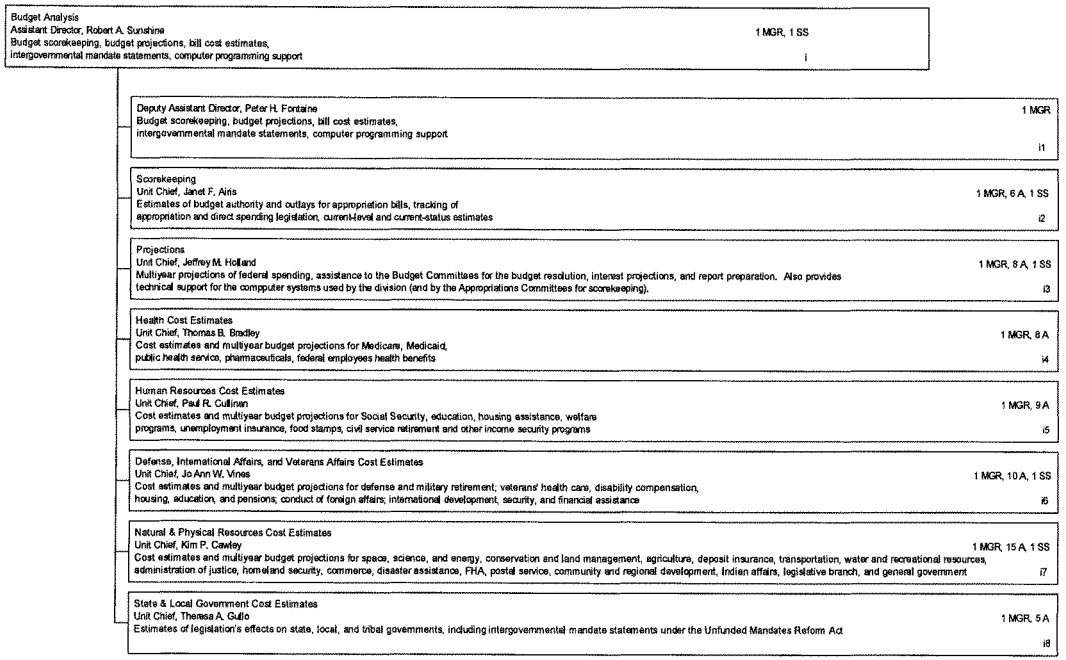
# Functional and Staffing Organizational Chart




Legend: MGR (Manager) = $93,000 to $166,761*
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SS (Support Staff) = $25,000 to $70,451*

*These are the predicted salary caps for Fiscal Year 2007.

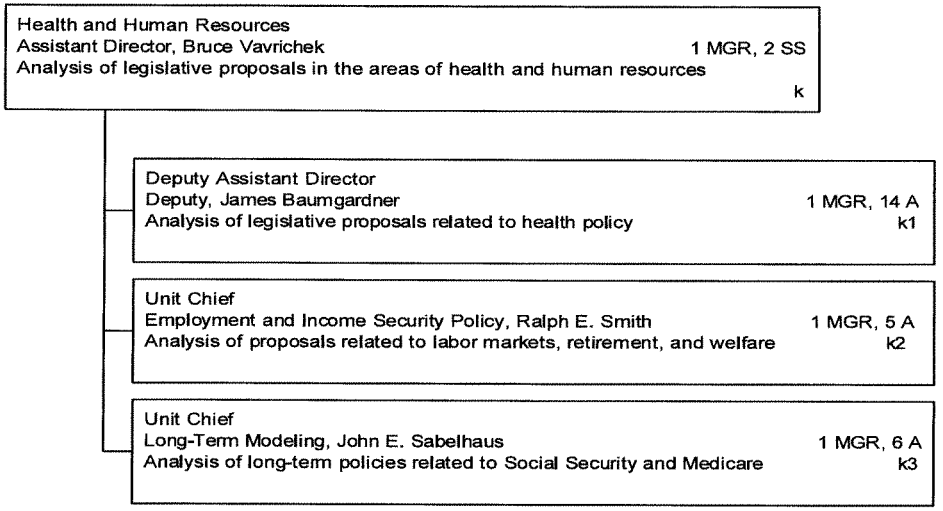
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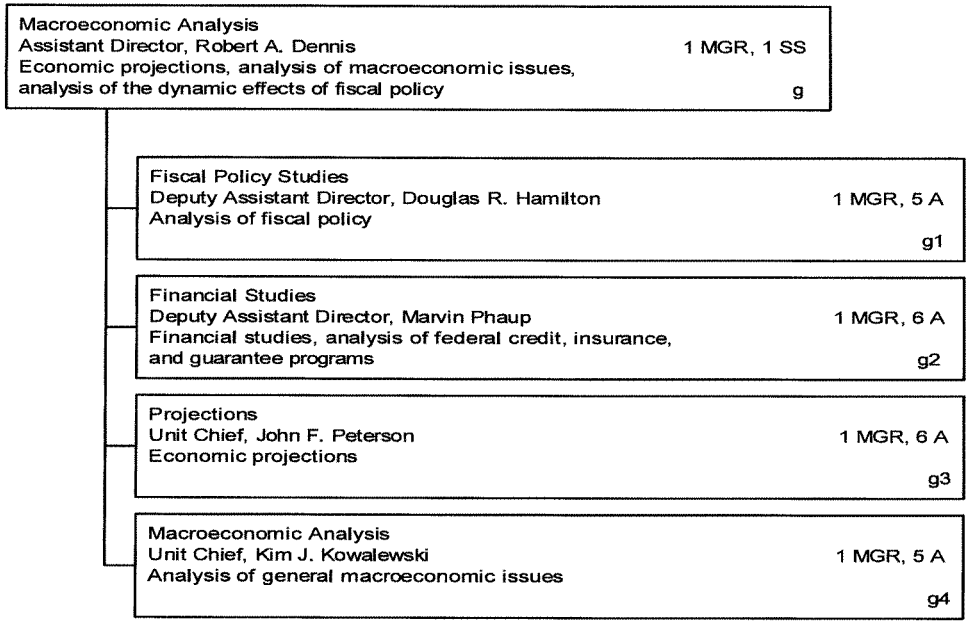
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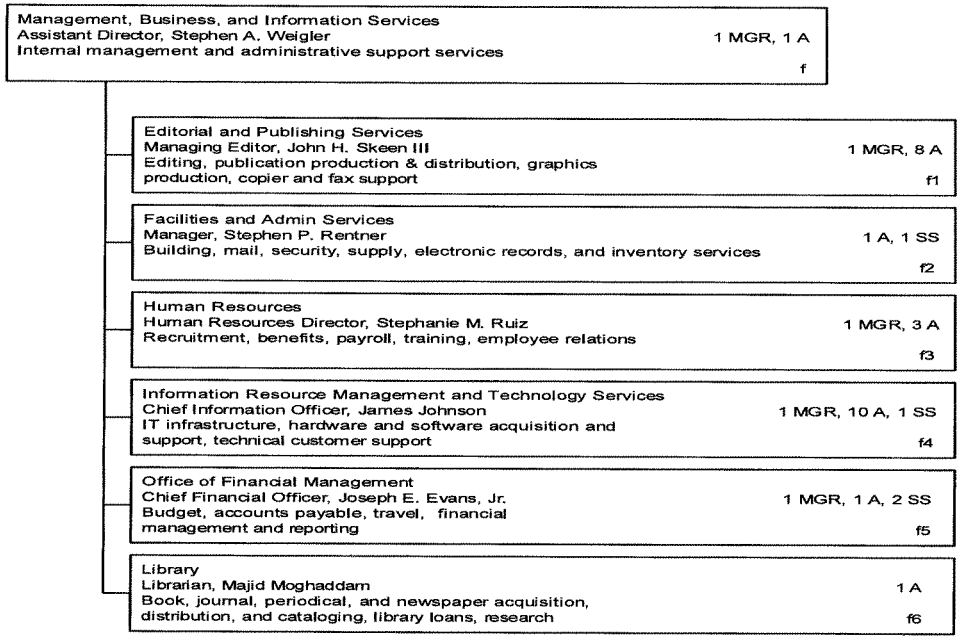
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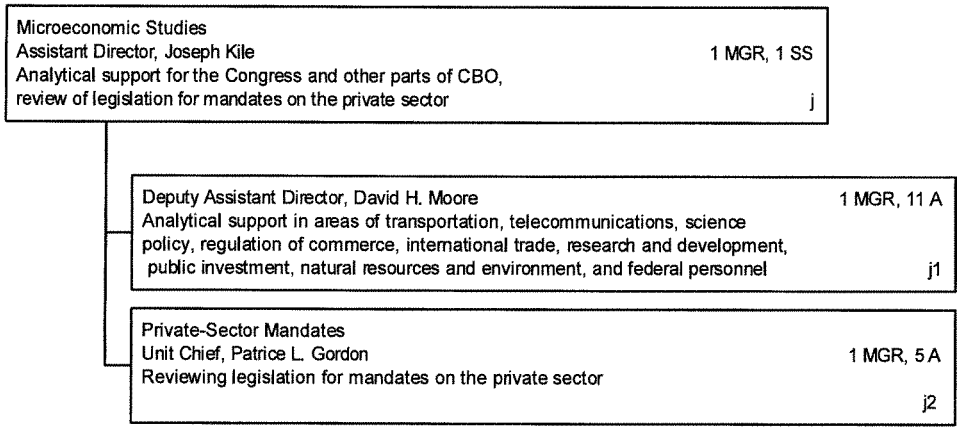
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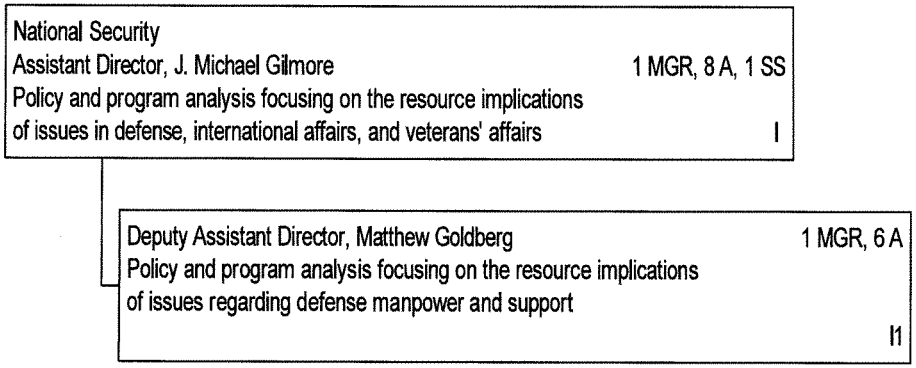
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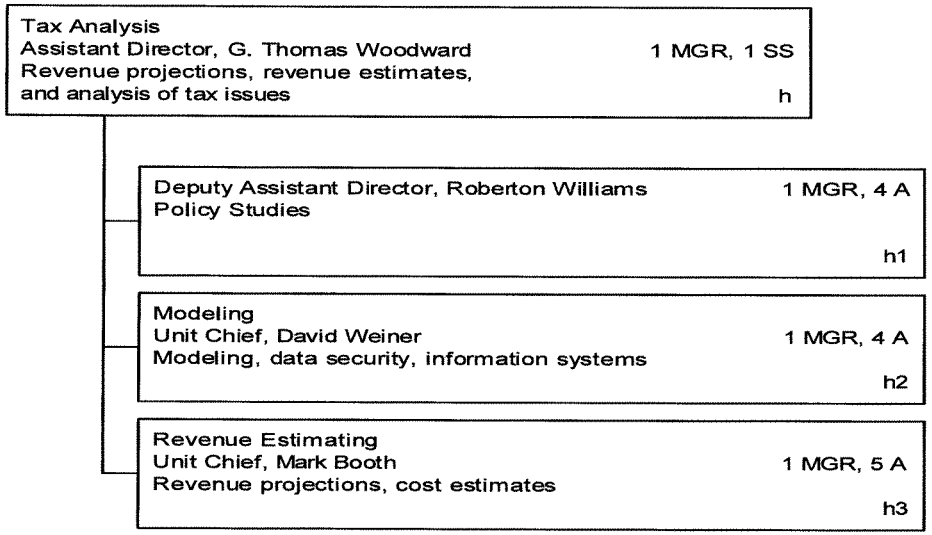
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**Congressional Budget Office**
**Salaries and Expenses Appropriation**
**Major Work Products**

| Products | FY 2005 | FY 2006 (Est.) | % Change 2005-2006 | FY 2007 (Est.) | % Change 2006-2007 |
|---|---|---|---|---|---|
| **A. Status of Discretionary Appropriations** | **50** | **50** | **0%** | **50** | **0%** |
| **B. Cost Estimates** | **1,775** | **1,900** | **7%** | **1,775** | **(7%)** |
| Appropriation Bills | 175 | 175 | 0% | 175 | 0% |
| Other Bills (a) | 600 | 625 | 4% | 600 | (4%) |
| State & Local Mandates Estimates (a) | 500 | 550 | 9% | 500 | (10%) |
| Private-Sector Mandates (a) | 500 | 550 | 9% | 500 | (10%) |
| **C. Major Analytical Reports** | **89** | **93** | **4%** | **93** | **0%** |
| Economic and Baseline Budget Projections | 2 | 2 | 0% | 2 | 0% |
| Analysis of the President's Budget | 2 | 2 | 0% | 2 | 0% |
| Spending and Revenue Options Report | 1 | 0 | (100%) | 1 | 100% |
| Long-Term Budget Report | 0 | 1 | 100% | 0 | (100%) |
| Mandated Reports on Unauthorized Appropriations | 1 | 1 | 0% | 1 | 0% |
| Policy Studies | 39 | 40 | 3% | 40 | 0% |
| Issue Briefs | 7 | 8 | 13% | 8 | 0% |
| Technical and Working Papers | 11 | 12 | 8% | 12 | 0% |
| Letter Reports | 26 | 27 | 4% | 27 | 0% |
| **D. Congressional Testimony** | **30** | **20** | **(50%)** | **20** | **0%** |
| **E. Other Products (b)** | **31** | **20** | **(55%)** | **20** | **0%** |
| **Total Work Products** | **1,975** | **2,083** | **5%** | **1,958** | **(6%)** |

(a) Cost estimates are tracked on a calendar year basis.

(b) Includes the *Monthly Budget Review*, data updates, spreadsheets, and other miscellaneous work products.

Note: The above table quantifies CBO's main work products. CBO also performs a large number of less formal tasks—including staff memorandums and telephone requests—that are harder to tabulate and that continue to grow.

## Salaries and Expenses Appropriation
## 10-Year Historical Data

(Not adjusted for inflation)

(Dollars in thousands)

| ITEM | 1998 | 1999 | 2000 | 2001 | 2002 | 2003 | 2004 | 2005 | 2006E | 2007E |
|---|---|---|---|---|---|---|---|---|---|---|
| 11.1 Full-Time Permanent Positions | 15,289 | 15,635 | 16,907 | 18,083 | 19,468 | 19,905 | 20,864 | 21,720 | 22,515 | 23,709 |
| 11.3 Other Than Full-Time Perm. | 622 | 681 | 695 | 658 | 639 | 707 | 803 | 1,165 | 1,188 | 1,236 |
| 11.5 Other Personnel Compensation | 5 | 14 | 141 | 146 | 170 | 210 | 260 | 315 | 258 | 269 |
| 11.8 Special Personal Services | 0 | 119 | 143 | 73 | 0 | 0 | 0 | 0 | 0 | 0 |
| **Total, Personnel Compensation** | **15,916** | **16,450** | **17,885** | **18,960** | **20,277** | **20,822** | **21,927** | **23,200** | **23,961** | **25,214** |
| 12.1 Personnel Benefits | 4,023 | 4156 | 4,626 | 5,150 | 5,540 | 5,914 | 6,427 | 7,090 | 7,827 | 8,253 |
| 13.0 Benefits for Former Personnel | 8 | 8 | 20 | 5 | 10 | 0 | 2 | 5 | 5 | 5 |
| 21.0 Travel and Trans. of Persons | 93 | 124 | 91 | 117 | 84 | 133 | 129 | 117 | 150 | 153 |
| 22.0 Transportation of Things | 0 | 0 | 1 | 0 | 0 | 0 | 1 | 1 | 1 | 1 |
| 23.3 Comm., Utilities, & Misc. | 286 | 279 | 245 | 201 | 190 | 149 | 244 | 218 | 234 | 229 |
| 24.0 Printing and Reproduction | 134 | 114 | 117 | 126 | 78 | 116 | 71 | 34 | 77 | 63 |
| 25.0 Other Services | 1,681 | 1,945 | 1,812 | 2,144 | 2,659 | 2,113 | 2,858 | 2,242 | 1,851 | 1,925 |
| 26.0 Supplies and Materials | 247 | 289 | 339 | 313 | 326 | 364 | 344 | 346 | 409 | 400 |
| 31.0 Equipment | 919 | 1,743 | 954 | 1,311 | 1,545 | 1,979 | 1,438 | 1,124 | 581 | 783 |
| **Total, Obligations** | **23,308** | **25,108** | **26,090** | **28,328** | **30,709** | **31,591** | **33,441** | **34,377** | **35,096** | **37,026** |
| Number of Products | 2,006 | 2,103 | 2,625 | 1,637 | 2,458 | 2,309 | 2,200 | 2,025 | 2,158 | 2,008 |
| Full-Time-Equivalent Positions | 219 | 215 | 223 | 228 | 229 | 225 | 228 | 231 | 235 | 235 |
| Operating Full-Time Equivalents | 182 | 172 | 183 | 184 | 184 | 183 | 184 | 184 | 190 | 190 |
| Support Full-Time Equivalents | 37 | 43 | 40 | 44 | 45 | 42 | 44 | 47 | 45 | 45 |
| Products per Full-Time Equivalent | 9 | 10 | 12 | 7 | 11 | 10 | 10 | 9 | 9 | 9 |

Notes: Columns and rows may not add up to totals because of rounding.

Fiscal year 2006 reflects the 1 percent rescission.

**Congressional Budget Office**
**Salaries and Expenses Appropriation**
**New Program Starts**

The fiscal year 2007 budget request does not include any significant new program starts.

Attachment A

**Congressional Budget Office**
**Salaries and Expenses Appropriation**
**Operating Base Budget for Pay and Benefits**
(Dollars in thousands)

| Adjustments to the Base | Amount | Supplemental Information to Support Base-Level Mandatory Increases in Table 2 |
|---|---|---|
| **Mandatory Costs:** | | |
| Annualization of Prior Year Personnel Actions (including related benefits) | 699 | Pay costs for the base year (fiscal year 2006) do not include the full year's effect of pay actions and new hires during that year. |
| Benefit Price Increases | 213 | Benefit price increases include health insurance, FICA taxes, and retirement plan participation. |
| **Relatively Uncontrollable Costs:** | | |
| Fiscal Year 2007 Across-the-Board and Merit Pay Increases (including related benefits) | 757 | All staff making $100,000 or more will receive only merit pay. Staff below $100,000 will receive the across-the-board increase and merit pay.<br><br>The across-the-board increase for eligible employees is 2.7 percent.<br><br>The funding for merit pay provides an average increase of 4 percent. |
| **Budget Assumption for Attrition** | | Attrition is assumed to pay for noncareer ladder promotions and position reclassifications that increase the average salary for current FTEs. |
| **Relatively Controllable Costs:** | | |
| Performance Awards (including related benefits) | 10 | The performance and recruitment awards base is $288,000. The fiscal year 2007 request maintains awards at approximately 1 percent of total base pay. |
| **Total Mandatory Increases in Table 2** | **1,679** | |

Note: This table continues on the following page.

Attachment A (Continued)

**Congressional Budget Office**
**Salaries and Expenses Appropriation**
**Operating Base Budget for Pay and Benefits**
(Dollars in thousands)

| Adjustments to the Base | Amount | Supplemental Information to Support Base-Level Mandatory Increases in Table 2 |
|---|---|---|
| **FTEs/Salaries and Benefits:** | | |
| FTEs for Fiscal Year 2007 | 235 | The fiscal year 2007 request does not include an increase in FTEs. |
| **Salaries and Benefits** | 32,492 | Fiscal year 2007 unadjusted base for salaries and benefits is the cost of pay and benefits if no personnel actions are taken after 10/01/2006. |

Attachment B

**List of Committees and Members Requesting CBO Analyses in FY 2005**

House Committee on Armed Services
House Committee on Armed Services, Subcommittee on Projection Forces
House Committee on Armed Services, Subcommittee on Strategic Forces
House Committee on the Budget
House Committee on Government Reform, Subcommittee on the Federal Workforce and Agency Organization
House Committee on Transportation and Infrastructure
House Committee on Ways and Means

Representative Nancy Pelosi, House Democratic Leader
Representative David Dreier
Representative Jim Marshall
Representative Lamar S. Smith

Senate Committee on Appropriations
Senate Committee on Armed Services
Senate Committee on Armed Services, Subcommittee on Seapower
Senate Committee on Banking, Housing, and Urban Affairs
Senate Committee on the Budget
Senate Committee on Energy and Natural Resources
Senate Committee on Finance
Senate Committee on Homeland Security and Governmental Affairs, Subcommittee on Oversight of Government Management, the Federal Workforce and the District of Columbia
Senate Committee on the Judiciary

Special Committee on Aging
Joint Committee on Taxation

Senator William H. Frist, MD, Senate Majority Leader
Senator Jeff Bingaman
Senator Robert C. Byrd
Senator Jon S. Corzine
Senator Mike DeWine

Senator Russell D. Feingold
Senator Orrin G. Hatch
Senator James M. Jeffords
Senator Jon Kyl
Senator Bill Nelson
Senator John D. Rockefeller, IV
Senator Charles E. Schumer
Senator Jeff Sessions
Senator Arlen Specter




Washington, DC 20515
January 17, 2006

The Honorable Jerry Lewis
Chairman
The Honorable David R. Obey
Ranking Minority Member
Committee on Appropriations
House of Representatives

The Honorable Thad Cochran
Chairman
The Honorable Robert C. Byrd
Ranking Member
Committee on Appropriations
United States Senate

The Honorable Wayne Allard
Chairman
The Honorable Richard J. Durbin
Ranking Member
Subcommittee on the Legislative Branch
Committee on Appropriations
United States Senate

I am pleased to transmit our Fiscal Year 2007 budget request. It is structured to enable us to continue supporting the Legislative Branch by ensuring the Capitol Hill complex is safe and well maintained, our national treasures are well protected, and we provide high-quality, efficient, and effective services to our customers.

In developing the budget request, we have taken into consideration the current fiscal constraints of the overall federal budget. We carefully reviewed annual operating and capital project requests to make certain that priority issues were appropriately resourced. Funding AOC operations, new programs, and high priority capital projects, while at the same time balancing the needs of those we serve, will require us to work together to make difficult choices so that we can continue to preserve the past and be responsible stewards for the future.

In order to maintain and preserve the Capitol Complex and its ancillary locations, our request for budget authority of $588.3 million for Fiscal Year 2007 represents a 38.7% increase over the FY

2006 enacted level. This increase is a direct result of several program and process improvements initiated at the request of the Congress, as well as some larger than normal price level increases. The chart below summarizes the change in our Fiscal Year 2007 operating and capital projects budget against the Fiscal Year 2006 enacted budget. Additional details are provided following the chart.

Fiscal Year 2007 Budget Request, Summary of Requested Changes
(Dollars in Thousands)

| Budget Category | FTEs | Amount | Cumulative Percentage Change |
|---|---|---|---|
| FY 2006 Budget Authority to Support Operations | 2,129 | $424,193 | |
| FY 2007 Requested Changes | | | |
| Program decrease | | ($125,353) | -29.6% |
| Mandatory pay costs | | $8,712 | -27.5% |
| Price level changes | | $17,485 | -23.4% |
| Program increase | 101 | $263,312 | 38.7% |
| Subtotal - requested changes | | $164,156 | |
| FY 2007 Budget Authority to Support Operations | 2,230 | $588,349 | |

*ANNUAL OPERATING BUDGET*

Our Fiscal Year 2007 annual operating budget request of $356.3 million reflects a 23% increase over current enacted levels. Mandatory price level increases and new programs have impacted our ability to keep growth low. The key drivers of this increase include:

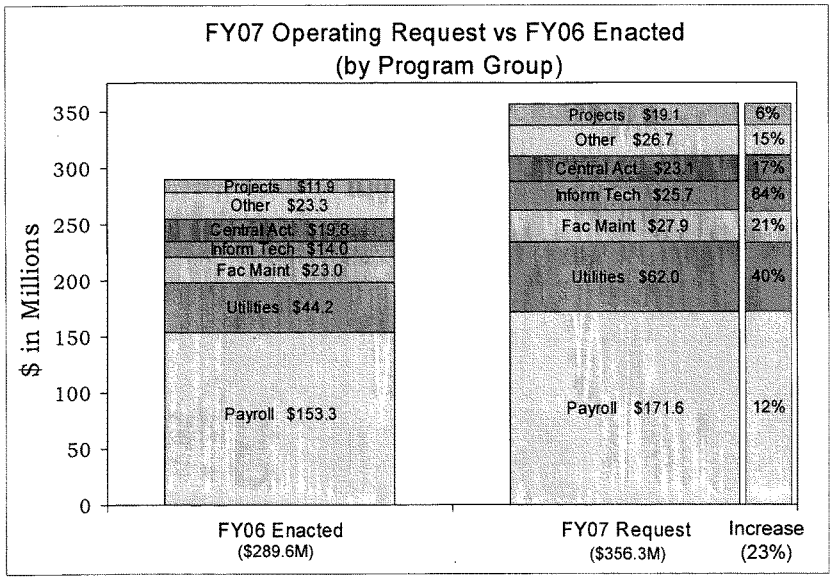
- Utilities ($62.0 million). The growth in utility costs alone is 40% over FY 2006 enacted levels and a direct result of the recent deregulation of electrical power and the increased cost of natural fuels resulting from the devastation caused by Hurricane Katrina.

- Payroll ($171.6 million). Payroll reflects a 12% increase over last year's enacted level. The two key factors contributing to this increase are the mandatory price level increases (pay costs) and the addition of 101 Full Time Equivalents (FTEs).

- Information Technology ($25.7 million). This program represents a significant 84% increase over the FY 2006 enacted level to the annual operating budget. In the FY 2006 budget request, base resources were cut in an attempt to constrain growth. Our intention was to fund any information technology program shortfalls with lapses in payroll or other general and administrative areas, but that has not worked well in the current fiscal environment. It is important to reestablish these base resources and advance our strategy for leveraging use of information technology management tools to improve internal operations such as replacing our project information system and upgrading our inventory control system interface to our financial system.

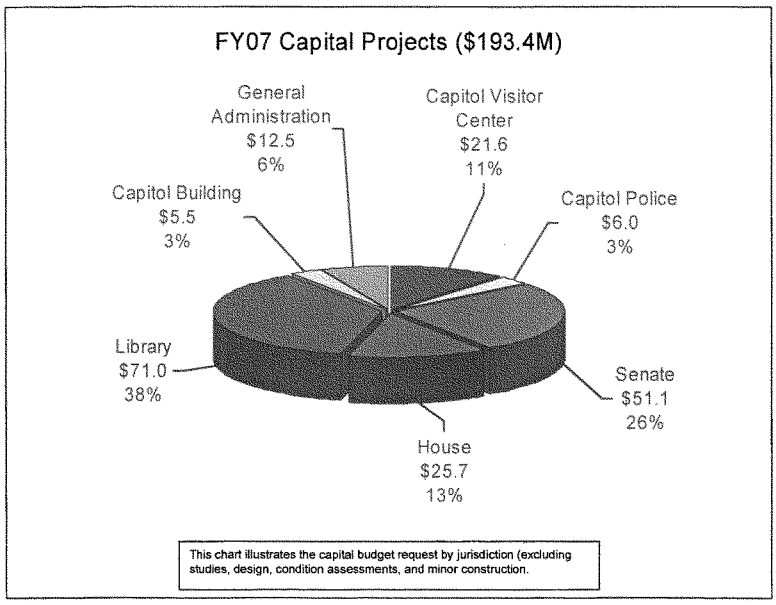
- Capitol Visitor Center Operations (CVC) ($8.9 million). The annual operating budget also requests funds for CVC operations. This request has been reviewed in detail with the Capitol Preservation Commission. Included are day-to-day operational requirements as well as anticipated one-time costs (i.e. furniture and equipment, computers, statue relocation, public awareness program, etc.). Payroll costs ($10.6 M and 91 FTEs) to support daily operations for this new facility are included in the payroll costs noted above.

Because of the large program increases in the annual operating budget noted above and our desire to keep our growth at a minimum level, we have not included the standard across the board inflationary indices to other existing programs. Instead we restricted price level adjustments to those that have been negotiated in existing contracts. All other inflationary cost increases will be funded from within existing base resources.



*CAPITAL PROJECT BUDGET*

Our Fiscal Year 2007 capital project budget request of $232.0 million reflects a 72% increase over current FY 2006 enacted levels. The request consists of $193.4 million for capital projects (including the Library of Congress Logistics Warehouse and CVC cost to complete), $22.7 million for studies, design, and condition assessments, and $15.9 million for minor construction.




In previous budget requests, my focus has been on making sure fire and life safety deficiencies were corrected. We have devoted significant resources towards protecting the Congress, congressional and supporting staffs, and the public by providing safe and secure facilities where they can work and visit. Protecting people is and will continue to be my top priority but it is also critical that as responsible stewards, we look towards the future and the preservation of the Capitol Complex. With your support, I have conducted a series of Facility Condition Assessments (FCA) in most AOC jurisdictions and will complete the process, with your approval, for the Library of Congress FCA in 2007. The FCA provides a method for measuring the current condition of facilities to assess how much work, if any, is necessary to maintain or upgrade their condition to acceptable levels to support organizational missions. The results are being incorporated into the Capitol Complex Master Plan. When all of the assessments are completed, we will be able to provide you with a five-year Capital Improvement Plan. In partnership with the Congress, we can develop an investment and maintenance/construction strategy to preserve the historic buildings entrusted to our care.

The FY 2007 Capital Projects Budget was developed using a formalized program, the Line Item Construction Program (LICP), to objectively prioritize our project requirements. All projects, including those requested by our customers, are evaluated and prioritized using a fair and objective set of criteria. In the development of this capital projects budget, the initial prioritized list totaled over $188 million (36 projects) but considering the current fiscal environment, only 19 projects ($143.7M) are in the final master list. It is important to note that there are $29.1 million in projects included in the capital budget request that support smaller projects outside the LICP process such as the ACF Emergency Vehicle Storage, ACF Land Purchase, and Energy Survey. Several noteworthy projects in this budget request include:

- Logistics Warehouse at Fort Meade ($54.2M). To support the Library of Congress master plan, we are requesting funds to construct a secure facility compatible with environmental storage regulations for storage of specialty materials, day-to-day operational supplies and materials, and chemicals.

- Attic Infrastructure Improvements, Dirksen Senate Office Building ($19.4 M). This project is designed to improve the air quality in this building by replacing the air handling equipment. The air handling equipment is over forty years old, has exceeded its useful life, and operates inefficiently.

- Fire Alarm System Upgrade, Hart Senate Office Building ($15.95M). The fire alarm system in this building is outdated and is approaching the end of its useful life. This project is designed to replace the existing fire alarm system with a new fire code compliant system and will meet the Americans with Disabilities Act standards.

- Kitchen Exhaust System Upgrade, Longworth House Office Building ($8.3M). This project is designed to upgrade the kitchen exhaust system to comply with all applicable code requirements. It will include the installation of a fire suppression system.

- 480v Switchgear and Transformer Replacement, Rayburn House Office Building and East/West House Underground Garages ($4.1M). The project proposes to replace the old equipment with a new state-of-the-art electric power system in order to bring the building up to code standards.

- Emergency Lighting Upgrade, Rayburn House Office Building ($5.0M). Currently the building has substandard, non-compliant emergency lighting in several areas. This project is designed to correct the deficiencies to ensure that Members, their staff, and the public can safely exit the building during an emergency.

This capital budget request also includes the final CVC cost-to-complete amount of $20.6 million. The final cost is based on a cost-to-complete analysis and GAO's evaluation and recommendations.

As we go through the next few months of budget deliberations, I look forward to working with the Committee in making any necessary adjustments to the AOC capital project requirement while maintaining the integrity of our project prioritization process.

*STRATEGIC PERFORMANCE INITIATIVE*

Since 2003, I have implemented and continued to refine our Strategic Plan to improve and formalize processes and procedures for AOC operations. In order to further strengthen the plan, we have recently embarked upon a Strategic Performance Initiative that will link our goals to future resource requests and establish metrics that clearly demonstrate performance. Increased visibility into our performance and the clear linkage of daily/operational activities to the achievement of our strategic goals will continue as we transform our Strategic Plan to a results-based format that is fully integrated with our budget and accounting systems. We will continue to work with the Congress and the GAO to identify areas for further improvement while balancing the achievement of long-term strategic initiatives with day-to-day operational needs.

In summary, I believe our budget request reflects the needs of the Congress and the Capitol Complex. I welcome the opportunity of working with you and the Committee in the coming months.

Sincerely,

Alan M. Hantman, FAIA
Architect of the Capitol

Enclosure






## ARCHITECT OF THE CAPITOL GENERAL STATEMENT
## APPROPRIATIONS & ESTIMATES

The core mission of the Architect of the Capitol (AOC) is to provide professional expertise relating to preserving and enhancing the environment of the Capitol Complex and to operate and maintain the infrastructure supporting the Congress, other Legislative Branch support entities, the Supreme Court, and the visiting public. To provide this service, the dedicated staff of professionals, technical, trade, and services personnel have an integrated approach to provide available architectural, project management, and engineering to provide Congress with timely and cost effective recommendations pertaining to design, construction, and maintenance of buildings throughout the Capitol Complex. Furthermore, the commitment and attention to detail by the AOC staff to ensuring the building infrastructure systems operate efficiently and are reliable to support Congressional activities is evident through exceptional customer service ratings.

Overall, the AOC, acting as an agent of the Congress, has the oversight responsibility of the following jurisdictions:

- General Administration (GA): AOC Central Office functions, and the management and operation of the facilities, activities, programs, and projects that affect all jurisdictions: Architecture & Engineering Services; Safety; General Facilities Management; Financial Management; General Counsel; Security; Communications; Information Systems; Human Resources; and Procurement.

- Capitol Building (CB): Maintenance, preservation, structural, and mechanical care of the Capitol Building and making arrangements with the proper authorities for ceremonies held in the building and on the grounds, as well as the care and repair of works of art that are integral to the Capitol.

- Capitol Grounds (CG): Care, maintenance, and improvement of the Capitol grounds, including approximately 222 acres of landscaping, parks, streets, and parking facilities.

- Senate & House Office Buildings (SOB and HOB, respectively): Maintenance, preservation, structural, and mechanical care of the Senate and House Office Buildings, including the maintenance and operation of the mechanical, electrical, and electronic equipment, the Senate and House subways, as well as the maintenance of the Senate and House restaurants.

- Capitol Power Plant (CPP): Maintenance, preservation, structural, and mechanical care and operation of the Capitol Power Plant which supplies steam and chilled water necessary for temperature control of buildings throughout the Capitol Complex.

- Library Buildings & Grounds (LOC): Structural and mechanical care of buildings and grounds maintenance of approximately 24 acres. Additionally, the AOC also has responsibility for 100 acres at Ft. Meade for long term storage needs for the Library of Congress and the Legislative Branch as well as the National Audio Visual Conservation Center in Culpeper, Virginia.

- Capitol Police Buildings and Grounds (CPB&G): Maintenance, care, and operations of Capitol Police buildings and grounds.

- Botanic Garden (BG): Maintenance, care, and operation of the Botanic Garden and nurseries, buildings, and grounds.

- Capitol Visitor Center (CVC): Cost-to-complete, start-up and transition, and planned recurring costs of the Capitol Visitor Center.

The Capitol "Complex" consists of the above jurisdictional buildings and grounds on Capitol Hill, as well as other buildings located in the National Capitol region to include facilities at Fort Meade and Culpeper. The national treasures -- architectural designs, decorative arts, and historical buildings --- must all be carefully considered before undertaking any work or implementing any structural or other physical changes. The on-going challenge, therefore, is to meet today's functional needs, provide a safe environment for legislative operations by protecting the Congress, congressional and supporting staffs, and the visiting public is a tremendous opportunity while maintaining and preserving the heritage that is embodied in the architecture of the Capitol Complex. The Capitol Complex, our national treasure has served this nation since 1793 and the AOC is dedicated to maintaining and preserving it for future generations.

## SIGNIFICANT ACCOMPLISHMENTS

The AOC, through exceptional leadership and a well-trained and committed workforce achieved many important milestones in FY 2005. These successes include the opening of Book Storage Modules 1 and 2 at Fort Meade, the purchase of the Alternate Computing Facility, and the progress toward completing the Capitol Visitor Center. Many of the initiatives started years ago have begun to produce significant results in improving how the AOC performs day-to-day operations.

In FY 2005, the Agency, as a whole made, great progress in a number of areas. Chief among them was continuing to implement and enhance our Strategic Plan. A key piece in ensuring the plan was a part of everyone's daily work was to fully implement an enhanced performance management system that establishes performance elements based on position descriptions and links the performance elements to agency strategic goals. This promoted greater understanding of one's role in accomplishing the agency's mission and further assimilated the plan throughout all levels of the organization. Furthermore, we began the regular collection, tracking, and management of operational performance metrics that are linked to each strategic goal area via implementation of the Chief Operating Officers Dashboard. This tool not only improved communication among AOC management and led to process improvements in several areas, but also enhanced communication between AOC and its stakeholders by providing a succinct portrayal of AOC performance. Increased visibility into our performance and the linkage of daily activities with our strategic goals will continue as we enter the next phase of transforming our Strategic and Performance Plans to a results-based format that is fully integrated with our budget. This is described in detail in the Strategic Planning section of this submission.

For the fifth year in a row, the AOC's injury and illness rate has decreased. The FY 2005 rate of 5.65 represents a 4% reduction from the previous year's rate. From a high of 17.9 cases per 100 employees in FY 2005, we have dropped to 5.65 cases per 100 employees in FY 2005. Putting this reduction into perspective, had the reductions from the FY00 rate never occurred, there would have been 1,100 additional injuries and occupational illnesses over the last five years. The FY2005 rate was achieved during a challenging year of post election office moves and the Presidential Inauguration while meeting the daily demands of mission.

Security Programs, Project Management, General Counsel, and Procurement completed two major facility acquisitions - purchase of the Alternate Computer Facility and occupation of the Fairchild Building. The 335,000 square foot, 91 acre, Alternate Computer Facility was purchased in June 2005 to permanently house critical data center operations of the United States House of Representatives, United States Senate, Library of Congress, Architect of the Capitol, United States Capitol Police, and other Legislative Branch

agencies. The 115,000 square foot renovation of the Fairchild Building was completed on time and within budget, and fully occupied by the United States Capitol Police in October 2005 to relieve significant space shortfalls created by accelerated growth in personnel and mission.

The most significant accomplishment for the Architecture and Engineering Divisions for FY 2005 was the direct participation in the complete reorganization of the Divisions' roles and responsibilities in support of the creation of a new Project Management Division devoted to the delivery of projects on time and on budget. This reorganization was accomplished while providing seamless stewardship services for over 400 projects. In September 2004, a "pilot" Project Management organization was initiated, which consolidated Project Managers, Construction Managers, and Construction Inspectors into a single organization. This alignment was done in an effort to apply a "cradle-to-grave" approach to project delivery, with clear performance expectations for schedule, budget and quality. Included in the organization is the establishment of the Jurisdictional Executive position that functions as the liaison between the Superintendents and the project delivery organizations. Performance of this organization was deemed successful and was subsequently formally implemented on October 2, 2005. Key accomplishments of this organization include the creation of a quarterly report which communicates project status and performance metrics to the House and Senate Appropriation committees, as well as the establishment of formal policies which help to guide the staff and contractors through the life of the project. The most notable efforts include support for Capitol Visitor Center, the Modernization of the Supreme Court, the Expansion of the West Refrigeration Plant, the House and Senate Election moves, the 2005 Presidential Inaugural Ceremony, hundreds of interior design and life safety projects, the development of a new Legislative Call System, the perimeter security program, and the Capitol Complex Master Plan.

The Office of the Chief Financial Officer (OCFO) has made great strides in generating more reliable annual financial statements. In 2005, the agency published its first accountability report and earned an unqualified opinion for the second consecutive year on the AOC balance sheet. OCFO developed processes and procedures in anticipation of the first full audit of the entire set of financial statements for FY 2005. Continuing to reap the full benefits of financial reform, OCFO is focused on the next steps. These next steps include:

1) Continue to establish seamless systems and processes (for example, we are implementing a new inventory control system that will be integrated with our accounting systems and facility management systems);
2) Focus on the ability to routinely generate reliable cost and performance information. To do so OCFO has begun a cost accounting pilot, Management Operations Reporting (MOR). This provides jurisdictions with a tool to assist them in managing their operational costs. Armed with this information, resources can be used more efficiently and budgets can be justified based on actual costs;
3) Taking action to review value-added activities that support strategic decision-making and mission performance. OCFO in partnership with the Strategic Planning Office, Jurisdiction Superintendent's, Project Management, and Information Technology Division began an initiative to develop a performance-based budget. Additionally, an internal controls framework was developed along the lines of requirements in the Sarbanes-Oxley Act and as required of Executive branch agencies by OMB Circular A-123. The framework will focus around three business processes; procure to pay, payroll, and the project management process; and
4) Continue to build a finance and budget team that supports the agency's mission and goals. During FY 2005 the OCFO completed a core-competency review of the OCFO that is being used to develop the knowledge and skill of our finance staff..

The Financial Management System (FMS) Division in the OCFO successfully implemented the Acquisitions module for the FMS system. This completed phase four of the five phase FMS implementation. This module allows the procurement office to perform all contracting actions within FMS including the solicitation and the production of the actual contract. It ensures consistency among the various types of contracts and provides controls on the specific clauses that are contained in the contracts. During 2005, the FMS office also made progress on the implementation of a new inventory control system. This is a complicated implementation requiring a real-time integration between the inventory system and the financial system. The inventory control system is the fifth and final phase of the original implementation plan and is scheduled for implementation in January 2006.

The HOB Superintendent's Office executed the 109th Congressional Transition Office moves. Starting in November 2005 with the room selection process and continuing into December with the office moves, the complete move cycle was completed in record time and well ahead of the Jan 3, 2006 completion date with a client satisfaction rating of 95%.

The Capitol Grounds staff, with support from the AOC Construction Branch, completed a project to protect drinking water from contaminants. The project required unearthing water mains and adding backflow devices to water lines that feed lawn sprinkler systems across Capitol Hill. This effort was done to prevent contaminates from entering the main water lines in the event water pressure was lost in the city. Without the addition of these devices contaminates could potentially enter the drinking water system and be delivered to outlets around Capitol Hill when water pressure is restored.

In 2005, the U.S. Capitol Power Plant successfully completed a number of new maintenance projects to improve the performance, safety and reliability of the boiler house and chilled water plants. At the same time, the Capitol Power Plant has been progressively moving forward with the construction of the West Refrigeration Plant Expansion (WRPE) Project which operated all three new 5,400 ton chillers in November 2005. In addition, project site improvements and the new WRPE exterior facade are well underway and will be completed in 2006 in conjunction with the perimeter security program. In 2005, the number of injuries decreased by 60% from the previous year.

The Capitol Building jurisdiction completed a total of eighty three (83) significant projects in fiscal year 2005. Ninety-eight percent (98%) of these projects were completed on time and within budget. These accomplishments contributed to the achievement of a client satisfaction rating of 94%. Additionally, the Capitol Superintendent's office supported many special events during fiscal year 2005, including the Presidential Inaugural Ceremony.

The Senate Superintendents office, through proactive management and leadership reduced the Employee Injury rate for SOB employees by 33% in one year. This accomplishment reflects reduced hazards in the work place, higher level of employee safe work practices and a safer environment for employees and public visitors.

During 2005 the Library Building and Grounds Superintendent's office made significant progress regarding the improvement of sprinkler systems within the James Madison Memorial Building (JMMB). The entire sprinkler system within this two million square feet facility was upgraded to provide 100% coverage throughout. In addition, all JMMB sprinkler system deficiencies identified during past Office of Compliance inspections were corrected. This large undertaking was 99% complete at the end of 2005. Final completion will be accomplished in early 2006, and will support the AOC goal to provide 100% sprinkler coverage within the Capitol Hill Complex.

The Capitol Visitor Center project team achieved several key milestones in 2005, beginning with the completion of the East Front Plaza in January to a level sufficient to support inaugural activities, including a military parade and the departure of the presidential motorcade. All structural elements were completed early in the year and the Sequence 1 contractor, responsible for the foundation and structure work, departed the site clearing the way for Sequence 2 crews (installation of mechanical, electrical and plumbing systems and finishes) to work in all areas of the project. Most of the mechanical systems were installed in the Service Level and crews have completed much of the related duct, piping and electrical tie-ins. Excavation began on East Capitol Street early in January for a new utility tunnel that will house chilled water and steam lines necessary to accommodate the increased capacity requirements of the CVC. All structural work was completed on the tunnel by the end of the year and crews are now completing the piping connections at First and Second Streets. In late winter, stone masons began working throughout all of the interior spaces and have now completed most of the wall and column stone work in both of the Orientation Theaters, the Exhibition Hall, the Food Service Area and nearly 60 percent of the Great Hall and adjacent corridors. In the summer, a contract was awarded for the build-out of 170,000 square feet of House and Senate Expansion Space. That work began in August and is on schedule to finish in March 2007. Excavation of a new connector tunnel below the House Carriageway began in late summer and most of the foundation work has been completed. Finally, outside on the East Front Plaza, most of the stone for the historic lanterns and fountains was re-installed while restoration of the Senate Plaza began with the installation of pavers and curb stones.

## STRATEGIC PLANNING

The AOC performs its duties in an environment that requires balancing the needs of multiple congressional staff, support organizations, and the visiting public. As a high-performing organization, the AOC has developed a long-range strategic plan that guides us in our mission to maintain the national treasures entrusted to our care while fulfilling the day-to-day needs of our stakeholders.

In December 2003, the AOC began its transformation with the implementation of its strategic plan that focuses on improving and providing timely and quality facilities management and preservation services. The initial plan consists of four strategic goals that were developed to guides us in accomplishing our mission and realizing our vision.

> ***Mission**: Provide Congress a wide range of professional expertise and services to preserve and enhance the Capitol Complex and related facilities.*
>
> ***Vision**: We will be an innovative and efficient team dedicated to service excellence and to preserving, maintaining, and enhancing the national treasures entrusted to our care.*

These four strategic goals continue to emphasize our core services and critical processes necessary to accomplish our mission:

- Facilities Management - Maintain and preserve the national treasures entrusted to our care by providing timely and quality facilities management and related support services;
- Project Management - Enhance the national treasures entrusted to our care by planning and delivering timely and quality projects;
- Human Capital - Attract, develop, and retain diverse and highly motivated employees with the skills, talents, and knowledge necessary to support the Agency's mission;
- Organizational Excellence - Provide the highest quality services to our clients through improved business programs, processes, and systems.

Our Strategic Plan was put into operation through the annual performance planning process, which translates the strategic goals into objectives and action plans (with milestones for completion). The AOC has made tremendous progress towards these long-range initiatives by improving not only current operations but also the quality of life of its employees and the customer service it provides.

To continue the transformation started in 2003, the AOC has embarked on a year-long Strategic Performance Initiative (SPI). This initiative will move our Strategic Plan into the next stage of maturity by developing and implementing meaningful performance measures that are linked to day-to-day activities and ultimately to resource requirements. To ensure the SPI is successful, the AOC has established a steering committee comprised of the AOC Strategic Planner, Budget Officer, Accounting Officer, House Office Building Superintendent, Information Technology Enterprise Architect, and Director of Project Management. These individuals represent major functional areas and thereby ensure representative views are considered and operational needs are balanced as we make this transformation. Future budget requests will be more clearly linked to our strategic goals and targeted performance levels as a result of this initiative. We will continue to work with Congress as we implement these changes and further improve our high-performing organization.

## ARCHITECT OF THE CAPITOL FY 2007 BUDGET

The Fiscal Year 2007 AOC Budget consists of an *Operating Budget and Annual Non-Recurring Budget*, a *Capital Projects Multi-year Budget*, and a *No-Year Budget* which are summarized in the following table:

| Architect of the Capitol | FY 2005 Budget ($000) | FY 2006 Budget ($000) | FY 2007 Request ($000) | 2006/2007 Difference ($000) |
|---|---|---|---|---|
| Operating & Annual Non-Recurring Budget | 277,396 | 289,585 | 356,303 | 66,718 |
| Capitol Projects Multi-Year Budget | 73,722 | 93,127 | 211,446 | 118,319 |
| No-Year Budget | 2,877 | 41,481 | 20,600 | (20,881) |
| Total AOC Appropriation: | 353,994 | 424,193 | 588,349 | 164,156 |

The FY 2007 AOC budget request of $588.3 million represents an increase of 38.7%, or $164.2 million above the FY 2006 budget enacted level of $424.2 million. The AOC FY 2007 budget was developed to continue to provide routine and renovation activities while also focusing on correcting fire and life-safety deficiencies, addressing the needs of those we serve, and identifying operational, transitional, and cost-to-complete amounts associated with the new Capitol Visitor Center.

In developing the budget request, the AOC considered the current fiscal constraints of the overall federal budget. In that light, the AOC carefully reviewed annual operating and capital project requests to make certain that priority issues were appropriately resourced. Funding AOC operations, new programs, and high priority capital projects, while at the same time balancing the needs of those we serve, required the AOC to make difficult choices in order to fund the high priority issues.

Because of the large program increases in the annual operating budget noted above and the desire to keep growth at a minimum level, standard across the board inflationary indices have not been included to other existing programs. Instead price level adjustments were restricted to those that have already been negotiated in existing contracts. All other inflationary cost increases will be funded from within existing base resources.




## ARCHITECT OF THE CAPITOL (AOC)

The following AOC Analysis of Change demonstrates the AOC strategy of developing and submitting an operational budget request for FY 2007 that is consistent with the strategic plan. As indicated in the Analysis of Change, the AOC Budget includes mandatory pay increases and price level increases in the procurement of materials, services, and utilities. Additionally, it highlights the increases in the Operating Budget program that include: leases for existing and new facilities with associated operations and maintenance costs, utility support for new leases; general operating increases in furniture repairs, new equipment purchases, and costs associated with the on-going financial audit, and restoration of base resources for information technology programs.






## AOC Analysis of Change

| | FY 2007 Agency Request FTE | Amount (000) | % Increase | |
|---|---|---|---|---|
| **Total AOC Appropriations, FY 2006** | **2,129** | **428,478** | | |
| Minus Rescission | | **(4,285)** | | |
| **Adjusted Total AOC Appropriations, FY 2006** | | **424,193** | | |
| **Program Decreases** | | | | |
| **Total, Program Decreases** | | **(125,353)** | | |
| **Mandatory and Related Costs:** | | | | |
| **Total, Mandatory Pay Related Costs** | | **8,712** | **2.05%** | |
| **Price Level Changes:** | | | | |
| All Appropriations | | 1,972 | 0.46% | |
| Utilities | | 15,513 | 3.66% | |
| **Total, Price Level Changes** | | **17,485** | **4.12%** | |
| **Program Increases:** | | | | |
| Operating Budget Increases | | | | |
| Payroll (PR) | 10 | 2,068 | 0.49% | |
| Payroll (PR) Capitol Visitor Center | 91 | 7,564 | 1.78% | |
| AOC Operating Budget General Increases | | 49,821 | 11.74% | 14.56% |
| Utilities | | 2,307 | 0.54% | |
| Capital Projects | | | | |
| Deferred Maintenance | | 30,360 | 7.16% | |
| Capital Improvements | | 41,075 | 9.68% | |
| Capital Renewal | | 24,290 | 5.73% | |
| Capital Construction | | 63,652 | 15.01% | 44.93% |
| Other Projects | | 8,100 | 1.91% | |
| Study, Design, and Condition Assessments | | 19,607 | 4.62% | |
| Minor Construction | | 3,500 | 0.83% | |
| Capitol Visitor Center | | | | |
| Cost-to-Complete | | 20,600 | 4.86% | |
| **Total, Program Increases** | **101** | **263,312** | 62.07% | |
| **Net Increase** | **101** | **164,156** | **38.70%** | |
| **Total Appropriation** | **2,230** | **588,349** | | |






## AOC Analysis of Change (without Senate)

| | FY 2007 Agency Request FTE | Amount (000) | % Increase | |
|---|---|---|---|---|
| **Total AOC Appropriations, FY 2006** | **2,129** | **361,474** | | |
| Minus Rescission | | **(3,615)** | | |
| **Adjusted Total AOC Appropriations, FY 2006** | | **357,859** | | |
| **Program Decreases** | | | | |
| **Total, Program Decreases** | | **(117,934)** | | |
| **Mandatory and Related Costs:** | | | | |
| **Total, Mandatory Pay Related Costs** | | **6,961** | **1.95%** | |
| **Price Level Changes:** | | | | |
| All Appropriations | | 1,801 | 0.50% | |
| Utilities | | 15,513 | 4.33% | |
| **Total, Price Level Changes** | | **17,314** | **4.84%** | |
| **Program Increases:** | | | | |
| Operating Budget Increases | | | | |
| Payroll (PR) | 10 | 2,068 | 0.58% | |
| Payroll (PR) Capitol Visitor Center | 91 | 7,564 | 2.11% | |
| AOC Operating Budget General Increases | | 47,205 | 13.19% | 16.53% |
| Utilities | | 2,307 | 0.64% | |
| Capital Projects | | | | |
| Deferred Maintenance | | 10,930 | 3.05% | |
| Capital Improvements | | 29,185 | 8.16% | |
| Capital Renewal | | 8,340 | 2.33% | |
| Capital Construction | | 63,652 | 17.79% | 40.05% |
| Other Projects | | 8,100 | 2.26% | |
| Study, Design, and Condition Assessments | | 19,607 | 5.48% | |
| Minor Construction | | 3,500 | 0.98% | |
| Capitol Visitor Center | | | | |
| Cost-to-Complete | | 20,600 | 5.76% | |
| **Total, Program Increases** | **101** | **213,426** | 59.64% | |
| **Net Increase** | **101** | **119,767** | **33.47%** | |
| **Total Appropriation** | **2,230** | **477,626** | | |






**ANALYSIS OF CHANGE**
**MAJOR HIGHLIGHTS**

Increases to the FY 2007 annual operating budget include the mandatory pay costs, increase in cost of utilities based upon the deregulation of electrical power and the increase in natural fuel costs as a result of Katrina. In addition, the program increases include the anticipated CVC operational costs, new emergency preparedness program, and restoration of the base resources for information technology programs.

The most significant increases are noted in the AOC Capital Projects budget. In developing AOC capital project priorities, 19 projects were selected using the Capital Improvement Program (CIP), Line Item Construction Program (LICP) process that evaluated and scored proposed projects based upon an objective set of criteria. As presented in the Analysis of Change, AOC projects are segregated into the following categories:

*Deferred Maintenance:* Deferred Maintenance is maintenance or repair work on existing facilities and infrastructure that is past due. This work will return a component or system to an acceptable condition. It will prevent physical depreciation or loss in the value of a building, minimize or correct wear, and ensure the maximum reliability and current useful life of the facility or component. Deferred Maintenance does not include preventative maintenance or replacement of minor constituent parts of a facility while performing routine maintenance.

*Capital Renewal:* Capital Renewal projects correct unacceptable conditions caused by aged building components that will exceed their useful life within the next ten years. These items generally function as originally intended. If accomplishment of Capital Renewal projects is deferred for an inordinate amount of time, physical conditions may deteriorate and the projects may be re-categorized as Deferred Maintenance. Capital Renewal projects return the building, existing components, or existing systems to such condition that they may be utilized for their originally intended purpose. Capital Renewal may be performed by overhaul, reconstruction, or replacement of constituent parts or materials which are damaged or deteriorated to the point where they cannot be maintained. Capital Renewal does not include additions, expansions, alterations, or modifications required solely for a change in purpose or mission; these would be a classified as Capital Improvements.

*Capital Improvement:* Capital Improvement is the addition, expansion, extension, alteration, conversion, or replacement (complete reconstruction due to damage or major repair) of a facility. Work done to a building that improves, enhances, or updates the building is a Capital Improvement. For example, work done to bring a building into compliance with current codes, such as the addition of a handicapped accessible ramp or work which improves a building's performance, such as installing a new air conditioning unit where none previously existed, is classified as a Capital Improvement.

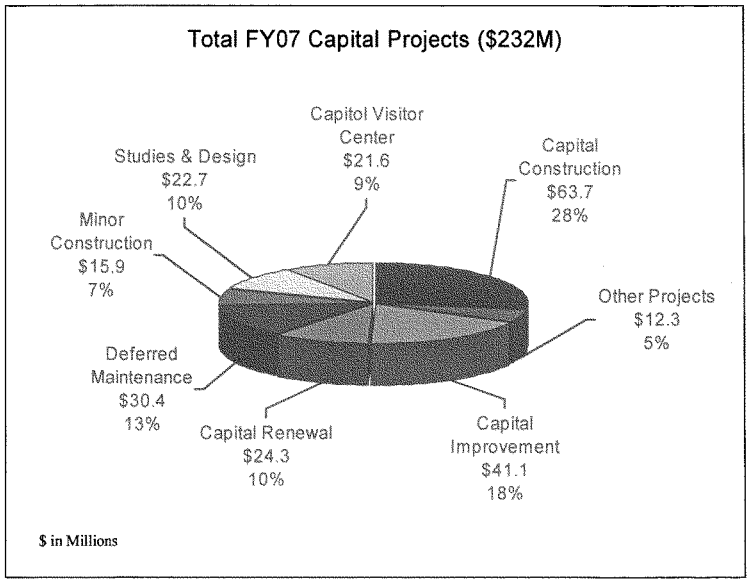
*Capital Construction:* The construction of a new building, facility or other infrastructure where none previously existed, or, construction that enlarges or expands an existing facility is classified as Capital Construction. Included are amenities such as roadways, sidewalks, or water towers.

*Other Projects:* These necessary to sustain and provide for Congressional and Legislative Branch agency mission requirements that do not meet the CIP criteria (construction projects greater than $250,000) i.e.; purchase of land for the Alternate Computing Facility.

*Study, Design, and Condition Assessments* – The FY 2007 budget submission includes increases for House Chamber renovation, design for the fit out of the Food and Drug Administration Building, and facility condition assessment for the Library of Congress.

*Minor Construction* – The FY 2007 budget submission includes increases in minor construction that provide the AOC the flexibility in meeting project requirements as generated from Members, staffs, and AOC clients that were not identified in the normal budget process.

*Capitol Visitor Center* - The FY 2007 budget submission request includes the final CVC cost-to-complete that is based on a thorough analysis and GAO's evaluation and recommendations.








## FY 2007 BUDGET OVERVIEW

The AOC FY 2007 Budget Estimate consists of an *Operating Budget, Annual Non-Recurring Projects Budget, Capitol Projects Multi-Year Budget, and a No-Year Budget.* Each is summarized by appropriation in the following two tables.

## AOC Appropriation Summary

| Architect of the Capitol | FY 2005 Budget ($000) | FY 2006 Budget w/ Recission ($000) | FY 2007 Request ($000) | 2006/2007 Difference ($000) | 2006/2007 Difference (%) |
|---|---|---|---|---|---|
| **General Administration** | | | | | |
| Operating & Annual Projects | 78,205 | 76,044 | 91,032 | 14,988 | 19.7% |
| Multi Year Capital Projects | 2,220 | | 12,450 | 12,450 | N/A |
| **Total Appropriation** | 80,425 | 76,044 | 103,482 | 27,438 | 36.1% |
| **Capitol Buildings** | | | | | |
| Operating & Annual Projects | 24,757 | 14,901 | 16,512 | 1,611 | 10.8% |
| Multi Year Capital Projects | | 8,217 | 14,695 | 6,478 | N/A |
| No Year Capital Projects | 3,869 | | | | |
| **Total Appropriation** | 28,626 | 23,118 | 31,207 | 8,089 | 35.0% |
| **Capitol Grounds** | | | | | |
| Operating & Annual Projects | 6,918 | 7,436 | 9,400 | 1,964 | 26.4% |
| Multi Year Capital Projects | 8,200 | | | | N/A |
| **Total Appropriation** | 15,118 | 7,436 | 9,400 | 1,964 | 26.4% |
| **Senate Office Buildings** | | | | | |
| Operating & Annual Projects | 52,589 | 50,746 | 54,987 | 4,241 | 8.4% |
| Multi Year Capital Projects | 8,997 | 15,588 | 55,736 | 40,148 | N/A |
| **Total Appropriation** | 61,586 | 66,334 | 110,723 | 44,389 | 66.9% |
| **House Office Buildings** | | | | | |
| Operating & Annual Projects | 37,944 | 38,307 | 42,476 | 4,169 | 10.9% |
| Multi Year Capital Projects | 26,886 | 20,713 | 36,465 | 15,752 | 76.0% |
| **Total Appropriation** | 64,830 | 59,020 | 78,941 | 19,921 | 33.8% |
| **Capitol Power Plant** | | | | | |
| Operating & Annual Projects | 57,271 | 56,514 | 78,672 | 22,158 | 39.2% |
| Multi Year Capital Projects | 1,984 | 1,584 | 3,048 | 1,464 | 92.4% |
| **Total Appropriation** | 59,255 | 58,098 | 81,720 | 23,622 | 40.7% |
| **Library Buildings and Grounds** | | | | | |
| Operating & Annual Projects | 18,442 | 26,000 | 24,417 | (1,583) | -6.1% |
| Multi Year Capital Projects | 21,334 | 42,075 | 77,820 | 35,745 | 85.0% |
| **Total Appropriation** | 39,776 | 68,075 | 102,237 | 34,162 | 50.2% |
| **Capitol Police Buildings & Grounds** | | | | | |
| Operating & Annual Projects | 5,806 | 9,803 | 9,986 | 183 | 1.9% |
| Multi Year Capital Projects | 4,100 | 4,950 | 10,232 | 5,282 | 106.7% |
| **Total Appropriation** | 9,906 | 14,753 | 20,218 | 5,465 | 37.0% |
| **Botanic Garden** | | | | | |
| Operating & Annual Projects | 5,978 | 7,557 | 9,464 | 1,907 | 25.2% |
| Multi Year Capital Projects | | | | | NA |
| **Total Appropriation** | 5,978 | 7,557 | 9,464 | 1,907 | 25.2% |
| **CVC** | | | | | |
| Operating & Annual Projects | | 2,277 | 19,575 | 17,298 | 759.7% |
| Multi Year Capital Projects | | | 1,000 | 1,000 | N/A |
| No Year Capital Projects | | 41,481 | 20,600 | (20,881) | |
| **Total Appropriation** | | 43,758 | 41,175 | (2,583) | -5.9% |
| **Architect of the Capitol** | | | | | |
| Operating & Annual Projects | 287,911 | 289,585 | 356,521 | 66,936 | 23.1% |
| Multi Year Capital Projects | 73,722 | 93,127 | 211,446 | 118,319 | 127.1% |
| No Year Capital Projects | 3,869 | 41,481 | 20,600 | (20,881) | -50.3% |
| **Total All Appropriations** | 365,501 | 424,193 | 588,567 | 164,374 | 38.7% |

# AOC Appropriation Summary (without Senate)

| Architect of the Capitol | FY 2005 Budget ($000) | FY 2006 Budget w/ Recission ($000) | FY 2007 Request ($000) | 2006/2007 Difference ($000) | 2006/2007 Difference (%) |
|---|---|---|---|---|---|
| **General Administration** | | | | | |
| Operating & Annual Projects | 78,205 | 76,044 | 91,032 | 14,988 | 19.7% |
| Multi Year Capital Projects | 2,220 | | 12,450 | 12,450 | N/A |
| **Total Appropriation** | 80,425 | 76,044 | 103,482 | 27,438 | 36.1% |
| **Capitol Buildings** | | | | | |
| Operating & Annual Projects | 24,757 | 14,901 | 16,512 | 1,611 | 10.8% |
| Multi Year Capital Projects | | 8,217 | 14,695 | 6,478 | N/A |
| No Year Capital Projects | 3,869 | | | | |
| **Total Appropriation** | 28,626 | 23,118 | 31,207 | 8,089 | 35.0% |
| **Capitol Grounds** | | | | | |
| Operating & Annual Projects | 6,918 | 7,436 | 9,400 | 1,964 | 26.4% |
| Multi Year Capital Projects | 8,200 | | | | N/A |
| **Total Appropriation** | 15,118 | 7,436 | 9,400 | 1,964 | 26.4% |
| **House Office Buildings** | | | | | |
| Operating & Annual Projects | 37,944 | 38,307 | 42,476 | 4,169 | 10.9% |
| Multi Year Capital Projects | 26,886 | 20,713 | 36,465 | 15,752 | N/A |
| **Total Appropriation** | 64,830 | 59,020 | 78,941 | 19,921 | 33.8% |
| **Capitol Power Plant** | | | | | |
| Operating & Annual Projects | 57,271 | 56,514 | 78,672 | 22,158 | 39.2% |
| Multi Year Capital Projects | 1,984 | 1,584 | 3,048 | 1,464 | 92.4% |
| **Total Appropriation** | 59,255 | 58,098 | 81,720 | 23,622 | 40.7% |
| **Library Buildings and Grounds** | | | | | |
| Operating & Annual Projects | 18,442 | 26,000 | 24,417 | (1,583) | -6.1% |
| Multi Year Capital Projects | 21,334 | 42,075 | 77,820 | 35,745 | 85.0% |
| **Total Appropriation** | 39,776 | 68,075 | 102,237 | 34,162 | 50.2% |
| **Capitol Police Buildings & Grounds** | | | | | |
| Operating & Annual Projects | 5,806 | 9,803 | 9,986 | 183 | 1.9% |
| Multi Year Capital Projects | 4,100 | 4,950 | 10,232 | 5,282 | 106.7% |
| **Total Appropriation** | 9,906 | 14,753 | 20,218 | 5,465 | 37.0% |
| **Botanic Garden** | | | | | |
| Operating & Annual Projects | 5,978 | 7,557 | 9,464 | 1,907 | 25.2% |
| Multi Year Capital Projects | | | | | N/A |
| **Total Appropriation** | 5,978 | 7,557 | 9,464 | 1,907 | 25.2% |
| **CVC** | | | | | |
| Operating & Annual Projects | | 2,277 | 19,575 | 17,298 | 759.7% |
| Multi Year Capital Projects | | | 1,000 | 1,000 | NA |
| No Year Capital Projects | | 41,481 | 20,600 | (20,881) | -50.3% |
| | | 43,758 | 41,175 | (2,583) | -5.9% |
| **Architect of the Capitol** | | | | | |
| Operating & Annual Projects | 235,322 | 238,839 | 301,534 | 62,695 | 26.2% |
| Multi Year Capital Projects | 64,724 | 77,539 | 155,710 | 78,171 | 100.8% |
| No Year Capital Projects | 3,869 | 41,481 | 20,600 | (20,881) | -50.3% |
| **Total All Appropriations** | 303,915 | 357,859 | 477,844 | 119,985 | 33.5% |




# ARCHITECT OF THE CAPITOL (AOC)

## AOC Budget Summary

### Operating Budget

| Program Groups | FY05 Enacted | FY05 Obligation | FY06 Enacted w/ Recision | FY07 Request | FY06/07 Difference |
|---|---|---|---|---|---|
| Payroll (PR) | 144,848 | 133,352 | 153,297 | 171,645 | 18,348 |
| Administrative (AD) | 4,542 | 3,960 | 4,065 | 5,347 | 1,282 |
| Architecture Engineering Services (AE) | 397 | 356 | 397 | 397 | |
| Curator Services (CR) | 232 | 234 | 383 | 86 | (297) |
| Construction Services (CS) | 75 | 75 | 75 | 75 | |
| Design & Studies (DS) | 992 | 481 | | | |
| Electronic Systems (EC) | 1,070 | 894 | 801 | 801 | |
| Exhibits | | | | 315 | 315 |
| Facilities Management (FM) | 18,946 | 19,878 | 23,031 | 27,937 | 4,906 |
| Furniture Repair (FR) | 1,501 | 1,531 | 1,773 | 1,773 | |
| General Facilities (GF) | 8,762 | 8,706 | 6,546 | 6,652 | 106 |
| Grounds Maintenance (GM) | 1,194 | 1,202 | 1,285 | 1,568 | 283 |
| Gifts Shops | | | | 310 | 310 |
| House Restaurants (HR) | 118 | 118 | 226 | 118 | (108) |
| Information Resource Management (IR) | 15,729 | 16,725 | 14,034 | 25,716 | 11,682 |
| Jurisdiction Centralized Activities (JR) | 16,502 | 16,876 | 19,834 | 23,521 | 3,687 |
| Miscellaneous Improvements (MI) | 886 | 934 | 385 | 435 | 50 |
| National Gardens (NG) | | | 515 | 530 | 15 |
| Power Plant Operations & Maintenance (PM) | 2,756 | 7,153 | 3,230 | 4,211 | 981 |
| Seasonal Display (SD) | | | | 400 | 400 |
| Safety Eng, Ops & Maintenance (SF) | 2,671 | 2,493 | 2,593 | 2,466 | (127) |
| Senate Restaurants (SR) | 1,052 | 195 | 1,059 | 1,067 | 8 |
| CVC Payroll; Facility Maint.; & Start-up Operations | 10,515 | | | | |
| Utilities (UT) | 41,844 | 39,904 | 44,188 | 62,008 | 17,820 |
| Total | 274,632 | 255,067 | 277,717 | 337,378 | 59,661 |

### Annual Projects Budget

| | FY05 Enacted | FY05 Obligation | FY06 Enacted | FY07 Request | FY06/07 Difference |
|---|---|---|---|---|---|
| Total | 13,279 | 19,147 | 11,868 | 19,143 | 7,275 |

### Multi-Year

| | FY05 Enacted | FY05 Obligation | FY06 Enacted | FY07 Request | FY06/07 Difference |
|---|---|---|---|---|---|
| Total | 73,722 | 12,488 | 93,127 | 211,446 | 118,319 |

### No-Year

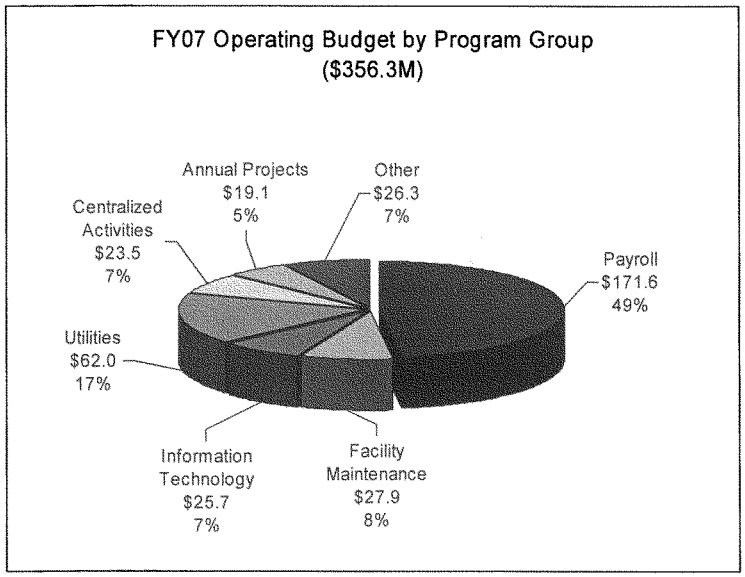
| | FY05 Enacted | FY05 Obligation | FY06 Enacted | FY07 Request | FY06/07 Difference |
|---|---|---|---|---|---|
| Total | 3,869 | | 41,481 | 20,600 | (20,881) |

### Total Annual, Multi- & No-Year Request

| | FY05 Enacted | FY05 Obligation | FY06 Enacted | FY07 Request | FY06/07 Difference |
|---|---|---|---|---|---|
| Total Operating Budget | 274,632 | 255,067 | 277,717 | 337,378 | 59,661 |
| Total Project Budget - Annual | 13,279 | 19,147 | 11,868 | 19,143 | 7,275 |
| Total Annual Budget | 287,911 | 274,214 | 289,585 | 356,521 | 66,936 |
| Total Capital Budget - Multi-Year | 73,722 | 12,488 | 93,127 | 211,446 | 118,319 |
| Total No-Year Budget | 3,869 | | 41,481 | 20,600 | (20,881) |
| Total Annual & Multi- & No-Year | 365,501 | 286,702 | 424,193 | 588,567 | 164,374 |

**OPERATING BUDGET OVERVIEW**

The total FY 2007 AOC Operating Budget request is $356.3 which represents a 23% increase over the FY 2006 budget of $289.6.




*Annual Operating Budget:*
The FY 2007 annual operating budget request increases are attributable to key drivers of growth. Specifically, these increases include:

- Utilities ($62.0 million). The growth in utility costs alone is 40% over FY 2006 enacted levels and a direct result of the recent deregulation of electrical power and the increased cost of natural fuels resulting from the devastation caused by Hurricane Katrina.
- Payroll ($171.6 million). Payroll reflects a 12% increase over last year's enacted level. The two key factors contributing to this increase are the mandatory price level increases (pay costs) and the addition of 101 Full Time Equivalents (FTEs).
- Information Technology ($25.7 million). This program represents a significant 84% increase over the FY 2006 enacted level to the annual operating budget. In the FY 2006 budget request, base resources were cut in an attempt to constrain growth. Our intention was to fund any information technology program shortfalls with lapses in payroll or other general and administrative areas, but that has not worked well in the current fiscal environment. It is important to reestablish these base resources and advance our strategy for leveraging use of information technology management tools to improve internal operations such as replacing our

project information system and upgrading our inventory control system interface to our financial system.

- Capitol Visitor Center Operations (CVC) ($8.9 million). The annual operating budget also requests funds for CVC operations. This request has been reviewed in detail with the Capitol Preservation Commission. Included are day-to-day operational requirements as well as anticipated one-time costs (i.e. furniture and equipment, computers, statue relocation, public awareness program, etc.). Payroll costs ($10.6 M and 91 FTEs) to support daily operations for this new facility are included in the payroll costs noted above.
- Emergency Preparedness ($1.25M). There are increasing efforts across the Capitol Hill complex regarding being prepared for emergencies. AOC personnel are required to respond and support jurisdiction operations during training sessions and emergency situations. Since AOC is responsible for the care and operation of assigned buildings, to include emergency situations where they will need to assess damage for safety and recovery requirements. The FY 2007 budget request proposes to establish funding for emergency preparedness in each respective appropriation within this submission. Specifically, it provides funding for jurisdiction specific training, exercises, equipment, materials, and services in preparation for, and responding to emergency events. In addition to internal emergency preparedness, provides funding to support Legislative Branch agencies within its jurisdiction by leading damage assessment and recovery operations.

The Operating Budget for each appropriation is segregated into Program Groups that incorporate functional areas. In FY 2007, nine additional Program Groups have been proposed and are consistent with funding requests in additional appropriation requests. Detailed justifications by Program Group are addressed in their respective tabbed appropriations. All Program Groups are defined below:

- *Administrative (AD)*: Provides funding for printing and reproduction, office equipment, postage and metered mail and graphics design. Also included are contractor supported activities, to include assistance in development of AOC strategies and policies, and professional consultant services.
- *Architectural and Engineering Services (AE)*: Provides funding for contractual staff for the preparation of conceptual designs, performance of design studies, architectural and engineering analyses and other services on projects requested or proposed by both clients and the AOC.
- *BASNet Route and Switch Service (New)*: Provides funding for hardware and software service for maintaining and servicing routers and switches that are an integral part of the Building Automation System Network (BASNet).
- *Catch Basin Cleaning (New)*: Provides funding to initiate regular catch basin maintenance.
- *Curator Services (CR)*: Provides funding for the conservation of works of art consisting of over 800 paintings, sculptures, and decorative objects, 300 gilded picture and mirror frames, updating floor display cases in the U.S Capitol Building, and the rotation of exhibits. [Note: This program group was identified in the annual operating budget. The FY 2007 budget request proposes to move this funding to the multi-year appropriation.]
- *Construction Services (CS)*: Provides funding for miscellaneous administrative construction services, to include contracting, on an indefinite quantity (IDQ) basis, with firms specializing in cost estimating.
- *Contractual Safety Officer (New)*: Provides funding for part-time contractual safety officer.
- *Design Services (New)*: Provides funding for codes, manuals, and tools that can be used in design services.
- *Emergency Preparedness (New)*: Provides funding for jurisdiction specific training, exercises, equipment, materials, and services in preparation for, and responding to emergency events. In

addition to internal emergency preparedness, provides funding to support Legislative Branch agencies within its jurisdiction by leading damage assessment and recovery operations.

- *Exhibitions Program Group (New):* This program group will provide funding for the purchasing of supplies, document rotation, conservation and artifact insurance for the many exhibitions located throughout the Capitol Visitor Center.
- *Facilities Maintenance (FM)*: Provides funding for annual building maintenance services required throughout the Capitol Complex, to include repairing and modifying air conditioning systems, electrical systems, elevators, masonry, plumbing; custodial services; subway maintenance and repair; preventative interior and exterior building maintenance (e.g., painting, pointing, caulking, and surface preservation); insect and pest control; solid and bulk waste disposal; maintenance of fire alarm systems, hydraulic barriers and bollards; chimney cleaning and repairs.
- *Furniture Repair (FR)*: Provides funding for the replacement and/or repair of existing furniture, to include procurement of routine materials and supplies, contractor services for upholstery and drapery work, and annual inventory of furniture items.
  *General Facilities and Services (GF)*: Provides funding for facility and service support that are not directly associated with any one jurisdiction, to include the lease and maintenance of facilities (e.g., the lease and maintenance of the Alternate Computer Facility (ACF)) and AOC-wide security support.
- *Gift Shops Program Group (New):* This program group will provide funding for the operational costs and replenishment of inventory for the Gift Shops located within the Capitol Visitor Center.
- *Grounds Maintenance (GM)*: Provides funding for trash, leaf and snow removal; lawn maintenance; street and sidewalk maintenance; and purchase of grounds maintenance supplies and equipment.
- *House Restaurants (HR)*: Provides funding for preventative maintenance, repairs and replacement of parts and equipment in the House restaurant cafeterias, carry-outs and catering facilities.
- *Information Resources Management (IR)*: Provides funding for procurement, operations & maintenance of information technologies, to include computer hardware and software (and user licenses) support; contractor technical services support for computer systems and web sites; and automated systems to include the Financial Management System, the Human Resources Management System, and the Computer-Aided Facility Management System.
- *Jurisdiction Centralized Activities (JR)*: Provides funding for training, registration, and seminar fees; travel cost for training (local and long distance); and uniform allowances; waste recycling, safety apparel, gasoline, and oil.
- *Lighting Fixture Refinishing (New)*: Provides funding to implement program to refinish historic lighting fixtures.
- *Miscellaneous Improvements (MI)*: Provides funding for annual unanticipated building alterations requested by Members, Officers, Committees and various Congressional support organizations. Typical alterations include changes in office reconfigurations and small improvement activities.
- *Power Plant Operations & Maintenance (PM)*: Provides funding for activities in support of the power plant's operations and maintenance of equipment, to include general annual repairs and maintenance, purchase of industrial supplies, insulation of steam and chill water lines, and vehicle rentals.
- *Payroll (PR)*: Provides funding for personnel compensation and personnel benefits for the general administrative support of facilities under the jurisdiction of the Architect of the Capitol. Included are Government staff salaries and other personal services (i.e., paid leave and lump sum annual leave payments upon separation; for compensation above basic rates including, overtime, holiday pay, the Civil Service Retirement System, the Federal Employees Retirement System, Social Security and Medicare); agency contributions to the Federal Employees Health Benefits Program

(FEHBP), Federal Group Life Insurance (FEGLI), Worker's Compensation Program, and subsidies paid to employees for commuting costs.

- *Safety Engineering Operations & Maintenance (SF)*: Provides funding for safety related activities, to include procurement of personnel protective equipment; meters for confined space entry; fall protection devices; electrical safety equipment; respirators and hard hats; and safety inspections and certifications.
- *Security Infrastructure Upgrades (New)*: Provides funding for proximity card reading installations.
- *Senate Restaurants (SR)*: Provides funding for preventative maintenance, repairs and replacement of parts and equipment in the Senate restaurant cafeterias, carry-outs and catering facilities.
- *Utilities (UT)*: Provides funding for purchasing utilities for the entire Capitol Complex, to include gas services, electricity, steam, chilled water, potable water, and sewer services.

*Annual Non-Recurring Projects:*

The FY 2007 Annual Non-Recurring Projects Budget totals $19.1 million, which represents a 61% increase over the FY 2006 budget enacted level of $11.9. Detailed justifications for annual projects proposed in FY 2007 are addressed in their respective tabbed appropriations. Noteworthy annual projects proposed for FY 2007 include:

| | |
|---|---|
| Conversion to Electronic Official Personnel Folders(GA) | $ 850,000 |
| ACF – HVAC Controls Replacement (GA) | $ 560,000 |
| Legislative Call System (Across Jurisdictions) | $500,000 |
| Exterior Painting – U.S. Capitol (CB) | $ 1,000,000 |
| Pave Independence Avenue (CG) | $ 1,200,000 |
| Repair Marble Floors & Clean Arch Surfaces (SOB) | $ 500,000 |
| Photo-Duplication Asbestos Abatement (LOC) | $ 725,000 |
| Tunnel Asbestos Abatement, Emergency Egress & Structural Repairs (CPP) | $ 1,750,000 |
| Backflow Preventer Installation (Across Jurisdictions) | $ 1,114,000 |

**CAPITAL PROJECT BUDGET OVERVIEW**

The FY 2007 Capital Projects Multi-Year and No-Year request is $232M, which represents a 72.4% increase over the FY 2006 budget of $134.6M.

Detailed justifications for the projects proposed in FY 2007 are provided within their respective appropriation. Major projects proposed for FY 2007 include:

| | |
|---|---|
| Logistics Warehouse, Ft. Meade (LOC) | $54,200,000 |
| Cost to Complete (Capitol Visitor Center) | $20,600,000 |
| Infrastructure Improvements Attic (SOB) | $19,430,000 |
| Fire Alarm System Replacement (SOB) | $15,950,000 |
| Kitchen Exhaust System Upgrade (HOB) | $8,340,000 |
| Emergency Lighting and Power Upgrade (SOB) | $6,060,000 |
| Emergency Generator (SOB ) | $5,830,000 |
| CAO Project Support (HOB) | $5,385,000 |
| ACF Emergency Vehicle Storage Facility (GA) | $5,350,000 |
| ACF Land (25 acres) Purchase (GA) | $5,000,000 |

| | | |
|---|---|---|
| ➢ | Emergency Lighting Upgrade, Phase 1 (HOB ) | $4,960,000 |
| ➢ | Sprinkler System Replacement, West Main Pavilion (LOC) | $4,370,000 |
| ➢ | Smoke Detector Upgrades (LOC) | $4,260,000 |
| ➢ | 480v Switchgear and Transformer Replacement, Phase I (HOB) | $4,060,000 |

The basis for the capital projects multi-year budget plan is the result of AOC-wide planning and coordination of all major cyclical maintenance projects and building system enhancements via the Capital Improvements Program (CIP) that became fully integrated into the Budget process during the FY 2006 budget-build process. Where required, the AOC mandated and received 100% design documentation for projects prior to requesting funding for construction. Included in our prioritization process are requests from customers we serve. These requests must meet the requirements outlined in the approved process and are considered an AOC project. The FY 2007 Line Item Construction Project (LICP) Priority List (page 30). These projects are evaluated based upon on an objective set of criteria that include:

1. Preservation of historic or legacy elements or features of buildings or entire historic structures as a reflection of the importance of stewardship responsibilities.
2. Fire and life-safety, code compliance, regulatory compliance, and statutory requirements.
3. Significance of mission: Impact on mission including client urgency, accommodation of new or changed mission, and appropriateness of alternatives to accomplishment of mission.
4. Economics, including value, economic payback, life-cycle cost considerations, cost savings.
5. Physical security, including protection of facilities, Members, staffs, and the general public.

In addition to evaluating the projects relative to the five categories listed above, the projects are further evaluated based on urgency. A key to determining urgency is the condition ratings of components and sub-materials. These condition ratings fall into one of three categories: Adequate, Substandard, or Deficient.

The projects are further evaluated in regards to time frame for completion. In the prioritized list, each project priority designates the time from the current year for which the projects are potentially scheduled as defined below:

1. Priority 1 – Immediate: Address immediately; these include safety or code violations as well as critical equipment that is not functions or close to failure' generally scheduled for execution in the first year or first available year fro equipment close to failure or for phased projects.
2. Priority 2 – High: Schedule soon; included are items needing attention in the near term, as failure would impact the mission; generally scheduled for execution two to four years out.
3. Priority 3 – Medium: Schedule in the foreseeable future, generally scheduled for execution five to seven years out.
4. Priority 4 – Low: Less important project related to aesthetic or minor performance issues or projects related to systems or equipment that will reach the end of their useful life-cycle within the ten-year scope of an assessment; generally scheduled for execution eight to ten years out.

Because the list on page 30 has been evaluated and prioritized against the scoring criteria above, the AOC, working in partnership, would like to maintain the integrity of the project prioritization process.

## FY 2007 FTE REQUIREMENTS AND ORGANIZATIONAL STRUCTURE

**Full-Time Equivalents (FTE) – Fiscal Year 2007 Request**

| Jurisdiction | FY 2006 FTE CAP | CVC Related Increase | Operations Related Increase | Total Increase | Total FY 2007 FTE CAP Request |
|---|---|---|---|---|---|
| General Administration | 362 | | 6 | 6 | 368 |
| Capitol Building | 178 | | | | 178 |
| Capitol Grounds | 71 | | | | 71 |
| Senate Office Buildings | 562 | | | | 562 |
| House Office Buildings | 572 | | 1 | 1 | 573 |
| Capitol Power Plant | 95 | | | | 95 |
| Library Buildings and Grounds | 187 | | 1 | 1 | 188 |
| Capitol Police Buildings and Grounds | 12 | | 2 | 2 | 14 |
| Botanic Garden | 62 | | | | 62 |
| National Garden | 4 | | | | 4 |
| Capitol Visitor Center | 24 | 91 | | 91 | 115 |
| **Total AOC FTE Requirement:** | **2,129** | **91** | **10** | **101** | **2,230** |

The FY 2007 budget request proposes to increase the current FTE cap (2,129) by 101 new FTEs including 91 FTEs for the CVC. The AOC reviewed its existing FTE complement and reengineered FTEs within the General Administration appropriation to cover 12 new requirements supporting critical and immediate needs for internal control, emergency preparedness, and strategic planning in FY 2006. However, there were 6 additional requirements that could not be covered through the reengineering process and are requested in the FY 2007 budget submission. In addition, 4 additional FTEs are being requested to support new requirements in the House Office Building, Library Buildings and Ground, and Capitol Police Building and Grounds as noted below.

- General Administration (6 FTEs). This requests includes 2 new positions for Occupational Health Nurses in the office of the Attending Physician to support the CVC; 1 new position for an Emergency Preparedness Manager due to increased coordination and support with the U.S. Capitol Police, Library of Congress, Senate Sergeant-at-Arms, and the House; 1 new position for a Facilities Planner to carry out the directives of the Congress and assume project planning and programming in an efficient and responsible manner; and, 2 new positions for a senior accountant and a financial analyst to comply with the CFO Act to improve overall management and efficiency of the financial operations within the AOC.
- Capitol Visitor Center (91 FTEs). These FTEs are required to support the daily operations of this new facility.
- House Office Building (1 FTE). This new position, a health and fitness specialist, is required to increase the staffing level of the Women's Member Wellness Center. This position is needed to due to the increase in use.
- Library Building and Grounds (1 FTE). This new position, a Business Financial Analyst, will support the operations and maintenance of the Library Building and Grounds as well as support the AOC goal to improving financial management and accountability.
- Capitol Police Building and Grounds (2 FTEs). Two new positions are requested to support the increased operations, maintenance and inspection services relating to new Capitol Police facilities, e.g. Interim Off-Site Delivery Facility and the Fairchild Building. These positions, a

facilities operations specialist and project manager, are needed to ensure that Capitol Police Building and Grounds are able to meet and provide adequate service to Capitol Police Facilities, spaces, and security enhancements.

All FTE requests are outlined in each individual appropriation as program increases to the Personnel Compensation program group.

The AOC is committed to improving agency-wide FTE Management and are aggressively establishing a sound FTE management process that yields accurate and reliable FTE data. Specifically, we have improved and completely transformed our FTE process by implementing new reporting cycles, developing accurate FTE calculations, improving our methodology for projecting/estimating FTEs, and allowing managers instant access to FTE data by incorporating the following steps in the process. This new process includes:

- Providing current and comprehensive FTE information to our managers on a bi-weekly basis.
- Estimating in the beginning of the Fiscal Year the number of project-related FTEs required for anticipated projects during the Fiscal year.
- Having an integrated FTE Management System that tracks, monitors, estimates, and reports accurate FTE information instantly.

As we continue to move forward in creating a more sophisticated FTE process for AOC, we will continue to employ best practices and create innovative ways for improving our FTE process and management.

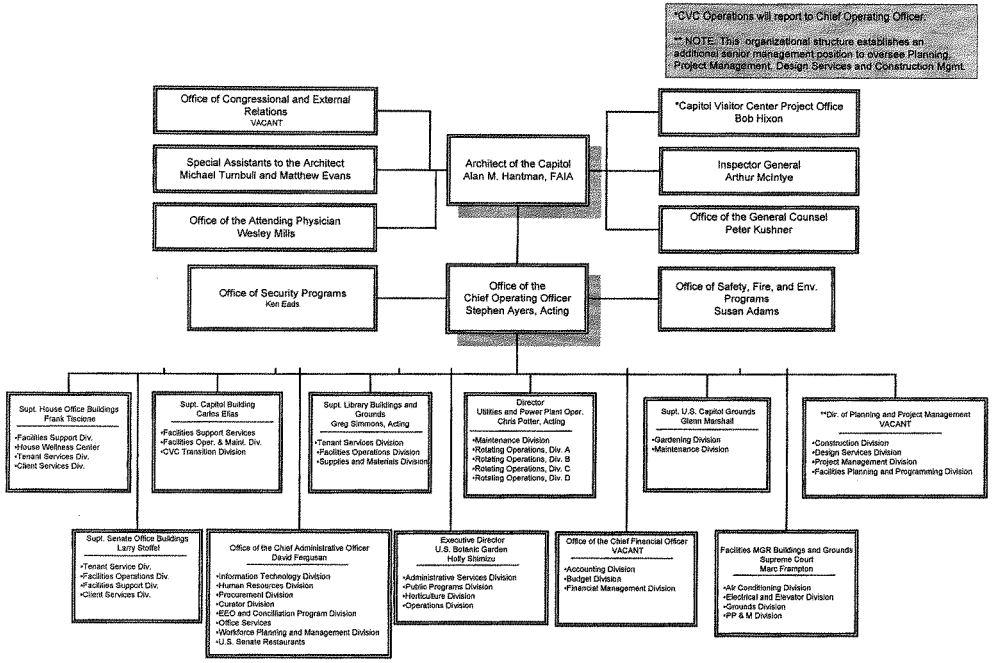
**AOC Organizational Structure**

During FY 2005, the AOC requested and received approval on the revised organization. The reorganization included the establishment of a Project Management organization in an effort to establish clear expectations for delivering high quality projects on-time and within budget. This organization physically links Construction Managers to the Project Managers within one organization to assure that contract execution that was deemed successful. Key components of the organization include:

- Dedicated focus on Project Management to deliver high quality construction projects on time and within budget.
- Establishment of Jurisdictional Executives for each of the Superintendents to create a customer focused organization, as well as a liaison to the project delivery organization.
- Use of ACASS and CCASS (government-wide contractor evaluation tools) in the selection and control of design and construction contractors.
- Application of Liquidated Damages to enforce timely construction delivery.

The results of this reorganization are noted in the following charts. Also included are organization charts by jurisdiction and by supporting offices.

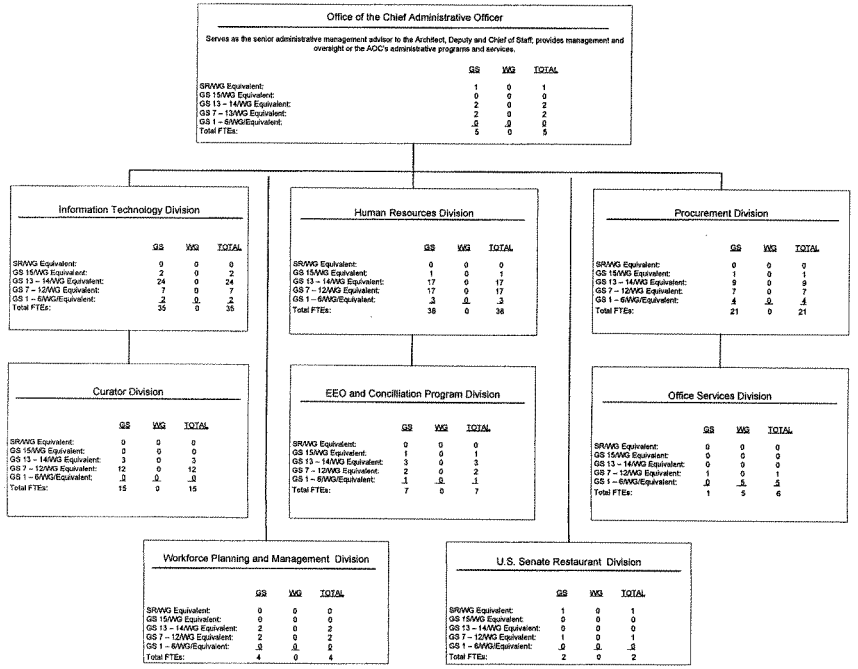
## THE ARCHITECT OF THE CAPITOL




AOC-22

## OFFICE OF THE CHIEF ADMINISTRATIVE OFFICER

Total FTEs – 133



## OFFICE OF THE CHIEF FINANCIAL OFFICER

Total FTEs - 34

### Office of the Chief Financial Officer

Serves as the senior financial management advisor to the Architect, Deputy and Chief of Staff; provides management oversight and direction for the AOC's financial management programs and services including: Budget, Accounting, and Financial Management Systems..

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent: | 0 | 0 | 0 |
| GS 13 – 14/WG Equivalent: | 0 | 0 | 0 |
| GS 7 – 13/WG Equivalent: | 1 | 0 | 1 |
| GS 1 – 6/WG/Equivalent: | 0 | 0 | 0 |
| Total FTEs: | 2 | 0 | 2 |

### Accounting Division

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 1 | 0 | 1 |
| GS 13 – 14/WG Equivalent: | 7 | 0 | 7 |
| GS 7 – 12/WG Equivalent: | 7 | 0 | 7 |
| GS 1 – 6/WG/Equivalent: | 1 | 0 | 1 |
| Total FTEs: | 16 | 0 | 16 |

### Budget Division

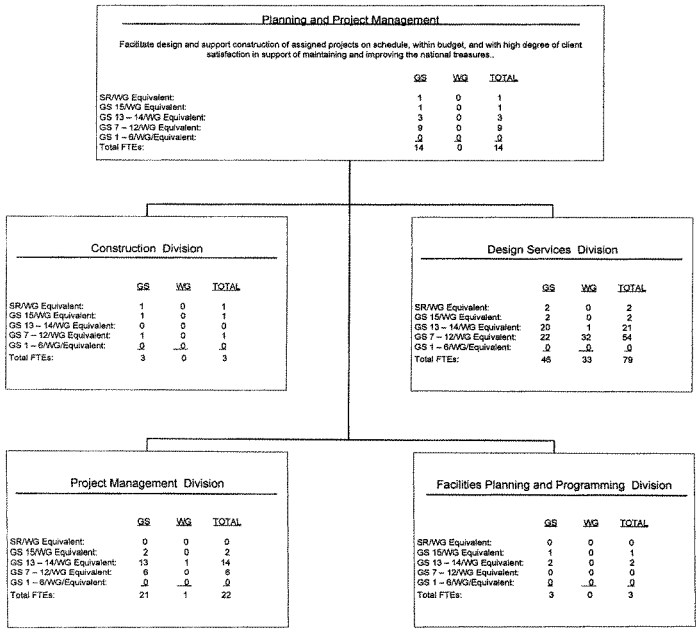
| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent: | 2 | 0 | 2 |
| GS 13 – 14/WG Equivalent: | 5 | 0 | 5 |
| GS 7 – 12/WG Equivalent: | 3 | 0 | 3 |
| GS 1 – 6/WG/Equivalent: | 0 | 0 | 0 |
| Total FTEs: | 11 | 0 | 11 |

### Financial Management Systems Division

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 1 | 0 | 1 |
| GS 13 – 14/WG Equivalent: | 4 | 0 | 4 |
| GS 7 – 12/WG Equivalent: | 0 | 0 | 0 |
| GS 1 – 6/WG/Equivalent: | 0 | 0 | 0 |
| Total FTEs: | 5 | 0 | 5 |

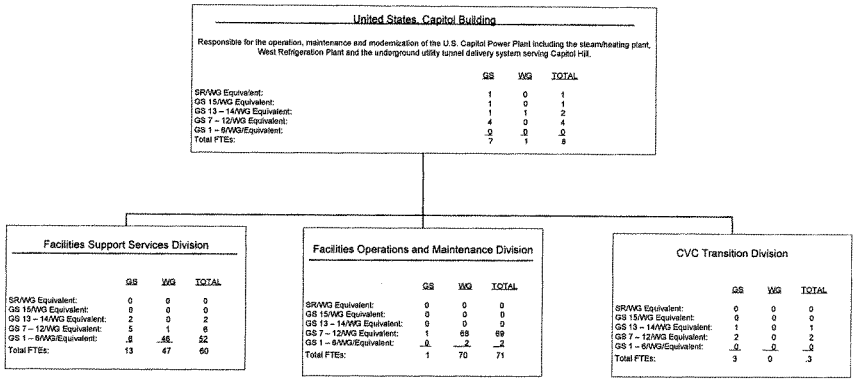
## PLANNING AND PROJECT MANAGEMENT

Total FTEs - 121



## UNITED STATES, CAPITOL BUILDING

Total FY06 FTE Cap - 178



## SENATE OFFICE BUILDING

Total FY06 FTE Cap - 562

### Senate Office Building

Responsible for the operation, maintenance and modernization of the U.S. Capitol Power Plant including the steam/heating plant, West Refrigeration Plant and the underground utility tunnel delivery system serving Capitol Hill.

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 2 | 0 | 2 |
| GS 15/WG Equivalent: | 0 | 0 | 0 |
| GS 13 – 14/WG Equivalent: | 1 | 0 | 1 |
| GS 7 – 12/WG Equivalent: | 3 | 0 | 3 |
| GS 1 – 6/WG/Equivalent: | 4 | 0 | 4 |
| Total FTEs: | 10 | 0 | 10 |

### Tenant Services Division

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 0 | 0 | 0 |
| GS 13 – 14/WG Equivalent: | 1 | 0 | 1 |
| GS 7 – 12/WG Equivalent: | 1 | 81 | 82 |
| GS 1 – 6/WG/Equivalent: | 0 | 9 | 9 |
| Total FTEs: | 2 | 90 | 92 |

### Facilities Operation Division

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 0 | 0 | 0 |
| GS 13 – 14/WG Equivalent: | 1 | 2 | 3 |
| GS 7 – 12/WG Equivalent: | 0 | 88 | 88 |
| GS 1 – 6/WG/Equivalent: | 0 | 9 | 9 |
| Total FTEs: | 1 | 99 | 100 |

### Facilities Support Division

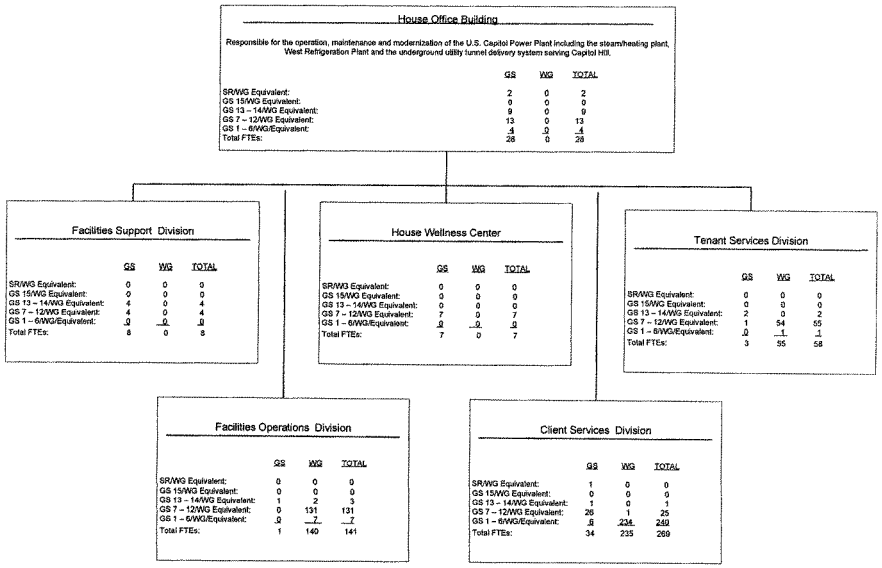
| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 0 | 0 | 0 |
| GS 13 – 14/WG Equivalent: | 3 | 1 | 4 |
| GS 7 – 12/WG Equivalent: | 3 | 1 | 4 |
| GS 1 – 6/WG/Equivalent: | 0 | 0 | 4 |
| Total FTEs: | 6 | 2 | 8 |

### Client Services Division

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 0 | 0 | 0 |
| GS 13 – 14/WG Equivalent: | 1 | 0 | 1 |
| GS 7 – 12/WG Equivalent: | 28 | 13 | 41 |
| GS 1 – 6/WG/Equivalent: | 2 | 261 | 263 |
| Total FTEs: | 31 | 274 | 305 |

## HOUSE OFFICE BUILDING

Total FY06 FTE Cap - 572



## UTILITIES AND POWER PLANT OPERATIONS

Total FY06 FTE Cap - 95

### Utilities and Power Plant Operations

Responsible for the operation, maintenance and modernization of the U.S. Capitol Power Plant including the steam/heating plant, West Refrigeration Plant and the underground utility tunnel delivery system serving Capitol Hill.

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent: | 2 | 0 | 2 |
| GS 13 – 14/WG Equivalent: | 2 | 0 | 2 |
| GS 7 – 12/WG Equivalent: | 7 | 0 | 7 |
| GS 1 – 6/WG/Equivalent: | 1 | 0 | 1 |
| Total FTEs: | 12 | 0 | 12 |

### Maintenance Division

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 0 | 1 | 1 |
| GS 13 – 14/WG Equivalent: | 0 | 0 | 0 |
| GS 7 – 12/WG Equivalent: | 0 | 38 | 38 |
| GS 1 – 6/WG/Equivalent: | 0 | 4 | 4 |
| Total FTEs: | 0 | 43 | 43 |

### Operations Division A

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 0 | 0 | 0 |
| GS 13 – 14/WG Equivalent: | 0 | 0 | 0 |
| GS 7 – 12/WG Equivalent: | 0 | 6 | 6 |
| GS 1 – 6/WG/Equivalent: | 0 | 0 | 0 |
| Total FTEs: | 0 | 6 | 6 |

### Operations Division B

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 0 | 0 | 0 |
| GS 13 – 14/WG Equivalent: | 0 | 0 | 0 |
| GS 7 – 12/WG Equivalent: | 0 | 7 | 7 |
| GS 1 – 6/WG/Equivalent: | 0 | 0 | 0 |
| Total FTEs: | 0 | 7 | 7 |

### Operations Division C

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 0 | 0 | 0 |
| GS 13 – 14/WG Equivalent: | 0 | 0 | 0 |
| GS 7 – 12/WG Equivalent: | 0 | 7 | 7 |
| GS 1 – 6/WG/Equivalent: | 0 | 0 | 0 |
| Total FTEs: | 0 | 7 | 7 |

### Operations Division D

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 0 | 0 | 0 |
| GS 13 – 14/WG Equivalent: | 0 | 0 | 0 |
| GS 7 – 12/WG Equivalent: | 0 | 7 | 7 |
| GS 1 – 6/WG/Equivalent: | 0 | 0 | 0 |
| Total FTEs: | 0 | 7 | 7 |

## LIBRARY BUILDINGS AND GROUNDS

Total FY06 FTE Cap - 187

### Library Buildings and Grounds

Responsible for the maintenance and preservation of the buildings and grounds entrusted to their care; for providing timely and quality facilities management and related support services for their assigned buildings.

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent: | 1 | 0 | 1 |
| GS 13 – 14/WG Equivalent: | 3 | 0 | 3 |
| GS 7 – 12/WG Equivalent: | 5 | 0 | 5 |
| GS 1 – 6/WG/Equivalent: | 0 | 0 | 0 |
| Total FTEs: | 10 | 0 | 10 |

### Tenant Services Division

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 0 | 1 | 1 |
| GS 13 – 14/WG Equivalent: | 3 | 0 | 3 |
| GS 7 – 12/WG Equivalent: | 0 | 28 | 28 |
| GS 1 – 6/WG/Equivalent: | 0 | 1 | 1 |
| Total FTEs: | 3 | 30 | 33 |

### Facilities Operations Division

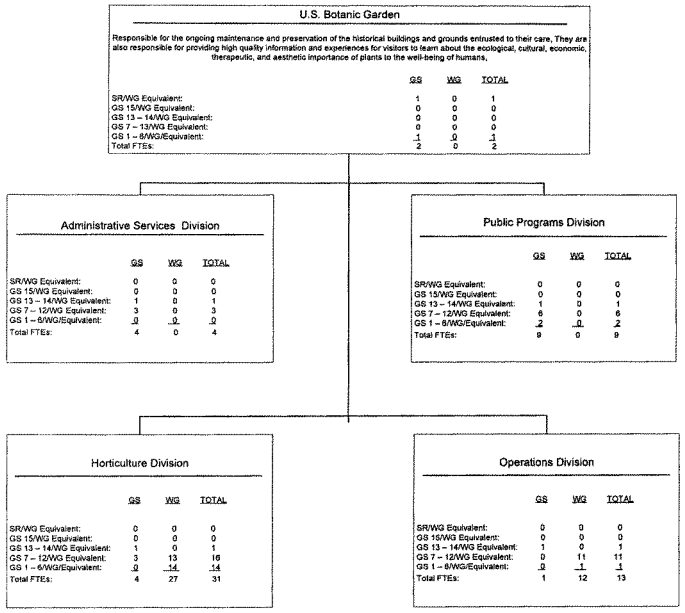
| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 0 | 0 | 0 |
| GS 13 – 14/WG Equivalent: | 1 | 0 | 1 |
| GS 7 – 12/WG Equivalent: | 0 | 71 | 71 |
| GS 1 – 6/WG/Equivalent: | 0 | 0 | 0 |
| Total FTEs: | 1 | 71 | 72 |

### Supplies and Materials Division

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 0 | 0 | 0 |
| GS 13 – 14/WG Equivalent: | 0 | 0 | 0 |
| GS 7 – 12/WG Equivalent: | 0 | 0 | 0 |
| GS 1 – 6/WG/Equivalent: | 2 | 1 | 3 |
| Total FTEs: | 2 | 1 | 3 |

## U.S. BOTANIC GARDEN

Total FY06 FTE Cap - 66



## U.S. CAPITOL GROUNDS

Total FY06 FTE Cap - 71

### U.S. Capitol Grounds

Responsible for the maintenance and preservation of the Historical Capitol Grounds; provide timely and quality landscape architecture, project management, landscape maintenance, arbor care, snow removal and related support services. Responsible for short and long term planning for the Capitol Grounds including renovation for landscape.

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent: | 1 | 0 | 1 |
| GS 13 – 14/WG Equivalent: | 1 | 0 | 1 |
| GS 7 – 12/WG Equivalent: | 3 | 0 | 3 |
| GS 1 – 6/WG/Equivalent: | 0 | 0 | 0 |
| Total FTEs: | 6 | 0 | 6 |

### Gardening Division

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 0 | 0 | 0 |
| GS 13 – 14/WG Equivalent: | 0 | 0 | 0 |
| GS 7 – 12/WG Equivalent: | 0 | 27 | 27 |
| GS 1 – 6/WG/Equivalent: | 9 | 0 | 9 |
| Total FTEs: | 9 | 27 | 36 |

### Maintenance Division

| | GS | WG | TOTAL |
|---|---|---|---|
| SR/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 0 | 0 | 0 |
| GS 13 – 14/WG Equivalent: | 0 | 0 | 0 |
| GS 7 – 12/WG Equivalent: | 0 | 18 | 18 |
| GS 1 – 6/WG/Equivalent: | 0 | 6 | 6 |
| Total FTEs: | 0 | 24 | 24 |

## FY 2007 CAPITAL IMPROVEMENT PROJECT PRIORITY

| OP | PROJECT NUMBER | PROJECT TITLE | CPS | TYPE | URG | JURIS | PROJECT COST ($) | CUM COST ($) | A | B | C | D | E | TOTAL |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 970711F | High Voltage Switchgear Replacement, TJB & JMMB | 2 | CR | I | LOC | 1,420,000 | 1,420,000 | 0 | 90 | 80 | 70 | 40 | 280 |
| 2 | 950042 | Infrastructure Improvements, Attic, DSOB | 3 | DM | I | SOB | 19,430,000 | 20,850,000 | 20 | 10 | 50 | 40 | 0 | 130 |
| 3 | 000231F | Sprinkler System Replacement, West Main Pavilion, TJB | 5 | CI | I | LOC | 4,370,000 | 25,220,000 | 90 | 90 | 80 | 80 | 20 | 360 |
| 4 | 000231E | Smoke Detector Upgrades, JMMB | 5 | CI | I | LOC | 4,260,000 | 29,480,000 | 80 | 90 | 80 | 80 | 20 | 350 |
| 5 | 970269E | Egress Door Upgrade, West Brumidi Corridor, USC | 5 | CI | I | USC | 480,000 | 29,960,000 | 0 | 90 | 40 | 0 | 30 | 160 |
| 6 | 040016A | Firefighter Telephones, TJB | 7 | CI | I | LOC | 910,000 | 30,870,000 | 20 | 80 | 40 | 10 | 40 | 190 |
| 7 | 000207A | Emergency Lighting and Power Upgrade, RSOB | 7 | CI | I | SOB | 5,830,000 | 36,700,000 | 0 | 80 | 40 | 10 | 40 | 170 |
| 8 | 000018A | Emergency Lighting Upgrade, Phase I, RHOB | 7 | CI | I | HOB | 4,960,000 | 41,660,000 | 0 | 80 | 40 | 10 | 40 | 170 |
| 9 | 020239 | Logistics Warehouse, Fort Meade, LOC | 8 | CC | I | LOC | 54,200,000 | 95,860,000 | 0 | 20 | 30 | 60 | 20 | 130 |
| 10 | 990353 | Fire Alarm System Replacement, HSOB | 10 | CR | H | SOB | 15,950,000 | 111,810,000 | 40 | 90 | 60 | 60 | 40 | 290 |
| 11 | 030315 | Air Handling Unit Replacement, Decks A & B, JMMB | 11 | DM | H | LOC | 2,890,000 | 114,700,000 | 80 | 10 | 60 | 40 | 0 | 190 |
| 12 | 980459J | Elevator Modernization, TJB-1 & 2, JMMB D-1, D-2, D-3 & D-4, and ESC 1 & 2 | 11 | DM | H | LOC | 2,560,000 | 117,260,000 | 0 | 60 | 60 | 60 | 10 | 190 |
| 13 | 990347A | 480 V Switchgear and Transformer Replacement, Phase I, RHOB | 12 | CR | H | HOB | 4,060,000 | 121,320,000 | 0 | 80 | 70 | 70 | 40 | 260 |
| 14 | 980405B | Kitchen Exhaust System Upgrade, LHOB | 12 | CR | H | HOB | 8,340,000 | 129,660,000 | 20 | 80 | 40 | 50 | 0 | 190 |
| 15 | 040179 | Emergency Generator System, RSOB | 13 | CI | H | SOB | 6,060,000 | 135,720,000 | 0 | 90 | 50 | 20 | 30 | 190 |
| 16 | 010016B | Egress Improvements, Phase II, JAB | 13 | CI | H | LOC | 430,000 | 136,150,000 | 0 | 90 | 20 | 10 | 20 | 140 |
| 17 | 970269F | Redundant Fire Pump Installation, Senate Side, USC | 15 | CI | H | USC | 1,040,000 | 137,190,000 | 50 | 80 | 50 | 30 | 0 | 210 |
| 18 | 970266A | Security Improvements, House Chambers, USC | 15 | CI | H | USC | 3,500,000 | 140,690,000 | 0 | 0 | 70 | 0 | 70 | 140 |
| 19 | 020100A | Public Restrooms Upgrade, Phase I, RHOB | 15 | CI | H | HOB | 3,000,000 | 143,690,000 | 10 | 20 | 40 | 20 | 0 | 90 |

# GENERAL ADMINISTRATION (GA)

## INTRODUCTION

The GA appropriation funds the Architect of the Capitol (AOC) Central Office salaries and management of facilities, operations, activities, programs and projects that affect all jurisdictions. The major functions that comprise the Central Office consist of central administration; financial management; general counsel; safety; facilities management; security; human resources; AOC-wide architecture and engineering design, project management and construction management; property management; AOC planning and development; communications; information resources; and procurement.

## FISCAL YEAR 2007 BUDGET AND FTE SUMMARY*

| TOTAL BUDGET ($000) | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
|---|---|---|---|---|---|
| Total Operating Budget | 76,847 | 72,356 | 75,697 | 89,209 | 13,512 |
| Total Project Budget - Annual | 655 | | 347 | 1,815 | 1,469 |
| Total Annual Budget | 77,502 | 72,356 | 76,044 | 91,024 | 14,981 |
| Total Project Budget - Multi-Year | 2,202 | - | - | 12,450 | 12,450 |
| **Total Budget** | **79,704** | **72,356** | **76,044** | **103,474** | **27,430** |
| Full Time Equivalent (FTE) | 362 | | 362 | 368 | 6 |

## FISCAL YEAR 2007 OBJECT CLASS
### Schedule A ($000)

| Object Class | FY 2005 Actual* | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|
| 11 Personnel Compensation | 30,192 | 32,127 | 34,174 | 2,047 |
| 12 Personnel Benefits | 7,251 | 12,740 | 13,534 | 794 |
| 13 Benefits for Former Personnel | | 300 | 300 | - |
| 21 Travel | 332 | 344 | 325 | (20) |
| 22 Transportation of Things | 3 | 15 | 21 | 6 |
| 23 Rent, Communications and Utilities | 5,741 | 5,553 | 5,802 | 249 |
| 24 Printing and Reproduction | 15 | 17 | 182 | 165 |
| 25 Other Contractual Services | 21,854 | 17,860 | 25,858 | 7,998 |
| 26 Supplies and Materials | 1,301 | 889 | 1,384 | 495 |
| 31 Equipment | 6,912 | 6,199 | 10,820 | 4,621 |
| 32 Land and Structures | 63,308 | - | 11,075 | 11,075 |
| 41 Grants | - | - | - | - |
| 42 Insurance Claims and Indemnities | 1 | - | - | - |
| 43 Interest | - | - | - | - |
| 44 Refunds | - | - | - | - |
| **Total, Budget** | **136,911** | **76,044** | **103,474** | **27,430** |

*FY 2005 Actual represents total obligations of funds incurred in FY2005, irrespective of the year of appropriation.

* *The tables included in this budget submission have rounding variances to the nearest thousandth.*




# GENERAL ADMINISTRATION (GA)

## Detailed Analysis of Change by Appropriation
## Schedule B

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount (000) |
| **Appropriation, FY 2006** | 362 | 76,812 |
| Minus Rescission | | (768) |
| **Revised Appropriation, FY 2006** | | 76,044 |
| **Program Decreases** | | |
| General Facilities (GF) | | (107) |
| Safety, Fire, & Environmental (SF) | | (139) |
| Jurisdiction Centralized Activities (JR) | | (823) |
| Study - Emergency Power Requirements | | (347) |
| **Total, Program Decreases** | - | (1,415) |
| **Mandatory and Related Costs:** | | |
| Cost of Living - Annualization of Cost of Living 2005 | | 310 |
| Cost of Living 2006 | | 841 |
| Within-grade Increases and Pay Adjustments | | 652 |
| Awards | | 5 |
| Retirement Increases | | 283 |
| FEHBA/FEGLI | | 159 |
| Worker's Compensation | | (78) |
| Transit Subsidy | | 16 |
| **Total, Mandatory Pay Related Costs** | - | 2,188 |
| **Price Level Changes:** | | |
| Administrative (AD) | | 7 |
| Facilities Maintenance (FM) | | 8 |
| General Facilities (GF) | | 213 |
| Information Resource Management (IR) | | 434 |
| Jurisdiction Centralized Activities (JR) | | 47 |
| Safety, Fire, & Environmental (SF) | | 12 |
| **Total, Price Level Changes** | - | 720 |
| **Program Increases:** | | |
| Payroll (PR) - New Positions | 6 | 653 |
| Administrative (AD) | | 956 |
| Facilities Maintenance (FM) | | 55 |
| Information Resource Management (IR) | | |
| Hardware | | 102 |
| CAFM System | | 226 |
| AOC-Wide Contractor Support | | 1,800 |
| Human Resource Management (AVUE) | | 816 |
| Alternate Computer Facility | | 1,015 |
| Emergency Operations Center | | 234 |
| Project Information Center | | 1,000 |
| Inventory Control System | | 1,125 |
| Operational Data Store | | 400 |
| Telecommunications | | 1,530 |
| Financial Management Systems-Momentum | | 1,760 |
| Conversion to Electronic OPFs | | 850 |
| Office Services Van | | 27 |
| BASNet Back-Up Upgrades | | 45 |
| Maintenance Van - High Voltage Shop | | 27 |
| Load Bank (13.2 kv, 1,500 kw) | | 125 |
| Energy Survey of Congressional Buildings | | 2,100 |
| CMD Eyewash Station Installation at DC Village | | 16 |
| ACF HVAC Controls Replacement | | 560 |
| ACF Lightning Protection System Installation | | 165 |
| ACF Emerg Vehicle Storage Facility | | 5,350 |
| ACF Land Purchase | | 5,000 |
| **Total, Program Increases** | 6 | 25,937 |
| **Net Increase** | 6 | 27,430 |
| **Total Appropriation** | 368 | 103,474 |




## GENERAL ADMINISTRATION (GA)

### OPERATING BUDGET

The Operating Budget for this appropriation is comprised of AOC central office salaries, operations, activities, and programs that affect all jurisdictions, as well as all costs associated with the lease, daily care, and maintenance of facilities and any changes and improvements made to them. The major functions that comprise the central office consists of central administration; financial management; general counsel; safety; general facilities management; security; human resources; AOC-wide architecture, engineering design, and construction management; property management; AOC planning and development; communications; information resources; and procurement.

The budget justification for the Operating Budget includes the below summary schedule that incorporates the following data: the Program Group and columns indicating funding levels for fiscal years 2005, 2006, and 2007, as well as the obligations for fiscal year 2005. Following this summary schedule are the Operating Allotment narratives that describe the purpose of all operating allotments funded in this appropriation. When increases or decreases have been requested for fiscal year 2007, the amount and justification for those changes appear in *italics*. In accordance with sound financial management practice, these allotments are reviewed and adjusted to reflect changing needs. Increases that cannot be absorbed are requested through the budget process.

**Summary Schedule**

| OPERATING BUDGET ($000) | | | | | |
|---|---|---|---|---|---|
| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
| Payroll (PR) | 42,678 | 37,595 | 45,167 | 48,008 | 2,841 |
| Administrative (AD) | 3,785 | 3,896 | 4,017 | 4,980 | 963 |
| Architecture Engineering Services (AE) | 397 | 356 | 397 | 397 | - |
| Construction Services (CS) | 75 | 75 | 75 | 75 | - |
| Electronic Systems (EC) | 1,102 | 890 | 801 | 801 | - |
| Facilities Maintenance (FM) | 394 | 387 | 396 | 459 | 63 |
| General Facilities (GF) | 7,950 | 7,945 | 6,146 | 6,252 | 106 |
| Information Resource Management (IR) | 15,700 | 16,721 | 14,034 | 24,476 | 10,442 |
| Jurisdiction Centralized Activities (JR) | 2,209 | 2,116 | 2,188 | 1,412 | (776) |
| Safety, Fire, and Environmental (SF) | 2,557 | 2,374 | 2,476 | 2,349 | (127) |
| **Total** | **76,847** | **72,356** | **75,697** | **89,209** | **13,512** |




## GENERAL ADMINISTRATION (GA)

### OPERATING BUDGET NARRATIVE DESCRIPTIONS

**Payroll Program Group (PR):** This Program Group provides funding for personnel compensation, personnel benefits, and unemployment compensation for the General Administrative support of facilities under the general administration jurisdiction. Included are Government staff salaries and other personal services (i.e., paid leave and lump sum annual leave payments upon separation; for compensation above basic rates including, overtime, holiday pay, the Civil Service Retirement System, the Federal Employees Retirement System, Social Security and Medicare); agency contributions to the Federal Employees Health Benefits Program (FEHBP), Federal Group Life Insurance (FEGLI), Worker's Compensation Program, and subsidies paid to employees for commuting costs.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Compensation | 32,127 | 1,583 | 464 | 34,174 |
| Personnel Benefits | 12,740 | 604 | 190 | 13,534 |
| Unemployment Compensation | 300 | | | 300 |
| **Payroll (PR)** | **45,167** | **2,187** | **654** | **48,008** |

**Personnel Compensation (PR01)** **$34,174,000**

This allotment provides for salaries and wages paid directly to employees including paid leave and lump sum annual leave payments upon separation. This allotment also provides for compensation above basic rates including, overtime, holiday pay, Sunday pay, night work differential, supervisory differential, and hazardous duty pay.

*Price Level Increase:* *$1,583,000*

*The increase consists of cost of living adjustments (COLA's) for fiscal year 2007 including the annualization of the January, 2006 COLA and locality pay adjustments for general schedule employees; the COLA and locality pay adjustments for general schedule employees in January, 2007; and the October, 2006 COLA for wage-board employees; and within-grade increases and other pay adjustments.*

*Program Increases:* *$464,000*

*This increase consists of funding for the following new positions:*

*Occupational Health Nurse (2 GS-12 positions)* *$140,000*

*These positions are needed to support the CVC. If not funded, the Attending Physician's Office will be unable to provide coverage for CVC employees and respond to visitor needs.*

*Emergency Preparedness Manager (GS-14)* *$98,000*

*The Safety Office cannot currently keep up with Congressional support needs. Only 1 FTE is currently assigned to Emergency Preparedness and an additional FTE is being recruited. However, two FTEs are not sufficient to provide the necessary support and coordination with the USCP, LOC, House and Senate Sergeant-at-Arms, Supreme Court and AOC internal organizations.*

*Facilities Planner (GS-13)* *$83,000*
*This position is necessary to allow the AOC to carry out the directives of the Congress and undertake project planning and programming in an efficient and responsible manner.*

*Senior Accountant (GS-13)* *$83,000*
*Position is necessary to comply with Senate Report 107-37, detailing compliance with GPRA and the CFO Act with the intent of improving overall management and efficiency within AOC.*

*Financial Analyst (GS-11)* *$59,000*
*Position is critical to comply with Senate Report 107-37, detailing compliance with GPRA and the CFO Act with the intent of improving overall management and efficiency within AOC.*

**Personnel Benefits (PR02)** **$13,534,000**
This allotment provides for personnel benefits for employees including contributions for retirement to the Civil Service Retirement System, the Federal Employees Retirement System, Social Security and Medicare. Also included are agency contributions to the Federal Employees Health Benefits Program (FEHBP), the Federal Employees Group Life Insurance (FEGLI), and subsidies paid to employees for commuting costs.

*Price Level Increase:* *$604,000*
*The increase for fiscal year 2007 is attributable to increased costs of agency contributions for employee health benefits, retirement funds, and increased participation in the transit subsidy program.*

*Program Increases:* *$190,000*
*This increase consists of funding for benefits for the following new positions:*
*Occupational Health Nurse (2 positions), Emergency Preparedness Manager, Facilities Planner, Senior Accountant, and Financial Analyst.*

**Unemployment Compensation (PR04)** **$300,000**
This allotment includes funding for benefits due to former employees in the form of agency payments to unemployment compensation programs.



## GENERAL ADMINISTRATION (GA)

**Administrative Program Group (AD):** This Program Group provides funding for printing and reproduction, office equipment and supplies, postage and metered mail, payroll processing, and graphics design. Also included are contractor supported activities, to include assistance in development of AOC strategies and policies, professional consultant services, and financial auditing services.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Postage and Metered Mail | 65 | 7 | | 72 |
| Microfilm Equipment | 49 | | | 49 |
| Copier Maintenance | 104 | | | 104 |
| Vehicle Lease | 25 | | (4) | 21 |
| OEEO/CP Support | 145 | | | 145 |
| NFC Payroll System | 282 | | 50 | 332 |
| HRMD Program Support | | | 308 | 308 |
| Professional Services Support, HRMD | 428 | | (308) | 120 |
| Professional Services Support, Inspector General | 101 | | | 101 |
| Professional Services Support, Employment Counsel | 230 | | | 230 |
| Professional Services Support, General Counsel | 250 | | | 250 |
| Representation Funds | 2 | | | 2 |
| Office Supplies/Stationary, Supplies & Books | 172 | | | 172 |
| Annual Office and Support Equipment | 274 | | | 274 |
| Graphic Design | 10 | | | 10 |
| Award Items & Ceremonies Expenses | 32 | | | 32 |
| Support Services - AOC Wide | 142 | | | 142 |
| CFO Program Support | 1,706 | | 360 | 2,066 |
| FCA Maintenance (New) | | | 300 | 300 |
| Project Definition Development (New) | | | 250 | 250 |
| **Administrative (AD)** | **4,017** | **7** | **956** | **4,980** |

**Postage and Metered Mail (AD01)** **$72,000**

This allotment provides funding for all postage and mail costs incurred by the Office of the Architect of the Capitol.

*Price Level Increase:* *$7,000*

*The requested price level increase is due to anticipated increases in U.S. Postal Service rates.*

**Microfilm and Equipment (AD03)** **$49,000**

This allotment provides funding for microfilm and associated equipment expenses, and the procurement of an offsite records storage service of vital and historical records. In addition, the allotment provides funding for: the procurement of services for retrieving and filing records stored offsite; processing and duplicating microfilm; repairing microfilm; scanning; and records storage equipment.

**Copier Maintenance (AD04)** **$104,000**

This allotment provides funding for contracted copier maintenance on equipment operated by the AOC staff.

**Vehicle Lease (AD06)** **$21,000**
This allotment provides funding for the maintenance and operation (less gasoline which is funded through the *Jurisdiction Centralized Activities* Program Group) of passenger motor vehicles leased for use by the Architect of the Capitol.

*Program Decrease:* *($4,000)*
*The requested program decrease of $4,000 is due to the Project Management, Construction Management, Architecture, and Engineering divisions only needing one shared vehicle as opposed to two. They received funding for two vehicles in fiscal year 2006 and are thus requesting a decrease for fiscal year 2007.*

**OEEO/CP Support (AD07)** **$145,000**
In 1994 the AOC established the Office of Equal Employment Opportunity (OEEO), and in FY 1998 added the function of Office of Conciliation Programs (CP), both of which are charged with responsibilities in carrying out the provisions of the AOC Human Resources Act, Sec. 312 of Public Law 103-283. Accordingly, this allotment provides funding to carry out the provisions of the Act and meet related EEO responsibilities to operate and improve human resources programs and policies under which AOC employees operate.

**NFC Payroll System (AD08)** **$332,000**
This allotment provides funding for the reimbursement to the Department of Agriculture National Finance Center (NFC) for processing the AOC payroll.

*Program Increase:* *$50,000*
*The requested program increase of $50,000 is required to support programming changes to keep the NFC system in line with changing AOC requirements (i.e. accounting changes, HR process improvement changes).*

**HRMD Program Support (AD11)** **$308,000**
This allotment provides funding for contractual support to assist in writing and maintaining human resources management policies and procedures, recruitment and staffing, classification, and other special projects.

*Program Increase:* *$308,000*
*The requested program increase of $308,000 reflects a transfer from AD12-Professional Services Support-HRMD. The transfer is being requested to better align the budget request with the charges we typically incur in these Human Resources accounts each year. The total amount between the two accounts is unchanged from the FY06 enacted amount.*

**Professional Services Support, HRMD (AD12)** **$120,000**
This allotment provides funding for the use of contracted Hearing Officers for disciplinary hearings as directed by Congress rather than using inside resources.

*Program Decrease:* *($308,000)*
*The requested program decrease of $308,000 reflects a transfer to AD11-HRMD Program Support. The transfer is being requested to better align the budget request with the charges we typically incur in these Human Resources accounts each year.*

**Professional Services Support, Inspector General (AD13)** **$101,000**

This allotment provides funding for the Office of the Inspector General's contracted audit and consultant services activities, ensuring that AOC goals and objectives are achieved in a cost efficient manner with effectiveness to prevent and/or minimize fraud, waste and abuse and the loss of Government resources.

**Professional Services Support, Employment Counsel (AD14)** **$230,000**
This allotment provides funding for the contracting of legal services with private firms for the litigation of Office of Compliance cases from initial filing of formal complaints through the appeals process.

**Professional Services Support, General Counsel (AD15)** **$250,000**
This allotment provides funding for professional services support, which includes legal contract support for environmental, labor-management, and other specialty issues.

**Representation Funds (AD17)** **$2,000**
This allotment provides funding for AOC official reception and representation expenses.

**Office Supplies (AD19)** **$172,000**
This allotment provides for office supplies for both the central administrative offices and the Office of the Attending Physician.

**Office and Support Equipment (AD20)** **$274,000**
This allotment provides funding for the procurement/leasing and major repair of office and support equipment requirements of the AOC staff (not including computer and related information systems equipment).

**Graphic Design (AD22)** **$10,000**
This allotment provides funding for contracted graphic design services and publications for the AOC.

**Award Items & Ceremonies Expenses (AD23)** **$32,000**
This allotment provides funding for expenses related to award ceremonies held by the AOC.

**Support Services – AOC Wide (AD27)** **$142,000**
This allotment provides funding for contracted services for AOC-wide business initiatives; to conduct surveys and studies; and to meet unforeseen expenses in connection with activities under the care of the Architect of the Capitol. The services provide AOC's senior management team with contracted consultation and facilitation services in response to congressional direction (including recommendations as provided by the Government Accountability Office).

**Financial Systems Audit/Accountability Report (AD30)** **$2,066,000**
This allotment provides funding to support recurring contracted financial systems audit and accountability report requirements, as well as fund the policy development, execution and maintenance of the Internal Controls Program (in accordance with Government Accountability Office recommendations), progress towards implementing financial strategic/performance objectives, and preparations towards initiating the AOC Cost Accounting initiative.

*Program Increase:* *$360,000*
*The requested program increase of $360,000 will fund the FY 2006 full Financial Statement Audit (Balance Statement, Statement of Net Cost, Statement of Changes in Net Position, Statement of Budgetary Resources, and Statement of Financing) and supporting contract support services, including progress on performance plan action items, and program and jurisdictional financial reporting.*

***FCA Maintenance (New)*** ***$300,000***
*This new allotment provides funding to support the annual updating and maintenance of Facility Condition Assessments and the Facility Condition Assessment Database for the AOC jurisdictions which are essential to: (1) develop project requirements in support of capital programs (CIP) and other program requirements; (2) provide for efficient and effective management and operation of all Congressional facilities; and (3) facilitate the development and maintenance of data necessary to support and respond to high-level initiatives such as implementation of the Energy Act of 2005.*

***Project Definition Development (New)*** ***$250,000***
*This new allotment provides funding for the development of Project Definition Documents (PDDs) in support of capital projects for all Congressional facilities consistent with the new AOC-wide Project Planning Process. PDDs are essential to capture facility requirements as identified through Facility Condition Assessments and translate them into projects for inclusion in the AOC's Capital Improvements Plan (CIP) and subsequent fiscal year Budget Submissions.*

**Architectural and Engineering Services Program Group (AE)**: Provides funding for contracted architect and engineering services for the preparation of conceptual designs, studies, architectural and engineering analyses, and other services on projects requested or proposed by the AOC and its clients.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Contractual Services (A/E Estimating) | 397 | | | 397 |
| **Architectural and Engineering Services (AE)** | **397** | | | **397** |

**Contractual Services (Architecture/Engineering Estimating) (AE01)** **$397,000**
This allotment funds contracted architect and engineering services for the preparation of conceptual designs, studies, architectural and engineering analyses, and other services on projects requested or proposed by the AOC and its clients.




## GENERAL ADMINISTRATION (GA)

**Construction Services Program Group (CS)**: Provides funding for miscellaneous administrative construction services, to include contracting with firms specializing in cost estimating of construction projects.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Cost Estimating Services Contract | 75 | | | 75 |
| **Construction Service Program Group (CS)** | **75** | | | **75** |

**Cost Estimating Services – Contract (CS01)** **$75,000**
This allotment provides funding for miscellaneous administrative construction services, to include contracting with firms specializing in cost estimating of construction projects.

**Electronic Systems Program Group (EC):** Provides funding for the maintenance of electronic systems throughout the Capitol Complex, to include cable systems, radio communications and paging systems, the legislative clock and call systems, and hearing room audio systems.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Duress, Fire & Intrusion Detection Systems | 25 | | (15) | 10 |
| Cable Distribution System | 91 | | 9 | 100 |
| Controls System | 91 | | | 91 |
| Radio Communications/Paging Systems | 40 | | (10) | 30 |
| Computers & Peripherals | 30 | | (30) | |
| Miscellaneous Expenses | 23 | | 57 | 80 |
| Maintenance of Electronic Systems, Contract | 290 | | (10) | 280 |
| Legislative Call Systems | 150 | | 10 | 160 |
| Audio Systems | 61 | | (11) | 50 |
| **Electronic Systems (EC)** | **801** | | - | **801** |

**Duress, Fire & Intrusion Detection System (EC02)** **$10,000**
This allotment provides funding for the ongoing operation and maintenance of existing smoke detectors and fire-related public address systems.

*Program Decrease:* *($15,000)*
*The requested decrease is due to the transfer of a majority of operations and maintenance responsibilities for duress and intrusion detection systems to the Library of Congress Buildings and Grounds appropriation. The Library of Congress completed installation of a new access control system in FY05, and as a result of this installation, they are taking over maintenance and operation of the new system.*

**Cable Distribution System (EC03)** **$100,000**
This allotment provides funding for the ongoing operation and maintenance of the Hill-wide Cable Television System.

*Price Level Increase:* *$9,000*
*The requested price level increase of $9,000 is due to the unavailability of obsolete repair parts. As a result, ongoing maintenance actions on existing systems may require upgrades to certain components, causing the overall cost of maintenance to increase.*

**Control Systems (EC04)** **$91,000**
This allotment provides funding for ongoing operation and maintenance of various control systems, including book conveyor system controls, garage and loading dock automatic door controls, building automation systems, and other similar control systems.

**Radio Communications/Paging Systems (EC05)** **$30,000**
This allotment provides funding for the ongoing operation and maintenance of the AOC two-way maintenance and emergency radio system, including the central repeater/transmitter and approximately 600 handheld units.

*Program Decrease:* *($10,000)*
*The requested decrease is due to fewer requirements for radio maintenance due to the increased use of cell phones instead of radios.*

**Computers and Peripherals (EC06)** **$0**
This allotment provides funding for miscellaneous computer hardware for engineering purposes.

*Program Decrease:* *($30,000)*
*The requested decrease is attributed to the consolidation of all computer responsibilities under the Information Technology Division. This requested transfer of funding will reallocate funding to IR01-Hardware.*

**Miscellaneous Expenses (EC07)** **$80,000**
This allotment provides funding for expenses not allocable to any specific category including: test equipment (both acquisition and ongoing maintenance); specialized program support; other miscellaneous equipment and services; and consumable laboratory supplies.

*Price Level Increase:* *$57,000*
*The requested price level increase of $57,000 will fund cost increases to recurring requirements for contract services and maintenance of various electronic systems throughout the Capitol Complex. Items falling into multiple categories are included here (generic expendables, shop items, etc). Obligations in fiscal year 2005 were approximately $94,000 due to the cost increases mentioned above.*

**Maintenance of Electronic Systems, Contract (EC08)** **$280,000**
This allotment provides funding for contracted services to install and/or relocate electronic systems resulting from office moves. Additionally, this allotment funds contracted CATV fiber and cable installations and other similar electronic systems support requirements.

*Program Decrease:* *($10,000)*
*The requested decrease of $10,000 reflects actual expenditures for FY05 and projected needs for FY07, resulting from changes in overall requirements.*

**Legislative Call Systems (EC09)** **$160,000**
This allotment provides funding for ongoing operation and maintenance of the existing Hill-wide Legislative Call and Clock System.

*Program Increase:* *$10,000*
*The requested price level increase of $10,000 is required for custom legislative call system items such as star bars, mantel clocks, non-standard brass clocks, and associated equipment. The transition to the new radio frequency transmission system and ongoing updates and modifications to the unique legislative call system are further driving the increase.*

**Audio Systems (EC10)** **$50,000**
This allotment provides funding for ongoing operation and maintenance of Committee Room sound reinforcement systems.

*Program Decrease:* *($11,000)*
*The requested program decrease of $11,000 reflects a reduction in the number of Committee rooms that the AOC is responsible for, as the sound systems are being taken over by other organizations. The House Chief Administrative Officer and the Senate Sergeant-at-Arms are replacing existing sound systems with systems that are directly compatible with their recording studio and are subsequently assuming operation and maintenance responsibilities.*

**Facilities Maintenance Program Group (FM)**: Provides funding for: substation equipment and repairs; maintenance of the Energy Management and Control System; equipment and supplies for the Office of the Attending Physician; design services – codes, manuals, tools; and construction design and estimates services.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Substation Equipment & Repairs | 80 | | 20 | 100 |
| EMCS Operations and Maintenance | 70 | | 10 | 80 |
| Sanitarian (Office of Physician) | 86 | 8 | 15 | 108 |
| Fire Protection Engineering Supplies, Codes, Tools | 10 | | (10) | |
| CMD - Maintenance, Design & Estimates | 150 | | | 150 |
| Design Services - Codes, Manuals, Tools (New) | | | 10 | 10 |
| BASNet Router and Switch Service Contract (New) | | | 11 | 11 |
| **Facilities Management (FM)** | **396** | **8** | **56** | **459** |

**Substation Equipment & Repairs (FM39)** **$100,000**
This allotment provides funding for the maintenance of high voltage network protectors, main electrical switchgears, substations, switchboards and associated relays and circuit breakers for the House and Senate Office Buildings, the Capitol, the Supreme Court, the Capitol Power Plant and the Library of Congress Buildings.

*Program Increase:* *$20,000*
*The requested program increase of $20,000 will allow for maintenance of additional electrical distribution equipment associated with the Capitol Visitor Center (CVC). The addition of the CVC's electrical distribution equipment will dramatically increase the number of medium and low voltage circuit breakers, as well as associated network protectors and relays, to be maintained. The maintenance of CVC electrical distribution equipment will increase the number of medium voltage circuit breakers to be maintained by 44 or 90%, the number of low voltage circuit breakers to be maintained by 72 or 12%, and the number of network protectors and relays to be maintained by 12 or 10%..*

**EMCS Operations and Maintenance (FM42)** **$80,000**
This allotment provides funding for the operations and maintenance of the energy management and controls systems (EMCS) in the Capitol complex. It provides for maintenance, as well as scheduled replacement of system components based on manufacturer recommendations.

*Program Increase:* *$10,000*
*The requested program increase of $10,000 will cover BASNet Test Lab operation and maintenance, and anticipated service requests to controls vendors for equipment that does not fall under any one Jurisdiction.*

**Office of the Attending Physician (FM44)** **$108,000**
This allotment provides funding for equipment and supplies supporting the Office of the Attending Physician.

*Price Level Increase:* *$8,000*
*The requested price level increase of $8,000 is attributable to inflation as medical cost increases routinely exceed average inflation rates.*

*Program Increase:* *$15,000*
*The requested program increase of $15,000 is due to an increasing number of personnel requesting medical surveillance. This line item primarily covers contracted medical surveillance, an OSHA requirement for persons handling hazardous materials or otherwise engaged in hazardous operations. As AOC continues to implement its safety program, additional personnel have been enrolled in the medical surveillance program.*

**Fire Protection Engineering Supplies (FM50)** **$0**
This allotment provides funding for maintaining current editions of the National Fire Protection Association (NFPA) Code, International Building Code (IBC), the Society of Fire Protection Engineering (SFPE) handbooks, and other various support and reference materials.

*Program Decrease:* *($10,000)*
*The requested program decrease of $10,000 reflects a requested transfer of funding to a new Program Group that more accurately reflects the required needs: Design Services – Codes, Manuals, Tools.*

**CMD – Maintenance, Design & Estimates (FM55)** **$150,000**
This allotment provides funding for: the Construction Management Division (CMD) to prepare estimates and perform constructability reviews for proposed maintenance, repair, and renovation projects; maintenance and operation of owned/leased equipment; maintenance of tools; and the execution of various Capitol Complex-wide projects.

***Design Services – Codes, Manuals, Tools (New)*** ***$10,000***
*This new allotment provides funding for codes, manuals, and tools that will be used in the Design Services Division. This request represents a transfer of funds previously allotted to FM50-Fire Protection Engineering Supplies.*

***BASNet Router and Switch Service Contract (New)*** ***$11,000***
*This new allotment provides funding for a service contract that is needed to provide vendor expertise in maintaining and servicing Cisco routers and switches that are an integral part of the Building Automation System Network (BASNet). This contract will provide full hardware and software service for the BASNet system routers, and telephone support on system switches. BASNet, a new system that went online in fiscal year 2004, interconnects all building automation system components throughout the Capitol complex.*

**General Facilities and Services (GF) Program Group**: Provides funding for: facility and service support not directly associated with any one jurisdiction, to include the lease, operations, and maintenance of general facilities; and AOC-wide security program support services.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| ACF Maintenance & Operations | | 213 | 2,839 | 3,052 |
| Rental of Warehouse Space | 800 | | | 800 |
| AOC Interim Lease Space | 1,700 | | | 1,700 |
| Emergency Preparedness | 500 | | | 500 |
| Security | 200 | | | 200 |
| General Facilities Operations- Utilities | 1,670 | | (1,670) | |
| ACF Maintenance & Repair of Real Property | 1,276 | | (1,276) | |
| **General Facilities (GF)** | **6,146** | **213** | **(107)** | **6,252** |

**Alternate Computing Facility (ACF) Maintenance & Operations (GF04)** **$3,052,000**
This allotment provides funding for real property maintenance and operations of the Alternate Computing Facility (ACF) via consolidated and specialty facilities management contracts. Activities include the following: routine and specialty cleaning; trash removal; painting; electrical; elevators; masonry; plumbing; carpentry; sheet metal; hardware; building exterior; fire alarm systems testing & inspection; rugs & floor coverings; hazardous materials abatement; relamping; perimeter security support; sidewalks, disposal of bulk and solid waste; grounds maintenance; leaf and snow removal; and general landscaping

and mowing services. This funding will support the total facility size of 335,680 square feet, the adjoining 1,212 space parking lots and 91 acres of land. This budget was derived by annualizing actual expenses over a six month period after the facility purchase and is consistent with Building Owners and Managers Association (BOMA) standards.

*Price Level Increase:* *$213,000*
*The requested increase of $213,000 is due to the inflationary costs associated with contracted services for building operations and maintenance such as cleaning, landscaping, and snow removal. The costs of landscaping and snow removal services have increased due to the rising cost of fuel.*

*Program Increase:* *$2,839,000*
*The requested program increase of $2,839,000 is offset by program decreases of $1,670,000 to GF21-General Facilities Operations–Utilities and $1,276,000 to GF22-ACF Maintenance and Repair of Real Property. The requested program increase is made up of the following: the transfer of $363,000 from GF21 General Facilities Operations – Utilities (the remaining $1,307,000 in GF21 is being transferred to the Capitol Power Plant for utility costs related to the ACF); the transfer of $1,276,000 from GF22 Maintenance and Repair of Real Property; Property; an increase of $400,000 to establish centralized facilities management contract support; and an increase of $800,000 to offset the inability to retain IBM rent receipts.*

**Warehouse Lease (GF05)** **$800,000**
This allotment provides funding for warehouse lease and facility operations costs to meet storage requirements for U.S. Senate Office Buildings furniture and carpet operations and the AOC Construction Management Division. The warehouse was formerly located on "P Street" and was often referred to as the "P Street" Warehouse. However, due to the planned construction of a baseball stadium in the "P Street" area and the subsequent demolition of the building, the warehouse was moved to Plaza 500 in fiscal year 2006. Plaza 500 is space currently managed by the General Services Administration (GSA) and is located on Edsall Road in Alexandria, VA. Lease and facility operations costs include rent, taxes, utilities, custodial care, maintenance and minor modifications, furniture, and contract security.

**AOC Interim Space Lease (GF06)** **$1,700,000**
This allotment provides funding for lease and facility operations costs for warehouse, operational, and office space for the AOC. Lease and facility operations costs include rent, taxes, utilities, custodial care, maintenance and minor modifications, furniture, and contract security.

**Emergency Preparedness (GF10)** **$500,000**
This allotment provides funding for centralized security and emergency preparedness initiatives to be implemented, addressing communications, plans, activities, exercises, and equipment requirements

**Security (GF20)** **$200,000**
This allotment provides funding for contracted professional security support for multiple security and U.S. Capitol Police (USCP) related activities to include but not limited to emergency and special event support, USCP operations liaison, Capitol Police Board support, air security, AOC security operations, community outreach, project reviews, and specialized consultancy services.

**General Facilities Operations – Utilities (GF21)** **$0**
This allotment provided funding for all utility expenses for the Alternate Computing Facility (ACF), the warehouse on "P" Street, and the AOC Interim Space Lease.

*Program Decrease:* *($1,670,000)*
*This program decrease is due to the requested transfer of $1,307,000 for ACF utilities to the Capitol Power Plant while the remaining $363,000 is requested to be realigned to GF04-Alternate Computing Facility Maintenance & Operations.*

**ACF Maintenance and Repair of Real Property (GF22)** **$0**
This allotment provides funding for ACF maintenance and repair requirements, to include structural, electrical, plumbing, carpentry, heating/ventilation, painting, grounds maintenance, and cleaning.

*Program Decrease:* *($1,276,000)*
*This program decrease is due to the requested realignment of funds to GF04-Alternate Computing Facility Maintenance & Operations.*

**Information Resources Management Program Group (IR)**: Provides funding for procurement, operations & maintenance of information technologies, to include computer hardware and software (and user licenses) support; contractor technical services support for computer systems and web sites; and automated systems to include the Financial Management System (FMS), the Human Resources Management System, and the Computer-Aided Facility Management System (CAFM).

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Hardware | 1,345 | 34 | 102 | 1,481 |
| Software | 1,300 | | | 1,300 |
| Miscellaneous | 140 | | | 140 |
| Contractor Service Maintenance | 1,380 | | | 1,380 |
| Financial Management Systems-Momentum | 2,900 | | 1,760 | 4,660 |
| CAFM System | 1,175 | 29 | 226 | 1,430 |
| AOC-Wide Contractor Support | 4,034 | 178 | 1,800 | 6,012 |
| Human Resource Management (AVUE) | 1,760 | 143 | 816 | 2,719 |
| Alternate Computer Facility (New) | | | 1,015 | 1,015 |
| Emergency Operations Center (New) | | | 234 | 234 |
| Project Information Center [PIC] (New) | | | 1,000 | 1,000 |
| Inventory Control System [ICS] (New) | | 50 | 1,125 | 1,175 |
| Operational Data Store (New) | | | 400 | 400 |
| Communications | | | 1,530 | 1,530 |
| **Information Systems (IR)** | **14,034** | **434** | **10,008** | **24,476** |

**Hardware (IR01)** **$1,481,000**
This allotment provides funding for: personal computers, monitors, printers, and servers; upgrades required to the AOC network and the AOC Data Center located at the Ford House Office Building; increases and upgrades to network security hardware (firewalls); server monitoring platform equipment; hardware to increase remote access capabilities; e-mail filtering hardware; and peripheral equipment.

*Price Level Increase:* *$34,000*
*The requested increase of $34,000 is attributable to the rising costs of computer hardware.*

*Program Increase:* *$102,000*
*The requested increase of $102,000 is due to additional hardware required to implement AOC-wide Fiber installation and the requested transfer of $30,000 from EC06-Computers and Peripherals for computers and peripheral equipment for the Engineering Division. The AOC-wide Fiber installation will provide connections from the Ford House Office Building computer room to various locations throughout the Capitol Complex and will eliminate the requirement for a vendor to provide this service.*

**Software (IR02)** **$1,300,000**
This allotment provides funding for recurring software licenses, to include: software licenses for AOC network firewalls; remote access; anti-spy and anti-virus licenses; Computer Aided Design licenses (CAD); network server licenses; e-mail licenses; Oracle database licenses; and web development software licenses.

**Miscellaneous (IR03)** **$140,000**
This allotment provides funding for: Information Technology (IT) subscription and research services; information security awareness; technical manuals; and reference material.

**Contractor Service Maintenance (IR04A)** **$1,380,000**
This allotment provides funding for: annual recurring maintenance; support agreements for the AOC's network firewalls, servers and IT hardware; annual recurring maintenance and support agreements for software licenses supporting highly specialized engineering and architecture technical programs; and specialized equipment repairs to legacy systems which are no longer covered under a maintenance agreement.

**Financial Management Systems – Momentum (IR04B)** **$4,660,000**
This allotment provides funding for the continued operation of the AOC's Financial Management System (FMS). This includes funding for FMS software maintenance license fees; system-wide upgrades, and contractor support for developing ad-hoc reports and resolving technical and functional issues.

*Program Increase:* *$1,760,000*
*The requested increase is due to the following: $960,000 to upgrade to the latest release of the financial system software package in order to continue receiving support for resolution of baseline software issues and to take advantage of new functionality provided by the upgrade. This is a major system upgrade requiring significant testing, revision of interfaces and the training of 350 users; and $800,000 to implement the cost accounting module required to meet an AOC strategic goal to implement a cost accounting system in fiscal year 2007. This includes contractor support for implementation tasks such as requirements analysis, system configuration, system testing, user procedures and user training.*

**CAFM System (IR04C)** **$1,430,000**
This allotment provides funding for: CAFM software licenses and required hardware; software and hardware maintenance; and contractor technical data entry support for CAFM. The Computer Aided Facilities Management (CAFM) program supports the primary mission of the Architect of the Capitol -

the maintenance and operation of the Capitol Complex. Fully implemented, the CAFM program will allow the AOC to develop a detailed work plan for the coming years, estimate resources required to meet the goals and then measure the results real time through the hours charged and the materials used.

*Price Level Increase:* *$29,000*
*The requested increase of $29,000 is due to inflationary costs,*

*Program Increase:* *$226,000*
*The requested increase of $226,000 is attributable to the addition of the Capitol Visitors Center (CVC) and will provide the required hardware (handhelds, tablets, and peripherals), software licenses, and program support required to initiate CAFM for the CVC.*

**AOC-Wide Contractor Support (IR05)** **$6,012,000**
This allotment provides funding for: computer technicians supporting the AOC-wide helpdesk (including hardware and software installation and troubleshooting); network and server technicians; IT security contractors; web development contractors; intrusion detection services; systems and workstation relocation (generally resulting from office moves); and e-mail/personal digital assistant (PDA) technical support.

*Price Level Increase:* *$178,000*
*The requested increase of $178,000 is due to inflationary costs. Support costs for IT services are expected to increase 3% over the coming year. Further, new IT applications that have been added by AOC require higher skilled contractor support, thereby increasing the cost of support.*

*Program Increase:* *$1,800,000*
*The requested program increase covers contractor support for Help Desk services and the support of newly added applications. Calls to the Help Desk have increased 15% over the previous year. Further, new IT initiatives implemented by AOC have increased the need for contractor support, as ITD currently supports 14 new applications. Currently, 60% of all ITD activities are provided through support contracts or complete outsourcing. Two of our largest systems, our primary financial system as well as our human resource system, are outsourced.*

**Human Resource Management System – AVUE (IR08)** **$2,719,000**
This allotment provides funding for the annual recurring subscription and extranet fees for AOC's Human Resources Management Division (HRMD) agreement with AVUE Digital Services which includes 10 modules. Modules currently in place include: position management, recruitment and staffing, personnel action requests tracking and performance evaluations for AOC staff.

*Price Level Increase:* *$143,000*
*The requested increase of $143,000 is due to an increase that was specified in the contract.*

*Program Increase:* *$816,000*
*The requested program increase of $816,000 is due to the AOC no longer getting the 30% discount on the AVUE subscription service fee. Prior to the initial contract award to AVUE, procurement and the General Counsel's office agreed to allow annual AVUE contract payments. As of August 2005, the current General Counsel has re-visited the annual payment of the AVUE contract and advised that we begin making monthly payments at contract renewal. Per the monthly payment decision, the AOC will no longer get the 30% discount on the subscription service fee and this will increase the annual total contract price each year based upon the out*

*year contract cost provided in the original Signature Partnership contract with AVUE. Monthly payment costs for fiscal year 2007 will total $2,718,462; this is $816,000 higher than our fiscal year 2007 payment would have been under the annual payment rate.*

***Alternate Computing Facility (New)*** ***$1,015,000***

*This new allotment provides funding necessary to maintain, refresh, and support the applications and services at the ACF. The Architect of the Capitol purchased the building housing the Alternate Computing Facility in FY05 based on advice and direction received from Congress. This new request covers the cost of supporting the IT needs of this facility, including the development of stricter internal and external computer controls. In addition, contract support is required as a security operational engineer is needed to help support this initiative.*

***Emergency Operations Center (New)*** ***$234,000***

*This new allotment will provide funding for the annual operational needs of the AOC's two Emergency Operations Centers (EOCs), to include: the costs associated with maintaining EOC hardware and software (including license fees); the salary for a contractor assigned to support the EOCs; communication devices and service fees; the purchase of enhancements to the centers to establish Final Operating Capability (FOC); and the costs associated with documenting the processes and procedures of the EOC, a step that is required for certification and accreditation.*

***Project Information Center Enhancement/Replacement (New)*** ***$1,000,000***

*This new allotment provides funding for the Office of Information Technology to take over the support of the current Project Information Center (PIC) program and look for an enhancement or replacement of that system. The Planning and Project Management Division has requested that the Office of Information Technology take over the support of PIC and look for an enhancement or replacement of that system in order to provide a product that utilizes current technology and meets current project management and reporting needs. The current application (PIC) has come to the end of its technological life*

***Inventory Control System (New)*** ***$1,175,000***

*This new allotment provides funding for the Inventory Control System (ICS). The Inventory Control System was implemented in fiscal year 2006 to track AOC inventory and property. It is required for the proper monitoring of our assets and provides the controls needed to satisfy current auditing standards. It is fully integrated with the financial system so that transactions in each system update the other system, and it provides "handheld" technology for improving the accuracy of the data. The fiscal year 2006 implementation costs and the resulting operations and maintenance costs were funded from within the General Administration funding.*

*Price Level Increase:* *$50,000*

*The requested price level increase of $50,000 is attributable to labor rate increases.*

*Program Increase:* *$1,125,000*

*The requested program increase of $1,125,000 is attributable to the following: software license fees and contractor support costs of $750,000 and costs of $425,000 to upgrade the integration software to be compatible with the upgraded financial system software.*

***Operational Data Store (New)*** ***$400,000***

*This new allotment provides funding for the Operational Data Store (ODS) application which serves as the information interchange between the four primary AOC systems. This request is sponsored by AOC's*

*Chief Administrative Officer and managed by the Information Technology Division. This application reduces duplication of data entry between systems, thereby helping provide senior management reliable and timely information. The ODS project will connect data from multiple systems into one interface. By doing this, the agency's FMS, Inventory Control, AVUE, and CAFM systems will be able to share data. The elimination of entering redundant information into different systems and the advantage of making data available to different enterprise applications will be critical to the agency's ability to make effective decisions based on relevant and reliable data.*

**Communications (IR14)** **$1,530,000**

This allotment provides funding for all communication devices and associated services for the Architect of the Capitol staff, to include telephones (land-line and wireless), pagers, and personal digital assistants (PDAs). This allotment also funds the AOC's Internet Service Provider (ISP) and network connectivity with the National Finance Center

*Program Increase* *$1,530,000*

*The requested program increase of $1,530,000 is due to a transfer of the base funding for this item from JR04-Communications to IR14-Communications. The fiscal year 2006 baseline amount was $1,278,000. The fiscal year 2007 request includes an additional $252,000 to complete the centralization of all agency wide telecommunications under OIRM which includes deskphones, cell phones, PDA devices, inter/extranet services and circuits to connect the buildings throughout the Capitol complex to the AOC network. This also covers the increase in requirements for these services in order to support the goal of increasing mobile communications devices and services within the organization The requested program increase reflects the transfer of these funds from the JR-04-Communications Program Group so that the Information Technology Division can better manage and align their resources for these types of services.*

**Jurisdiction Centralized Activities Program Group (JR)**: Provides funding for training, registration, and seminar fees; travel; and uniform allowances.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Uniforms Allowance | 10 | | | 10 |
| Safety Apparel | 5 | | 5 | 10 |
| Emergency Preparedness | | | 400 | 400 |
| Communications | 1,278 | | (1,278) | |
| Shuttle Bus Services (Contract) | 274 | 35 | | 309 |
| Gasoline | 4 | 1 | | 5 |
| Training | 602 | 10 | 50 | 662 |
| Travel | 15 | | | 15 |
| **Jurisdiction Centralized Activities (JR)** | **2,188** | **46** | **(823)** | **1,411** |

**Uniform Allowance (JR01)** **$10,000**

This allotment provides funding for uniforms in support of the Engineering and related maintenance shop.

**Safety Apparel (JR02)** **$10,000**

This allotment provides funding for safety apparel required for the following GA divisions: Project Management, Construction Management, Architecture, Engineering, and related maintenance shops.

*Program Increase:* *$5,000*
*The requested program increase is for additional funds required to meet the demand for new and recurring requirements for safety apparel for current and new employees. Requested funds will also be used to replace items currently in use that are worn and have reached the end of their useful life.*

**Emergency Preparedness (JR03)** **$400,000**
This allotment provides funding for each GA jurisdiction to conduct emergency preparedness planning and training.

*Program Increase:* *$400,000*
*This program increase provides jurisdiction specific training, exercises, equipment, materials and services in preparation for, and responding to, emergency events. In addition to internal emergency preparedness, AOC supports Legislative Branch agencies within its jurisdiction by leading damage assessment and recovery operations. Personnel must be trained, exercised, and equipped to access, assess and recover facilities in a hazardous environment following safe and accountable procedures.*

**Communications (JR04)** **$0**
This allotment provides funding for all communication devices and associated services for the Architect of the Capitol staff, to include telephones (land-line and wireless), pagers, and personal digital assistants (PDAs). This allotment also funds the AOC's Internet Service Provider (ISP) and network connectivity with the National Finance Center.

*Program Decrease:* *($1,278,000)*
*The requested program decrease of $1,278,000 reflects the requested transfer of these funds to the IR14-Communications Program Group so that the Information Technology Division can better manage and align their resources for these types of services.*

**Shuttle Bus Contract (JR06)** **$309,000**
This allotment provides funding for passenger shuttle bus services serving the entire Capitol Complex (Postal Square to the Ford House Office Building). This service includes 2 shuttle buses continually operating on work days between the hours 8 a.m. to 6 p.m.

*Price Level Increase:* *$35,000*
*The requested price level increase of $35,000 is due to the increasing costs of fuel. The cost of this service is heavily dependent on the price of fuel, which has caused our contracted rate for the service to increase.*

**Gasoline (JR07)** **$4,000**
This allotment provides funding for fuel for leased vehicles.

*Price Level Increase:* *$1,000*
*The requested price level increase of $1,000 will fund significant price increases for fuel.*

**Training (JR91)** **$662,000**
This allotment provides funding for the training of central staff employees in technical job-related areas. Training includes: safety and OSHA standards; prevention of sexual harassment; employee rights and responsibilities; substance abuse; supervision skills, technical skills; and general staff development/educational training.

*Price Level Increase:* *$10,000*
*The requested price level increase of $10,000 will fund increases in contracted training services.*

*Program Increase:* *$50,000*
*The requested program increase will provide funds to keep the Information Technology Division (ITD) staff current on changing technologies as well as provide additional training in Project Management, Microsoft SQL Server, Systems Development Life Cycle (SDLC), and Quality Assurance. Advanced IT courses are required for several ITD staff members so that they can support the changes in technology that the AOC is undertaking. The average cost of the training classes that will be needed is $2,700 per class. The current per person allocation of approximately $1,500 per person for training each year is insufficient to meet ITD's needs.*

**Travel (JR92)** **$15,000**
This allotment provides funding for official travel requirements for the Architect of the Capitol staff. This allotment funds both transportation and per diem costs.

**Safety, Fire, and Environmental Program Group (SF)**: Provides funding for safety and fire marshal related activities to include the following: procurement of personnel protective equipment; meters for confined space entry; fall protection devices; emergency safety devices; electrical safety equipment; respirators and hard hats; safety inspections; and certifications.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Potable Water Laboratory Sampling & Analysis | 68 | | (13) | 55 |
| Hazardous Waste Disposal and Control | 180 | | (45) | 135 |
| Publications | 17 | | | 17 |
| Operations-Safety Environment Division | 21 | | 19 | 40 |
| Underground Tank Monitoring | 28 | 12 | | 40 |
| Contractual Services - SFEP | 1,110 | | 515 | 1,625 |
| Safety Programs | 615 | | (615) | |
| Operations- Fire Marshal Division | 50 | | | 50 |
| Emergency Defibrillators | 387 | | | 387 |
| **Safety, Fire, and Environmental (SF)** | **2,476** | **12** | **(139)** | **2,349** |

**Potable Water Laboratory Sampling & Analysis (SF01)** **$55,000**
This allotment provides funding for the sampling and analysis of potable water throughout the Capitol Complex.

*Program Decrease:* *($13,000)*
*The requested program decrease of $13,000 reflects a decrease in the number of lead drinking water samples being taken. The AOC is moving more towards a monitoring program vs. wide-scale testing approach.*

**Hazardous Waste Disposal and Control (SF02)** **$135,000**
This allotment provides funding for the disposal of hazardous and regulated wastes generated in the Capitol Complex. In addition, materials used to control hazardous material spills are purchased from this fund.

*Program Decrease:* *($45,000)*
*The requested program decrease reflects cost savings from an improved and cost effective contracting mechanism along with waste minimization practices.*

**Publications (SF03)** **$17,000**
This allotment provides funding for subscription to technical and related compliance references. In addition, funds are used to provide the most current technical occupational safety and health publications and releases.

**Operations-Safety Environment Division (SF04)** **$40,000**
This allotment provides funding for the operations of the Safety and Environmental Division, to include: specialized supplies for instrumentation; testing and sampling supplies; laboratory services for sampling (less asbestos); personal protective equipment; and contracted special services.

*Program Increase:* *$19,000*
*The requested program increase of $19,000 reflects additional safety and environmental operating costs for emergency preparedness resulting from changing environmental regulations.*

**Underground Tank Monitoring (SF05)** **$40,000**
This allotment provides funding for the purpose of checking underground storage tanks for leakage and conducting periodic pressure tests. This monitoring is required to meet local and Federal regulatory guidelines.

*Price Level Increase:* *$12,000*
*The requested price level increase of $12,000 reflects the cost of one additional tank inspection and the monitoring costs necessary to comply with current environmental regulations.*

**Contractual Services – Safety, Fire, and Environmental Protection (SF06)** **$1,625,000**
This allotment provides funding for general contractual services in support of AOC Safety, Fire, and Environmental Program development, implementation, and execution. Included are AOC wide policy development and implementation support; development of AOC wide plans required to comply with OSHA standards and/or environmental regulations; Fire marshal fire alarm acceptance testing and inspection support; safety and environmental inspection support; and investigation/study of emergency safety, fire, and/or environmental issues.

*Program Increase:* *$515,000*
*The requested program increase of $515,000 is due to our request to combine SF18-Safety Programs into this operation. The net change after combining the fiscal year 2006 enacted figures for SF06-Contractual Services–Safety, Fire, and Environmental Protection and SF18-Safety Programs is a decrease of $100,000.*

**Safety Programs (SF18)** **$0**
This allotment provides funding for contractor supported operations and maintenance of life safety programs. Programs include hazard communications, personal protective equipment, fall protection, electrical safety, welding safety, confined space operations, emergency egress (evacuation) planning, and chemical/biological response preparation.

*Program Decrease:* *($615,000)*
*The requested program decrease is due to our request to merge the SF18-Safety Programs Program Group in the SF06-Contractual Services–Safety, Fire, and Environmental Protection Program Group.*

**Operations – Fire Marshal Division (SF23)** **$50,000**
This allotment provides funding for contract and equipment requirements of the Fire Marshal Division whose responsibilities include the management of emergency response equipment, fire department preplanning, and coordination of operations with the District of Columbia and surrounding community fire departments.

**Emergency Defibrillators (SF24)** **$387,000**
This allotment provides funding for the annual test, inspection and maintenance of emergency defibrillators located throughout the Capitol Complex.




## GENERAL ADMINISTRATION (GA)

### ANNUAL NON-RECURRING PROJECTS FOR FY 2007

| PROJECT BUDGET - ANNUAL ($000) | | | |
|---|---|---|---|
| Project | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
| Study, Emergency Power Requirements | 347 | - | (347) |
| Conversion to Electronic OPFs | - | 850 | New |
| Office Services Van | - | 27 | New |
| BASNet Back-up Upgrades | - | 45 | New |
| Maintenance Van - High Voltage Shop | - | 27 | New |
| CMD Eyewash Station Installation at DC Village | - | 16 | New |
| ACF HVAC Controls Replacement | - | 560 | New |
| ACF Lightning Protection System Installation | - | 165 | New |
| Load Bank (13.2 kv, 1,500 kw) | - | 125 | New |
| **Total** | **347** | **1,815** | |

**Project Title: Conversion to Electronic OPFs** **$850,000**

**Project Requirement**: Convert to electronic Official Personnel Files (OPFs).

**Current Situation**: The Office of Personnel Management (OPM) is converting to a digital based system for employee processing. If AOC has not converted to the digital process by the time OPM finishes their conversion, AOC will have to pay additional servicing fees and processing will be considerably slower, putting our employees at a disadvantage against other workers in the federal workforce.

**Description/Scope:** This will provide funding for the conversion to electronic Official Personnel Files (OPFs). According to the Office of Personnel Management (OPM), this conversion may be mandated for all Executive Branch agencies in the near future. It is anticipated that Legislative Branch agencies will follow this mandate as well. This is a one-time request to be accomplished in fiscal year 2007. We expect a limited requirement for annual operation costs in successive years.

**Impact if not Funded**: The OPM manages and processes a number of employment processes for Legislative Branch employees. If AOC has not converted to the digital process by the time OPM finishes their conversion, AOC will reportedly have to pay additional servicing fees and the process will be considerably slower, putting our employees at a disadvantage against other workers in the federal workforce. The most significant impact will be on the processing of retirement pay and benefits.

**Project Title: Office Services Van** **$27,000**

**Project Requirement**: Purchase a new van for Office Services.

**Current Situation**: The current Ford van was purchased in 1987 and has reached the end of its useful life. Currently, the air conditioner compressor is inoperable. Overall, the vehicle's age and the inability to get repair parts are the major reasons for the request of a new vehicle.

**Description/Scope**: Purchase a new van for Office Services.

**Impact if not Funded:** Mail delivery will be significantly affected if a new van is not purchased and the current one becomes inoperable.

**Project Title: Building Automation System Network (BASNet) Back-up Upgrades** **$45,000**

**Project Requirement**: Purchase a BASNet back-up upgrade to guard against system failures.

**Current Situation**: There is no spare router or back-up/mirroring software in place to guard against a router or primary server failure.

**Description/Scope**: Purchase and install hot-back-up/mirroring software for the AOC BASnet system servers and a spare CISCO 4507 router to be used as an on-site replacement in the event of a router failure.

**Impact if not Funded:** Should one of our routers or primary servers fail access to the system will be interrupted.

**Project Title: Maintenance Van – High Voltage Shop** **$27,000**

**Project Requirement**: Purchase a new maintenance van for the High Voltage Shop.

**Current Situation**: The existing van was damaged during normal operation and the repairs have not been able to restore the vehicle to its original safe operation. The front end frame is cracked and has been welded several times. The front end will not stay aligned so it wears out tires faster than normal. The front end has a bad shake which is unsafe on the highway.

**Description/Scope**: A new maintenance van is needed to replace the existing one.

**Impact if not Funded:** The High Voltage Shop is tasked with performing scheduled maintenance and repairing electrical systems (street lights and primary/secondary electrical distribution equipment). Serving and maintaining these systems requires transporting heavy and bulky equipment to various locations throughout the Capitol Complex. Continued use of the van will be unsafe and endanger the safety of the High Voltage Shop staff. Without the van, staff cannot perform the required maintenance on the street lights and primary/secondary distribution equipment.

**Project Title: CMD Eyewash Station Installation at DC Village** **$16,000**

**Project Requirement**: Install new eyewash stations at the Construction Branch (CB) facility at DC Village.

**Current Situation**: The building is equipped with only a few permanent eyewash stations. Portable units are installed elsewhere, and some portable units are hidden behind other items, limiting their effectiveness in an emergency. The poor condition of the one permanent unit was noted in the Baseline Safety and Environmental Deficiency Report. Permanent eyewash stations must be installed in all shops and units should be cleaned, maintained and inspected in accordance with American National Standards Institute (ANSI) requirements.

**Description/Scope**: Install new eyewash stations at the facility as the current ones are not safety compliant.

**Impact if not Funded:** The lack of permanent eyewash stations could jeopardize the safety of employees. This project was identified as a Priority 1 – Immediate in the Facilities Condition Assessment.

**Project Title: ACF - HVAC Controls Replacement** **$560,000**

**Project Requirement:** Replace twenty year old Energy Management and Control System (EMCS).

**Current Situation**: After the purchase of the Alternate Computing Facility, the AOC found the HVAC system in disrepair. As devices failed, AOC found that parts were no longer manufactured, extremely hard to locate, and very expensive. The facility uses the original pneumatic control systems for the Heating, Ventilation, and Air Conditioning (HVAC) system. HVAC control replacement is the first of several improvements required to ensure reliability and availability of ACF utility systems. The Energy Management and Control System (EMCS) is viewed as the "brains" of the facility, and in its present condition, the AOC cannot continuously monitor and control environmental conditions within the data centers to achieve its goal as a zero down time facility. AOC has had to control the HVAC equipment in manual mode, causing delayed response times to changing temperature and humidity environmental conditions. This can damage HVAC equipment, create inefficient response times, and jeopardize the critical mission of this facility.

**Description/Scope**: This project will replace the entire existing pneumatic controls with full Direct Digital Control (DDC) of all equipment This new control system will be BACNET compatible with the central monitoring system at the Capitol Complex. A local terminal will also be necessary for local control and troubleshooting. The new system will significantly improve utility system control and operation with central and remote monitoring and control capabilities.

**Impact if not Funded:** If the controls are not replaced, AOC cannot ensure continued proper operation of all HVAC systems in the ACF. As a result, down time can be increased to the House, Senate, Library, and Architect of the Capitol mission critical systems. This project was identified as a Priority 1 - Immediate in the recently completed Facilities Condition Assessment.

**Project Title: ACF Lightning Protection System Installation** **$165,000**

**Project Requirement**: Install code-compliant lightning protection system for the roof of the Alternate Computing Facility.

**Current Situation**: After purchase of the ACF facility, the AOC found that lightning protection system was insufficent. Without adequate lightning protection, building occupants and mission critical data center equipment are at risk of lightning damage. A lightning strike could damage all of the data center equipment and impact the building electrical system.

**Description/Scope**: This project will provide and install a code-compliant lightning protection system to the roof of the ACF facility. The system will be comprised of lightning rods, cabling, well points and ground rods. Additionally, the rooftop steel and equipment will be bonded to the system. The existing grounding systems will be tested, repaired and tied into the new system.

**Impact if not Funded:** If the lightning protection system is not installed, lightning could strike the building causing severe personal injury and significant damage to the facility and mission critical data equipment.

**Project Title: Load Bank (13.2 kV, 1500 kW)** **$125,000**

**Project Requirement**: Purchase (1) trailer mounted load bank (13.2 kV, 1500 kW) for generator testing.

**Current Situation**: All existing AOC generators and load banks used for testing generators operate at a low voltage level (480 volts or 208 volts). Existing AOC policy is to test the generators using a load bank once a month. The CVC will have three generators (and a planned fourth) which operate at a medium voltage level of 13.2 kilovolt (kV). Existing AOC load bank testing equipment cannot be used to test these generators.

**Description/Scope**: Purchase a trailer mounted load bank to be used to test generators which operate at the 13.2 kV level. The CVC will have three generators (and a planned fourth) which operate at a medium voltage level of 13.2 kV.

**Impact if not Funded**: If the purchase is not made, CVC generators cannot be tested in accordance with AOC policy and National Fire Protection Association 101 recommendations.




## GENERAL ADMINISTRATION (GA)

### CAPITAL (MULTI-YEAR) BUDGET FOR FY 2007

| PROJECT BUDGET - MULTI-YEAR ($000) | | | |
|---|---|---|---|
| Project | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
| Energy Survey of Congressional Buildings | - | 2,100 | New |
| ACF Emergency Vehicle Storage Facility | - | 5,350 | New |
| ACF Land Purchase | - | 5,000 | New |
| **Total** | | **12,450** | |

The Capital (multi-year) Budget for this appropriation consists of the following requirements:

**Project Title: Energy Survey of Congressional Buildings** **$2,100,000**

**Project Requirement**: Develop the protocol for the energy survey, conduct the actual survey and provide a report and a database of energy conservation opportunities and implementation requirements as required by Part 3 of title V of the National Energy Conservation Policy Act.

**Current Situation:** Part 3 of title V of the National Energy Conservation Policy Act (42 U.S.C. 8251 et seq.), *Sec. 552 Energy and Water Savings Measures in Congressional Buildings*, requires the AOC to perform "complete surveys of all congressional buildings every 5 years to determine the cost and payback period of energy and water conservation measures."

**Description/Scope**: Develop the protocol for the periodic energy surveys, conduct the actual surveys and provide a report and a database of energy conservation opportunities and implementation requirements. This effort will include all of the buildings throughout the complex in order to provide a baseline energy strategy. Based on advice received from the Department of Energy (DOE) in regards to the cost of energy studies for large buildings, the requested amount represents a cost of 15 cents per square foot multiplied by the total square footage of 14 million square feet.

**Impact if not Funded**: The AOC will not be in compliance with the requirements of the National Energy Conservation Policy Act of 2005, and will not have a comprehensive understanding of energy usage and required energy saving measures for our buildings. Potential energy savings opportunities will not be identified.

**Project Title: ACF Emergency Vehicle Storage Facility** **$5,350,000**

**Project Requirement**: Construct a weather-tight and secure vehicle storage building at the Alternate Computing Facility with strict environmental controls for storage and maintenance of electronic equipment of House and Senate emergency telecommunications and broadcast vehicles, to include infrastructure for two communication antennas.

**Current Situation**: There is currently not a remote facility to protect House and Senate emergency vehicles. No garage or other suitable area exists to store these vehicles out of the elements.

**Description/Scope** Construct a 50' x 185' weather-tight and secure building for parking and storage of House and Senate telecommunications and broadcast vehicles. Project also includes two reinforced concrete foundation pads for two communication antennas, inclusive of buried electrical and telecommunications conduit, a support room within the building and connectivity to the main facility. The facility includes administrative offices, ten vehicle bays, restroom facilities, and storage/work rooms. Strict temperature and humidity control will also be provided.

**Impact if not Funded**: The emergency vehicles will experience accelerated deterioration due to exposure to the elements. This will create the potential for the vehicles not being operationally ready when the need arises.

**Project Title: ACF Land Purchase** **$5,000,000**

**Project Requirement**: Permanent acquisition of up to 25 acres of land adjacent to the Alternate Computing Facility (ACF).

**Current Situation**: The ACF complex includes 91 acres of land. The acquisition of additional land has been deemed by the Capitol Police Board as integral to the security of ACF operations. The metes and bounds of the additional land have been discussed between AOC and the property owner. A prospective buyer of property adjacent to the land has expressed interest in the same parcel under consideration by the AOC. The owner has offered the land to AOC for $6.50 per square foot.

**Description/Scope**: Permanent acquisition of up to 25 acres of land adjacent to the ACF, to include closing costs.

**Impact if not Funded**: Security and future development of the ACF will be jeopardized due to insufficient stand-off and buffer zones.

# GA Functional Budget Summary Fiscal Year 2007

**OPERATING BUDGET ($000)**

| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
|---|---|---|---|---|---|
| Payroll (PR) | 42,678 | 37,595 | 45,167 | 48,008 | 2,841 |
| Administrative (AD) | 3,785 | 3,896 | 4,017 | 4,980 | 963 |
| Architecture Engineering Services (AE) | 397 | 356 | 397 | 397 | - |
| Construction Services (CS) | 75 | 75 | 75 | 75 | - |
| Electronic Systems (EC) | 1,102 | 890 | 801 | 801 | - |
| Facilities Maintenance (FM) | 394 | 387 | 396 | 459 | 63 |
| General Facilities (GF) | 7,950 | 7,945 | 6,146 | 6,252 | 106 |
| Information Resource Management (IR) | 15,700 | 16,721 | 14,034 | 24,476 | 10,442 |
| Jurisdiction Centralized Activities (JR) | 2,209 | 2,116 | 2,188 | 1,412 | (776) |
| Safety, Fire, and Environmental (SF) | 2,557 | 2,374 | 2,476 | 2,349 | (127) |
| **Total** | **76,847** | **72,356** | **75,697** | **89,209** | **13,512** |

**PROJECT BUDGET - ANNUAL ($000)**

| Project | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
|---|---|---|---|---|---|
| Study - Emergency Power Requirements (CPM) | | | 347 | | |
| Conversion to Electronic OPFs | | | | 850 | |
| Office Services Van | | | | 27 | |
| BASNet Back-Up Upgrades | | | | 45 | |
| Maintenance Van - High Voltage Shop | | | | 27 | |
| Load Bank (13.2 kv, 1,500 kw) | | | | 125 | |
| CMD Eyewash Station Installation at DC Village | | | | 16 | |
| ACF HVAC Controls Replacement | | | | 560 | |
| ACF Lightning Protection System Installation | | | | 165 | |
| **Total** | **655** | | **347** | **1,815** | **1,469** |

**PROJECT BUDGET - MULTI-YEAR ($000)**

| Project | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
|---|---|---|---|---|---|
| Energy Survey of Congressional Buildings | | | | 2,100 | |
| ACF Emerg Vehicle Storage Facility | | | | 5,350 | |
| ACF Land Purchase | | | | 5,000 | |
| **Total** | **2,202** | | | **12,450** | **12,450** |

**TOTAL BUDGET ($000)**

| | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
|---|---|---|---|---|---|
| Total Operating Budget | 76,847 | 72,356 | 75,697 | 89,209 | 13,512 |
| Total Project Budget - Annual | 655 | | 347 | 1,815 | 1,469 |
| Total Annual Budget | 77,502 | 72,356 | 76,044 | 91,024 | 14,981 |
| Total Project Budget - Multi-Year | 2,202 | - | - | 12,450 | 12,450 |
| **Total Budget** | **79,704** | **72,356** | **76,044** | **103,474** | **27,430** |
| Full Time Equivalent (FTE) | 362 | | 362 | 368 | 6 |

# CAPITOL BUILDING (CB)

## INTRODUCTION

The Architect of the Capitol is responsible for the maintenance, repair, operations, and preservation of the structural, architectural, and utilities infrastructure (mechanical and electrical), as well as the domestic care and the preservation of integral works of art in the U.S. Capitol Building.

### FISCAL YEAR 2007 BUDGET AND FTE SUMMARY*

| TOTAL BUDGET ($000) | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/ rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Total Operating Budget | 23,891 | 12,903 | 14,130 | 14,664 | 534 |
| Total Project Budget- Annual | 866 | 998 | 771 | 1,848 | 1,077 |
| Total Annual Budget | 24,757 | 13,901 | 14,901 | 16,512 | 1,611 |
| Total Project Budget- Multi-Year | | | 8,217 | 14,695 | 6,478 |
| Total Project Budget- No- Year | 3,869 | | | | |
| **Total** | **28,626** | **13,901** | **23,118** | **31,207** | **8,089** |
| Full Time Equivilant (FTE) | 172 | | 178 | 178 | |

### FISCAL YEAR 2007 OBJECT CLASS
**Schedule A ($000)**

| Object Class | FY 2005 Actual * | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|
| 11 Personnel Compensation | 8,882 | 8,045 | 9,165 | 1,120 |
| 12 Personnel Benefits | 2,848 | 2,473 | 2,898 | 425 |
| 21 Travel | 14 | | | |
| 22 Transportation of Things | | | | |
| 23 Rent, Communications and Utilities | | | | |
| 24 Printing and Reproduction | | | | |
| 25 Other Contractual Services | 5,177 | 4,443 | 10,491 | 6,048 |
| 26 Supplies and Materials | 768 | 1,495 | 949 | (546) |
| 31 Equipment | | 170 | 62 | (108) |
| 32 Land and Structures | 17,961 | 6,492 | 7,642 | 1,150 |
| 41 Grants | | | | |
| 42 Insurance Claims and Indemnities | | | | |
| 43 Interest | | | | |
| 44 Refunds | | | | |
| **Total, Budget** | **35,650** | **23,118** | **31,207** | **8,089** |

* FY 2005 Actual represents total obligations of funds incurred in FY 2005, irrespective of the year of appropriation

* The tables included in this budget submission have rounding variances to the nearest thousandth.




## CAPITOL BUILDING (CB)

**Detailed Analysis of Change by Appropriation**
**Schedule B**

| | FY 2007 Agency Request FTE | Amount (000) |
|---|---|---|
| **Appropriation, FY 2006** | **178** | **23,352** |
| Minus Rescission | | (234) |
| **Adjusted Appropriation, FY 2006** | | **23,118** |
| **Program Decreases** | | |
| Curator Services (CR) | | (297) |
| Facilities Maintenance (FM) | | (906) |
| House Restaurant (HR) - Replace & Improvements | | (108) |
| Restoration of East Front Bronze Doors | | (248) |
| Emergency Electrical Service, Capitol | | (2,980) |
| West Terrace Egress Doors & Stairs | | (1,617) |
| Emergency Exit Signs & Lighting, Phase III, USC | | (1,000) |
| **Total, Program Decreases** | - | **(7,156)** |
| **Mandatory and Related Costs:** | | |
| Cost of Living - Annualization of Cost of Living 2006 | | 11 |
| Cost of Living 2007 | | 255 |
| Within-grade Increases and Pay Adjustments | | 162 |
| Awards | | 1 |
| Retirement Increases | | 42 |
| FEHBA/FEGLI | | 56 |
| Transit Subsidy | | 5 |
| **Total, Mandatory Pay Related Costs** | - | **532** |
| **Price Level Changes:** | | |
| | | 0 |
| **Total, Price Level Changes** | - | **0** |
| **Program Increases:** | | |
| Curator Services (CR) | | |
| Conservation of Wall Paintings | | 500 |
| Payroll (PR)- Transferred FTEs (13) | | 1,013 |
| Jurisdiction Centralized Activities (JR) | | 300 |
| Legislative Call System | | 150 |
| Minton Tile Replacement | | 175 |
| Exterior Painting U. S. Capitol Building | | 1,000 |
| Egress Door Upgrade, West Brumdi Corridor, USC | | 480 |
| Redundant Fire Pump Installation, Senate Side, USC | | 1,040 |
| Security Improvements, House Chambers, USC | | 3,500 |
| Studies, Design, & Condition Assessment (SDCA) | | 6,055 |
| Minor Construction (MC) | | 500 |
| **Total, Program Increases** | - | **14,713** |
| **Net Increase** | - | **8,089** |
| **Total Appropriation** | **178** | **31,207** |




# CAPITOL BUILDING (CB)

## OPERATING BUDGET

The Operating Budget for this appropriation is comprised of all costs associated with the daily care, maintenance and operation of the facilities and activities under the jurisdiction of the U.S. Capitol Building. The budget justification for the Operating Budget includes the below summary schedule that incorporates the following data: the Program Group and columns indicating funding levels for fiscal years 2005, 2006, and 2007, as well as the obligations for fiscal year 2005. Following this summary schedule are the Operating Allotment narratives that describe the purpose of all operating allotments funded in this appropriation. When increases or decreases have been requested for fiscal year 2007, the amount and justification for those changes appear in italics. In accordance with sound financial management practice, these allotments are reviewed and adjusted to reflect changing needs. Increases that cannot be absorbed are requested through the budget process.

**Summary Schedule**

| OPERATING BUDGET ($000) | | | | | |
|---|---|---|---|---|---|
| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
| Payroll (PR) | 10,005 | 9,526 | 10,518 | 12,063 | 1,545 |
| Curator Services (CR) | 232 | 232 | 383 | 86 | (297) |
| Facilities Maintenance (FM) | 2,543 | 2,570 | 2,787 | 1,881 | (906) |
| House Restaurants (HR) | 31 | 31 | 139 | 31 | (108) |
| Jurisdiction Centralized Activities (JR) | 385 | 367 | 248 | 548 | 300 |
| Miscellaneous Improvements (MI) | 149 | 147 | 24 | 24 | |
| Senate Restaurants (SR) | 31 | 31 | 31 | 31 | |
| CVC Payroll; Facility Maint; & Start-up Operations | 10,515 | | | | |
| **Total** | **23,891** | **12,903** | **14,130** | **14,664** | **534** |






## OPERATING BUDGET NARRATIVE DESCRIPTIONS

**Payroll Program Group (PR)**: Provides funding for personnel compensation and personnel benefits for the general administrative support of facilities under the U.S. Capitol Building jurisdiction. Included are Government staff salaries and other personal services (i.e., paid leave and lump sum annual leave payments upon separation; for compensation above basic rates including, overtime, holiday pay, the Civil Service Retirement System, the Federal Employees Retirement System, Social Security and Medicare); agency contributions to the Federal Employees Health Benefits Program (FEHBP), Federal Employees Group Life Insurance (FEGLI), and subsidies paid to employees for commuting costs.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Compensation | 8,045 | 380 | 740 | 9,165 |
| Personnel Benefits | 2,473 | 152 | 273 | 2,898 |
| **Payroll (PR)** | **10,518** | **532** | **1,013** | **12,063** |

**Personnel Compensation (PR01)** **$9,165,000**

This allotment provides for salaries and wages paid directly to employees including paid leave and lump sum annual leave payments upon separation. This allotment also provides for compensation above basic rates including, overtime, holiday pay, Sunday pay, night work differential, supervisory differential, and hazardous duty pay.

*Price Level Increase* *$380,000*

*The increase consists of cost of living adjustments (COLA's) for fiscal year 2007 including the annualization of the January, 2006 COLA and locality pay adjustments for general schedule employees; the COLA and locality pay adjustments for general schedule employees in January, 2007; and the October, 2006 COLA for wage-board employees; and within-grade increases and other pay adjustments.*

*Program Increase, Transferred FTEs (13):* *$740,000*

*The requested program increase is due to a transfer of 13 FTEs as approved by the Committees in the fiscal year 2006 Operating Plan. Funding was transferred from the Facilities Maintenance Program Group to the Personnel Compensation Program Group to convert the temporary positions associated with accomplishing repair and maintenance work to permanent positions. The benefits of this realignment provides acknowledgement that these functions are repair and maintenance duties, are required on an annual and continuing basis, and are properly performed and accomplished by permanent employees. Additionally, this FTE transfer conforms to direction issued by the oversight committees that all non-permanent employees in the agency be engaged in "temporary, project-related" activities.*

**Personnel Benefits (PR02)** **$2,898,000**

This allotment provides for personnel benefits for employees including contributions for retirement to the Civil Service Retirement System, the Federal Employees Retirement System, Social Security and Medicare. Also included are agency contributions to the Federal Employees Health Benefits Program (FEHBP), the Federal Employees Group Life Insurance (FEGLI), and subsidies paid to employees for commuting costs.

*Price Level Increase* *$152,000*

*The price level increase for fiscal year 2007 is attributable to increased costs of agency contributions for employees' health benefits, retirement funds, and for increased participation in the transit subsidy program.*

*Program Increase, Transferred FTEs (13):* *$273,000*

*The requested program increase is due to a transfer of 13 FTEs as approved by the Committees in the fiscal year 2006 Operating Plan. Funding was transferred from the Facilities Maintenance Program Group to the Personnel Compensation Program Group to convert the temporary positions associated with accomplishing repair and maintenance work to permanent positions. The benefits of this realignment provides acknowledgement that these functions are repair and maintenance duties, are required on an annual and continuing basis, and are properly performed and accomplished by permanent employees. Additionally, this FTE transfer conforms to direction issued by the oversight committees that all non-permanent employees in the agency be engaged in "temporary, project-related" activities.*

**Curator Services Program Group (CR)**: Provides for conservation of works of art consisting of over 800 paintings, sculptures, and decorative objects, 300 gilded picture and mirror frames, updating floor display cases in the U. S. Capitol Building, and the rotation of exhibits.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Conservation of Wall Paintings | 297 | | (297) | |
| Works of Art Repairs | 76 | | | 76 |
| Display Cases in Crypt | 10 | | | 10 |
| **Curator Services (CR)** | **383** | | **(297)** | **86** |

**Conservation of Wall Paintings (CR01)** **$0**

This allotment provides for the conservation of wall murals on the House and Senate sides of the U.S. Capitol in addition to funding the ongoing conservation in the Brumidi Corridors.

*Program Decrease* *($297,000)*

*The requested decrease of $297,000 is a request to transfer annual funding for conservation of wall murals effort to multi-year funding. This funding has historically been appropriated as annual, however, based on the type of work, the fact that it is dependent on accessibility, and to better facilitate the execution of funding.*




## CAPITOL BUILDING (CB)

**Works of Art – Repairs (CR02)** **$77,000**

This allotment provides for repairs to works of art that are determined to be high in priority because of their condition and/or prominent location. The funds are allocated among works of art in a variety of media, including paintings, sculptures, gilded frames, and works on paper and other preservations. The Architect has been focusing in recent years on jointly owned art, such as the National Statuary Hall Collection in which the whole collection was surveyed in 2002 and a database created to record inspections and treatments. The sculptures are being conserved in groups. Attention has also been given to training in-house forces to use proper techniques to dust the sculptures. Because the U.S. Capitol receives millions of visitors and does not have the controlled environment of a museum, the need for conservation to repair damage is constant. The Architect of the Capitol's conservation program is managed by the Curator, who keeps abreast of advances in conservation principles and techniques and who seeks out highly qualified conservators in each specialty. Conservators are required to be members of the American Institute for Conservation (AIC) and to abide by the AIC Code of Ethics and Guidelines for Practice, which include thorough documentation. The Curator's Office maintains records on the works of art and the conservation reports.

**Display Cases U.S. Capitol (CR03)** **$10,000**

This allotment provides funding to update the eight floor display cases in the crypt area as well as other areas throughout the U.S. Capitol Building. These cases detail the construction of the U.S. Capitol and selected subjects relating to its history and art. The cases are updated as needed and new exhibits are added as appropriate. Overall, the cases have served the intended function of providing a succinct overview of the history of the U.S. Capitol for staff and visitor orientation. The funds have also been used for rotating exhibits in the wall cases and the more three-dimensional exhibits in the two large cases on the north and south area of the crypt.




## CAPITOL BUILDING (CB)

**Facilities Maintenance Program Group (FM)**: Provides funding for annual building maintenance services required throughout the Capitol Building, to include repairing and modifying air conditioning systems, electrical systems, elevators, masonry, plumbing; custodial services; preventative interior and exterior building maintenance (e.g., painting, pointing, caulking, and surface preservation); insect and pest control; solid and bulk waste disposal; maintenance of fire alarm systems; and chimney cleaning and repairs.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Heating,Ventilation & A/C (HVAC) | 162 | | 20 | 182 |
| Painting | 505 | | (460) | 45 |
| Electrical | 97 | | | 97 |
| Elevator | 105 | | 18 | 123 |
| Masonry | 110 | | (75) | 35 |
| Plumbing | 40 | | 11 | 51 |
| Carpentry | 58 | | | 58 |
| Sheet Metal | 38 | | | 38 |
| Labor Services | 125 | | | 125 |
| Cleaning | 175 | | | 175 |
| Building Exterior (Includes Pointing & Caulking) | 80 | | (70) | 10 |
| Insect & Pest Control | 8 | | | 8 |
| Fire Protection Testing/Maintenance | 60 | | | 60 |
| Roof Preventive Maintenance Program | 160 | | (140) | 20 |
| Hazardous Materials Abatement | 270 | | (210) | 60 |
| Maint of Architectural Surfaces | 115 | | | 115 |
| Equipment Repairs & Maintenance | 4 | | | 4 |
| Miscellaneous | 13 | | | 13 |
| Equipment | 75 | | | 75 |
| Chandelier Cleaning | 417 | | | 417 |
| Door Restoration | 70 | | | 70 |
| Facility Maintenance Inventory Mgmt | 100 | | | 100 |
| **Facilities Maintenance (FM)** | **2,787** | | **(906)** | **1,881** |

**Heating, Ventilation & A/C (HVAC) (FM01)** **$182,000**

This allotment provides for maintenance of all the air-conditioning equipment in the U.S. Capitol, which includes: filters, oil, grease, cleaning equipment, tools, paint, and refrigerant for the air-conditioning equipment. Also supported by this allotment is the extensive repair of air handlers, exhaust, and smoke exhaust systems serving the working fireplaces within the U.S. Capitol Building. Maintenance is also performed on kitchen ducts, hoods, and other parts of the kitchen exhaust systems in the House and Senate Restaurants of the U.S. Capitol; cooling and heating coil replacements; and repair of refrigeration machines and other appurtenant equipment.

*Program Increase* *$20,000*

*The requested program increase of $20,000 is for additional material costs associated with an increase in filter service requirements caused by six (6) additional units requiring enhanced filtration in the U.S. Capitol Building.*

**Painting (FM02)** **$45,000**
This allotment provides for painting all public and private spaces in the U.S. Capitol Building. Funds are used to purchase painting materials.

*Program Decrease* *($460,000)*
*The requested program decrease is attributable to a transfer of 6 FTEs as approved by the Committees in the fiscal year 2006 Operating Plan. Transferred $460,000 from this Facilities Maintenance Program Group to the Personnel Compensation Program Group to convert the temporary positions associated with accomplishing this repair and maintenance work to permanent positions. The benefits of this realignment provides acknowledgement that these functions are repair and maintenance duties, are required on an annual and continuing basis, and are properly performed and accomplished by permanent employees. Additionally, this FTE transfer conforms to direction issued by the oversight committees that all non-permanent employees in the agency be engaged in "temporary, project-related" activities.*

**Electrical (FM03)** **$97,000**
This allotment provides for maintenance and upkeep of the electrical systems within the U.S. Capitol Building, as well as the numerous electronic and electrical systems that have been recently installed in support of the Americans with Disabilities Act (ADA) and life safety upgrades in the building (such as electrical door openers and emergency egress hardware).

**Elevator Maintenance and Repairs (FM04)** **$123,000**
This allotment provides for maintenance and upkeep of 18 passenger elevators, 2 freight elevators, 3 kitchen elevators, one lift servicing the flag flying operation, and 4 escalators in the U.S. Capitol Building, including such items as hoisting cables, repair and replacement parts, lubricants, oil, grease, tools and cleaning fluids. Also provides for the inspection, testing and certification of the elevators and escalators as required by code.

*Program Increase* *$18,000*
*The requested program increase of $18,000 will provide contractual services for the installation of one new set of step chains for the escalators on the Senate side of the U.S. Capitol Building.*

**Masonry (FM05)** **$35,000**
This allotment provides for maintenance and repair of the stone and brickwork within the U.S. Capitol Building.

*Program Decrease* *($75,000)*
*The requested program decrease is attributable to a transfer of 1 FTE as approved by the Committees in the fiscal year 2006 Operating Plan. Transferred $75,000 from this Facilities Maintenance Program Group to the Personnel Compensation Program Group to convert the temporary positions associated with accomplishing this repair and maintenance work to permanent positions. The benefits of this realignment provides acknowledgement that these functions are repair and maintenance duties, are required on an annual and continuing basis, and are properly performed and accomplished by permanent employees. Additionally, this FTE transfer conforms to direction issued by the oversight committees that all non-permanent employees in the agency be engaged in "temporary, project-related" activities.*

**Plumbing (FM06)** **$51,000**
This allotment provides for necessary plumbing services to maintain the water supply and waste lines, restroom and kitchen plumbing fixtures, and standpipe systems throughout the U.S. Capitol Building.

*Program Increase* *$11,000*
*The requested program increase of $11,000 is attributable to mandated water sampling in the U.S. Capitol Building for lead testing by the AOC Safety and Environmental Health Division. This includes 20% testing per year over a five year period on all fixtures that water is drawn from for consumption (drinking fountains, bar sinks, coffee makers, icemakers, kitchen sinks, etc). In addition, 2% of the fixtures (utility sinks, other miscellaneous fixtures) not typically used for consumption will be tested annually.*

**Carpentry (FM07)** **$58,000**
This allotment provides for necessary carpentry and woodworking support for the U.S. Capitol.

**Sheet Metal (FM08)** **$38,000**
This allotment provides for maintenance and repair of ductwork, door closures, and other sheet metal infrastructure for the U.S. Capitol.

**Labor Services (FM09)** **$125,000**
This allotment provides for erecting of scaffolding, cleaning of certain special wood floors, materials and supplies, and other labor support for the U.S. Capitol.

**Cleaning (FM12)** **$175,000**
This allotment provides for contractual support of daytime cleaning, policing of the public restrooms and public spaces on the House side of the U.S. Capitol Building.

**Building Exterior (Includes Pointing and Caulking) (FM15)** **$10,000**
The preventive maintenance program for exterior pointing and caulking was established in Fiscal Year 1982. The purpose of the program is to provide routine annual maintenance, including power washing to the exterior stonework and other masonry to avoid costly repairs and building damage.

*Program Decrease* *($70,000)*
*The requested program decrease is attributable to a transfer of 1 FTE as approved by the Committees in the fiscal year 2006 Operating Plan. Transferred $70,000 from this Facilities Maintenance Program Group to the Personnel Compensation Program Group to convert the temporary positions associated with accomplishing this repair and maintenance work to permanent positions. The benefits of this realignment provides acknowledgement that these functions are repair and maintenance duties, are required on an annual and continuing basis, and are properly performed and accomplished by permanent employees. Additionally, this FTE transfer conforms to direction issued by the oversight committees that all non-permanent employees in the agency be engaged in "temporary, project-related" activities.*

**Insect and Pest Control (FM16)** **$8,000**
This allotment provides for a pest control program throughout the U.S. Capitol Building via contract, as well as providing for the emergency and unforeseen service calls that occur each year.

**Fire Protection Testing/Maintenance (FM19)** **$60,000**
This allotment provides for contractual testing of fire and smoke alarm systems performed annually to meet fire and life safety codes.

**Roofing Preventive Maintenance Program (FM21)** **$20,000**
This allotment provides for ongoing maintenance and replacement of sections of upper roofing of the U.S. Capitol Building.

*Program Decrease* *($140,000)*
*The requested program decrease is attributable to a transfer of 2 FTEs as approved by the Committees in the fiscal year 2006 Operating Plan. Transferred $140,000 from this Facilities Maintenance Program Group to the Personnel Compensation Program Group to convert the temporary positions associated with accomplishing this repair and maintenance work to permanent positions. The benefits of this realignment provides acknowledgement that these functions are repair and maintenance duties, are required on an annual and continuing basis, and are properly performed and accomplished by permanent employees. Additionally, this FTE transfer conforms to direction issued by the oversight committees that all non-permanent employees in the agency be engaged in "temporary, project-related" activities.*

**Hazardous Materials Abatement (FM22)** **$60,000**
This allotment provides for encapsulation or removal of asbestos containing materials and lead-based paint in the U.S. Capitol Building in accordance with Occupational Safety and Health Administration (OSHA) Standards when discovered during the normal course of routine maintenance work.

*Program Decrease* *($210,000)*
*The requested program decrease is attributable to a transfer of 3 FTEs as approved by the Committees in the fiscal year 2006 Operating Plan. Transferred $210,000 from this Facilities Maintenance Program Group to the Personnel Compensation Program Group to convert the temporary positions associated with accomplishing this repair and maintenance work to permanent positions. The benefits of this realignment provides acknowledgement that these functions are repair and maintenance duties, are required on an annual and continuing basis, and are properly performed and accomplished by permanent employees. Additionally, this FTE transfer conforms to direction issued by the oversight committees that all non-permanent employees in the agency be engaged in "temporary, project-related" activities.*

**Maintenance of Architectural Surfaces (FM25)** **$115,000**
This allotment provides for systematic specialized cleaning of architectural elements in the U.S. Capitol. This includes architectural elements, as well as the simulated bronze capitals around the grand marble staircases. The work includes cleaning the marble columns, walls, staircases, and baseboards. Also included is the cleaning of decorative finishes, including the scagliola, an imitation marble created in the 1850's by specialists mixing plaster, marble dust, and pigments.

**Equipment Repairs and Maintenance (FM26)** **$4,000**
This allotment provides for maintenance and repair of materials handling equipment such as the forklifts, hand carts, as well as floor maintenance equipment and other equipment used by the U.S. Capitol Building Superintendents' workforce.

**Miscellaneous (FM30)** **$13,000**
This allotment provides necessary funding for support services required by various divisions within the U.S. Capitol Building for unforeseen events.




## CAPITOL BUILDING (CB)

**Equipment (FM31)** **$75,000**
This allotment provides for the purchase and replacement of hand tools and major equipment for the various maintenance shops and offices in the U.S. Capitol. Many of the maintenance shops are in need of up-to-date equipment that is safe, reliable and efficient. This allotment provides sufficient funds for the timely replacement of old or obsolete equipment, as well as new equipment with more efficient technology.

**Chandelier Cleaning (FM46)** **$417,000**
This allotment provides for restoration and cleaning of the historical and significant crystal chandeliers in Leadership offices, Committee rooms, and public areas of the U.S. Capitol Building. These chandeliers are in need of major restoration to ensure they are preserved and protected for future generations. The goal of this restoration work will be to return the chandeliers as close as possible to their original condition. All metal and glass materials and components that are missing and/or damaged and require replacement will be replaced with exact replicas. Based on work done in this area over the past several years, the estimated cost for this restoration work is between $25,000 and $35,000 per chandelier, depending on its size and complexity. Funding was initially provided in Fiscal Year 2002 to begin this work, and it is expected that funding will remain in the base until the program is completed. Additionally, this allotment includes funding for the procurement of contractual services to provide annual cleaning of these crystal chandeliers. This routine and scheduled cleaning ensures that these chandeliers are properly maintained and thoroughly inspected on a regular basis.

**Door Restoration (FM53)** **$70,000**
This allotment provides for the refinishing and maintenance of the hundreds of fine mahogany and walnut doors throughout the U.S. Capitol Building.

**Facility Maintenance Inventory Management (FM61)** **$100,000**
This allotment provides for contractual inventory technician services to assist with the implementation of a new facility maintenance inventory management system. The system uses bar codes and scanners, which must be installed and tested at the many inventory sites throughout the U.S. Capitol Building. This requirement is being driven by the AOC's Strategic Plan.

**House Restaurants Program Group (HR)**: Provides for preventative maintenance, repairs and replacement of parts and equipment in the House restaurant cafeterias, carry-outs and catering facilities located on the House side of the U.S. Capitol.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| House Rest Facility - Replace & Improvements | 139 | | (108) | 31 |
| **House Restaurants (HR)** | **139** | | **(108)** | **31** |

**House Restaurant Facilities – Replace & Improvements (HR02)** **$31,000**
This allotment provides for preventative maintenance, repairs and replacement of parts and equipment in the House restaurant cafeterias, carry-outs and catering facilities.

*Program Decrease* *($108,000)*
*The requested program decrease of $108,000 is attributable to no additional equipment requested by the Chief Administrative Officer's (CAO), Restaurant Administration Office for Fiscal Year 2007. Therefore, funding for the House Restaurant facilities will return to the historically required funding level.*

**Jurisdiction Centralized Activities Program Group (JR)**: Provides funding for training, registration, and seminar fees; travel cost for training (local and long distance); safety apparel and uniform allowances; waste recycling and election year moves.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Uniform Allowance | 53 | | | 53 |
| Safety Apparel | 40 | | | 40 |
| Emergency Preparedness | | | 150 | 150 |
| Waste Recycling Program | 5 | | | 5 |
| Election Year Moves | | | 150 | 150 |
| Training/Registration/Seminar | 150 | | | 150 |
| **Jurisdiction Centralized Activities (JR)** | **248** | | **300** | **548** |

**Uniform Allowance (JR01)** **$53,000**
This allotment provides for uniforms for the employees of the U.S. Capitol Building Superintendents' staff.

**Safety Apparel (JR02)** **$40,000**
This allotment provides for personal protective equipment (PPE) and apparel for the employees of the U.S. Capitol Building Superintendent's staff.

**Emergency Preparedness (JR03) (New)** **$150,000**
*This new allotment provides funding for jurisdiction specific training, exercises, equipment, materials and services in preparation for, and responding to, emergency events. In addition to internal emergency preparedness, AOC supports Legislative Branch agencies within its jurisdiction by leading damage assessment and recovery operations. Personnel must be trained, exercised, and equipped to access, and recover facilities in a hazardous environment following safe and accountable procedures.*

**Waste Recycling Program (JR10)** **$5,000**
This allotment provides for the continuance of the comprehensive recycling program for the U.S. Capitol Building. Items to be procured include recycling containers, and associated support and promotional materials.

**Election Year Moves (JR20)** **$150,000**
This allotment provides for temporary labor to accommodate any moves or space reassignments that may arise during an election year.

*Program Increase* *$150,000*
*The requested program increase of $150,000 is to facilitate the office moves and related activities in the U.S. Capitol associated with the fiscal year 2007 election year.*

**Training/Registration/Seminar (JR91)** **$150,000**
This allotment is used to train U.S. Capitol Buildings' employees in technical areas related to the employees' job including safety and OSHA standards and in programs such as prevention of sexual harassment, understanding employee rights and responsibilities, substance abuse, and other subjects. This training is required for all current and new employees. Additionally, the agency provides supervisory, technical skills and staff development training and sponsors basic educational skills training.

**Miscellaneous Improvements Program Group (MI)** **$24,000**
This allotment provides for a variety of miscellaneous improvement projects to be accomplished as requested by Members, Officers, Committees, and support organizations throughout the U.S. Capitol Building. Projects on the House side of the U.S. Capitol costing over $1,000 are approved by the Speaker, and projects on the Senate side of the U.S. Capitol costing over $5,000 are approved by the Senate Committee on Rules and Administration and the Committee on Appropriations.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Miscellaneous Improvements | 24 | | | 24 |
| **Miscellaneous Improvements (MI)** | **24** | | | **24** |

**Senate Restaurants Program Group (SR)**: Provides for preventative maintenance, repairs, and replacement of parts and equipment in the Senate restaurant cafeterias, carry-outs and catering facilities located on the Senate side of the U.S. Capitol.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Senate Rest Facility & Improvements | 31 | | | 31 |
| **Senate Restaurants (SR)** | **31** | | | **31** |

**Replace and Improve Senate Restaurant Facilities (SR02)** **$31,000**
This allotment provides for replacement of worn, deteriorated equipment and for improvements and additional equipment for the Senate Restaurant facilities.

## CAPITOL BUILDING (CB)

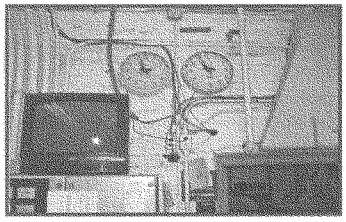
### ANNUAL NON-RECURRING PROJECTS FOR FY 2007

| PROJECT BUDGET - ANNUAL ($000) | | | |
|---|---|---|---|
| Project | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
| Legislative Call System, USC | | 150 | New |
| Computer, Telecom, & Electrical Support | 298 | 298 | |
| Minton Tile Replacement | 225 | 400 | 175 |
| Exterior Painting U.S. Capitol Building | | 1,000 | New |
| **Total** | **523** | **1,848** | |

**Project Title: Legislative Call System Upgrade, USC** **$150,000**

**Project Requirement**: Upgrade the legislative call system and replace the associated clocks.

**Current Situation**: The legislative clocks and call system is a key component of the day-to day legislative Congressional process. The system notifies Congressional Members of critical voting activity in their respective chambers. These clocks and the system are approximately 40 years old, and must be replaced because their operation is becoming increasingly unreliable. Currently, there are approximately 200 legislative clocks throughout the Capitol Building.



**Description/Scope**: Upgrade the call system and replace approximately 200 legislative clocks. The new legislative clock system has two clocks that are standard off the shelf items, a 12 inch round analog clock similar to the existing clocks, and a digital display clock. The average cost for these clocks is approximately $675 each (the analog clocks are inexpensive compared to digital). The Electronics Engineering Division (EED) is working with the manufacturer of the clocks to develop custom designs that could be incorporated into the star bars or mantel clocks. It is anticipated that these will cost approximately $1,000 each but this is still a work in progress. Based on these quantities and costs, a budget estimate to replace all legislative and non-legislative standard clocks is $300,000 and to replace the custom clocks (star bars and mantel clocks) is $261,000. EED has recommended that the U.S. Capitol Building request funds to replace all of the standard clocks over a two year period, or $150,000 per year. Funds to replace star bars and mantel clocks will not be requested at this time until a specific solution for them is developed.

**Impact if not Funded**: The system will continue to be unreliable in the U. S. Capitol Building. Members will not have a reliable voting notification system and could potentially overlook key votes.

**Project Title: Computer, Telecom, & Electrical Support** **$298,000**

**Project Requirement**: Upgrade the various wiring systems supporting the telecommunications, closed circuit television, electrical, life safety and advanced security systems in the U.S. Capitol Building.

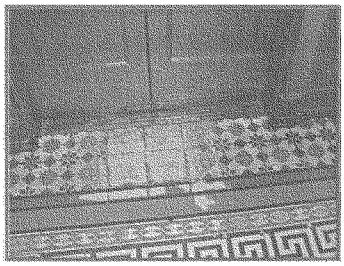
**Current Situation**: The Congressional Accountability Act of 1995 requires that Congress conform to Occupational Safety & Health Administration (OSHA) regulations which do not allow the installation of carpet over wiring, and requires each office have sufficient electrical outlets to accommodate multiple workstations. Currently, electrical and telecommunications equipment are connected by wiring or cabling run underneath carpeting or on top of tile flooring and power strips are "daisy chained" together which could result in a fire or tripping hazard. In addition, the current wiring systems in the U.S. Capitol Building do not support the high speed telecommunications and data transmissions for current and projected demands for increased capability of the telecommunications, closed circuit television, and electrical systems as well as on-going programs for the installation of life safety systems and advanced security systems in the U.S. Capitol Building.

**Description/Scope**: This work includes the channeling of masonry walls and related removal of lead based paint, removal and subsequent replacement of tile flooring, installation of conduits, plastering and painting to install wiring systems supporting the telecommunications, closed circuit television, electrical, life safety and advanced security systems in the U.S. Capitol Building.

**Impact if not Funded**: The life safety and security systems proposed for the U.S. Capitol will not be possible without upgrades to the supporting wiring systems; the building will not be in compliance with OSHA regulations; and, the building occupants will not be able to take advantage of the advances in telecommunications and data transmission fields.

**Project Title: Minton Tile Replacement** **$400,000**

**Project Requirement**: Replace worn Minton Tiles on the floors of the U.S. Capitol Building:



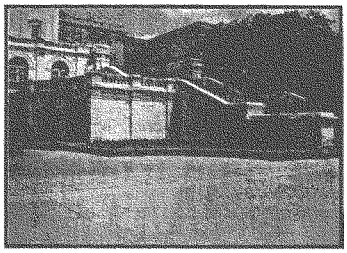
**Current Situation**: The existing Minton floor tiles were manufactured and installed throughout the U.S. Capitol in the mid-nineteenth century. For over 140 years, most of these tiles have endured daily wear. As a result, some tiles in heavily traveled areas are worn to the extent that the decorative design is unrecognizable and are badly cupped, which creates an uneven floor surface. This is a potential safety hazard (tripping, falls, etc).

**Description/Scope**: This project represents an on-going, phased program of Minton Floor Tile replacement which dates back to 1981. The AOC has employed the services of the original Minton Floor Tile manufacturer in reviving the hand manufacturing process and providing new replicas of original tiles for replacement. The original Minton Floor tiles were manufactured from 1856-1859 and were installed throughout the U.S. Capitol House and Senate wings. This program involves documenting, recording and replicating original individual tiles with new matching replacement tiles. An organized program of tile replacement is being undertaken according to a

series of manageable phases of yearly purchases. The final purchases for these tiles are scheduled to occur in Fiscal Years 2008, 2009, 2010. Subsequent installation is dependent upon coordination with the U.S. Capitol Infrastructure Modernization Master Plan.

**Impact if not Funded**: The original decorative Minton Tile design will be ultimately lost forever. The result will be major aesthetic and historic preservation implications for the future of the U.S. Capitol. Uneven wear will also continue to create a safety hazard for Members, staff and visitors as they circulate through the U.S. Capitol.

**Project Title: Exterior Painting, United States Capitol Building** **$1,000,000**



**Project Requirement**: Exterior painting includes the painted stone surfaces of the central portion of the West Front, of the United States Capitol Building.

**Current Situation**: The exterior painting work to the central portion of the West Front, of the United States Capitol was last performed in fiscal year 2000. Exterior re-painting of the exterior of the building should occur every four years. However, in Fiscal Year 2005, inaugural preparations were underway, and re-painting could not be performed.

**Description/Scope**: This activity provides funding for the exterior painting, to include the painted stone surfaces of the central portion of the West Front, of the U.S. Capitol Building. Funding is being requested in Fiscal Year 2007 to ensure the work is completed prior to the Presidential Inaugural in January 2009.

**Impact if not Funded**: The exterior surfaces of the building will continue to deteriorate, and will not meet the standards or be in a less than pristine condition for the next Presidential Inauguration.

## CAPITOL BUILDING (CB)

### CAPITAL BUDGET PROJECTS FOR FY 2007

The Capital (multi-year) Budget for this appropriation is divided into the following four categories:

1) *Capital Projects involving major construction or systems replacement requirements that typically address fire, life safety, security, and cyclical maintenance concerns. These projects have been vetted through the Capital Improvements Plan (CIP) process and, where applicable, have met the 100% design documentation requirement as set forth in HR 107-169.*
2) *Capital Projects necessary to sustain and provide for congressional and legislative branch agency mission requirements that do not meet the CIP criteria (construction projects greater than $250,000 requiring design documentation).*
3) *Minor Construction requirements involving minor construction, repair, and building alterations that provide jurisdictions the flexibility to respond to unforeseen minor construction requirements as generated from Members, Officers, Committees, and other AOC Clients.*
4) *Study, Design and Condition Assessment (SDCA) provides resources to enable the AOC to conduct 100% design of proposed projects; initiate studies for improved working efficiencies; and condition assessments that enable management to plan maintenance, preservation, and structural and mechanical work cycles.*

| PROJECT BUDGET - MULTI-YEAR ($000) | | | |
|---|---|---|---|
| Projects | FY 2006 Enacted w/ Rescission | FY 2007 Request | FY06 to FY07 Difference |
| Emergency Electrical Service, Capitol | 2,980 | | (2,980) |
| West Terrace Egress Doors & Stairs | 1,617 | | (1,617) |
| Conservation of Wall Painting, USC | | 500 | New |
| Egress Door Upgrade, West Brumidi Corridor, USC | | 480 | New |
| Redundant Fire Pump Installation, Senate Side, USC | | 1,040 | New |
| Emergency Exit Signs and Lighting, Phase III, USC | 1,000 | | (1,000) |
| Security Improvements, House Chambers, USC | | 3,500 | New |
| Studies, Design, & Condition Assessment (SDCA) | 120 | 6,175 | 6,055 |
| Minor Construction | 2,500 | 3,000 | 500 |
| **Total** | **8,217** | **14,695** | |

**Project Title: Conservation of Wall Painting, USC** **$500,000**

**Project Requirement**: Provide for conservation of wall murals on the House and Senate sides of the U.S. Capitol.

**Current Situation**: The existing baseline of the Conservation of Wall Painting activity was appropriated for $300,000 under annual funding in Fiscal Year 2006. However, based on the type of work, the fact that it is dependent on accessibility, and to better facilitate the execution of funding, multi-year funding is being requested. The additional $200,000 is required to allow for mural conservation on both the House and Senate sides of the Capitol. The increase in funding is due to the cost of mural conservation increases and full-room scaffolds are being provided by contractors rather than the in-house labor force, thereby increasing the cost of each project. In add

**Description/Scope**: This activity provides funding for the conservation of wall murals on the House and Senate sides of the U. S. Capitol in addition to funding the ongoing conservation in the Brumidi Corridors. Safety Code requires that there be sampling and analysis of historic paint layers of murals and decorative painting in both House and the Senate.

**Impact if not Funded**: The wall murals that are in need of conservation will continue to deteriorate, which may cause irreparable damage.

**Project Title: Egress Door Upgrade, West Brumidi Corridor, USC** **$480,000**

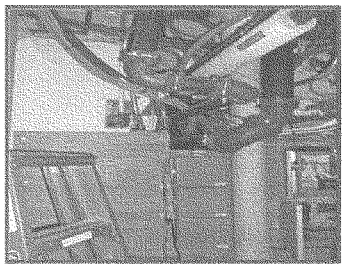
**Project Requirement**: Install a third egress door required by Code in the Senate Side Extension of the U.S. Capitol.

**Current Situation**: Existing means of egress do not meet current code requirements. At present only two exits exist on the first floor Senate side (Extension) of the Capitol - the north door and the east door. The West Brumidi Corridor egress door is being proposed as the third exit required by code.

**Description/Scope**: A West Brumidi Corridor egress door upgrade is being proposed as the third exit required by code. This location is the most practical and feasible since it is presently a window that will be converted to a door. The design of the door and outside stair are based on the conceptual design report dated February 11, 2002.

**Impact if not Funded**: In the event of a fire/emergency situation, building occupants/visitors may not be able to exit the building safely and timely. As a result there may be injuries and or fatalities of personnel attempting to exit the building in an emergency.

**Project Title: Redundant Fire Pump Installation, Senate Side, USC** **$1,040,000**



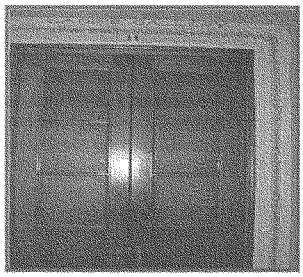
**Project Requirement**: Install a redundant fire pump and water supply on the Senate side as required by the AOC Fire Marshall.

**Current Situation**: Currently there is a fire pump on the House side to boost water pressure to the existing partial sprinkler and standpipe system, but none on the Senate side of the Capitol.

**Description/Scope**: This project will provide a separate dedicated sprinkler water feed with backflow prevention and/or other required provisions. Reuse existing service if possible. Provide a new horizontal split-case fire pump, jockey pump, controllers, control valves, tamper switches, etc. to act as an independent and redundant water supply. Independence will be maintained by isolation valves. Provide normal and emergency power supply capability with a transfer switch integral to the pump controller. Discharge will be manifold with existing pump in order for either pump to supply the entire building while the other pump is isolated for service, etc., including the required addition of bulk main piping. Provide a dedicated pump test header. Relief valves will discharge to a suitable exterior location. The fire pump room will have a two-hour rated enclosure.

**Impact if not Funded**: No redundancy to account for pump failure or maintenance downtime.

**Project Title: Security Improvement, House Chambers, USC** **$3,500,000**



**Project Requirement**: Improve the level of security for the House Chamber and Gallery.

**Current Situation**: The existing doors leading to the House Chamber and Gallery are not constructed of bullet resistant materials and therefore do not provide the security level identified by the Physical Security Division of the US Capitol Police.

**Description/Scope**: This project will provide security improvement for the House Chamber and Gallery doors. The project scope includes the replacement of two double doors that lead to the Speaker's Lobby at the 2nd floor level. The doors that provide access to the House Gallery at the 3rd floor level will be also replaced. The new doors will be constructed to meet Level IIIA ballistic protection rating and will include the provision of ballistic resistant glazing and door materials.

**Impact if not Funded**: If improvements are not made to the existing doors they will continue to be deficient for security purposes and will not meet the security requirements established by the Physical Security Division of the US Capitol Police.

**Study, Design, and Condition Assessment (SDCA)** **$6,175,000**

SDCA provides flexibility to meet the needs of the U.S. Capitol Building by performing studies, designs and condition assessments. In Fiscal Year 2007, the following SDCA initiatives are planned:

**Project Title: House Chamber Renovation, USC** **$4,500,000**

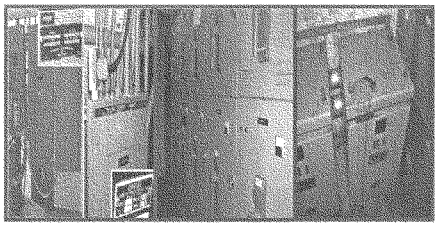
**Project Requirement**: Design the renovation of the Hall of the House of Representatives' Chamber in the U.S. Capitol Building.

**Current Situation**: The House Chamber was last renovated in 1950. Finishes and infrastructure are worn and outdated.

**Description/Scope**: Renovation of the House Chamber for new infrastructure, technology, and restoring the interior to the original Thomas U. Walter design of the 1850s. The design will include modifying handicapped accessibility into and out of the Chamber, Cloakrooms, and the Galleries, and upgrading to direct digital technology for integration with the campus-wide Energy Management and Control System. Installing sprinklers in the Chamber, Cloakrooms, and Galleries; upgrading alarm detection and integrating a lighting scheme to enhance television requirements and Chamber functions is also included. In addition the design includes providing emergency power with automatic transfer switching, integrating new technologies associated with telecommunications systems, power, data, and other support systems; and resolve deficiencies with handrails, guardrails, corridor width, swing of doors, and stairs configurations.

**Impact if not Funded**: Legislative operations will be impaired by using old, outdated technology and infrastructure.

**Project Title: Electrical Distribution System Replacement** **$700,000**



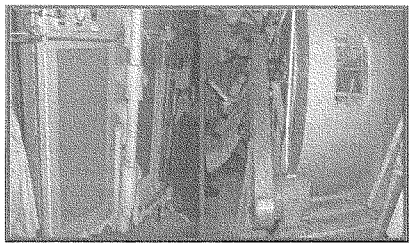
**Project Requirement**: Design for the U.S. Capitol Building Circuit Breaker Panel board Replacement; Secondary Switchgear Replacement; and Step-Down Transformer Replacement.

**Current Situation**: The existing circuit breaker panel boards are obsolete and nearing the end of their useful life. Many panels serve critical or emergency loads. The existing 480V switchgear in the U.S. Capitol Building has been in service since the 1960s. The equipment is worn by prolonged service and is at the end of its expected life cycle. The current step-down transformers are dated from the early 1960s and are approaching the end of their useful life cycle.

**Description/Scope**: The Circuit Breaker Panel board replaces all of the older circuit breaker panel boards and panel feeders that serve critical or emergency loads in the building. Panel board circuits shall be verified as to their use and relabeled accordingly and re-secure panel covers. Evaluate and replace the existing 480V switchgear, transformers and power distribution system with a new, properly sized, state-of-the-art electric power system to bring the building up to modern code standards.

**Impact if not Funded**: Breaker failure would result in extended downtime if parts cannot be obtained. Critical or emergency loads may be interrupted, impacting safety and fire protection systems in an emergency. Failure of a main bus duct or a main switchgear breaker will disrupt electric power supply to one-quarter of the building. Due to the age of system components, the AOC does not have spare main breakers and restoring power by substitute means will present a serious technical challenge. Without the step-down transformer, failure would result.

**Project Title: Air Handling Unit and Fan Replacements** **$400,000**



**Project Requirement**: Design for a replacement of Air Handling Units; and Exhaust and Return Air Fans.

**Current Situation**: The existing air handlers are more than 60 years old and are past their useful life. The units are in poor condition and must be replaced. Additionally, several exhaust fans in the U.S. Capitol Building have exceeded their normal expected lifespan.

**Description/Scope**: Design for the following work: Replace the air handling units with adequately sized arrangements. Remove and dispose of asbestos materials in accordance with approved procedures and practices. Provide modular air handlers, which can be assembled in place. Includes air handlers with steam preheat coils, steam humidifiers, and inverter duty motors. Additionally, replace the exhaust fans, motors, starters, belts, bearings, and flexible duct

connectors through the building. Repair and reuse existing ductwork and modify and reconnect electrical feeds as required.

**Impact if not Funded**: The U.S. Capitol Building units will continue to have frequent breakdowns, and failure will impact ventilation rates, and worsening of ventilation for occupant.

**Project Title: Kitchen Renovations, House & Senate** **$200,000**

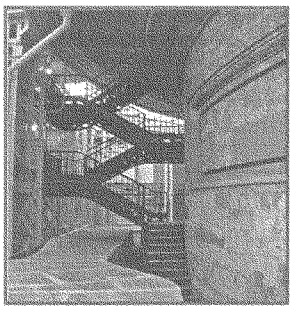
**Project Requirement**: Design for renovation of the House and Senate kitchens to improve poor conditions, modernize appliances, and other appurtenances.

**Current Situation**: The existing kitchens on the House and Senate side of the U.S. Capitol Buildings are deteriorating from heavy use for numerous functions conducted every day and limited downtime for repairs. The kitchens were last renovated 10 years ago and require constant maintenance due to the frequent breakdowns and failures. Problems include deteriorating finishes, making maintenance of sanitary conditions difficult, failures of grease interceptors, and bad piping under the kitchen floors.

**Description/Scope**: This project will renovate the House and Senate kitchens. This project work also includes replacement of the kitchen grease interceptors; relocate if necessary to allow for proper maintenance access and code requirements. Replace other deteriorated under the floor piping serving the kitchens. The work will be done in phases to avoid closing more than one kitchen at a time.

**Impact if not Funded**: The U.S. Capitol Building's House and Senate kitchens will continue to deteriorate, maintenance will continue on aged and inoperable equipment, and since sanitation cannot be assured, this may lead to health code violations.

**Project Title: Dome Rehabilitation, Phase II** **$200,000**



**Project Requirement**: Design services to update the existing Phase II construction documents for the renovation to the Capitol Dome for the preservation and improvements as required per the current design.

**Current Situation**: The current construction documents were completed by a professional Architect firm in May of 2001. Subsequent to the completion of the documents, the Architect determined to delay the implementation of Phase II until FY2009 to allow for the construction of the Capitol Visitors Center. Since the completion of the Design, the AOC has adopted new Building Codes and standards applicable to all projects, the Capitol Superintendent has installed changes to the area of work that are not currently reflected in the documents and a different technology for the cast iron repair has been successfully tested for use in the planned repairs. All of these changes must be incorporated into the existing Phase II construction documents.

**Description/Scope**: This project will revise the construction documents and associated cost estimate to comply with the International Building Code 2003 edition and the National Fire Protection Association (NFPA) 101 Life Safety Codes. Design a new fire alarm system for the

Dome interstitial space that is an extension of the existing fire alarm system in the Capitol. Additionally, the construction documents will be revised to address significant changes that have occurred since the drawings were completed such as modifications to the Dome tour route lighting and handrail layout, the construction of a new air handling unit within the skirt area that serves the Rotunda (FY07), and National Institute of Standards and Technology (NIST) recommendation that oxyacetylene braze welding with low-fuming bronze be used for the cast iron repairs.

**Impact if not Funded**: This work is required to provide accurate cost estimates and construction documents for the final phase of the Dome Rehabilitation in preparation for the FY09 request for construction funding. Without this additional design effort, the project cannot move forward as planned further delaying the much needed preservation of this national treasure.

**Project Title: HVAC Controls Replacement** **$175,000**

**Project Requirement**: Design to replace the original pneumatic systems for Heating Ventilation and Air Conditioning (HVAC) controls in the U.S. Capitol.

**Current Situation**: The existing pneumatic controls do not allow for central monitoring of temperature and humidity, as well as close scrutiny of air quality. Temperature and humidity outside the acceptable ranges can cause deterioration of artwork and other levels of building interior components. These pneumatic controls require frequent local manual operation.

**Description/Scope**: This project will provide a design to replace the pneumatic controls for the HVAC system, with full direct digital controls systems and install a central monitoring station in the U.S. Capitol Building. AOC is beginning to implement direct digital controls on Capitol Hill, which allows for central control and monitoring of equipment on a campus-wide basis.
**Impact if not Funded**: Temperature and humidity levels will be difficult to control and maintain; resulting in frequent service calls for maintenance and reduced operational productivity.

**Minor Construction** **$3,000,000**
This allocation provides flexibility for unforeseen construction-related needs as required by Members, Officers, Committees and various Congressional support organizations.

# CB Functional Budget Summary Fiscal Year 2007

**OPERATING BUDGET ($000)**

| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Payroll (PR) | 10,005 | 9,526 | 10,518 | 12,063 | 1,545 |
| Curator Services (CR) | 232 | 232 | 383 | 86 | (297) |
| Facilities Maintenance (FM) | 2,543 | 2,570 | 2,787 | 1,881 | (906) |
| House Restaurants (HR) | 31 | 31 | 139 | 31 | (108) |
| Jurisdiction Centralized Activities (JR) | 385 | 367 | 248 | 548 | 300 |
| Miscellaneous Improvements (MI) | 149 | 147 | 24 | 24 | - |
| Senate Rest Fac - Replace & Improvements (SR) | 31 | 31 | 31 | 31 | - |
| CVC Payroll; Facility Maint.; & Start-up Operations | 10,515 | - | - | - | - |
| **Total** | **23,891** | **12,903** | **14,130** | **14,664** | **534** |

**PROJECT BUDGET - ANNUAL ($000)**

| Description | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Replacement of Minton Tile | | | 225 | 400 | |
| Computer, Telecom, & Electrical Support | | | 298 | 298 | |
| Restoration of East Front Bronze Doors | | | 248 | - | |
| Exterior Painting U.S. Capitol Building | | | - | 1,000 | |
| Study, Design, and Condition Assessment | | | - | - | |
| Legislative Call System Upgrade, USC | | | - | 150 | |
| **Total** | **866** | **998** | **771** | **1,848** | **1,077** |

**PROJECT BUDGET - MULTI-YEAR ($000)**

| Description | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Study, Design, and Condition Assessment | | | 120 | 6,175 | |
| Minor Construction | | | 2,500 | 3,000 | |
| Emergency Electrical Servide, Capitol | | | 2,980 | - | |
| West Terrace Egress Doors & Stairs | | | 1,617 | - | |
| Conservation of Wall Paintings | | | - | 500 | |
| Egress Door Upgrade, West Brumidi Corridor, USC | | | - | 480 | |
| Negative Air Pressure Correction, USC | | | - | - | |
| Redundant Fire Pump Installation, Senate Side, USC | | | - | 1,040 | |
| Install Emergency Exit Signs & Lighting, Phase III, USC | | | 1,000 | - | |
| Security Improvement, House Chambers, USC | | | - | 3,500 | |
| **Total** | **-** | **-** | **8,217** | **14,695** | **6,478** |

**PROJECT BUDGET - NO-YEAR ($000)**

| Description | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Minor Construction | | | - | - | |
| Restore Stutters & Upgrade Window Lighting | | | - | - | |
| Install Emergency Exit Signs & Lighting | | | - | - | |
| **Total** | **3,869** | **-** | **-** | **-** | **-** |

**TOTAL BUDGET ($000)**

| | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Total Operating Budget | 23,891 | 12,903 | 14,130 | 14,664 | 534 |
| Total Project Budget- Annual | 866 | 998 | 771 | 1,848 | 1,077 |
| Total Annual Budget | 24,757 | 13,901 | 14,901 | 16,512 | 1,611 |
| Total Project Budget - Multi-Year | | - | 8,217 | 14,695 | 6,478 |
| Total No-Year | 3,869 | - | - | - | - |
| **Total Budget** | **28,626** | **13,901** | **23,118** | **31,207** | **8,089** |

# CAPITOL GROUNDS (CG)

## INTRODUCTION

The Architect of the Capitol is responsible for the care and maintenance of the Capitol Grounds (CG) and any changes and improvements made to them. The Capitol Grounds are comprised of approximately 222 acres on which the Capitol, Senate and House Office Buildings, and the Capitol Power Plant reside. This area includes lawns, parks, trees, landscaping, horticultural display beds, plazas, terraces, reflecting pools, courtyards, roof gardens, child care center playgrounds, and atria; these areas are equipped with fountains, drinking fountains, outdoor seating, decorative stone retaining walls, lighting, irrigation systems, streets, sidewalks, and parking areas which are all maintained under this appropriation.

## FISCAL YEAR 2007 BUDGET AND FTE SUMMARY*

| TOTAL BUDGET ($000) | FY 2005 Enacted w/rescission | FY 2005 Obligations | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Total Annual Recurring | 6,457 | 6,230 | 6,788 | 7,540 | 752 |
| Total Project Budget - Annual | 461 | 451 | 648 | 1,860 | 1,212 |
| Total Annual Budget | 6,918 | 6,681 | 7,436 | 9,400 | 1,964 |
| Total Project Budget - Multi-Year* | 8,200 | | | | |
| **Total Budget** | **15,118** | **6,681** | **7,436** | **9,400** | **1,964** |
| Full-Time Equivalent (FTE) | 69 | | 71 | 71 | |

* Includes FY 2005 Emergency Supplemental Appropriations in accordance with P.L.109-13

## FISCAL YEAR 2007 OBJECT CLASS
## Schedule A ($000)

| Object Class | FY 2005 Actual* | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|
| 11 Personnel Compensation | 3,765 | 3,873 | 4,057 | 184 |
| 12 Personnel Benefits | 1,003 | 1,249 | 1,348 | 99 |
| 21 Travel | 6,143 | 2,000 | 2,000 | - |
| 22 Transportation of Things | - | - | - | - |
| 23 Rent, Communications and Utilities | - | - | - | - |
| 24 Printing and Reproduction | - | - | - | - |
| 25 Other Contractual Services | 1,977 | 1,079 | 1,423 | 344 |
| 26 Supplies and Materials | 633 | 388 | 533 | 145 |
| 31 Equipment | 201 | 195 | 195 | - |
| 32 Land and Structures | 4,767 | 648 | 1,840 | 1,192 |
| 41 Grants | - | - | - | - |
| 42 Insurance Claims and Indemnities | 1 | 2 | 2 | - |
| 43 Interest | - | - | - | - |
| 44 Refunds | - | - | - | - |
| **Total, Budget** | **$ 12,353** | **$ 7,436** | **$ 9,400** | **$ 1,964** |

* FY 2005 Actual represents total obligations of funds incurred in FY 2005, irrespective of the year of appropriation

** The tables included in this budget submission have rounding variances to the nearest thousandth.*

# CAPITOL GROUNDS (CG)

## Detailed Analysis of Change by Appropriation
## Schedule B

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount (000) |
| **Appropriation, FY 2006** | 71 | 7,511 |
| Minus Rescission | | (75) |
| **Revised Appropriation, FY 2006** | | 7,436 |
| **Program Decreases** | | |
| CVC Land Restoration | | (39) |
| National Garden Sidewalks | | (163) |
| East Front Plantings | | (446) |
| **Total, Program Decreases** | - | (648) |
| **Mandatory and Related Costs:** | | |
| Cost of Living - Annualization of Cost of Living 2006 | | 3 |
| Cost of Living 2007 | | 102 |
| Within-grade Increases and Pay Adjustments | | 79 |
| Retirement Increases | | 60 |
| Transit Subsidy | | 8 |
| FEHBA/FEGLI | | 31 |
| **Total, Mandatory Pay Related Costs** | - | 283 |
| **Price Level Changes:** | | |
| Jurisdiction Centralized Activities (JR) | | 13 |
| **Total, Price Level Changes** | - | 13 |
| **Program Increases:** | | |
| Facilities Maintenance (FM) - | | |
| MTCE & Repairs Light Systems, Grounds | | 12 |
| Catch Basin Cleaning | | 50 |
| Grounds Maintenance (GM) - | | |
| Snow Removal | | 30 |
| Landscape Maintenance | | 41 |
| Repairs Streets, Curbs, and Paved Areas | | 4 |
| Annual Maintenace Concrete Pavers- Capitol | | 15 |
| Pavements and Sidewalks | | 97 |
| Jurisdiction Centralized Activities (JR) | | |
| Uniform Allowance | | 4 |
| Safety Apparel | | 2 |
| Emergency Preparedness | | 50 |
| Gasoline and Oil | | 51 |
| Contract Safety Officer | | 100 |
| Study, Design and Condition Assessment | | 20 |
| Pave Independence Avenue | | 1,200 |
| East Front Plantings | | 290 |
| Purchase 60 ton Snow Melt Unit | | 310 |
| Replace Parking Lot Fencing | | 40 |
| **Total, Program Increases** | - | 2,316 |
| **Net Increase** | - | 1,964 |
| **Total Appropriation** | 71 | 9,400 |




# CAPITOL GROUNDS (CG)

## OPERATING BUDGET

The Operating Budget for this appropriation is comprised of all costs associated with the daily care and maintenance of the Capitol Grounds (CG) and any changes and improvements made to them. The budget justification for the Operating Budget includes the below summary schedule that incorporates the following data: the Program Group and columns indicating funding levels for fiscal years 2005, 2006, and 2007, as well as the obligations for fiscal year 2005. Following this summary schedule are the Operating Allotment narratives that describe the purpose of all operating allotments funded in this appropriation. When increases or decreases have been requested for fiscal year 2007, the amount and justification for those changes appear in italics. In accordance with sound financial management practices, these allotments are reviewed and adjusted to reflect changing needs. Increases that cannot be absorbed are requested through the budget process.

### Summary Schedule

| OPERATING BUDGET ($000) | | | | | |
|---|---|---|---|---|---|
| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligations | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
| Payroll (PR) | 4,856 | 4,577 | 5,122 | 5,405 | 283 |
| Facilities Maintenance (FM) | 615 | 721 | 683 | 745 | 62 |
| Grounds Maintenance (GM) | 827 | 778 | 819 | 1,006 | 187 |
| Jurisdiction Centralized Activities (JR) | 159 | 154 | 164 | 384 | 220 |
| **Total** | **6,457** | **6,230** | **6,788** | **7,540** | **752** |




## CAPITOL GROUNDS (CG)

### OPERATING BUDGET NARRATIVE DESCRIPTIONS

**Payroll Program Group (PR):** Provides funding for personnel compensation and personnel benefits for the general administrative support of facilities under the jurisdiction of the Capitol Grounds. Included are Government staff salaries and other personal services (i.e., paid leave and lump sum annual leave payments upon separation; for compensation above basic rates including, overtime, holiday pay, the Civil Service Retirement System, the Federal Employees Retirement System, Social Security and Medicare); agency contributions to the Federal Employees Health Benefits Program (FEHBP), Federal Employees Group Life Insurance (FEGLI), Worker's Compensation Program, and subsidies paid to employees for commuting costs.

| Title | FY 2006 Enacted w/rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Personnel Compensation | 3,873 | 184 | | 4,057 |
| Personnel Benefits | 1,249 | 99 | | 1,348 |
| **Payroll (PR)** | **5,122** | **283** | | **5,405** |

**Personnel Compensation (PR01)** **$4,057,000**
This allotment provides funding for salaries and wages paid directly to employees including paid leave and lump sum annual leave payments upon separation. This allotment also provides for compensation above basic rates including: overtime, holiday pay, Sunday pay, night work differential, supervisory differential, and hazardous duty pay.

*Price Level Increase:* *$184,000*
*The increase consists of cost of living adjustments (COLA's) for fiscal year 2007 including the annualization of the January 2006 COLA and locality pay adjustments for general schedule employees; the COLA and locality pay adjustments for general schedule employees in January, 2007; and the October, 2006 COLA for wage board employees and within-grade increases and other pay adjustments.*

**Personnel Benefits (PR02)** **$1,348,000**
This allotment provides funding for personnel benefits to employees including contributions for retirement to the Civil Service Retirement System, the Federal Employees Retirement System, Social Security, and Medicare. Also included are agency contributions to the Federal Employees Health Benefits Program (FEHBP), the Federal Employees Group Life Insurance (FEGLI), and subsidies paid to employees for commuting costs.

*Price Level Increase:* *$99,000*
*The increase for fiscal year 2007 is attributed to increased costs for agency contributions for employees' health benefits, retirement funds, and increased participation in the transit subsidy program.*




## CAPITOL GROUNDS (CG)

**Facilities Maintenance Program Group (FM):** Provides funding for annual maintenance services required throughout the Capitol Complex, to include exterior pointing and caulking, and surface preservation; insect and pest control; solid and bulk waste disposal; and maintenance of light systems

| Title | FY 2006 Enacted w/rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Exterior Pointing & Caulking | 30 | | | 30 |
| Insect and Pest Control | 12 | | | 12 |
| Disposal of Solid and Bulk Waste | 557 | | | 557 |
| Miscellaneous | 38 | | | 38 |
| MTCE & Repairs, Light System, Grounds | 46 | | 12 | 58 |
| Catch Basin Cleaning (New) | | | 50 | 50 |
| **Facilities Management (FM)** | **683** | | **62** | **745** |

**Exterior Pointing and Caulking (FM15)** **$30,000**
This allotment provides funding for routine pointing and caulking of stonework and other masonry throughout the grounds.

**Insect and Pest Control (FM16)** **$12,000**
This allotment provides funding for the rodent control contract and pesticides for plants.

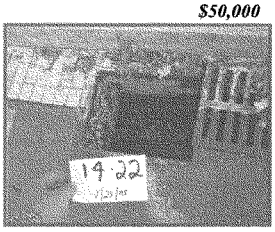
**Disposal of Solid and Bulk Waste (FM27)** **$557,000**
This allotment provides funding for the solid non-recyclable waste contract for the Capitol, House and Senate Office Buildings, and the Capitol Power Plant. The solid waste stream includes food waste, non-recyclable paper products, and other waste materials. Disposal fees for bulk waste taken to the District's transfer station at Fort Totten are set by the District.

**Miscellaneous (FM30)** **$38,000**
This allotment provides funding for mission-critical items such as: the Capitol Christmas Tree set-up and take-down, cross-over stair rentals and storage for events on the West Front, rental of backup snow removal equipment, special event rentals, and additional funding to support snow removal efforts if the designated budgeted has been depleted.

**Maintenance and Repairs, Light Systems, Grounds (FM41)** **$58,000**
This allotment provides funding to maintain street and parking lot lights, grounds lighting, which includes lighting on the East and West lawns of the Capitol. This includes cleaning, re-lamping as well as changing ballasts and old wiring as necessary. A secondary function is to remove and replace street light poles damaged by accidents, and to paint the light poles on a cyclical basis.

*Program Increase:* *$12,000*
*The requested program increase of $12,000 will fund maintenance and repairs to additional exterior lighting associated with the Capitol Visitors Center construction.*

***Catch Basin Cleaning (New)*** ***$50,000***




*This new allotment will provide funding to initiate regular catch basin maintenance throughout the Capitol Complex. The work will use existing Capitol Grounds staff and an in-house vacuum truck to remove catch basin drain covers, pump out any standing water, loosen and vacuum debris, follow with hand cleaning, and verify that openings to lateral drain pipes are clear. New funding in fiscal year 200 will permit the staff to implement a program to clean a designated percentage of catch basins and storm water drains each year. Additionally, regular inspections and scheduled prioritized cleaning will be instituted. Regular cleaning of catch basins will improve drainage, reduce puddles after rainstorms, and improve the overall appearance of the Capitol Complex.*

*The U.S. Capitol Grounds has approximately 450 catch basins and storm water area drains. The basins and drains allow rainwater to enter the underground storm water piping system to be deposited into the Anacostia River. The District of Columbia Water and Sewer Authority (DCWASA) has been responsible for yearly cleaning of all District catch basins (including those on the Capitol Grounds). Unfortunately, the DCWASA has only one vacuum truck dedicated for storm sewer and catch basin cleaning that rarely services the Capitol Complex. When dirt and debris accumulates in the basins, clogging occurs, causing water to drain improperly.*

**Grounds Maintenance Program Group (GM):** Provides funding for trash, leaf and snow removal; lawn maintenance; tree maintenance; sign maintenance; irrigation system maintenance; street and sidewalk maintenance; and purchase of grounds maintenance supplies and equipment.

| Title | FY 2006 Enacted w/rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Snow Removal | 41 | | 30 | 71 |
| Landscape Maintenance | 197 | | 41 | 238 |
| Repair Streets, Curbs, Paved Areas | 24 | | 4 | 28 |
| Annual MTCE, Concrete Pavers - Capitol | 3 | | 15 | 18 |
| Equipment and Machinery | 133 | | | 133 |
| Automotive and Equipment Repair | 54 | | | 54 |
| Pavement and Sidewalks | 148 | | 97 | 245 |
| Arborist program | 12 | | | 12 |
| Irrigation program | 24 | | | 24 |
| Sign Material | 4 | | | 4 |
| Maintenance of Outdoor Decorative Features | 18 | | | 18 |
| Landscape Development Beautification | 161 | | | 161 |
| **Grounds Maintenance (GM)** | **819** | | **187** | **1,006** |

**Snow Removal (GM01)** **$71,000**

This allotment provides funding to remove snow from the grounds within the Capitol Complex. Snow removal supplies such as chemical melting compounds and sand are purchased from this account, as well as minor equipment such as shovels. Additionally, contractual snow removal services are allotted to this account.

*Program Increase:* *$30,000*

*The requested program increase of $30,000 will fund the purchase of a highly effective ice melting product that is a magnesium chloride compound. This product is safe to use on concrete, is non-corrosive, does not harm curbside grassy areas or plants, continues to melt ice to below -35F, and is economically superior. While the product is slightly more expensive, the compound is more effective and lasts longer; less product is required to displace an equal amount of ice or snow than with traditional rock salt. Further, the need for sand in most snow events is virtually eliminated. This salt-like product is blue, clearly indicating that areas have been treated.*

**Landscape Maintenance (GM02)** **$238,000**

This allotment provides funding for grass seed, fertilizers, and mulch, soil, sod, and trees, shrubs, and plantings.

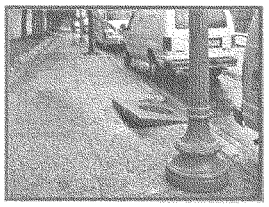
*Program Increase:* *$41,000*

*The requested program increase of $41,000 will fund the purchase of additional plants and ground coverings. The Capitol Grounds has had inadequate funding for several years to fully fill planter beds with annual plants. Planting beds surrounding the House and Senate Office Buildings are sparse, and in many cases are bare. Additional funding is requested to increase the plantings to target levels to ensure that the grounds remain aesthetically pleasing.*

**Repair Streets, Curbs and Paved Areas, Fencing (GM05)** **$28,000**

This allotment provides funding to repair potholes, depressions, and cracks in the streets within the Capitol Complex. Funding is also used to realign and repair street curbs that have settled, been damaged, or are misaligned.

*Program Increase:* *$4,000*



*The requested program increase of $4,000 will fund additional purchases for six inch thick storm drain tops throughout the Capitol Complex. The curbside storm drains at the U.S. Capitol Grounds have inlets at the curb line with manhole covers for access. These storm drain lids are generally four inches thick and typically do not hold the weight of the trucks when inadvertently rolled over. Many tops throughout the campus are broken or cracked. The new storm drain tops will meet the District's standard, will not fail under heavy weight, and will eliminate safety hazards. Funding will be used to replace the cracked or damaged catch basin covers with new pre-cast covers that have cast iron frames and manhole covers. The new covers will have steel channel edges and will be six inches thick. Additionally, the storm drain lids will be reinforced with steel to reduce future failures.*

**Annual Maintenance, Concrete Pavers (GM07)** **$18,000**
This allotment provides for power washing and resetting or replacing pavers on the Olmstead walks on the West Front of the Capitol.

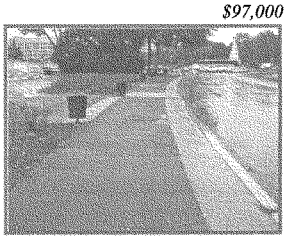
*Program Increase:* *$15,000*
*The requested program increase of $15,000 will fund maintenance of the new Capitol Visitor Center concrete pavers on the east front of the Capitol. It is anticipated that additional Construction Branch labor will be required to clean the space between the pavers and ensure that discoloration does not occur. One area each year will be selected to be cleaned as needed.*

**Equipment and Machinery (GM12)** **$133,000**
This allotment provides funding to purchase new equipment and machinery that is critical for the maintenance and upkeep of the Capitol grounds. Items that are purchased include: power and hand mowers and truck and tractor equipment.

**Automotive and Equipment Repair (GM15)** **$54,000**
This allotment provides funding for repairs to heavy trucks, loading equipment, specialty machines used for outdoor maintenance, and construction projects as well as repairs to small engines and a wide variety of gas powered equipment.

**Pavements and Sidewalks (GM16)** **$245,000**
This allotment provides for contractual replacement of the exposed aggregate sidewalks and street and parking lot asphalt paving.

*Program Increase:* *$97,000*
*The requested price level increase of $97,000 will fund increased sidewalk replacement throughout the Capitol Complex. The Capitol Grounds has approximately 18.5 miles of sidewalk to maintain. Currently, many of the sidewalks surrounding the Capitol are in poor condition. The concrete is cracked and broken, sections are heaved, creating tripping hazards, potholes exist, and in some cases there are poor quality patches.*



**Arborist Program (GM17)** **$12,000**
This allotment provides funding for supplies and materials to maintain the trees throughout the Capitol Complex. The work includes installing cables to support and preserve older tree limbs, contractual stump grinding services and tree removal services, and rental of support equipment.

**Irrigation Program (GM18)** **$24,000**
This allotment provides funding for water main pipe repairs and replacement of damaged or broken water valves.

**Sign Material (GM19)** **$4,000**
This allotment provides funding to procure and replace parking lot signs, wayfinding signs for sidewalks and special notices for events, and signage to identify trees.

**Maintenance of Outdoor Decorative Features (GM20)** **$18,000**
This allotment provides funding to maintain statues and posts throughout the Capitol Complex.

**Landscape Development Beautification (GM21)** **$161,000**
This allotment provides funding for unanticipated annual landscape beautification initiatives requested by Members, Officers, Committees, and various Congressional support organizations. Typical requests include special landscape beautification initiatives such as the I-395 landscaping project, and the environmentally-friendly Water Garden Project

**Jurisdiction Centralized Activities Program Group(JR):** Provides funding for training, registration, and seminar fees; travel costs for training (local and long distance); payments for insurance claims and indemnities; safety apparel, gasoline and oil; and uniform allowances.

| Title | FY 2006 Enacted w/rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Uniform allowance | 24 | | 4 | 28 |
| Safety Apparel | 20 | | 2 | 22 |
| Emergency Preparedness (New) | | | 50 | 50 |
| Gasoline and Oil | 66 | 13 | 51 | 130 |
| Training | 50 | | | 50 |
| Travel | 2 | | | 2 |
| Insurance Claims and Indemnities | 2 | | | 2 |
| Contract Safety Officer (New) | | | 100 | 100 |
| **Jurisdiction Centralized Activities (JR)** | **164** | **13** | **207** | **384** |

**Uniform Allowance (JR01)** **$28,000**
This allotment provides funding for uniforms for all employees of the Capitol grounds.

*Program Increase:* *$4,000*
*The requested program increase of $4,000 will purchase additional uniforms for several positions that have remained vacant in the past, but will be filled. Typically, if a new-hire comes on board, and the uniform budget has been exhausted, the employee must wait until additional funding is appropriated before receiving a new uniform. Each employee is allowed a $400 budget for annual uniforms.*

**Safety Apparel (JR02)** **$22,000**
This allotment provides funding for all safety apparel for employees. This apparel includes safety shoes, glasses, gloves, and hats.

*Program Increase:* *$2,000*
*The requested program increase of $2,000 will purchase additional safety apparel for several positions that have remained vacant in the past years. The per employee cost of a pair of safety boots are $150 per year for boots, and $175 per year for safety glasses.*




## CAPITOL GROUNDS (CG)

**Emergency Preparedness (JR03)** **$50,000**
This allotment provides funding for jurisdiction specific training, exercises, equipment, materials and services in preparation for, and responding to, emergency events. In addition to internal emergency preparedness, AOC supports Legislative Branch agencies within its jurisdiction by leading damage assessment and recovery operations. Personnel must be trained, exercised, and equipped to access, assess and recover facilities in a hazardous environment following safe and accountable procedures.

*Program Increase:* *$50,000*
*The requested program increase will fund critical emergency preparedness requirements for the Capitol Grounds.*

**Gasoline and Oil (JR07)** **$130,000**
This allotment provides funding for gasoline and oil for all gas powered automotive equipment and machinery.

*Price Level Increase:* *$13,000*
*The requested price level increase of $13,000 represents a 20 percent increase in the gasoline budget to account for volatile and rising gasoline prices.*

*Program Increase:* *$51,000*
*The requested program increase of $51,000 will fund additional fuel to support the requested 60 ton snow melting unit ($10,000). The unit uses approximately 70 gallons of diesel fuel per hour to melt 60 tons of snow per hour. Additionally, the existing budget is inadequate and requires additional funding to meet the jurisdiction-wide demand for gas ($41,000).*

**Training (JR91)** **$50,000**
This allotment provides funding to train Capitol Grounds' employees in technical areas related to the employees' job including safety and OSHA standards and in programs such as prevention of sexual harassment, understanding employee rights and responsibilities, substance abuse, and other subjects. This training is required for all current and new employees. Additionally, the agency provides supervisory technical skills and staff development training and sponsors basic educational skills training.

**Travel (JR92)** **$2,000**
This allotment provides funding for mission-related travel.

**Insurance Claims and Indemnities (JR93)** **$2,000**
This allotment provides funding for claims and judgments arising from court decisions or the legal cancellation of contracts.

**Contractual Safety Officer (New)** **$100,000**
This increase will provide funding to establish a new allotment to support a part-time contractual Safety Officer.

*Program Increase:* *$100,000*
*The requested program increase of $100,000 will provide adequate funding for a contractual part-time safety specialist. The specialist will be provided through an existing agreement with the Department of Health and Human Services' Division of Federal Occupational Health. This safety specialist will work through a Project manager and all deliverables will be provided to the Capitol Grounds Superintendent. Funding will support the salary for the part-time specialist and the project manger.*

## FY 2007 ANNUAL NON-RECURRING PROJECTS

| PROJECT BUDGET - ANNUAL ($000) | | | |
|---|---|---|---|
| Project | FY 2006 Enacted w/rescission | FY2007 Request | FY 2006/2007 Difference |
| CVC Land Restoration | 39 | - | (39) |
| National Garden Sidewalks | 163 | - | (163) |
| Pave Independence Avenue | - | 1,200 | NEW |
| East Front Plantings | 446 | 290 | (156) |
| Replace Parking Lot Fencing | - | 40 | NEW |
| Study, Design, and Condition Assessment | - | 20 | NEW |
| Total | 648 | 1,550 | |

**Project Title: Pave Independence Avenue** **$1,200,000**



**Project Requirement**: Repave Independence Avenue from Second Street, Southeast to First Street, Southwest.

**Current Situation**: The Federal Highway Transportation Administration (FHWA) uses a worldwide standard for measuring pavement roughness called the International Roughness Index (IRI). This index measures pavement roughness in terms of the number of inches per mile that a laser, mounted in a specialized van, jumps as it is driven across the interstate and expressway system; the lower the IRI number, the smoother the ride. Based on the IRI, any roadway that measures greater than 170 is in poor condition.

Independence Avenue is part of the National Highway System. Accordingly, the FHWA has compiled thorough roughness estimates for Independence Avenue between 1st Street SW and 2nd Street SE. The results have revealed that Independence Avenue is in extremely poor condition. Specifically, in 2004, the IRI measurement was 399 for the unit block of Independence Avenue S.W. between South Capitol and First Street SW. Additionally, measurements for longer segments of Independence Avenue, SW yielded IRI readings of 349 for 2004.

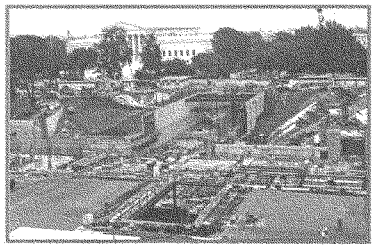
Pavement defects in Independence Avenue include: vertical depressions in the pavement surface along the wheel tracks, longitudinal displacement of a localized area of the pavement, physical tearing of the asphalt overlay due to the movement of the existing pavement layer, and several series of interconnecting cracks caused by fatigue failure of the asphalt concrete under repeated traffic loading. Additionally, the concrete gutter is chipping and crumbling. Finally, a concrete paved drop-off lane in front of the Library of Congress' James Madison Memorial Building with adjacent a cobblestone sidewalk that requires re-pointing.

**Description/Scope**: This project will remove the top two inches of asphalt and replace it with new layers. The curbs will be reset and storm gutter bricks will be replaced. Additionally, full depth repairs will be performed where required. The roadway will be re-striped for lane

delineation, and 1,200 linear feet of granite curb will be installed. Selective re-pointing of the cobblestone sidewalk will be performed, and the concrete pavement in the drop-off lane will be replaced.

**Impact if not Funded**: The road will continue to deteriorate and require cold patch to be installed making the road surface uneven.

**Project Title: East Front Plantings** **$290,000**



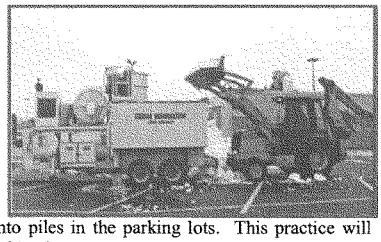
**Project Requirement**: Restore the landscaping on the House and Senate oval-shaped lawn areas on the East Front using the fundamental principles of Fredrick Law Olmsted's landscape design for the Capitol.

**Current Situation**: During construction of the Capitol Visitor Center (CVC) the landscaping on the East Front of the Capitol was removed to facilitate construction.

**Description/Scope**: The scope of this project is to include horticultural display bed preparation and plantings employing the fundamental principles of Olmstead's original design to enhance the Capitol structure. The House lawn areas will include the installation of 13 planting beds, covering 12,243 square feet, and will include 2,431 assorted shrubs and 19,945 groundcover plants. The Senate lawn areas will include the installation of 12 planting beds, covering 11,544 square feet, which will include 2,865 assorted shrubs and 18,835 groundcover plants. In FY 2006, $450,000 was appropriated to begin planting installations in the Olmstead eggs. This remaining balance of $290,000 will complete the project.

**Impact if not Funded**: The plantings are needed prior to the opening of the CVC. If not done, both lawn areas will have partial plantings and groundcover.

**Project Title: Purchase 60 Ton Snow Melting Unit** **$310,000**



**Project Requirement**: Procure a 60 ton snow melting unit.

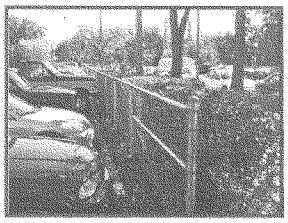
**Current Situation**: In the past, the AOC has loaded, hauled, and dumped snow into the District of Columbia waterways. Because of environmental concerns, the District of Columbia no longer permits dumping of snow into the Anacostia and Potomac rivers. When more than four inches of snow falls, the Capitol Grounds will remove the snow and deposit it into piles in the parking lots. This practice will eliminate between 20 to 30 parking spaces per parking lot.

**Description/Scope:** This project will procure a 60 ton snow melting unit directly from the manufacturer. Snow melters are used at airports, parking garages, parking lots, and municipalities where there is insufficient space to store accumulated snow. Hot combustion products from the

burner mix with the water and travels through a tube together. At the top, the cooled gases escape to the atmosphere and the warm water is sprayed over the snow to promote further melting. The snow melting unit will be a portable unit that will be pulled by a truck to each parking lot and accumulated snow will be fed into the machine for melting

**Impact if not Funded**: Without this unit several hundred parking spaces will be eliminated during the next heavy snow.

**Project Title: Replace Parking Lot Fencing** **$40,000**



**Project Requirement**: Replace the dilapidated parking lot fencing surrounding the House-side Parking Lots 1 and 10.

**Current Situation**: Fencing surrounding the U.S. House of Representatives Parking Lot 1, bounded by C, D, and First Streets and New Jersey Avenue, and Lot 10, located at Ivy and Canal Streets is in need of replacement. The fence is bent, leaning, and corroding in many areas. In previous fiscal years, the Capitol Grounds staff has completed fencing replacement on several parking lots. Parking Lots 1 and 10 are the final House-Side lots in this phased replacement plan.

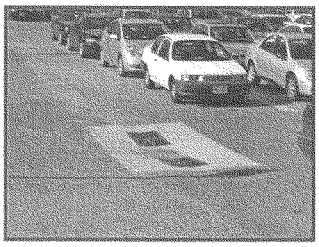
**Description/Scope:** This project will replace the fencing surrounding both parking lots. Fencing at Lot 1 will be replaced with approximately 586 linear feet of black vinyl coated chain link fence that will be four feet high. Lot 10 will have the same vinyl coated fencing installed. Approximately 535 feet of the fencing will be four feet high, and 437 feet will be six feet high.

**Impact if not Funded**: The lots will have substandard fencing, will not be aesthetically pleasing, and will not provide adequate barrier from the sidewalk and street area.

**Studies, Design & Condition Assessment (SDCA)** **$20,000**

SDCA provides flexibility to meet the needs of the Capitol Grounds by performing studies, designs and condition assessments to improve project planning and programming.

**Project Title: Study/Design Parking Lot Storm Drain** **$20,000**



**Project Requirement:** Conduct a study and develop a storm water management design plan.

**Current Situation**: Parking Lot 19, located between C and D streets Northeast and First and Second Streets Northeast, has two catch basins that serve the lot. These basins are located at the low points in the parking lot. During periods of heavy rain, the storm drains flood, leaving a pond that can be more than 12 inches deep. This pond formation can damage the interior of vehicles. The storm water main that drains this area is overloaded with debris. Frequently, the lot must be closed and vehicles must be redirected to other locations.

## CAPITOL GROUNDS (CG)

**Description/Scope:** This project will study the storm drainage problem and then develop design documents to remove and enlarge 140 feet of 15 inch water main along D Street Northeast and the 70 feet of 18 inch water main at First and D Streets, to accommodate the volume of water drainage. Additionally, the design documents will address paving removal, excavation, new concrete storm water piping, backfill, compaction, and the replacement of concrete sidewalks and bituminous paving. The specifications will also require that the manholes, catch basins, and lateral piping are replaced in the vicinity of the construction.

**Impact if not Funded**: Storm drainage problems will persist and worsen, which will continue to erode the surface, and will potentially damage congressional staff vehicles.

# CG Functional Budget Summary Fiscal Year 2007

**OPERATING BUDGET ($000)**

| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligations | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Payroll (PR) | 4,856 | 4,577 | 5,122 | 5,405 | 283 |
| Facilities Maintenance (FM) | 615 | 721 | 683 | 745 | 62 |
| Grounds Maintenance (GM) | 827 | 778 | 819 | 1,006 | 187 |
| Jurisdiction Centralized Activities (JR) | 159 | 154 | 164 | 384 | 220 |
| **Total** | **6,457** | **6,230** | **6,788** | **7,540** | **752** |

**PROJECT BUDGET - ANNUAL ($000)**

| Description | FY 2005 Enacted w/rescission | FY 2005 Obligations | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Study, Design, and Condition Assessment | | | - | 20,000 | |
| CVC Land Restoration | | | 39 | - | |
| National Garden Sidewalks | | | 163 | - | |
| Pave Independence Avenue | | | - | 1,200 | |
| East Front Plantings | | | 446 | 290 | |
| Purchase 60 Ton Snow Melt Unit | | | - | 310 | |
| Replace Parking Lot Fencing | | | - | 40 | |
| **Total** | **461** | **451** | **648** | **1,860** | **1,212** |

**TOTAL BUDGET ($000)**

| | FY 2005 Enacted w/rescission | FY 2005 Obligations | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Total Annual Recurring | 6,457 | 6,230 | 6,788 | 7,540 | 752 |
| Total Project Budget - Annual | 461 | 451 | 648 | 1,860 | 1,212 |
| Total Annual Budget | 6,918 | 6,681 | 7,436 | 9,400 | 1,964 |
| Total Project Budget - Multi-Year* | 8,200 | - | - | - | - |
| **Total Budget** | **15,118** | **6,681** | **7,436** | **9,400** | **1,964** |
| Full-Time Equivalent (FTE) | 69 | | 71 | 71 | |

* Includes FY 2005 Emergency Supplemental Appropriations in accordance with P.L.109-13

# SENATE OFFICE BUILDINGS (SOB)

## INTRODUCTION

The Architect of the Capitol is responsible for the structural, mechanical, and domestic care of the Senate Office Buildings (SOB) consisting of the Russell (RSOB), Dirksen (DSOB), Hart (HSOB), leased space at Postal Square, Government Printing Office, and Warehouse Space at Landover Maryland, Webster Hall, Senate Employees Child Care Center, and the Senate Garage, including operation of the mechanical equipment. The Architect is responsible for the care, repair, and purchase of furniture and furnishings special events coordination and setup heating, air conditioning, plumbing systems, and lighting of the Senate Office Buildings as well as for all construction, structural improvements, and changes. The Architect is also responsible for the maintenance and operation of the subway transportation systems between the Senate Office Buildings and the U.S. Capitol, elevator and escalator systems, and for the garages in Dirksen and Hart, and the Legislative Garage.

## FISCAL YEAR 2007 BUDGET AND FTE SUMMARY*

| TOTAL BUDGET ($000) | FY 2005 Enacted w/rescission | FY 2005 Obligations | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Total Annual Recurring | 46,735 | 44,988 | 49,059 | 53,247 | 4,188 |
| Total Project Budget - Annual | 5,854 | 6,168 | 1,687 | 1,740 | 53 |
| Total Annual Budget | 52,589 | 51,156 | 50,746 | 54,987 | 4,241 |
| Total Project Budget - Multi Year | 8,997 | | 15,588 | 55,736 | 40,148 |
| **Total Budget** | **61,586** | **51,156** | **66,334** | **110,723** | **44,389** |
| Full-Time Equivalent (FTE) | 556 | | 562 | 562 | |

## FISCAL YEAR 2007 OBJECT CLASS
### Schedule A ($000)

| Object Class | FY 2005 Actual * | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|
| 11 Personnel Compensation | 27,521 | 24,338 | 25,498 | 1,160 |
| 12 Personnel Benefits | 7,983 | 8,274 | 8,865 | 591 |
| 21 Travel | 27 | 2 | 2 | |
| 22 Transportation of Things | - | - | - | - |
| 23 Rent, Communications and Utilities | 5,710 | 8,492 | 9,412 | 920 |
| 24 Printing and Reproduction | - | - | - | - |
| 25 Other Contractual Services | 9,226 | 4,815 | 4,726 | (89) |
| 26 Supplies and Materials | 4,038 | 2,896 | 3,855 | 959 |
| 31 Equipment | 2,272 | 1,519 | 1,519 | |
| 32 Land and Structures | 7,356 | 15,997 | 56,845 | 40,848 |
| 41 Grants | - | - | - | - |
| 42 Insurance Claims and Indemnities | 2 | 1 | 1 | - |
| 43 Interest | - | - | - | - |
| 44 Refunds | - | - | - | - |
| **Total, Budget** | **$ 64,136** | **$ 66,334** | **$ 110,723** | **$ 44,389** |

* FY 2005 Actual represents total obligations of funds incurred in FY 2005, irrespective of the year of appropriation

* *The tables included in this budget submission have rounding variances to the nearest thousandth.*

# SENATE OFFICE BUILDINGS (SOB)

## Detailed Analysis of Change by Appropriation
## Schedule B

| | FY 2007 Agency Request FTE | Amount (000) |
|---|---|---|
| **Appropriation, FY 2006** | 562 | 67,004 |
| Minus Rescission | | (670) |
| **Revised Appropriation, FY 2006** | | 66,334 |
| **Program Decreases** | | |
| Replace Carpet Hart Senate Office Building | | (297) |
| Emergency Lighting Upgrades, HSOB | | (3,564) |
| Public Restroom Upgrades, S. Stack, HSOB | | (2,376) |
| Study, Design, and Condition Assessment | | (647) |
| High Voltage Switchgear Replacement, HSOB | | (535) |
| **Total, Program Decreases** | - | (7,419) |
| **Mandatory and Related Costs:** | | |
| Cost of Living - Annualization of Cost of Living 2006 | | 31 |
| Cost of Living 2007 | | 632 |
| Within-grade Increases and Pay Adjustments | | 493 |
| Awards | | 4 |
| Retirement Increases | | 330 |
| FEHBA/FEGLI | | 216 |
| Transit Subsidy | | 45 |
| **Total, Mandatory Pay Related Costs** | - | 1,751 |
| **Price Level Changes:** | | |
| Jurisdiction Centralized Activities (JR) | | 171 |
| **Total, Price Level Changes** | - | 171 |
| **Program Increases:** | | |
| Facilities Maintenance (FM) | | |
| Heating, Ventialtion & A/C (HVAC) | | 13 |
| Painting | | 150 |
| Lighting Fixture Refinishing Program | | 100 |
| Security Infrastructure | | 150 |
| Jurisdiction Centralized Activities (JR) | | |
| Emergency Preparedness | | 150 |
| Waste Recycling | | (5) |
| Election Year Moving Costs | | 950 |
| Lease of Facilities- SSA Mail Facility | | 750 |
| Senate Restaurants (SR) | | 8 |
| Backflow Preventer Installation | | 350 |
| Infrastructure Improvements Attic, DSOB | | 19,430 |
| Emergency Lighting and Power Upgrade | | 6,060 |
| Fire Alarm System Replacement, HSOB | | 15,950 |
| Emergency Generator, RSOB | | 5,830 |
| **Total, Program Increases** | - | 49,886 |
| **Net Increase** | - | 44,389 |
| **Total Appropriation** | 562 | 110,723 |

# SENATE OFFICE BUILDINGS (SOB)

## OPERATING BUDGET

The Operating Budget for this appropriation is comprised of all costs associated with the daily care, maintenance and operation of the facilities and activities under the jurisdiction of the Senate Office Buildings. The budget justification for the Operating Budget includes the below summary schedule that incorporates the following data: the Program Group and columns indicating funding levels for fiscal years 2005, 2006, and 2007, as well as the obligations for fiscal year 2005. Following this summary schedule are the Operating Allotment narratives that describe the purpose of all operating allotments funded in this appropriation. When increases or decreases have been requested for fiscal year 2007, the amount and justification for those changes appear in *italics*. In accordance with sound financial management practice, these allotments are reviewed and adjusted to reflect changing needs. Increases that cannot be absorbed are requested through the budget process.

### Summary Schedule

**OPERATING BUDGET ($000)**

| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligations | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Payroll (PR) | 30,945 | 30,532 | 32,612 | 34,363 | 1,751 |
| Facilities Maintenance (FM) | 4,349 | 4,519 | 4,545 | 4,958 | 413 |
| Furniture Repairs (FR) | 1,501 | 1,529 | 1,748 | 1,748 | - |
| Jurisdiction Centralized Activities (JR) | 7,801 | 7,764 | 9,126 | 11,142 | 2,016 |
| Miscellaneous Improvements (MI) | 126 | - | - | - | - |
| Study, Design and Condition Assessment | 992 | 481 | - | - | - |
| Senate Restaurants (SR) | 1,021 | 163 | 1,028 | 1,036 | 8 |
| **Total** | **46,735** | **44,988** | **49,059** | **53,247** | **4,188** |




## SENATE OFFICE BUILDINGS (SOB)

### OPERATING BUDGET NARRATIVE DESCRIPTIONS

**Payroll Program Group (PR)**: Provides funding for personnel compensation and personnel benefits for the general administrative support of facilities under the jurisdiction of the Senate Office Buildings. Included are Government staff salaries and other personal services (i.e., paid leave and lump sum annual leave payments upon separation; for compensation above basic rates including overtime, holiday pay, the Civil Service Retirement System, the Federal Employees Retirement System, Social Security and Medicare); agency contributions to the Federal Employees Health Benefits Program (FEHBP), Federal Employees Group Life Insurance (FEGLI), and subsidies paid to employees for commuting costs.

| Title | FY 2006 Enacted w/rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Personnnel Compensation | 24,338 | 1,160 | | 25,498 |
| Personnel Benefits | 8,274 | 591 | | 8,865 |
| **Payroll (PR)** | **32,612** | **1,751** | | **34,363** |

**Personnel Compensation (PR01)** **$25,498,000**

This allotment provides for salaries and wages paid directly to employees including paid leave and lump sum annual leave payments upon separation. This allotment also provides for compensation above basic rates including overtime, holiday pay, Sunday pay, night work differential, supervisory differential, and hazardous duty pay.

*Price Level Increase:* *$1,160,000*

*The increase consists of cost of living adjustments (COLA's) for fiscal year 2007 including the annualization of the January, 2006 COLA and locality pay adjustments for general schedule employees; the COLA and locality pay adjustments for general schedule employees in January, 2007 and the October, 2006 COLA for wage-board employees; and within-grade increases and other pay adjustments.*

**Personnel Benefits (PR02)** **$8,865,000**

This allotment provides for personnel benefits to employees including: contributions for retirement to the Civil Service Retirement System, the Federal Employees Retirement System, Social Security, and Medicare. Also included are agency contributions to the Federal Employees Health Benefits Program (FEHBP), the Federal Employees Group Life Insurance (FEGLI), and subsidies paid to employees for commuting costs.

*Price Level Increase:* *$591,000*

*The increase for fiscal year 2007 is attributed to increased costs for agency contributions for employees' health benefits, retirement funds, and increased participation in the transit subsidy program.*




## SENATE OFFICE BUILDINGS (SOB)

**Facilities Maintenance Program Group (FM):** Provides funding for annual building maintenance services required throughout the Senate Office Buildings, to include repairing and modifying air conditioning systems, electrical systems, elevators, masonry, plumbing; custodial services; subway and elevator maintenance and repair; preventative interior and exterior building maintenance (e.g., painting, pointing, caulking, and surface preservation); insect and pest control; and maintenance of fire alarm systems.

| Title | FY 2006 Enacted w/rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Heating, Ventilation & A/C (HVAC) | 142 | | 13 | 155 |
| Painting | 438 | | 150 | 588 |
| Electrical | 255 | | | 255 |
| Elevator | 200 | | | 200 |
| Plumbing | 105 | | | 105 |
| Carpentry | 203 | | | 203 |
| General Repairs | 305 | | | 305 |
| Cleaning | 1,278 | | | 1,278 |
| Hardware | 20 | | | 20 |
| Subway Transport-Maint & Repair | 81 | | | 81 |
| Building Exterior (Includes Pointing & Caulking) | 152 | | | 152 |
| Insect & Pest Control | 6 | | | 6 |
| Electric Bulbs & Tubes | 66 | | | 66 |
| Fire Alarm System Testing & Maint | 204 | | | 204 |
| Rugs & Floor Coverings | 305 | | | 305 |
| Hazardous Materials Abatement | 305 | | | 305 |
| Maint of Architectural Surfaces | 80 | | | 80 |
| Miscellaneous | 71 | | | 71 |
| Equipment | 122 | | | 122 |
| Fixture Re-Lamping | 203 | | | 203 |
| Taft Memorial Maintenance | 4 | | | 4 |
| Lighting Fixture Refinishing Program (New) | | | 100 | 100 |
| Security Infrastructure (New) | | | 150 | 150 |
| **Facilities Maintenance (FM)** | **4,545** | | **413** | **4,958** |

**Heating, Ventilation & A/C (HVAC) (FM01)** **$155,000**

This allotment provides funding to support costs for annual repairs to maintain, operate, and modify the Senate Office Buildings air conditioning and refrigeration systems.

*Program Increase:* *$13,000*

*The requested program increase of $13,000 will fund additional material and equipment purchases to maintain and calibrate the direct digital control systems that have been installed in the new HVAC control systems. These new control systems allow for preemptive adjustments to the temperature before clients notice temperature fluctuations.*

## SENATE OFFICE BUILDINGS (SOB)

**Painting (FM02)** **$588,000**
This allotment provides funding for supplies and painting equipment as well as temporary labor to perform maintenance painting in the Senate Office Buildings.

*Program Increase:* *$150,000*
*The requested program increase of $150,000 will fund additional temporary painters required to maintain the Halls, Senator Offices, and Committee Rooms in the Senate Office Buildings. The authorized painting work load has increased for the Members' offices. Additionally, the Superintendent plans to increase efforts to maintain and improve the appearance of the 2,500,000 square feet of Senate Office Buildings.*

**Electrical (FM03)** **$255,000**
This allotment provides funding for all maintenance and testing of all electrical power distribution systems in the Senate Office Buildings.

**Elevator (FM04)** **$200,000**
This allotment provides funding for annual testing, inspection and repair of the SOB elevators and escalators as well as the support necessary for repair parts and contractual repairs for the annual operation and maintenance of the elevators.

**Plumbing (FM06)** **$105,000**
This allotment provides funding for maintenance and repair of plumbing and hot water/steam heating systems and restroom equipment maintenance.

**Carpentry (FM07)** **$203,000**
This allotment provides funding to perform renovations, modifications, and repairs of wood infrastructure, wall systems, doors, signage and miscellaneous woodworking.

**General Repairs (FM11)** **$305,000**
The allotment provides funding to repair various equipment and systems by outside vendors and contractors for all divisions. This includes: fork lift trucks, pallet jacks, roll-up doors, and locksmith services.

**Cleaning (FM12)** **$1,278,000**
This allotment provides funding for contractual towel laundry service provided in the Members' offices, contractual window washing, annual cleaning of window blinds, contractual daytime cleaning, and policing of the public restrooms and public spaces, contractual cleaning of the Senate Employees' Child Care Center, Webster Hall Page Dorm, and procuring restroom cleaning supplies, and stocked materials in the restrooms.

**Hardware (FM13)** **$20,000**
This allotment provides funding for items such as: locks, keys, door closers, and door handles for all Senate Office Buildings.

**Subway Transport-Maint &Repair (FM14)** **$81,000**
This allotment provides funding for the annual repair parts necessary for the mechanical and electrical maintenance of the Senate subways.

## SENATE OFFICE BUILDINGS (SOB)

**Building Exterior (Pointing and Caulking) (FM15)** **$152,000**
This allotment provides funding for preventive maintenance to exterior stonework and other masonry. This annual activity includes the pointing and caulking of walls, balconies, terraces, steps and fountains as well as the cleaning of the exterior of the Senate Office Buildings. The funding allows for cyclical maintenance of these areas.

**Insect and Pest Control (FM16)** **$6,000**
This allotment provides funding for insect and rodent extermination services to the Senate Office Buildings.

**Electric Bulbs and Tubes (FM17)** **$66,000**
This allotment provides funding to procure all light bulbs and tubes for the Senate Office Buildings.

**Fire Alarm Systems Testing & Maintenance (FM19)** **$204,000**
This allotment provides funding for the annual inspection, testing, and maintenance of all fire alarm systems.

**Rugs and Floor Coverings (FM20)** **$305,000**
This allotment provides funding to procure broadloom carpet, carpet tile, carpet padding, nailing strips, adhesives, and vinyl tile for the Senate Office Buildings.

**Hazardous Materials Abatement (FM22)** **$305,000**
This allotment provides funding to remove, contain and control asbestos, lead, and other hazardous materials in the Senate Office Buildings.

**Maintenance of Architectural Surfaces (FM25)** **$80,000**
This allotment provides funding to repair and refinish bronze and marble architectural surfaces throughout the Senate Office Buildings.

**Miscellaneous (FM30)** **$71,000**
This allotment provides funding for a wide variety of items including stationery supplies, fax paper, toner cartridges, engraving stock for the sign shop, rubber hoses, shovels, and flags for the buildings.

**Equipment (FM31)** **$122,000**
This allotment provides funding to purchase equipment and tools for the annual maintenance and operation of the Senate Office Buildings.

**Fixture Re-Lamping (FM47)** **$203,000**
This allotment provides funding for the yearly contractual re-lamping of the Senate Office Buildings to reduce the on-hand stock of lamps and redirect labor that is needed to sustain the annual failure of lamps.

**Taft Memorial Maintenance (FM54)**
This allotment provides for routine cleaning of the Memorial, minor cosmetic repairs, and the maintenance of the chimes.

***Lighting Fixture Refinishing (New)*** ***$100,000***
*This allotment will provide funding to implement a new program to refinish historic lighting fixtures in the Senate Office Buildings. The program will re-silver the tarnished chandeliers and wall sconces that can not be cleaned. Additionally, new globes will be custom made to replace damaged and broken globes.*



## SENATE OFFICE BUILDINGS (SOB)

***Security Infrastructure Upgrades (New)*** ***$150,000***

*This allotment will provide funding to support client requests for proxy card reader installations in the Senate Office Buildings. The Architect of the Capitol is responsible for installing the infrastructure for all proxy card readers. It is anticipated that these requests could reach 50 to 100 installations per year for several doors within the Senate Office Buildings.*

**Furniture Repair Program Group (FR):** Provides funding for the replacement and/or repair of existing furniture, to include procurement of routine materials and supplies, contractor services for upholstery and drapery work, and annual inventory of furniture items.

| Title | FY 2006 Enacted w/rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Furniture Repairs | 133 | | | 133 |
| Furniture & Furnishings, Inventory | 115 | | | 115 |
| Furniture & Furnishings | 1,500 | | | 1,500 |
| **Furniture Repairs (FR)** | **1,748** | | | **1,748** |

**Furniture Repairs (FR01)** **$133,000**

This allotment provides all routine materials, supplies and parts, including fabrics and leather for upholstering. Items are provided for the Upholstery and Wood crafting Divisions.

**Inventory of Furniture and Furnishings (FR02)** **$115,000**

This allotment provides funding for an annual inventory of furniture and furnishings. Funding is also used to support hardware and software efforts to continue to make improvements to the inventory system.

**Furniture and Furnishings (FR03)** **$1,500,000**

This allotment provides funding to procure furniture and furnishings authorized for the Senate Office Buildings. This also includes contract upholstery, drapery work, and contract moving services.

## SENATE OFFICE BUILDINGS (SOB)

**Jurisdiction Centralized Activities Program Group (JR):** Provides funding for training, registration, and seminar fees; travel cost for training (local and long distance); safety apparel; lease of facilities; gasoline and oil; the Waste Recycling Program; election year moving costs; uniform allowances; and building leases.

| Title | FY 2006 Enacted w/rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Uniform Allowance | 174 | | | 174 |
| Safety Apparel | 128 | | | 128 |
| Emergency Preparedness (New) | | | 150 | 150 |
| Lease of Facilities | 6,792 | 170 | | 6,962 |
| Gasoline & Oil | 4 | 1 | | 5 |
| Waste Recycling Program | 20 | | (5) | 15 |
| Election Year Moving Costs | | | 950 | 950 |
| Training/Registration/Seminar | 305 | | | 305 |
| Travel | 2 | | | 2 |
| Insurance Claims & Indemnities | 1 | | | 1 |
| Lease of Facilities- SSA | 1,200 | | | 1,200 |
| Lease of Facilties - GPO | 500 | | | 500 |
| Lease of Facilities-SSA Mail Facilities (New) | | | 750 | 750 |
| **Jurisdiction Centralized Activities (JR)** | **9,126** | **171** | **1,845** | **11,142** |

**Uniform Allowance (JR01)** **$174,000**
This allotment provides funding for uniforms for all employees of the Senate Office Buildings.

**Safety Apparel (JR02)** **$128,000**
This allotment provides funding for all safety apparel and equipment for Senate Office Building employees.

**Emergency Preparedness (JR03)** **$150,000**
This allotment provides funding for jurisdiction specific training, exercises, equipment, materials and services in preparation for, and responding to, emergency events. In addition to internal emergency preparedness, AOC supports Legislative Branch agencies within its jurisdiction by leading damage assessment and recovery operations. Personnel must be trained, exercised, and equipped to access, assess, and recover facilities in a hazardous environment following safe and accountable procedures

*Program Increase:* *$150,000*
*The requested program increase will fund critical emergency preparedness requirements for the Senate Office Buildings.*

**Lease of Facilities (JR05)** **$6,962,000**
This allotment provides funding to support the Senate Sergeant at Arms to lease 184,000 square feet of office space at the Postal Square facility.

*Price Level Increase:* *$170,000*
*The requested price level increase of $170,000 will fund negotiated contract increases for security, maintenance, and engineering services.*




## SENATE OFFICE BUILDINGS (SOB)

**Gasoline and Oil (JR07)** **$5,000**
This allotment provides funding for gasoline and oil for all SOB operated vehicles.

*Price Level Increase:* *$1,000*
*The requested price level increase of $1,000 represents a 20 percent increase in the gasoline budget to account for volatile and rising gasoline price.*

**Waste Recycling Program (JR10)** **$15,000**
This allotment provides funding for the supplies and materials to operate the Senate Office Building waste recycling program.

*Program Decrease:* *$5,000*
*The requested program decrease of $5,000 is attributed to cost reductions for the recycling program. The Senate Office Buildings have been provided new recycling bins, and the additional funds are no longer required.*

**Election Year Moving Costs (JR20)** **$950,000**
This allotment provides funding for temporary labor, materials, equipment and supplies to accommodate Congressional room moves and space reassignments that may arise during an election year.

*Program Increase:* *$950,000*
*The requested program increase of $950,000 is attributed to the fact that fiscal year 2007 is an election year and congressional moves must take place.*

**Training/Registration/Seminar (JR91)** **$305,000**
This allotment provides funding to train Senate Office Building employees in technical areas related to the employees' job including safety and OSHA standards and in programs such as prevention of sexual harassment, understanding employee rights and responsibilities, substance abuse, and other subjects. This training is required for all current and new employees. Additionally, the agency provides supervisory, technical skills and staff development training and sponsors basic educational skills training.

**Travel (JR92)** **$1,000**
This allotment provides funding for mission-related travel.

**Insurance Claims and Indemnities (JR93)** **$2,000**
This allotment provides funding for claims and judgments arising from court decisions or the legal cancellation of contracts and damages to personal property.

**Lease of Facilities (SBJR601) – Senate Sergeant at Arms (SSA)** **$1,200,000**
This allotment provides funding for the Senate Sergeant at Arms maintenance costs and lease of 100,000 square feet of storage space in Landover, Maryland.

**Lease of Facilities (SBJR602)– Government Printing Office (GPO)** **$500,000**
This allotment provides funding for a lease of 43,000 square feet of storage and staging space for furniture operations at the GPO to support the Senate Superintendent's Office Furniture Improvement initiative.



## SENATE OFFICE BUILDINGS (SOB)

***Lease of Facilities – Senate Sergeant at Arms Mail Facility (New)*** **$750,000**
*This new allotment will provide funding for a lease of 52,500 gross square feet of space for the Senate Sergeant at Arms Mail Handling Facility, in Landover, Maryland. This space has been identified as suitable space for a new replacement Senate Mail Facility.*

**Senate Restaurants Program Group (SR):** Provides funding for preventative maintenance, repairs and replacement of parts and equipment in the Senate restaurant cafeterias, carry-outs and catering facilities.

| Title | FY 2006 Enacted w/rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Senate Rest. Equipment-Maint & Repair | 19 | | | 19 |
| Senate Rest. Fac.-Replace & Improvements | 64 | | | 64 |
| Senate Restaurant-GAO Audit | 95 | | 8 | 103 |
| Senate Restaurants | 850 | | | 850 |
| **Senate Restaurants (SR)** | **1,028** | | **8** | **1,036** |

**Senate Restaurant Equipment-Maint. and Repair (SR01)** **$19,000**
This allotment provides funding to procure parts to repair the Senate Restaurant equipment.

**Senate Restaurant Facilities Replace & Improvements (SR02)** **$64,000**
This allotment provides funding to procure materials and supplies to make improvements in the Senate Restaurants.

**Senate Restaurant- GAO Audit (SR03)** **$103,000**
This allotment provides funding to reimburse the General Accounting Office (GAO) for its annual audit of the Senate Restaurant system. The annual audit is performed under the general direction of the Senate Committee on Rules and Administration.

*Program Increase:* *$8,000*
*The requested price level increase of $8,000 will fund an anticipated cost increase for the GAO Audit.*

**Senate Restaurants (SR04)** **$850,000**
This allotment provides funding for the general operating support of the Senate Restaurants. Funding appropriated to this allotment will be transferred to the Senate Restaurant Revolving fund at the beginning of the fiscal year.

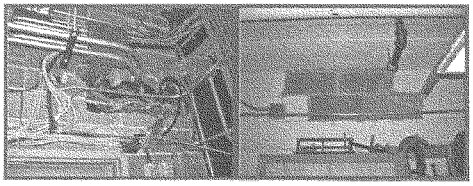
## SENATE OFFICE BUILDINGS (SOB)

### ANNUAL NON-RECURRING PROJECTS FOR FY 2007

| PROJECT BUDGET - ANNUAL ($000) | | | |
|---|---|---|---|
| Project | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
| Seal Fire Wall Penetrations, HSOB, DSOB | 250 | 250 | - |
| Legislative Call System Upgrade | 350 | 350 | - |
| Backflow Preventer Installation, SOB | - | 350 | NEW |
| Repair Marble Floors & Clean Arch. Surfaces | 405 | 405 | - |
| Refinish Historic Woodwork | 235 | 235 | - |
| Point, Caulk, and Clean RSOB | 150 | 150 | - |
| Replace Carpet Hart Senate Office Building | 297 | - | (297) |
| **Total** | **1,687** | **1,740** | **(297)** |

**Project Title: Seal Fire Wall Penetrations, HSOB & DSOB** **$250,000**

**Project Requirement**: Seal firewall penetrations in the Hart and Dirksen Senate Office Buildings.



***Unsealed and sealed firewall penetrations***

**Current Situation**: A fire separation is a wall or assembly that has a fire resistance rating of a particular length of time; it acts as a continuous barrier to the passage of flame and gases. A recent survey of the Hart and Dirksen Senate Office Buildings has identified over 3,000 fire wall penetrations in the fire walls. These penetrations were caused by conduit, cables, and ductwork installations that were required for other projects. Currently, the existing firewall openings are compromising the fire resistance rating of the fire wall.

**Description/Scope**: Implement Underwriters Laboratories Inc. (UL) listed fire-stopping methods, which may include using a fire stopping caulking compound or other more elaborate assemblies to seal the fire wall penetrations in the Hart and Dirksen Senate Office Buildings. This project will be a phased level of effort through fiscal year 2008.

**Impact if not Funded**: The unprotected openings will continue to compromise the fire resistance rating of the building, permitting fire and smoke to spread. Additionally, the building will not comply with the National Fire Protection Association (NFPA) and Building Officials and Code Administrators International (BOCA) codes.

## SENATE OFFICE BUILDINGS (SOB)

**Project Title: Legislative Call System Upgrade, Phase II** **$350,000**

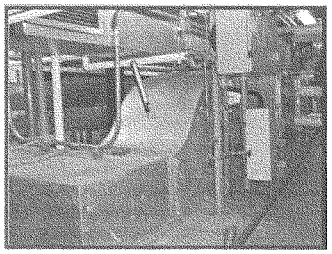
**Project Requirement**: Upgrade the legislative call system and replace the associated clocks.

**Current Situation**: The legislative clocks and call system are key components of the day-to-day legislative Congressional process. The system notifies Congressional Members of critical voting activity in their respective chambers. Currently, there are approximately 4,000 legislative clocks throughout the Senate Office Buildings. These clocks and the system are approximately 40 years old, and must be replaced because their operation is becoming increasingly unreliable. Specifically, the power distribution system upon which the system is based is failing and causes the clock signals to malfunction.

**Description/Scope**: Upgrade the call system and replace approximately 800 legislative clocks. This project is phased for a five-year implementation which will purchase 800 clocks per year. Fiscal year 2007 is year two of the five year replacement plan.

**Impact if not Funded**: The system will continue to be unreliable in the majority of the Senate Office Buildings. Senators will not have a reliable voting notification system and could potentially miss key votes.

**Project Title: Install Backflow Prevention Devices, SOB** **$350,000**



**Project Requirement**: Install 42 backflow prevention devices throughout the Senate Office Buildings.

**Current Situation**: Water for the Senate Office Buildings is supplied through several piping systems. This water is used for drinking as well as other uses within these facilities. Backflow is the flow of contaminated water or other liquids and substances into the distribution pipes of a potable water supply system. It occurs when non-potable water is siphoned into the pipe distribution system. Accordingly, backflow prevention devices are installed to prevent cross-contamination of the drinking water supply. In 2005, a comprehensive backflow prevention survey was conducted throughout all buildings in the Capitol Complex. The survey revealed that the facilities backflow prevention systems have numerous deficiencies that must be corrected. Presently, the Senate Office Buildings has an inadequate number of prevention devices.

**Description/Scope**: This activity provides funding to install 42 back flow prevention devices throughout the Senate.

**Impact if not Funded**: The absence of backflow prevention devices is a potential hazard to the public because contaminants can enter the potable water system

## SENATE OFFICE BUILDINGS (SOB)

**Project Title: Repair Marble Floors and Clean Arch. Surfaces, RSOB** **$405,000**

**Project Requirement:** Repair and clean marble floors in the Russell Senate Office Building.

**Current Situation**: The marble floors in the RSOB were installed in the early 1900s, and are the original floors to the building. The public corridors on the first through fourth floors are marble. Over the years, the marble pavers have cracked and chipped in several places. In some damaged areas, emergency repairs were made with epoxy patches. In severe areas, spot removal and replacement of marble was performed to eliminate the public safety concern.

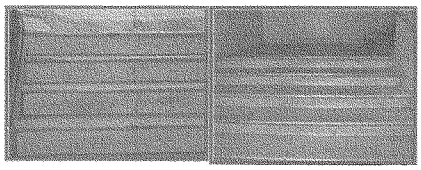


*Photo depicts marble that must be cleaned and repaired*

**Description/Scope**: This project will demolish the existing marble pavers and install new marble pavers. It is anticipated that funding will be required until 2016 to support this initiative.

**Impact if not Funded:** The marble paving will continue to crack and can cause public safety concerns.

**Project Title: Refinish Historic Woodwork** **$235,000**

**Project Requirement**: Refinish historic woodwork throughout the Russell Senate Office Building (RSOB).

**Current Situation**: The historic woodwork in the Russell Building is worn, old, and must be refinished. In many areas, the woodwork has lost its luster and most of its protective finish, which makes the wood susceptible to further damage and discoloration.



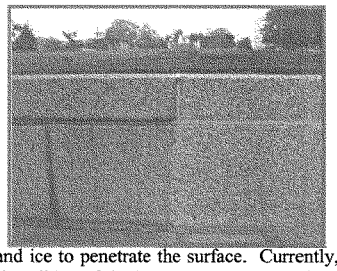
*Before and after photo of refinished historic wood working*

**Description/Scope**: This project will refinish the woodwork surrounding 500 doors and transoms in the RSOB.

**Impact if not Funded:** The historic woodwork will continue to deteriorate and will require a more costly total replacement.

## SENATE OFFICE BUILDINGS (SOB)

**Project Title: Point, Caulk, and Clean, RSOB** **$150,000**



**Project Requirement**: Emergency pointing and caulking for the Russell Senate Office Building (RSOB).

**Current Situation**: A survey examining the condition of the exterior of the Hart, Dirksen, and Russell Senate Office Buildings revealed that the RSOB, which is the oldest Senate Office Building, is severely deteriorating and requires immediate repairs. Over time, the pointing mix, which is a combination of cement, lime, and sand in the gaps between stones, loosens and cracks, allowing water and ice to penetrate the surface. Currently, there are varying degrees of failure in the pointing and caulking of the RSOB. Many areas of the building have failed completely, and are permitting water to leak inside causing accelerated deterioration of the stone façade and carvings. Typically, the water tight pointing mortar is replaced every 30 to 50 years.

**Description/Scope**: Implement immediate emergency re-pointing and caulking of smaller areas that have failed completely.

**Impact if not Funded**: If left alone, water will continue to penetrate the bedding mortar which holds the stones in place beneath the outer layer of pointing mortar. Water damage to the bedding can result in loose stones and damage the building's interior.

## SENATE OFFICE BUILDINGS (SOB)

### CAPITAL (MULTI-YEAR) BUDGET FOR FY 2007

The Capital (multi-year) Budget for this appropriation is divided into the following four categories:

1) *Capital Projects involving major construction or systems replacement requirements that typically address fire, life safety, security, and cyclical maintenance concerns. These projects have been vetted through the Capital Improvements Plan (CIP) process and, where applicable, have met the 100% design documentation requirement as set forth in H.R. 107-169.*
2) *Capital Projects necessary to sustain and provide for Congressional and Legislative Branch agency mission requirements that do not meet the CIP criteria (construction projects greater than $250,000 requiring design documentation).*
3) *Minor Construction requirements involving minor construction, repair, and building alterations that provide jurisdictions the flexibility to respond to unforeseen minor construction requirements as generated from Members, Officers, Committees, and other AOC Clients.*
4) *Study, Design, and Condition Assessment (SDCA) provides resources to enable the AOC to conduct 100% design of proposed projects; initiate studies for improved working efficiencies; and condition assessments that enable management to plan maintenance, preservation, and structural and mechanical work cycles.*

| PROJECT BUDGET - MULTI-YEAR ($000) | | | |
|---|---|---|---|
| Project | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
| Replace Modular Furniture, HSOB | 3,861 | 3,861 | - |
| Infrastructure Improvements Attic, DSOB | - | 19,430 | New |
| Emergency Lighting Power Upgrade | - | 6,060 | New |
| Fire Alarm System Upgrade, HSOB | - | 15,950 | New |
| Emergency Generator, RSOB | - | 5,830 | New |
| Emergency Lighting Upgrades, HSOB | 3,564 | - | (3,564) |
| Public Restroom Upgrades, S. Stack, HSOB | 2,376 | - | (2,376) |
| High Voltage Switchgear Replacement, HSOB | 534 | - | (534) |
| Study, Design, And Condition Assessment | 1,292 | 645 | (647) |
| Minor Construction | 3,960 | 3,960 | - |
| **Total** | | **55,736** | |

**Project Title: Replace Modular Furniture, HSOB** **$3,861,000**

**Project Requirement**: Replace the existing 20 year old furniture and modular walls in the HSOB offices with new modular furniture and modular walls.

**Current Situation**: The existing furniture in the Hart Senate Office Building is approximately 20 years old. The average life cycle of modular furniture ranges from 5 to 15 years, which is based on the quality of furniture, frequency of relocation, and user care.

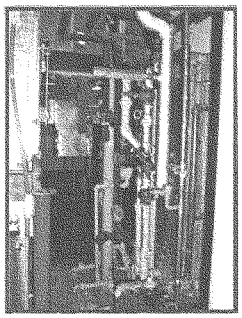


## SENATE OFFICE BUILDINGS (SOB)

**Description/Scope**: This project will replace the modular furniture and modular walls in the HSOB Senator Suites. Considering the age, high relocation rate for Senatorial moves, and numerous client requests, the AOC has developed a Modular Furniture Replacement Program that will replace metal walls and furniture in the 50 Senator Suites of the Hart Building.

**Impact if not Funded**: The current furniture in the Hart Building is no longer manufactured and replacement parts cannot be procured. Additionally, the furniture does not easily accommodate current communications wiring, and is quickly becoming a safety hazard.

**Project Title: Infrastructure Improvements Attic, DSOB** **$19,430,000**



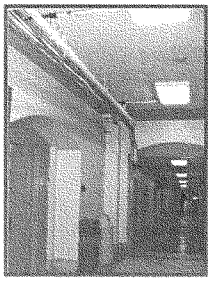
**Project Requirement**: Replace the air handling units in the Dirksen Senate Office Building.

**Current Situation**: The air handling unit (AHU) is an integrated piece of equipment consisting of fans, heating and cooling coils, air-control dampers, filters, and silencers. The purpose of the unit is to collect and mix outdoor air and return the air (cooled or heated) into the building. This process of channeling the conditioned air involves drawing air over heating or cooling coils and forcing it from a central location through ducts. The DSOB has a total of 21 air handling units serving the building. There are a twelve air handling units on the seventh floor of the DSOB that must be replaced. These air handlers are over forty years old, have exceeded their useful life, and are inefficient.

**Description/Scope**: This project will replace the twelve air handling units with new units that have replaceable filters, steam preheat coils, clean steam humidifiers, variable frequency drive motors, and are direct digital control (DDC) compatible. The work will also include reconnecting the new units to the existing outside air plenums, supply air ducts, return air fan ductwork, piping mains, motor control centers, hazardous materials abatement, and electrical feeds.

**Impact if not Funded**: If the units are not replaced, the building ventilation will gradually worsen, and the units will fail in the near future.

**Project Title: Emergency Lighting Power Upgrades, RSOB** **$6,060,000**



**Project Requirement**: Correct emergency lighting deficiencies.

**Current Situation**: The RSOB has substandard, non-compliant emergency lighting in several areas of the building. In the event of a building power outage, many of the illuminated exit signs that identify points of egress will not have an emergency power source. Many utility rooms, machine rooms, egress routes, and adjacent tunnels throughout the complex lack emergency lighting. The spacing between the emergency lights exceeds code standards and the lighting levels are inadequate. The quantities of illuminated exit signs in the RSOB are insufficient and fire extinguishers are located in hose cabinets that are not identified with lights.

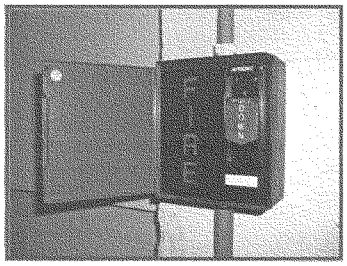
## SENATE OFFICE BUILDINGS (SOB)

**Description/Scope**: This project will upgrade the emergency electrical distribution panel boards that support the existing emergency loads, and will install and modernize the emergency lighting systems throughout the RSOB and adjacent structures to meet the current Building Officials & Code Administrators (BOCA) and National Fire Protection Association (NFPA) life safety codes. Additional emergency lighting will be installed to meet building code egress requirements.

**Impact if not Funded**: Senators, staff, and the public will continue to be subjected to egress risks during a building emergency.

**Project Title: Fire Alarm System Upgrade, HSOB** **$15,950,000**

**Project Requirement:** Replace the existing fire alarm system with a new code compliant system.



**Current Situation**: The fire alarm system in the Hart Senate Office Building (HSOB) is outdated and is approaching the end of its useful life. The manufacturer no longer exists, parts are difficult to obtain, it does not comply with National Fire Protection Association (NFPA) standards for intelligibility and audibility for occupant notification, and it does not meet current Americans with Disabilities Act (ADA) standards.

**Description/Scope**: Replace the existing fire alarm system with a code compliant system. The work will include the installation of smoke detectors, speakers, water flow switches, and a fire alarm panel.

**Impact if not Funded**: Building occupants will be at unnecessary risk due to inadequate detection and occupant notification during an emergency event.

## SENATE OFFICE BUILDINGS (SOB)

**Project Title: Emergency Generator System, RSOB** **$5,830,000**



**Project Requirement**: Provide a standby generator for the Russell Senate Office Building (RSOB) to handle current and future emergency loads.

**Current Situation:** Federal law requires emergency lighting in any commercial, industrial, or public facility. In most cases, power for emergency lighting is supplied from an auxiliary generator system. Currently, the RSOB does not have a dedicated emergency power generator. The building receives back-up power from the emergency generator located in the Dirksen Senate Office Building (DSOB). Because of enhanced security requirements, the DSOB generator will no longer have adequate capacity to handle future emergency power loads, and will be unable to continue to support the RSOB emergency power requirements.

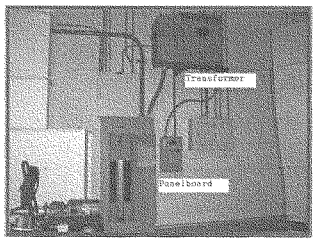
**Description/Scope**: This project will install two new 1000 Kilowatt (kW) standby generators, automatic transfer switches, and associated controls, to handle the existing and additional emergency power loads planned for the RSOB. The work will include connecting the generators to the existing normal and emergency power circuits. Additionally, a 3,400 square foot underground vault will be constructed on the west side of the building to house the units. This project is required to support the *Emergency Lighting Power Requirements, RSOB* included in this fiscal year 2007 budget justification.

**Impact if not Funded**: Without additional funding, the current and future life safety and security installations in the RSOB will not have back-up power. In the event of an emergency, all major systems will shut down. Building occupants will be at risk without proper emergency lighting or security related systems that are required during an emergency.

**Studies, Design & Condition Assessment (SDCA)** **$645,000**

SDCA provides flexibility to meet the needs of the SOB by performing studies, designs, and condition assessments to improve project planning and programming.

**Project Title: Circuit Breaker Panel Board Replacement, HSOB** **$50,000**




**Project Requirement:** Design a plan to replace all of the remaining antiquated circuit breaker panelboards that serve critical or emergency electrical loads in the Hart Senate Office Building (HSOB).

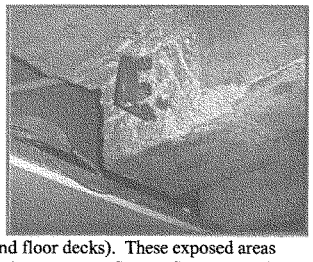
**Current Situation**: A circuit breaker panel board is a mounted enclosure that houses electrical circuit breakers. These panels are the point at which electricity is distributed within a building. Many of the circuit breaker panel boards in the HSOB are antiquated. The manufacturer no longer exists and spare parts are difficult and costly to procure. These panel boards serve emergency electrical loads; a failure would sever power to critical safety systems. Further, a breaker failure will result in extended power outages since spare parts are scarce.

## SENATE OFFICE BUILDINGS (SOB)

**Description/Scope**: This project will develop design documents to implement a phased replacement plan, and prepare specifications to procure new panelboards and transformers. Twenty panels are proposed for replacement each year for the next three years, totaling 60 panels.

**Impact if not Funded**: The current transformers are in violation of Building Officials and Code Administrators (BOCA), National Fire and Protection Association (NFPA) and Life Safety Codes, which places the building occupants at unnecessary risk during a building emergency evacuation.

**Project Title: Structural Fireproofing Repairs, HSOB** **$100,000**



**Project Requirement:** Develop a design plan to implement approved fireproofing methods to maintain the fire resistance rating of the Hart Senate Office Building (HSOB).

**Current Situation**: In Spring 2004, a structural fire protection survey for the Senate Office Buildings was performed. This survey revealed that in many areas on the second through eighth floors of the Hart Senate Office Building the spray-on fireproofing material had either fallen off, been removed, or the thickness was inadequate around many supporting structural components (i.e. beams and floor decks). These exposed areas reduce the effectiveness and diminish the fire rating of the spray-on fireproofing material, exposing the building to structural risks in the event of a fire.

**Description/Scope**: This project will develop a design plan to replace and repair all damaged and missing spray-on fireproofing material in the building. Additionally, the design will focus on closing all open penetrations in fire rated partitions.

**Impact if not Funded**: Without implementation of the recommendations of the survey, the HSOB will continue to be at risk in the case of a fire emergency. The structural elements throughout the HSOB will continue to be exposed, and the fire rating will be diminished. Under extreme heat, the beams and floor decks could weaken and collapse.

**Project Title: Fire Hose Connection, SOB** **$75,000**

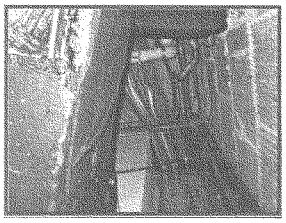
**Project Requirement:** Design fire hose and extinguisher cabinets with architectural features that match the buildings' finishes to replace the existing recessed metal cabinets.

**Current Situation**: The old fire hose and extinguisher cabinets within the Senate Office Buildings are rusted and are no longer used. Originally, these cabinets contained small diameter fire hoses. Building occupants were instructed to use these hoses for fire protection in the event of a fire. Today, fire protection practices have changed drastically. Presently, occupants are discouraged from fighting fires. The hoses inside of the cabinets have been replaced with large diameter hose connections for use by the responding fire department.

**Description/Scope**: This project will develop design documents to replace the existing cabinets with those that meet the needs of the fire department and match the décor of the buildings.

**Impact if not Funded**: If new cabinets are not provided, the rusted cabinets may impair fire department operations. Thus, the rusted cabinets will continue to detract from the buildings' appearance.

**Project Title: Study, Building Construction for Fire Integrity, RSOB** **$300,000**



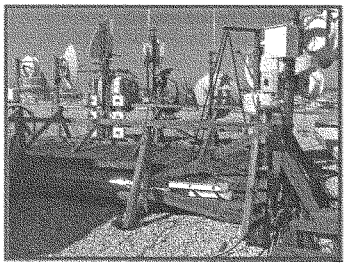
**Project Requirement:** Conduct a study to quantify and estimate costs to repair structural fireproofing deficiencies. Conduct a feasibility study to investigate the fire protection deficiencies in the vertical shafts of the Russell Senate Office Building (RSOB).

**Current Situation**: A recent survey of the RSOB revealed several structural fire proofing compromises in the attic. In the older north, south, and west wings of the attic, structural steel is visibly exposed and lacks fire protection. Additionally, each office suite is served by two vertical shafts that are used to route utility wires. These shafts are constructed of clay tile and only offer a minimum of thirty minutes of fire resistance, significantly less than the two hour fire resistance requirement. In the original three wings of the RSOB, supply air runs through shafts that lack required ductwork and fire dampers.

**Description/Scope**: This project will conduct a study to quantify and estimate the costs to repair the east wing structural fire proofing compromises and will develop options to provide protection to the structural steel in the north, south, and west wings. Additionally, the project will conduct a feasibility study to evaluate alternatives to correct the fire protection deficiencies within the two vertical shafts serving the office suites.

**Impact if not Funded:** Failure to implement the recommendations of the survey, will continue to place the RSOB at risk in the event of a fire emergency. The structural elements throughout the RSOB will continue to be exposed, and the fire rating will be diminished. Under extreme heat these exposed areas could weaken and collapse.

**Project Title: CATV System Upgrade, Phase II** **$120,000**



**Project Requirement:** Develop design documents to replace and upgrade the old cable television system to meet the Federal Communications Commission (FCC) mandate for conversion to completely digital format by the end of 2008.

**Current Situation**: Audio and video play a major role in public access to Congress. Accordingly, cable television coverage of the floor proceedings has existed for many years. The current cable television distribution system has been in place for more than twenty years. This 36 channel Hill-wide system uses standard technology and has limitations with regards to channels and connectivity. Further, replacement parts are difficult to obtain. The congressional requirements to add additional channels for expanded hearing coverage and the requirement for digital television

capability by the end of 2008 must be met. The current cable distribution can not support the new digital technologies.

**Description/Scope**: This project will develop design documents to provide a new cable television distribution system to all rooms in the in the Senate Page Dorm (Webster Hall), Senate Child Care Center, Senate Legislative Garage, and Postal Square that currently have cable TV hook-ups and to any additional rooms required. The new system will be High Definition Television (HDTV) compatible and will have required channel capabilities. The design plan will include installation of amplifiers, power supplies, junction boxes, and outlet ports.

**Impact if not Funded**: Senators and staff will not have the capability to monitor hearings. Eventual phase-in of digital CATV will leave the current system obsolete.

**Minor Construction** **$3,960,000**

This allocation provides flexibility for unforeseen construction-related needs as required by Senators, Officers, Committees, and various Congressional support organizations.

# SOB Functional Budget Summary Fiscal Year 2007

**OPERATING BUDGET ($000)**

| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligations | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Payroll (PR) | 30,945 | 30,532 | 32,612 | 34,363 | 1,751 |
| Facilities Maintenance (FM) | 4,349 | 4,519 | 4,545 | 4,958 | 413 |
| Furniture Repairs (FR) | 1,501 | 1,529 | 1,748 | 1,748 | - |
| Jurisdiction Centralized Activities (JR) | 7,801 | 7,764 | 9,126 | 11,142 | 2,016 |
| Miscellaneous Improvements (MI) | 126 | - | - | - | - |
| Study, Design and Condition Assessment | 992 | 481 | - | - | - |
| Senate Restaurants (SR) | 1,021 | 163 | 1,028 | 1,036 | 8 |
| **Total** | **46,735** | **44,988** | **49,059** | **53,247** | **4,188** |

**PROJECT BUDGET - ANNUAL ($000)**

| Description | FY 2005 Enacted w/rescission | FY 2005 Obligations | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Seal Fire Wall Penetrations, HSOB, DSOB | | | 250 | 250 | |
| Legislative Call System Upgrade, Phase 1 | | | 350 | 350 | |
| Backflow Preventer Installation | | | - | 350 | |
| Repair Marble Floors & Clean Arch Surfaces | | | 405 | 405 | |
| Refinish Historic Woodwork | | | 235 | 235 | |
| Point, Caulk and Clean RSOB | | | 150 | 150 | |
| Replace Carpet Hart Senate Office Building | | | 297 | - | |
| **Total** | **5,854** | **6,168** | **1,687** | **1,740** | **53** |

**PROJECT BUDGET - MULTI-YEAR ($000)**

| Project | FY 2005 Enacted w/rescission | FY 2005 Obligations | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Study, Design and Condition Assessment | | | 1,292 | 645 | |
| Minor Construction | | | 3,960 | 3,960 | |
| Replace Modular Furniture, HSOB | | | 3,861 | 3,861 | |
| Emergency Lighting Upgrades, HSOB | | | 3,564 | - | |
| Public Restroom Upgrades, S. Stack, HSOB | | | 2,376 | - | |
| High Voltage Switchgear Replacement, HSOB | | | 535 | - | |
| Infrastructure Improvements Attic, DSOB | | | - | 19,430 | |
| Emergency Lighting and Power Upgrade, RSOB | | | - | 6,060 | |
| Fire Alarm System Replacement HSOB | | | - | 15,950 | |
| Emergency Generator, RSOB | | | - | 5,830 | |
| **Total** | **8,997** | | **15,588** | **55,736** | **40,148** |

**TOTAL BUDGET ($000)**

| | FY 2005 Enacted w/rescission | FY 2005 Obligations | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Total Annual Recurring | 46,735 | 44,988 | 49,059 | 53,247 | 4,188 |
| Total Project Budget - Annual | 5,854 | 6,168 | 1,687 | 1,740 | 53 |
| Total Annual Budget | 52,589 | 51,156 | 50,746 | 54,987 | 4,241 |
| Total Project Budget - Multi Year | 8,997 | | 15,588 | 55,736 | 40,148 |
| **Total Budget** | **61,586** | **51,156** | **66,334** | **110,723** | **44,389** |
| Full-Time Equivalent (FTE) | 556 | | 562 | 562 | |

# CAPITOL POWER PLANT (CPP)

## INTRODUCTION

The Capitol Power Plant (CPP) is the Capitol Complex's centralized provider of utility services not available from other sources. The CPP also houses several Legislative Branch Telecommunications Network functions and provides dedicated space for satellite communication dishes. The CPP operates and maintains a central steam plant for heating, and a refrigeration plant providing chilled water for air conditioning, and all the tunnel distribution and metering systems associated with delivering these utilities. Steam and chilled water are provided for several Legislative Branch agencies, including the U. S. Capitol Building, Senate Office Buildings, Senate garages, House Office Buildings, House garages, Library of Congress Buildings, and the U. S. Botanic Garden. The CPP also provides steam and chilled water on a reimbursable basis to other clients, some of whom are not Legislative Branch entities.

### FISCAL YEAR 2007 BUDGET AND FTE SUMMARY*

| TOTAL BUDGET ($000) | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
|---|---|---|---|---|---|
| Total Operating Budget | 52,595 | 54,188 | 55,839 | 75,183 | 19,344 |
| Total Project Budget - Annual | 2,796 | 2,128 | 675 | 3,479 | 2,804 |
| Total Annual Budget | 55,391 | 56,316 | 56,514 | 78,662 | 22,148 |
| Total Project Budget - Multi-Year | 1,984 | 490 | 1,584 | 3,048 | 1,464 |
| **Total Budget** | **57,375** | **56,806** | **58,098** | **81,710** | **23,612** |
| Full Time Equivalent (FTE) | 94 | | 95 | 95 | |

### FISCAL YEAR 2007 OBJECT CLASS
**Schedule A ($000)**

| Object Class | FY 2005 Actual* | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|
| 11 Personnel Compensation | 6,119 | 6,024 | 6,309 | 285 |
| 12 Personnel Benefits | 1,771 | 1,776 | 1,925 | 149 |
| 21 Travel | 10 | 1 | 1 | - |
| 22 Transportation of Things | - | 4 | 4 | - |
| 23 Rent, Communications and Utilities | 30,167 | 37,649 | 54,019 | 16,370 |
| 24 Printing and Reproduction | 1 | - | - | - |
| 25 Other Contractual Services | 5,142 | 4,092 | 6,597 | 2,506 |
| 26 Supplies and Materials | 8,296 | 7,739 | 9,190 | 1,451 |
| 31 Equipment | 4,018 | 348 | 416 | 68 |
| 32 Land and Structures | 5,461 | 465 | 3,249 | 2,784 |
| 41 Grants | - | - | - | - |
| 42 Insurance Claims and Indemnities | - | - | - | - |
| 43 Interest | - | - | - | - |
| 44 Refunds | - | - | - | - |
| **Total, Budget** | **60,985** | **58,098** | **81,710** | **23,612** |

*FY 2005 Actual represents total obligations of funds incurred in FY2005, irrespective of the year of appropriation.

* *The tables included in this budget submission have rounding variances to the nearest thousandth.*




# CAPITOL POWER PLANT (CPP)

## Detailed Analysis of Change by Appropriation
## Schedule B

| | FY 2007 Agency Request FTE | Amount (000) |
|---|---|---|
| **Appropriation, FY 2006** | **95** | **58,685** |
| Minus Rescission | | (587) |
| **Revised Appropriation, FY 2006** | | **58,098** |
| **Program Decreases** | | |
| Replace Air Compressors | | (228) |
| Replace Hotwell w/Condensate Receiver | | (238) |
| Heavy Equipment - Track Mobile | | (210) |
| **Total, Program Decreases** | - | **(675)** |
| **Mandatory and Related Costs:** | | |
| Cost of Living - Annualization of Cost of Living 2006 | | 5 |
| Cost of Living 2007 | | 195 |
| Within-grade Increases and Pay Adjustments | | 122 |
| Awards | | 2 |
| Retirement Increases | | 59 |
| FEHBA/FEGLI | | 41 |
| Transit Subsidy | | 10 |
| **Total, Mandatory Pay Related Costs** | - | **434** |
| **Price Level Changes:** | | |
| Power Plant Operations & Maintenance (PM) | | 17 |
| Utilities (UT) | | |
| Annual Gas Service | | 5,000 |
| Purchase of Electrical Energy | | 11,100 |
| Purchase of Steam | | 409 |
| Purchase of Chilled Water | | 408 |
| Water & Sewer Services Payment to D.C. | | (1,304) |
| Fuel - Coal | | 1,000 |
| Fuel - Oil | | 300 |
| Reimbursements - Steam and Chilled Water | | (1,400) |
| **Total, Price Level Changes** | - | **15,530** |
| **Program Increases:** | | |
| Jurisdiction Centralized Activities (JR) | | |
| Training | | 19 |
| Emergency Preparedness | | 100 |
| Power Plant Operations & Maintenance (PM) | | |
| General Repairs | | 933 |
| Industial Supplies | | 21 |
| Utilities (UT) | | |
| Annual Gas Service | | 96 |
| Purchase of Electrical Energy | | 1,400 |
| Water & Sewer Services Payment to D.C. | | 61 |
| Fuel - Oil | | 150 |
| Postal Square | | 600 |
| Boilers #1 and #2 Grate / Drive Replacement | | 442 |
| Tunnel Asbestos Abatement, Emergency Egress & Structural Repairs | | 1,750 |
| Major Repairs to Baghouse Duct work and re-insulation | | 200 |
| Upgrade Baghouse Controls | | 125 |
| Main Dozer | | 230 |
| Demolish East Refrigeration Plant Cooling Towers | | 100 |
| Replace Air Compressors, Boiler Plant | | 250 |
| Backflow Preventer Installations | | 382 |
| Study, Design and Condition Assessment | | 1,464 |
| **Total, Program Increases** | - | **8,323** |
| **Net Increase** | - | **23,612** |
| **Total Appropriation** | **95** | **81,710** |

# CAPITOL POWER PLANT (CPP)

## OPERATING BUDGET

The Operating Budget for this appropriation is comprised of all costs associated with the daily care, maintenance and operation of the facilities and activities under the jurisdiction of the Capitol Power Plant (CPP). In addition, this appropriation provides funding to pay the utility bills for facilities under the jurisdiction of the AOC. The budget justification for the Operating Budget includes the below summary schedule that incorporates the following data: the Program Group and columns indicating funding levels for fiscal years 2005, 2006, and 2007, as well as the obligations for fiscal year 2005. Following this summary schedule are the Operating Allotment narratives that describe the purpose of all operating allotments funded in this appropriation. When increases or decreases have been requested for fiscal year 2007, the amount and justification for those changes appear in *italics*. In accordance with sound financial management practice, these allotments are reviewed and adjusted to reflect changing needs. Increases that cannot be absorbed are requested through the budget process.

### Summary Schedule

**OPERATING BUDGET ($000)**

| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
|---|---|---|---|---|---|
| Payroll (PR) | 7,383 | 6,501 | 7,800 | 8,234 | 434 |
| Facilities Maintenance (FM) | 252 | 258 | 258 | 258 | - |
| Jurisdiction Centralized Activities (JR) | 121 | 228 | 121 | 240 | 119 |
| Miscellaneous Improvements (MI) | 125 | 55 | 125 | 125 | - |
| Power Plant Operations & Maintenance (PM) | 2,756 | 7,131 | 3,230 | 4,201 | 971 |
| Safety, Fire, and Environmental (SF) | 114 | 114 | 117 | 117 | - |
| Utilities (UT) | 41,844 | 39,901 | 44,188 | 62,008 | 17,820 |
| **Total** | **52,595** | **54,188** | **55,839** | **75,183** | **19,344** |

## CAPITOL POWER PLANT (CPP)

### OPERATING BUDGET NARRATIVE DESCRIPTIONS

**Payroll Program Group (PR)**: Provides funding for personnel compensation and personnel benefits for the Capitol Power Plant (CPP). Included are Government staff salaries and other personal services (i.e., paid leave and lump sum annual leave payments upon separation; for compensation above basic rates including, overtime, holiday pay, the Civil Service Retirement System, the Federal Employees Retirement System, Social Security and Medicare); agency contributions to the Federal Employees Health Benefits Program (FEHBP), Federal Employees Group Life Insurance (FEGLI), Worker's Compensation Program, and subsidies paid to employees for commuting costs.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Compensation | 6,024 | 285 | | 6,309 |
| Personnel Benefits | 1,776 | 149 | | 1,925 |
| **Payroll (PR)** | **7,800** | **434** | | **8,234** |

**Personnel Compensation (PR01)** **$6,309,000**

This allotment provides for salaries and wages paid directly to employees including paid leave and lump sum annual leave payments upon separation. This allotment also provides for compensation above basic rates including overtime, holiday pay, Sunday pay, night work differential, supervisory differential, and hazardous duty pay.

*Price Level Increase:* *$285,000*

*The increase consists of cost of living adjustments (COLA's) for fiscal year 2007 including the annualization of the January, 2006 COLA and locality pay adjustments for general schedule employees; the COLA and locality pay adjustments for general schedule employees in January, 2007; and the October, 2006 COLA for wage-board employees; and within-grade increases and other pay adjustments.*

**Personnel Benefits (PR02)** **$1,925,000**

This allotment provides funding for personnel benefits to employees including contributions for retirement to the Civil Service Retirement System, the Federal Employees Retirement System, Social Security, and Medicare. Also included are agency contributions to the Federal Employees Health Benefits Program (FEHBP), the Federal Employees Group Life Insurance (FEGLI), and subsidies paid to employees for commuting costs.

*Price Level Increase:* *$149,000*

*The increase for fiscal year 2007 is attributable to increased costs of agency contributions for employees' health benefits, retirement funds, and increased participation in the transit subsidy program.*




## CAPITOL POWER PLANT (CPP)

**Facilities Maintenance Program Group (FM)**: Provides funding for annual building maintenance services required throughout the Capitol Power Plant to include repairing and modifying air conditioning systems, electrical systems, elevators, masonry, plumbing; custodial services; preventative interior and exterior building maintenance (e.g., painting, pointing, caulking, and surface preservation); solid and bulk waste disposal; maintenance of fire alarm systems, and hazardous materials abatement.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Elevator Inspections - Contract | 2 | | | 2 |
| Exterior Pointing & Caulking - Contract | 205 | | | 205 |
| Hazardous Materials Abatement - Contract | 51 | | | 51 |
| **Facilities Maintenance (FM)** | **258** | | | **258** |

**Elevator (FM04)** **$2,000**
This allotment provides funds for the periodic contractual elevator inspections and testing required by code.

**Building Exterior (Includes Pointing & Caulking) (FM15)** **$205,000**
This allotment provides funds to re-point brickwork on buildings, repair cracks in ceilings, and perform necessary annual wall repairs.

**Hazardous Materials Abatement (FM22)** **$51,000**
This allotment provides for the encapsulation or removal of asbestos containing materials from the Capitol Power Plant site, as required by the Occupational Safety and Health Administration (OSHA) Asbestos Standard 29 CFR 1910.100. Additionally, any lead-based paint that is encountered must be abated in accordance with the OSHA Lead Standard 29 CFR 1910.1025.

**Jurisdiction Centralized Activities Program Group (JR)**: Provides funding for training, registration, and seminar fees; travel; and uniform allowances.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Uniform Allowance | 35 | | | 35 |
| Emergency Preparedness | | | 100 | 100 |
| Training/Registration/Seminar | 85 | | 19 | 104 |
| Travel | 1 | | | 1 |
| **Jurisdiction Centralized Activities (JR)** | **121** | | **119** | **240** |

**Uniform Allowance (JR01)** **$35,000**
This allotment provides funding to purchase uniforms for employees of the Capitol Power Plant.




## CAPITOL POWER PLANT (CPP)

**Emergency Preparedness (JR03)** **$100,000**
This allotment provides funding for the CPP to conduct emergency preparedness planning and training.

*Program Increase:* *$100,000*
*This program provides jurisdiction specific training, exercises, equipment, materials and services in preparation for, and responding to, emergency events. In addition to internal emergency preparedness, AOC supports Legislative Branch agencies within its jurisdiction by leading damage assessment and recovery operations. Personnel must be trained, exercised, and equipped to access, assess and recover facilities in a hazardous environment following safe and accountable procedures.*

**Training/Registration/Seminar (JR91)** **$104,000**
This allotment is used to train employees in technical areas related to the employees' job, as well as training in safety and OSHA standards; prevention of sexual harassment, understanding employee rights and responsibilities; and substance abuse. Additionally, the agency provides supervisory and staff development training and sponsors basic educational skills training. This allotment also includes funds for training-related travel costs.

*Program Increase:* *$19,000*
*The requested program increase supports the mandatory requirement for annual safety training. These funds will be used to purchase training modules as required by AOC directives.*

**Travel (JR92)** **$1,000**
This allotment provides funding for official travel requirements for Capitol Power Plant personnel. This allotment funds both transportation and per diem costs.

**Miscellaneous Improvements Program Group (MI)** **$125,000**
These funds provide for miscellaneous repair, replacement and improvements to the Capitol Power Plant. The scope of these projects exceeds normal maintenance requirements but do not justify a special appropriation request.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Miscellaneous Improvements | 125 | | | 125 |
| **Miscellaneous Improvements (MI)** | **125** | | | **125** |

**Power Plant Operations & Maintenance Program Group (PM)**: Provides funding for activities to support operations and maintenance of the power plant's equipment, to include general annual repairs and maintenance, purchase of industrial supplies, insulation of steam and chilled water lines, and vehicle rentals.

## CAPITOL POWER PLANT (CPP)

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| General Repairs - Power Plant | 1,889 | 17 | 933 | 2,839 |
| Industrial Supplies - Power Plant | 1,037 | 21 | | 1,058 |
| Reinsulate Steam Lines | 300 | | | 300 |
| Rental of Van - Power Plant | 4 | | | 4 |
| **Power Plant Operations & Maintenance (PM)** | **3,230** | **38** | **933** | **4,201** |

**General Repairs – Power Plant (PM01)** **$2,839,000**

This allotment provides funding for the routine maintenance and repairs to various pieces of the Capitol Power Plant equipment, including the boilers, chillers, and auxiliary equipment. In addition, this allotment supports ash disposal services and emission permit fees.

*Price Level Increase:* *$17,000*

*The requested price level increase of $17,000 will fund inflationary cost increases for plant operations' services and materials.*

*Program Increase:* *$933,000*

*The requested program increase will fund several new initiatives designed to address the current deficiencies in the utility tunnel system. The Office of Compliance has identified several deficiencies in the tunnel system, and funds in the amount of $550,000 are being requested to correct those deficiencies and to perform maintenance on additional critical components within the tunnels. The program increase will also fund the additional maintenance costs of $190,000 associated with new chillers in the West Refrigeration Plant. The remaining program increase is due to ash disposal costs. The Power Plant has adopted a strategy of burning more coal as burning coal is more cost effective than using natural gas. The increased burning of coal will bring a corresponding increase in ash disposal costs.*

**Industrial Supplies – Power Plant (PM02)** **$1,058,000**

This allotment provides funding for the procurement of various supplies such as tools, paint, safety items, cleaning materials, and refrigeration and steam plant chemicals.

*Price Level Increase:* *$21,000*

*The requested price level increase of $21,000 will fund inflationary cost increases for plant materials and supplies.*

**Reinsulate Steam Lines (PM03)** **$300,000**

This allotment provides funding for the continued maintenance of insulation on steam piping and removal of asbestos on pumps, valves, piping, tanks, and flooring.

**Rental of Van – Power Plant (PM06)** **$4,000**

This allotment provides funding for the rental of a utility van for use by the plant's maintenance crew to pick up supplies and equipment.




## CAPITOL POWER PLANT (CPP)

**Safety, Fire, and Environmental Program Group (SF)**: Provides funding for safety related activities, to include procurement of personal protective equipment; meters for confined space entry; fall protection devices; electrical safety equipment; respirators and hard hats; and safety inspections and certifications.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Personal Protective Equipment/Safety | 16 | | | 16 |
| Safety Supplies & Equipment | 31 | | | 31 |
| Safety Inspection & Certification | 70 | | | 70 |
| **Safety, Fire, and Environmental (SF)** | **117** | | | **117** |

**Personal Protective Equipment/Safety (SF08)** **$16,000**
This allotment provides funding for the purchase of personal protective equipment such as safety shoes, protective chemical clothing, welders clothing, steel-toed boots, and prescription safety glasses.

**Safety Supplies and Equipment (SF21)** **$31,000**
This allotment provides funding for the purchase of safety supplies and equipment for power plant employees. Examples of items purchased with these funds include ear plugs, hard hats, respirators, respirator filters, signage for the plant, gloves, and disposable tyvak suites.

**Safety Inspection and Certification (SF22)** **$70,000**
This allotment provides funding for required annual inspections and certifications of all cranes, hoists, electrical switchgear, and boilers, as well as continued monitoring of the structural integrity of the utility tunnel system. This work is performed by independent consultants and contractors. The inspections and certifications are needed in order to meet OSHA requirements.

**Utilities Program Group (UT)**: Provides funding for purchasing utilities for the entire Capitol Complex as well as other facilities under the jurisdiction of the AOC, such as the National Audio Visual Conservation Center (NAVCC), the Alternate Computing Facility (ACF), and the Senate Sergeant-at-Arms mail and storage facilities. Utilities purchased with these funds include natural gas, electricity, coal, fuel oil, steam, chilled water, potable water, and sewer services.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Annual Gas Service | 10,500 | 5,000 | 96 | 15,596 |
| Purchase of Electrical Energy | 28,969 | 11,100 | 1,400 | 41,469 |
| Purchase of Steam | 571 | 409 | | 980 |
| Purchase of Chilled Water | 626 | 408 | | 1,034 |
| Water & Sewer Services Payment to D.C. | 3,388 | (1,304) | 61 | 2,145 |
| Fuel - Coal | 4,500 | 1,000 | | 5,500 |
| Fuel - Oil | 2,234 | 300 | 150 | 2,684 |
| Postal Square | | | 600 | 600 |
| Reimbursements for Steam & Chilled Water | (6,534) | (1,466) | | (8,000) |
| **Utilities (UT)** | **44,254** | **15,447** | **2,307** | **62,008** |



## CAPITOL POWER PLANT (CPP)

**Annual Gas Service (UT01)** **$15,596,000**

This allotment is used for purchasing natural gas service for firing the Nos. 3, 4, and 5 boilers at the power plant, and for natural gas to supplement coal for firing the Nos. 1 and 2 boilers in order to meet emissions criteria. In addition, 13 smaller facilities around the Capitol Complex or within the jurisdiction of the AOC utilize natural gas service for operations.

*Price Level Increase:* *$5,000,000*

*The requested price level increase of $5,000,000 will fund inflationary cost increases due to energy market pricing curves for natural gas. The large increase can be attributed in part to the rise in gas prices resulting from the hurricanes that hit the Gulf Region in autumn 2005. Damage from these hurricanes, combined with increasing global demand for natural gas, caused the price per unit of natural gas to skyrocket from roughly $6.50 per decatherm in early summer 2005 to $16.64 under the natural gas contract currently in place at the Capitol Power Plant.*

*Program Increase:* *$96,000*

*The requested program increase is a result of the gas bill for the Alternate Computer Facility (ACF) becoming the responsibility of the Capitol Power Plant in fiscal year 2007. The funds for this item are requested to be transferred from GF21 General Facilities Operations–Utilities within the General Administration Appropriation.*

**Purchase of Electric Energy (UT02)** **$41,469,000**

This allotment is used for the purchase of electrical energy from PEPCO and other utility companies. The electricity is purchased for the forty-two sites around the Capitol Complex or within the jurisdiction of the AOC, including the power plant and its four primary 6,300 horsepower centrifugal chiller motors, Library of Congress storage facilities at Fort Meade, and the Senate Sergeant-at-Arms storage facility in Landover, MD.

*Price Level Increase:* *$11,100,000*

*The requested price level increase of $11,100,000 will fund inflationary cost increases for electrical power services. The period of price level freezes mandated as part of the deregulation of the energy market ended in 2005. Local utility companies are now able to adjust their rates to fully capture the cost of providing electricity. The result is long term electric rates increasing by almost 50% in the Washington metropolitan area. The rates in place for the Power Plant at the end of FY2005 contained a contracted rate of $6.62 per kilowatt-hour (kWh). This contract expired on December 31, 2005, and the new contract contains monthly increases to the previous rate through May 2006. Beginning in June 2006 and lasting through the end of fiscal year 2006 the rate will be $9.50 per kWh, an increase of 44% over the rate in place at the end of fiscal year 2005. It is widely expected that fiscal year 2007 will not bring any relief to energy prices, as rising demand across the nation will keep the prices high.*

*Program Increase:* *$1,400,000*

*The requested program increase of $1,400,000 is a result of the electric bills for the Alternate Computer Facility (ACF) and the Senate Sergeant-at-Arms Mail Facility becoming the responsibility of the Capitol Power Plant in fiscal year 2007. We are requesting funding transfers for these facilities of $1,150,000 and $250,000, respectively. The $1,150,000 for the ACF electric bill is requested to be transferred from GF21 General Facilities Operations–Utilities within the General Administration Appropriation. The $250,000 for the Senate Sergeant-at-Arms Mail Facility is requested to be transferred from the Senate Sergeant-at Arms Appropriation.*

**Purchase of Steam (UT03)** **$980,000**
This allotment is used for purchasing steam from the General Services Administration (GSA) to heat the Ford House Office Building, which is not connected to the CPP's steam distribution system.

*Price Level Increase:* *$409,000*
*The price level increase is a result of GSA's energy market rate increase for steam. The increase is based on projections provided by GSA.*

**Purchase of Chilled Water (UT04)** **$1,034,000**
This allotment is used for purchasing chilled water from the General Services Administration (GSA) to service the Ford House Office Building, which is not connected to the CPP's chilled water distribution system.

*Price Level Increase:* *$408,000*
*The price level increase is a result of GSA's energy market rate increase for chilled water. The increase is based on projections provided by GSA.*

**Water and Sewer Services Payment to D.C. (UT05)** **$2,145,000**
This allotment is for the annual payment to the District of Columbia Government for water and sewer service charges as well as payments to other utility companies for water and sewer service charges for buildings located outside of the Capitol Complex. Payments are mandated to the District Government via the Department of Treasury pursuant to Public Law 101-168, the District of Columbia Appropriations Act, 1990, approved November 21, 1989, as amended.

*Price Level Decrease:* *($1,304,000)*
*The price level decrease of $1,304,000 reflects the fiscal year 2007 rate as detailed in an April 15, 2005 letter from the District of Columbia Water and Sewer Authority.*

*Program Increase:* *$61,000*
*The requested program increase is a result of the water and sewer bill for the Alternate Computing Facility (ACF) becoming the responsibility of the Capitol Power Plant in fiscal year 2007.*

**Fuel –Coal (UT06)** **$5,500,000**
This allotment is used for the annual procurement of coal which is burned in the No. 1 and No. 2 boilers in order to produce steam to heat the Capitol Complex.

*Price Level Increase:* *$1,000,000*
*The price level increase is a result of the energy market pricing curves for coal. Demand for coal has skyrocketed over the past year, due in large part to the rising costs of other fuel alternatives as well as increasing energy demands. Coal is the principal fuel for generating electricity in the United States, accounting for approximately 55% of total electricity output. As a result of these factors, the coal industry is now experiencing its first upswing in over 20 years.*

**Fuel –Oil (UT07)** **$2,684,000**
This allotment is used for the annual procurement of No. 2 fuel oil which is burned in boilers No. 3 through No. 7 in order to produce steam to heat the Capitol Complex.




## CAPITOL POWER PLANT (CPP)

*Price Level Increase:* *$300,000*
*The price level increase of $300,000 will fund inflationary cost increases for oil and fuel services. The price of oil has been impacted by rising energy and natural gas costs, as increases in the cost of those utilities has caused an increase in demand for other fuel alternatives such as oil. This increase in demand has caused the price of fuel oil to increase.*

*Program Increase:* *$150,000*
*The requested program increase of $150,000 is the result of fuel oil costs associated with the National Audio Visual Conservation Center (NAVCC) in Culpepper, VA. The memorandum of understanding on the handover of the facility mandates the refilling of the oil tanks will be the responsibility of the AOC.*

***Postal Square (New)*** ***$600,000***
*This new allotment provides funding for the "overtime" utilities costs for Postal Square. The "overtime" utility costs are utility costs for operations outside the base hours of the lease agreement as well as a portion of the building operations staff costs. These costs were previously handled by the Senate Office Buildings Appropriation but are now the responsibility of the Capitol Power Plant. The utilities charges for Postal Square are paid via a Reimbursable Work Authorization to GSA.*

**Steam and Chilled Water Reimbursements (UT09)** **($8,000,000)**
This amount is the anticipated reimbursement for the full cost of providing steam and chilled water to non-Congressional entities as provided by law.

*Price Level Increase:* *$1,466,000*
*The requested program increase is the result of estimated rate increases to provide steam and chilled water to non-Congressional entities. The increase is being driven by the rising costs of energy sources used to generate steam and chilled water, such as natural gas, coal, and fuel oil.*

## CAPITOL POWER PLANT (CPP)

### ANNUAL NON-RECURRING PROJECTS FOR FY 2007

| PROJECT BUDGET - ANNUAL ($000) | | | |
|---|---|---|---|
| Project | FY2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
| Replace Air Compressors | 228 | - | (228) |
| Replace Hotwell w/Condensate Receiver | 238 | - | (238) |
| Heavy Equipment - Track Mobile | 210 | - | (210) |
| Boilers #1 and #2 Grate / Drive Replacement | - | 442 | New |
| Tunnel Asbestos Abatement, Emergency Egress & Structural Repairs | - | 1,750 | New |
| Major Repairs to Baghouse Ductwork and re-insulation | - | 200 | New |
| Upgrade Baghouse Controls | - | 125 | New |
| Main Dozer | - | 230 | New |
| Demolish East Refrigeration Plant Cooling Towers | - | 100 | New |
| Replace Air Compressors, Boiler Plant | - | 250 | New |
| Backflow Preventer Installations | - | 382 | New |
| **Total** | **675** | **3,479** | |

**Project Title: Boilers #1 and #2 Grate/Drive Replacement** **$442,000**

**Project Requirement**: Replace traveling grates and drives in boilers #1 and #2.

**Current Situation**: An internal assessment of the boilers was conducted in August 2003. This assessment determined that the traveling grates and drives in boilers #1 and #2 were in fair condition but required replacement in the near future.

**Description/Scope**: This project will replace the traveling grates and drives in Boilers #1 and #2.

**Impact if not Funded**: The traveling grates will continue to worsen on Boilers #1 and #2 and may fail, preventing the use of these coal fired boilers.

**Project Title: Tunnel Asbestos Abatement, Emergency Egress, & Structural Repairs** **$1,750,000**

**Project Requirement**: Address tunnel deficiencies as identified by the Office of Compliance.

**Current Situation**: The Office of Compliance has identified severe safety hazards associated with tunnel asbestos abatement, emergency egress, and structural repairs.

**Description/Scope**: The AOC has hired an independent consultant to identify the specific repairs needed. We are currently awaiting the final report from the consultant.

**Impact if not Funded**: This is a severe safety hazard that needs to be addressed to ensure the safety of personnel and equipment in the tunnels.

## CAPITOL POWER PLANT (CPP)

**Project Title: Major Repairs to Baghouse Ductwork and re-insulation** **$200,000**

**Project Requirement**: Perform repairs to failing ductwork in the baghouse.

**Current Situation**: The baghouse filters the flue gases from the coal fired boilers at the CPP. The current baghouse installation is over 20 years old. There is an ongoing need to patch and repair leaks that are a result of corrosion and heat in the ductwork. These leaks prevent proper operation of the system allowing flue gases to escape and in some cases loss of boiler operation.

**Description/Scope**: Replace major sections of failing baghouse ductwork in lieu of piecemeal repairs that are currently taking place. This replacement effort would occur during the summer outage periods for the coal boilers to minimize the impact on CPP operations.

**Impact if not Funded:** Emergency repairs and unanticipated failures of the baghouse ductwork will continue to occur, potentially impacting boiler operation and CPP emissions.

**Project Title: Upgrade Baghouse Controls** **$125,000**

**Project Requirement**: Upgrade the Baghouse controls

**Current Situation**: The current Baghouse controls are outdated and are not capable of interfacing with the new distributed control system (DCS). The system is a stand alone system, requiring operator interface for routine operation of the interconnected ash system.

**Description/Scope**: This project would reroute the Baghouse controls through the newly installed ash system programmable logic controller (PLC) allowing for integration of the ash conveying system and the Baghouse cleaning system. This will also allow for full interface with the system through the DCS.

**Impact if not Funded**: Both the Baghouse cleaning system and the ash handling conveying system are critical to coal boiler operation. If not properly operated in an interconnected system and controlled through the DCS the coal boiler operation could be severely limited due to the constraints of manual operation. Improper manual operation of this system could lead to boiler casualties and unplanned coal outages.

**Project Title: Main Dozer** **$230,000**

**Project Requirement**: Purchase of main dozer for coal yard.

**Current Situation**: The main dozer is critical to the coal handling process. The existing main dozer cannot push, pull, or stop more than two completely loaded railcars.

**Description/Scope**: A new main dozer needs to be acquired to improve productivity and alleviate the safety hazard posed to power plant employees.

**Impact if not Funded**: CPP will continue to experience unplanned downtime due to the poor condition of this equipment and risk the safety of power plant employees.

## CAPITOL POWER PLANT (CPP)

**Project Title: Demolish East Refrigeration Plant Cooling Towers** **$100,000**

**Project Requirement**: Removal of the East Refrigeration (ERP) Plant Cooling Towers

**Current Situation**: The ERP cooling towers serve the chillers in the ERP. Following completion of the West Refrigeration Plant Expansion (WRPE) project and the relocation of the temporary chillers in the ERP to the WRPE, the ERP cooling towers will no longer be required. It is proposed that the towers be demolished including appropriate abatement, with all materials to be removed and the site restored.

**Description/Scope**: Demolish, remove and restore the area of the ERP cooling towers.

**Impact if not Funded:** The ERP cooling towers will unnecessarily remain in place occupying space. Efforts are currently underway to improve the appearance of the CPP, and keeping the ERP cooling towers in place would prevent improvement of the appearance of this area.

**Project Title: Replace Air Compressors, Boiler Plant** **$250,000**

**Project Requirement**: Replace existing air compressors in the Boiler plant which provide compressed air for equipment and instruments in the boiler plant and the refrigeration plants.

**Current Situation**: There are currently air compressors located in the boiler plant and the West Refrigeration Plant (WRP). Funding was provided in fiscal year 2006 which will be used to replace the compressor in the WRP. The existing air compressors in the boiler plant are over 40 years old and are unreliable in operation and need to be replaced to provide reliable compressed air for the CPP.

**Description/Scope**: This project will replace the air compressor and associated accessories in the boiler plant replacing the existing four air compressors with two larger air compressors.

**Impact if not Funded:** There could be failures in the compressed air system which would result in the failure of various controls and equipment. This has the potential to result in the failure of boilers and other major equipment.

**Project Title: Backflow Preventer Installations** **$382,000**

**Project Requirement:** Install or modify Backflow Preventers

**Current Situation**: Backflow preventers are required to prevent contamination of the water supply as result of reverse flow in a pipe. In 2005 there was a survey of the required backflow preventer installations at the Capitol Power Plant. It was determined that an additional 24 backflow preventers should be installed and five of the existing backflow preventers should be modified to meet current code requirements.

**Description/Scope**: This project involves the installation of new backflow preventers or modification of currently installed backflow preventers to provide a code compliant backflow prevention system within the Capitol Power Plant.

**Impact if not Funded:** The potential for contamination of the water supply as a result of reverse flow in the domestic water system will remain.

## CAPITOL POWER PLANT (CPP)

### CAPITAL BUDGET PROJECTS FOR FY 2007

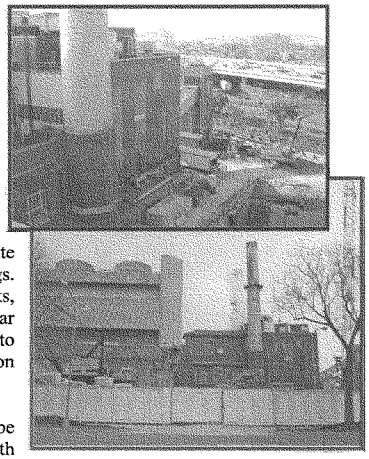
The Capital (multi-year) Budget for this appropriation consists of the following *Study, Design and Condition Assessment* requirements:

| PROJECT BUDGET - MULTI-YEAR ($000) | | | |
|---|---|---|---|
| Project | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
| Study, Design, and Condition Assessment | 1,584 | 3,048 | 1,464 |
| **Total** | **1,584** | **3,048** | |

**Study, Design, and Condition Assessment (SDCA)** **$3,048,000**

Study, Design, and Condition Assessment (SDCA) provides resources to enable the AOC to conduct 100% design of proposed projects; initiate studies for improved working efficiencies; and condition assessments that enable management to plan maintenance, preservation, and structural and mechanical work cycles.

**Project Title: CPP Beautification (Design)** **$1,700,000**



**Project Requirement:** Improve and beautify the exterior appearance of the Capitol Power Plant.

**Current Situation**: The CPP is unsightly and stands out amongst other buildings on the South Capitol Street corridor. The conceptual design to improve the appearance of CPP has been approved and is now ready for a detailed design and cost estimate.

**Description/Scope**: Based on the conceptual design, develop a detailed design and cost estimate including specifications and construction drawings. Some ideas include lowering the smoke stacks, landscaping and enclosing the Baghouse with solar cells. Construction for this project is anticipated to begin in FY 2009. The estimated cost of construction is $21million.

**Impact if not Funded**: The CPP will continue to be unsightly amongst other buildings on the South Capitol Street corridor and the overall plant aesthetics will not be improved as requested by members.



## CAPITOL POWER PLANT (CPP)

**Project Title: Relocate ERP Chillers to WRPE (Design)** **$150,000**

**Project Requirement:** Prepare design to move two 3,000 ton chillers located in the East Refrigeration Plant (ERP) and reinstall them in the West Refrigeration Plant Expansion (WRPE).
**Current Situation**: These units were recently purchased and installed in the ERP to allow the CPP to meet cooling load demands during the planned shutdown of the existing WRP for the tie-in of the West Refrigeration Plant Expansion to the existing West Refrigeration Plant.

**Description/Scope**: Develop a detailed design and cost estimate for moving the chillers, including a study of the location to where they are to be moved.

**Impact if not funded**: If this design is not funded these units will be removed from service, causing loss of 6,000 tons of cooling capacity and the abandonment of two new 3,000 ton chillers.

**Project Title: Raise the Height of the North Coal Bunker Wall (Design)** **$200,000**

**Project Requirement:** Increase the height of the North coal bunker wall.

**Current Situation:** The current wall is extended to the proper height for only 40 to 50% of the entire wall and is not continuous. The existing design allows for coal to spill out from around the existing raised sections. The spillage has caused the CPP to maintain a lower than anticipated coal stockpile to prevent coal spillage onto surrounding equipment and properties.

**Description/Scope:** Provide a detailed design and cost estimate for increasing the height of the coal bunker wall so that the height is continuous for the length of the wall.

**Impact if not funded**: Without the ability to increase the stockpile in the winter months, the Capitol Power Plant could face the unplanned loss of coal operations due to unforeseen railcar delivery delays. This could potentially lead to added fuel costs in excess of $50,000 per day.

**Project Title: Fire Alarm Upgrade (Design)** **$160,000**

**Project Requirement:** Prepare design to achieve audibility and intelligibility for the fire alarm system.

**Current Situation:** Based on a survey completed in 2002, the existing fire code requires the replacement of the existing notification system with a current notification system. Existing fire code requirements include a specific audibility level (above ambient background) and the AOC has adopted intelligibility requirements as outlined in the appendix of *National Fire Protection Association 72* (NFPA 72). This code requires audibility throughout all spaces of all buildings.

**Description/Scope:** Provide a detailed design and cost estimate for the demolition of the existing fire alarm announcement systems (speakers) and the installation of the replacement system.

**Impact if not funded:** If this design is not funded the buildings will not comply with the adopted fire codes and AOC policies. In addition, the lack of full audible coverage can result in certain locations where occupants will not be aware of a fire or other critical condition, despite the fire alarm activation. Voice announcements are required due to events in which evacuating

the building(s) is not the best option - i.e. if there was an outdoor gas event, the occupants of the building would need to be told not to leave the building.

**Project Title: Boiler # 1 Tube Replacement (Design)** **$119,000**

**Project Requirement**: Prepare design to remove existing tube from boiler #1 and replace with a new tube.

**Current Situation**: Based on findings from a boiler assessment performed in 2003, the center tubes on boiler # 1 are corroded and delaminated.

**Description/Scope**: Re-tube boiler #1 to correct corrosion and delamination.

**Impact if not funded**: If this design is not funded the CPP could experience decreased operating efficiency from boiler #1 and unplanned outages of this boiler due to tube failure, leading to the loss of use of this boiler. This boiler is one of two primary coal burning boilers, and loss of this boiler during winter months could lead to added fuel costs in excess of $50,000 per day.

**Project Title: #1 and #2 Burner Replacement Study** **$221,000**

**Project Requirement:** Prepare design to replace existing burners in coal boilers #1 and #2 with new automated burners.

**Current Situation:** A boiler assessment performed in 2003 identified that the boilers did not fire efficiently or effectively due to the mainly manual operation of the burners.

**Description/Scope:** This project would provide the design for automatic burners that will be capable of interfacing with the Distributed Control System.

**Impact if not funded**: If this design is not funded it would continue have a significant impact on boiler operation and efficiencies.

**Project Title: Boilers #1 - #3 Reliability \ Economizer Modifications Study** **$224,000**

**Project Requirement:** Prepare design to install new boiler economizers for all three Wickes boilers.

**Current Situation:** The current economizers are eroding, and they will eventually fall below code recommended safety standards. Using a boiler economizer can drastically reduce the amount of fuel gas used in the boiler.

**Description/Scope:** This activity provides funding for the design of new boiler economizers for all three Wickes boilers.

**Impact if not funded**: Eventual failure of the economizer tubes will later result in operational loss of the boilers. During winter months, loss of these boilers could result in added fuel costs in excess of $50,000 per day.

## CAPITOL POWER PLANT (CPP)

**Project Title: Life Safety Analysis** **$219,000**

**Project Requirement:** Perform a Life Safety Analysis on the Capitol Power Plant.

**Current Situation:** The plant facilities are old and not constructed in accordance with many current code requirements, including life safety standards. Many piecemeal renovations have taken place over the years to correct some deficiencies, but not on a plant wide scale. Other makeshift renovations have created deficiencies. Deficiencies include the lack of sprinklers and fire alarms, emergency lighting, egress doors, egress fire separation, eyewashes and safety showers in certain areas.

**Description/Scope:** This activity provides funding for the performance of a Life Safety Analysis to determine what violations exist and what measures can be taken to correct them. Risk assessment codes would be assigned to each deficiency to help determine priorities.

**Impact if not funded**: If this assessment is not funded the Capitol Power Plant will continue to operate with many identified and unidentified life safety standard deficiencies.

**Project Title: Hazmat Survey** **$55,000**

**Description of Request:** Conduct a hazard assessment survey at the Capitol Power Plant.

**Current Situation:** The CPP buildings date back to the turn of the century when materials such as lead paint and asbestos were in common use. These materials have been abated in piecemeal fashion as repairs were made, but no plant wide projects have been undertaken. Some potentially brittle elements were identified during the Facility Condition Assessment that pose an exposure risk to workers as well as the public.

**Description/Scope:** This hazmat survey would identify all elements that contain asbestos, lead, and other hazardous materials, and assign exposure risks and priorities for abatement actions to each element. The survey would also use information from prior surveys to prevent duplication of efforts.

**Impact if not funded:** If this survey is not funded the AOC runs the risk of exposure of workers at the Capitol Power Plant and the general public to hazards such as asbestos and lead paint.

# CPP Functional Budget Summary Fiscal Year 2007

**OPERATING BUDGET ($000)**

| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
|---|---|---|---|---|---|
| Payroll (PR) | 7,383 | 6,501 | 7,800 | 8,234 | 434 |
| Facilities Maintenance (FM) | 252 | 258 | 258 | 258 | - |
| Jurisdiction Centralized Activities (JR) | 121 | 228 | 121 | 240 | 119 |
| Miscellaneous Improvements (MI) | 125 | 55 | 125 | 125 | - |
| Power Plant Operations & Maintenance (PM) | 2,756 | 7,131 | 3,230 | 4,201 | 971 |
| Safety, Fire, and Environmental (SF) | 114 | 114 | 117 | 117 | - |
| Utilities (UT) | 41,844 | 39,901 | 44,188 | 62,008 | 17,820 |
| **Total** | **52,595** | **54,188** | **55,839** | **75,183** | **19,344** |

**PROJECT BUDGET - ANNUAL ($000)**

| Project | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
|---|---|---|---|---|---|
| Replace Air Compressors | | | 228 | - | |
| Replace Hotwell w/Condensate Receiver | | | 238 | - | |
| Heavy Equipment - Track Mobile | | | 210 | - | |
| Major Repairs to Baghouse Duct work and re-insulation | | | - | 200 | |
| Boilers #1 and #2 Grate / Drive Replacement | | | - | 442 | |
| Tunnel Asbestos Abatement, Emergency Egress & Structural Repairs | | | - | 1,750 | |
| Main Dozer | | | - | 230 | |
| Backflow Preventer Installations | | | - | 382 | |
| Replace Air Compressors, Boiler Plant | | | - | 250 | |
| Upgrade Baghouse Controls | | | - | 125 | |
| Demolish East Refrigeration Plant Cooling Towers | | | - | 100 | |
| | | | - | | |
| **Total** | **2,796** | **2,128** | **675** | **3,479** | **2,804** |

**PROJECT BUDGET - MULTI-YEAR ($000)**

| Project | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
|---|---|---|---|---|---|
| Study, Design and Condition Assessment | | | 1,584 | 3,048 | |
| Minor Construction | | | - | - | |
| **Total** | **1,984** | **490** | **1,584** | **3,048** | **1,464** |

**TOTAL BUDGET ($000)**

| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
|---|---|---|---|---|---|
| Total Operating Budget..... | 52,595 | 54,188 | 55,839 | 75,183 | 19,344 |
| Total Project Budget - Annual..... | 2,796 | 2,128 | 675 | 3,479 | 2,804 |
| Total Annual Budget..... | 55,391 | 56,316 | 56,514 | 78,662 | 22,148 |
| Total Project Budget - Multi-Year..... | 1,984 | 490 | 1,584 | 3,048 | 1,464 |
| **Total Project Budget .....** | **57,375** | **56,806** | **58,098** | **81,710** | **23,612** |

# LIBRARY BUILDINGS & GROUNDS (LOC)

## INTRODUCTION

The Architect of the Capitol (AOC) is responsible for the structural and mechanical care of the five Library of Congress (LOC) buildings: Thomas Jefferson Building (TJB), John Adams Building (JAB), James Madison Memorial Building (JMMB), Book Storage Module 1 and 2, and the Special Facilities Center. Additionally, 33 other facilities, a water tank, and 100 acres of grounds are operated and maintained at Fort Meade, Maryland. New storage facilities are under design and construction at Fort Meade and a new Library facility will be added in the future when the National Audio Visual Conservation Center (NAVCC) in Culpeper, Virginia, is transferred to the AOC from a private donor. The AOC's responsibilities also include liaison with various offices of the LOC to coordinate required activities and programs and coordination of construction management activities that affect the operation of the Library buildings.

### FISCAL YEAR 2007 BUDGET AND FTE SUMMARY*

| TOTAL BUDGET ($000) | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Total Operating Budget | 17,376 | 16,921 | 19,932 | 21,939 | 2,007 |
| Total Project Budget - Annual | 1,066 | 3,843 | 6,068 | 2,478 | (3,590) |
| Total Annual Budget | 18,442 | 20,764 | 26,000 | 24,417 | (1,583) |
| Total Project Budget - Multi-Year | 21,334 | 9,406 | 42,075 | 77,820 | 35,745 |
| **Total Budget** | **39,776** | **30,169** | **68,075** | **102,237** | **34,162** |
| Full Time Equivalent (FTE) | 153 | | 187 | 188 | 1 |

### FISCAL YEAR 2007 OBJECT CLASS
**Schedule A ($000)**

| Object Class | FY 2005 Actual* | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|
| 11 Personnel Compensation | 12,331 | 8,779 | 9,279 | 500 |
| 12 Personnel Benefits | 3,064 | 2,495 | 2,752 | 257 |
| 21 Travel | 8 | - | - | - |
| 22 Transportation of Things | - | 15 | 15 | - |
| 23 Rent, Communications and Utilities | 1 | - | - | - |
| 24 Printing and Reproduction | - | - | - | - |
| 25 Other Contractual Services | 6,688 | 6,933 | 8,998 | 2,065 |
| 26 Supplies and Materials | 704 | 1,351 | 1,591 | 240 |
| 31 Equipment | 497 | 359 | 359 | - |
| 32 Land and Structures | 23,489 | 48,143 | 79,243 | 31,100 |
| 41 Grants | - | - | - | - |
| 42 Insurance Claims and Indemnities | - | - | - | - |
| 43 Interest | - | - | - | - |
| 44 Refunds | - | - | - | - |
| **Total, Budget** | **46,781** | **68,075** | **102,237** | **34,162** |

*FY 2005 Actual represents total obligations of funds incurred in FY2005, irrespective of the year of appropriation.

* *The tables included in this budget submission have rounding variances to the nearest thousandth.*




## LIBRARY BUILDINGS & GROUNDS (LOC)

### Detailed Analysis of Change by Appropriation
### Schedule B

| | FY 2007 Agency Request FTE | FY 2007 Agency Request Amount (000) |
|---|---|---|
| **Appropriation, FY 2006** | **187** | **68,763** |
| Minus Rescission | | (688) |
| **Revised Appropriation, FY 2006** | | **68,075** |
| **Program Decreases** | | |
| Copyright Office Move/Reconfiguration | | (5,445) |
| Book Storage Modules 3 & 4 | | (40,293) |
| **Total, Program Decreases** | - | (45,738) |
| **Mandatory and Related Costs:** | | |
| Cost of Living - Annualization of Cost of Living 2006 | | 7 |
| Cost of Living 2007 | | 230 |
| Within-grade Increases and Pay Adjustments | | 178 |
| One Less Compensable Day | | |
| Awards | | 2 |
| Retirement Increases | | 157 |
| FEHBA/FEGLI | | 57 |
| Transit Subsidy | | 9 |
| **Total, Mandatory Pay Related Costs** | - | **640** |
| **Price Level Changes:** | | |
| Facilities Maintenance (FM) | | 660 |
| **Total, Price Level Changes** | - | **660** |
| **Program Increases:** | | |
| Payroll (PR) - Business Financial Analyst | 1 | 117 |
| Facilities Maintenance (FM) | | |
| Heating, Ventilation, & A/C | | 100 |
| Painting | | 40 |
| Fire Alarm Systems Testing & Maintenance | | 200 |
| Hazardous Materials Abatement | | 100 |
| Jurisdiction Centralized Activities (JR) | | |
| Emergency Preparedness | | 150 |
| Fire Safety Project Management | | 250 |
| Backflow Prevention Upgrades | | 250 |
| Photo-Duplication Asbestos Abatement | | 725 |
| Preservation Environmental Monitoring | | 80 |
| Replace Partition Supports | | 250 |
| Replace Sidewalks, JAB & TJB | | 100 |
| Electrical Vault Repairs | | 200 |
| Study, Design, and Condition Assessment | | 4,998 |
| High Voltage Switchgear Replacement, TJB | | 1,420 |
| Sprinkler System Replacement, West Main Pavilion, TJB | | 4,370 |
| Smoke Detector Upgrades; JMMB | | 4,260 |
| Firefighter Telephones, TJB | | 910 |
| Logistics Warehouse, Ft. Meade, LOC | | 54,200 |
| Air Handling Unit Replacement, Decks A& B, JMMB | | 2,890 |
| Elevator Modernization, TJB-1 & 2, JMMB D-1, D-2, D-3 & D4, and ESC 1 & 2 | | 2,560 |
| Egress Improvements, Phase II, JAB | | 430 |
| **Total, Program Increases** | **1** | **78,600** |
| **Net Increase** | **1** | **34,162** |
| **Total Appropriation** | **188** | **102,237** |




## LIBRARY BUILDINGS & GROUNDS (LOC)

### OPERATING BUDGET

The Operating Budget for this appropriation is comprised of all costs associated with the daily care, maintenance and operation of the facilities and activities under the jurisdiction of the Library of Congress (LOC). The budget justification for the Operating Budget includes the below summary schedule that incorporates the following data: the Program Group and columns indicating funding levels for fiscal years 2005, 2006, and 2007, as well as the obligations for fiscal year 2005. Following this summary schedule are the Operating Allotment narratives that describe the purpose of all operating allotments funded in this appropriation. When increases or decreases have been requested for fiscal year 2007, the amount and justification for those changes appear in *italics*. In accordance with sound financial management practice, these allotments are reviewed and adjusted to reflect changing needs. Increases that cannot be absorbed are requested through the budget process.

**Summary Schedule**

**OPERATING BUDGET ($000)**

| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Payroll (PR) | 10,890 | 9,959 | 11,274 | 12,031 | 757 |
| Facilities Maintenance (FM) | 5,133 | 5,672 | 7,717 | 8,817 | 1,100 |
| General Facilities (GF) | 812 | 756 | 400 | 400 | - |
| Grounds Maintenance (GM) | 65 | 81 | 65 | 65 | - |
| Jurisdiction Centralized Activities (JR) | 300 | 292 | 300 | 450 | 150 |
| Miscellaneous Improvements (MI) | 176 | 161 | 176 | 176 | - |
| **Total** | **17,376** | **16,921** | **19,932** | **21,939** | **2,007** |




## LIBRARY BUILDINGS & GROUNDS (LOC)

### OPERATING BUDGET NARRATIVE DESCRIPTIONS

**Payroll Program Group (PR)**: Provides funding for personnel compensation and personnel benefits for the general administrative support of facilities under the jurisdiction of the Library of Congress (LOC). Included are Government staff salaries and other personal services (i.e., paid leave and lump sum annual leave payments upon separation; for compensation above basic rates including, overtime, holiday pay, the Civil Service Retirement System, the Federal Employees Retirement System, Social Security, and Medicare); agency contributions to the Federal Employees Health Benefits Program (FEHBP), Federal Employees Group Life Insurance (FEGLI), Worker's Compensation Program, and subsidies paid to employees for commuting costs.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Personnel Compensation | 8,779 | 417 | 83 | 9,279 |
| Personnel Benefits | 2,495 | 223 | 34 | 2,752 |
| **Payroll (PR)** | **11,274** | **640** | **117** | **12,031** |

**Personnel Compensation (PR01)** **$9,279,000**

This allotment provides for salaries and wages paid directly to employees including paid leave and lump sum annual leave payments upon separation. This allotment also provides for compensation above basic rates including: overtime, holiday pay, Sunday pay, night work differential, supervisory differential, and hazardous duty pay.

*Price Level Increase:* *$417,000*

*The increase consists of cost of living adjustments (COLA's) for fiscal year 2007 including the annualization of the January, 2006 COLA and locality pay adjustments for general schedule employees; the COLA and locality pay adjustments for general schedule employees in January, 2007; and the October, 2006 COLA for wage-board employees; and within-grade increases and other pay adjustments.*

*Program Increase, New Position (1):* *$83,000*

*The requested programmatic increase will fund a business financial analyst (GS-13) to support the operation and maintenance of the Library Buildings and Grounds. This position will support the AOC goal of financial management and accountability by supporting the implementation of policies, guidelines, and controls.*

**Personnel Benefits (PR02)** **$2,752,000**

This allotment provides funding for personnel benefits to employees including: contributions for retirement to the Civil Service Retirement System, the Federal Employees Retirement System, Social Security, and Medicare. Also included are agency contributions to the Federal Employees Health Benefits Program (FEHBP), the Federal Employees Group Life Insurance (FEGLI), and subsidies paid to employees for commuting costs.

*Price Level Increase:* *$223,000*

*The increase for fiscal year 2007 is attributable to increased costs of agency contributions for employees' health benefits, retirement funds, and increased participation in the transit subsidy program.*




## LIBRARY BUILDINGS & GROUNDS (LOC)

*Program Increase, New Position (1):* *$34,000*
*Funding in the amount of $34,000 is requested to provide costs for agency contributions for employee's health benefits, and retirement funds for one business financial analyst.*

**Facilities Maintenance Program Group (FM)**: Provides funding for annual building maintenance services required for all LOC buildings, to include repairing and modifying air conditioning systems, electrical systems, elevators, masonry, and plumbing; preventative interior and exterior building maintenance (e.g., painting, pointing, caulking, and surface preservation); and maintenance of fire alarm systems.

| Title | FY 2006 Enacted w/rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Heating Ventilation & A/C (HVAC) | 144 | | 100 | 244 |
| Painting | 60 | | 40 | 100 |
| Electrical | 88 | | | 88 |
| Elevator | 144 | | | 144 |
| Masonry | 27 | | | 27 |
| Plumbing | 95 | | | 95 |
| Carpentry | 25 | | | 25 |
| Sheet Metal | 45 | | | 45 |
| Machine Shop | 53 | | | 53 |
| General Repairs | 109 | | | 109 |
| Hardware | 20 | | | 20 |
| Building Exterior (Includes Pointing & Caulking) | 655 | | | 655 |
| Electric Bulbs & Tubes | 73 | | | 73 |
| Moveable Partitions | 156 | | | 156 |
| Fire Alarm Systems Testing & Maintenance | 325 | | 200 | 525 |
| Roof Preventive Maintenance | 17 | | | 17 |
| Hazardous Materials Abatement | 375 | | 100 | 475 |
| Miscellaneous | 26 | | | 26 |
| Equipment | 77 | | | 77 |
| Fixture Re-Lamping | 1,729 | | | 1,729 |
| Decorative Painting and Conservation | 344 | | | 344 |
| LOC Moves (Relocations) | 650 | | | 650 |
| Book Storage Facility, Ft. Meade Support | 580 | 60 | | 640 |
| Culpeper Support | 1,900 | 600 | | 2,500 |
| **Facilities Maintenance (FM)** | **7,717** | **660** | **440** | **8,817** |

**Heating, Ventilation & A/C (HVAC) (FM01)** **$244,000**
This allotment provides for the maintenance of all of the air-conditioning systems in the LOC buildings, and includes such items as filters, oil, grease, cleaning equipment, tools, paint and refrigerant for the air-conditioning equipment.

*Program Increase:* *$100,000*
*The James Madison Memorial Building is equipped with a chemical filtration system which filters all outside air to protect the historic collections from deleterious chemicals in the environment. Significant man-hours are expended each year cleaning and replacing the filter in this extensive system. This is a very low level, dirty, and labor intensive work. The manufacturer of the filter media has now developed a disposable filter section which will save significant man-hours each*

*year to be directed to other critical preventive maintenance issues. The requested program increase will enable the Library Buildings and Grounds to convert from the bulk media system to a disposable filtration media system.*

**Painting (FM02)** **$100,000**
This allotment provides for contractual services and materials for painting the interior and exterior of all public and other spaces of the LOC buildings.

*Program Increase:* *$40,000*
*The requested program increase will enable outsourcing painting services dedicated to maintaining the appearance of LOC pubic corridors. This requested increase is also responsive to the Congressional directive to increase outsourcing initiatives.*

**Electrical (FM03)** **$88,000**
This allotment provides for maintenance and care of the electrical systems in the LOC buildings, as well as, the numerous electrical systems recently installed in support of the American Disabilities Act (ADA) and life safety upgrades in the building. These include electrical door actuators and emergency egress hardware.

**Elevator (FM04)** **$144,000**
This allotment provides funds for the purchase of supplies, materials, tools, equipment and services for the maintenance and repair of 70 elevator systems, including sidewalk elevators, stage lifts, dumbwaiters, lifts and escalators installed in the LOC facilities. This account also supports periodic elevator inspection and testing required by code.

**Masonry (FM05)** **$27,000**
This allotment provides for maintenance and repair of the stone, brickwork, and tile, marble, and terrazzo floors within the LOC buildings.

**Plumbing (FM06)** **$95,000**
This allotment provides for necessary plumbing services to maintain the water supply and waste lines, restroom and kitchen plumbing fixtures, and pipe systems throughout the LOC buildings.

**Carpentry (FM07)** **$25,000**
The allotment provides for necessary carpentry and woodworking support for the LOC buildings.

**Sheet Metal (FM08)** **$45,000**
This allotment provides for maintenance and repair of ductwork, door closures, copper roofs, and other sheet metal support for the LOC buildings.

**Machine Shop (FM10)** **$53,000**
This allotment provides for supplies and materials for various machine applications in the LOC buildings. These include the extensive book conveyor system, all garage doors, motorized access gates, door closers and miscellaneous ornamental metal fabrication work.

**General Repairs (FM11)** **$109,000**
This allotment provides funds for the purchase of general supplies, tools, materials and services necessary for the maintenance, operations, and repairs of the LOC facilities.




## LIBRARY BUILDINGS & GROUNDS (LOC)

**Hardware (FM13)** **$20,000**
This allotment provides funding to procure locks, keys, door closers, and door handles for maintenance of LOC facilities.

**Building Exterior (Includes Pointing & Caulking) (FM15)** **$655,000**
This allotment provides funds for annual maintenance work on the stone and marble facades of the LOC buildings. The scope of work includes washing, pointing and caulking, as well as stone repairs. This work is performed by a combination of temporary and Construction Branch employees.

**Electric Bulbs & Tubes (FM17)** **$73,000**
This allotment provides funds for the purchase of all light bulbs and tubes for the LOC facilities.

**Moveable Partitions (FM18)** **$156,000**
This allotment provides funds to purchase demountable partitions required to accommodate space modifications in the JMMB.

**Fire Alarm Systems Testing & Maintenance (FM19)** **$525,000**
This allotment provides for the annual contractual testing of sprinkler and fire alarm systems performed annually to meet fire and life safety codes.

*Program Increase:* *$200,000*
*The requested program increase of $200,000 will provide for contractual services to conduct required testing and inspection on in-house fire alarm systems associated devices. This increase will enable a fully implemented, comprehensive code compliant testing and inspection program for all life safety systems in the LOC campus and expand the testing program to include testing and inspecting sprinkler, smoke detection, and visual devices recently installed.*

**Roof Preventive Maintenance (FM21)** **$17,000**
This allotment provides for the purchase of supplies and materials for roof repair and maintenance of LOC buildings.

**Hazardous Materials Abatement (FM22)** **$475,000**
This allotment provides for the encapsulation or removal of asbestos containing materials from the LOC buildings, as required by the Occupational Safety and Health Administration Asbestos Standard 29 CFR 1910.100. Additionally, lead-based paint is encountered and must be abated in accordance with the OSHA Lead Standard 29 CFR 1910.1025.

*Program Increase:* *$100,000*
*A previous survey and best practice indicates that a condition validation and update of the asbestos database is critical to an effective asbestos management program. The Thomas Jefferson Building (TJB) has asbestos in numerous places and the validation will evaluate current conditions and provide critical information regarding changed conditions which could prevent potential health hazards. It is critical to identify and abate potential health risks prior to employee exposure. The requested increase of $100,000 will validate the condition of the existing asbestos containing materials within the TJB. The John Adams will be validated in fiscal year 2008 and the James Madison Memorial Building in fiscal year 2009.*

**Miscellaneous (FM30)** **$26,000**
This allotment provides for unforeseen facility maintenance events.

**Equipment (FM31)** **$77,000**
This allotment provides for purchase and replacement of hand tools and major equipment for the various maintenance shops, offices and kitchens located throughout the LOC buildings. It also provides sufficient funds for the timely replacement of old or obsolete equipment.

**Fixture Re-Lamping (FM47)** **$1,729,000**
This allotment provides funding to continue re-lamping and replacing the electric ballasts in the light fixtures in the James Madison and Thomas Jefferson Buildings. The existing electric ballasts have reached their 10-year life span, and are degraded and causing premature lamp failures. In addition, the ballasts are not capable of starting the light fixtures using new replacement lamps because they require increased voltage.

**Decorative Painting and Conservation (FM56)** **$344,000**
This allotment provides funding for the materials used for the decorative painting and mural conservation effort. Biannual inspections of the murals and other painted surfaces are conducted by a professional conservator as part of the building preservation program.

**LOC Moves (Relocations) (FM57)** **$650,000**
This allotment provides funding for a number of critical LOC space modifications and reconfigurations. These space modifications accommodate the Librarian's organizational changes, as well as a number of long-standing requirements that were delayed while the Thomas Jefferson and John Adams Buildings are being renovated. The work requires the relocation of demountable partitions, relocation of fire protection equipment, and the installation of electrical fixtures.

**Book Storage Facility, Ft. Meade Support (FM58)** **$640,000**
This allotment provides funding for the operation and maintenance of the Book Storage facilities at Fort Meade, using a professional facilities maintenance contractor. The contractor will perform comprehensive facilities maintenance and testing in accordance with appropriate codes. With oversight from the AOC, the facilities maintenance contractor will also perform routine preventative maintenance services.

*Price Level Increase:* *$60,000*
*This increase is a mandatory pre-negotiated contract for the comprehensive operation, maintenance, and testing. This increase will accommodate the day to day operations and maintenance contract at Fort Meade. Fort Meade Book Storage Module 2 and the 500,000 gallon water tank and diesel fire pumps are now fully covered under this contract.*

**Culpeper Support (FM59)** **$2,500,000**
This allotment provides funding for the operation and maintenance of the National Audio Visual Conservation Center (NAVCC) in Culpeper, VA, using a professional facilities maintenance contractor. With oversight from the AOC, the facilities maintenance contractor will perform all routine preventative maintenance services.

*Price Level Increase:* *$600,000*
*The National Audio Visual Conservation Center in Culpeper, VA will be complete and turned over to the AOC during fiscal year 2006. Fiscal year 2007 will be the first full year of operation and maintenance of the entire project including the Conservation Building and the Nitrate Film Vaults. This increase is a mandatory pre-negotiated contract for comprehensive operation, maintenance, and testing.*




## LIBRARY BUILDINGS & GROUNDS (LOC)

**General Facilities and Services Program Group (GF)**: Provides funding for facility and service support for the LOC Fort Meade facilities.

| Title | FY 2006 Enacted w/rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Legislative Branch Warehouse Complex, Ft. Meade | 400 | | | 400 |
| **General Facilities (GF)** | **400** | | | **400** |

**Legislative Branch Warehouse Complex, Ft. Meade (GF01)** **$400,000**
This allotment provides funding for the operation and maintenance of the existing landscaping and structures located at the 100 acre Fort Meade site. This property provides for the long term storage and warehouse needs of the Library of Congress and the Legislative Branch. Funds are required for fire protection, security, landscaping services, snow removal, and pest control. Funds are also required for the repair and renovation of facilities used for storage needs.

**Grounds Maintenance Program Group (GM)**: Provides funding for trash, leaf, and snow removal; lawn maintenance; and purchase of grounds maintenance supplies and equipment.

| Title | FY 2006 Enacted w/rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Snow Removal | 5 | | | 5 |
| Landscape Maintenance | 60 | | | 60 |
| **Grounds Maintenance (GM)** | **65** | | | **65** |

**Snow Removal (GM01)** **$5,000**
This allotment provides funding for the purchase of de-icing materials and equipment for snow removal from walkways, stairs, entrance areas, and parking lots. Depending on the depth of snow fall, contractor services are occasionally used to assist in the removal of snow from the LOC facilities.

**Landscape Maintenance (GM02)** **$60,000**
This allotment provides funding for the care of grounds adjacent to LOC facilities, which include lawns, plantings, flower beds, tree trimming and pruning, and trash and leaf removal. It also covers the purchase of supplies, tools and materials required for grounds maintenance.

## LIBRARY BUILDINGS & GROUNDS (LOC)

**Jurisdiction Centralized Activities Program Group (JR)**: Provides funding for training, registration, seminar fees; travel; uniform allowances; vehicles leases, operations and maintenance, safety apparel, and gasoline and oil.

| Title | FY 2006 Enacted w/rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Uniform Allowance | 43 | | | 43 |
| Safety Apparel | 45 | | | 45 |
| Emergency Preparedness | | | 150 | 150 |
| Gasoline & Oil | 5 | | | 5 |
| Vehicle Lease & Maintenance | 15 | | | 15 |
| Training/Registration/Seminar | 192 | | | 192 |
| **Jurisdiction Centralized Activities (JR)** | **300** | | **150** | **450** |

**Uniform Allowance (JR01)** **$43,000**
This allotment provides funding to purchase uniforms for employees of the LOC Superintendent's staff.

**Safety Apparel (JR02)** **$45,000**
This allotment provides funding for the personal protective equipment (PPE) and apparel for the employees of the LOC staff.

**Emergency Preparedness (JR03)** **$150,000**
This allotment provides funding for jurisdiction specific training, exercises, equipment, materials and services in preparation for, and responding to, emergency events. In addition to internal emergency preparedness, AOC supports Legislative Branch agencies within its jurisdiction by leading damage assessment and recovery operations. Personnel must be trained, exercised, and equipped to access, assess and recover facilities in a hazardous environment following safe and accountable procedures.

*Program Increase:* *$150,000*
*The requested program increase will fund critical emergency preparedness requirements for the Library Buildings and Grounds. The programmatic increase will provide for contractual testing and inspection of 1,280 new installed fire extinguishers ($50,000). Fire extinguishers are critical element of emergency preparedness and must be inspected on a monthly basis as required by applicable code. The requested program increase will also fund the update to critical as-built drawings ($100,000) for one of the three Library buildings.*

**Gasoline & Oil (JR07)** **$5,000**
This allotment provides funding for the purchase of gasoline and oil for vehicles leased by the LOC.

**Vehicle Lease & Maintenance (JR08)** **$15,000**
This allotment provides for the lease of a utility vehicle used to transport materials and personnel needed for the inspection, maintenance and operation of the Fort Meade, MD and Culpeper, VA facilities.

**Training/Registration/Seminar (JR91)** **$192,000**
This allotment is used to train employees in technical areas related to the employees' job, as well as training in safety and OSHA standards; prevention of sexual harassment, understanding employee rights and responsibilities; and substance abuse. Additionally, the agency provides supervisory and staff development training and sponsors basic educational skills training.




## LIBRARY BUILDINGS & GROUNDS (LOC)

**Miscellaneous Improvements Program Group (MI)** **$176,000**

These funds provide for the repair, replacement and improvement of LOC facilities. The scopes of the projects exceed normal maintenance requirements but do not justify a special appropriation request.

| Title | FY 2006 Enacted w/rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Miscellaneous Improvements | 176 | | | 176 |
| **Miscellaneous Improvements (MI)** | **176** | | | **176** |

## LIBRARY BUILDINGS & GROUNDS (LOC)

### ANNUAL NON-RECURRING PROJECTS FOR FY 2007

| PROJECT BUDGET - ANNUAL ($000) | | | |
|---|---|---|---|
| Project | FY 2006 Enacted w/ rescission | FY07 Request | FY 2006/2007 Difference |
| Copyright Office Move/Reconfiguration | 5,445 | - | (5,445) |
| Fire Safety Project Management | - | 250 | New |
| Repair Life Safety Deficiencies | 386 | 386 | - |
| Backflow Prevention Upgrades | - | 250 | New |
| Painting Arches, TJB | 237 | 237 | - |
| Photo-Duplication Asbestos Abatement | - | 725 | New |
| Preservation Environmental Monitoring | - | 80 | New |
| Replace Partition Support, JMMB | - | 250 | New |
| Replace Sidewalks, LOC | - | 100 | New |
| Electrical Vault Repairs | - | 200 | New |
| **Total** | **6,068** | **2,478** | |

**Project Title: Fire Safety Project Management** **$250,000**

**Project Requirement**: Establish guidelines for proper operation and maintenance of life safety systems. Develop engineering solutions to abate known deficiencies.

**Current Situation**: There are extensive fire and life safety code problems with the Library of Congress facilities, which will take several years to correct. These problems are extremely complicated and require extensive experience with building and life safety code equivalencies.

**Description/Scope**: The project will provide a temporary contracted fire protection engineer on-sight to review on-going work and develop code compliant Inspection, Testing, and Maintenance system to ensure maintenance of facilities in accordance with applicable codes.

**Impact if not Funded**: Will be unable to effectively manage the fire and life safety code deficiencies in the Library of Congress facilities. Current citations from the Office of Compliance will go unabated and new citations may be issued.

**Project Title: Repair Life Safety Deficiencies** **$386,000**

**Project Requirement**: Correct life safety deficiencies identified during a comprehensive Office of Compliance inspection of all LOC buildings in 2001.

**Current Situation**: On-going correction of deficiencies identified by the Office of Compliance in 2001.

**Description/Scope**: This ongoing project will provide materials and labor to complete the necessary repairs to hundreds of life safety deficiencies identified by the Office of Compliance. This project has been funded each year since FY 2002 and is anticipated to be completed in 2009. To date, 75% of these deficiencies are complete.

**Impact if not Funded**: We will be unable to make adequate progress on correcting the deficiencies noted by the Office of Compliance's 2001 inspection. Insufficient progress may lead to exposure of life safety risks and issuance of citations by the Office of Compliance.

**Project Title: Backflow Prevention Upgrades** **$250,000**

**Project Requirement**: Install Backflow Prevention Devices, LOC

**Current Situation**: In 2005, a comprehensive backflow prevention survey was conducted throughout all buildings on Capitol Hill. The survey revealed that the facilities backflow prevention systems have numerous deficiencies that must be corrected. Specifically, the Library of Congress buildings have an inadequate number of prevention devices in the buildings. Backflow is the flow of contaminated water or other liquids and substances into the distribution pipes of a potable water supply system. This occurs when non-potable water is siphoned into the pipe distribution system. Therefore, backflow prevention devices are installed to prevent cross-contamination of water supply.

**Description/Scope**: Replace 14 backflow prevention devices and install 114 devices to prevent cross-contamination of the drinking water supply throughout the Library of Congress as identified in the 2005 survey.

**Impact if not Funded**: The absence of backflow prevention devices is a potential hazard to the public because contaminants can enter the potable water system.

**Project Title: Painting Arches, TJB** **$237,000**

**Project Requirement**: Restore 2 arches in the Thomas Jefferson Building Main Reading Room.

**Current Situation**: The paint is peeling from the arches in the TJB Main Reading Room which is a premier tourist attraction on Capitol Hill.

**Description/Scope**: This ongoing work requires scaffolding be erected at each arch to accomplish the repainting work. This project has been funded each year since FY2004 and to date three arches have been completed. Funding was appropriated in FY 2006 to complete a fourth arch. The restoration of the arches is scheduled to be completed in 2008 and 2009.

**Impact if not Funded**: The paint will continue to peel causing the underlying plaster to deteriorate. This will create a hazard of peeling paint falling on readers in the TJB Main Reading Room. This paint is lead based and will cause concern for safety and health if not abated and stabilized.

**Project Title: Photo-Duplication Asbestos Abatement** **$725,000**

**Project Requirement**: Removal and abatement of deteriorating asbestos material

**Current Situation**: The Photo Duplication space in the John Adams Building contains several areas with deteriorating asbestos materials. The Office of Compliance has identified the space as an asbestos deficiency. Asbestos is a fibrous, incombustible material that can pollute air or water. The small, buoyant fibers can cause asbestosis and cancer when inhaled or swallowed. The deteriorating condition of the materials could pose a potential hazard in the near future.

**Description/Scope**: This project will vacate the existing space and a complete containment will be constructed to allow the asbestos to be abated safely.

**Impact if not Funded**: Asbestos is serious health and safety issue that must be addressed quickly. Without proper containment and abatement there is a potential risk to staff.

**Project Title: Preservation Environmental Monitoring (Librarian)** **$80,000**

**Project Requirement**: Preservation of Library of Congress books and collections

**Current Situation**: The existing temperature and humidity monitoring controls systems do not properly control the temperature and humidity to sustain and preserve LOC's books and collections.

**Description/Scope**: Proper temperature and humidity controls are critical to extending the life of books and collection for the Library of Congress. This project involves improvements to the current systems to include installing and wiring new temperature and humidity sensors in collections storage spaces with monitoring capabilities through both AOC and LOC computer systems. This project was funded at a level of $100,000 in FY 2004 and $80,000 in FY 2005 and is expected to be completed in FY 2007.

**Impact if not Funded**: The loss of monitoring capability will result in poor temperature and humidity controls leading to premature deterioration of books and collections.

**Project Title: Replace Partition Supports, JMMB (Librarian)** **$250,000**

**Project Requirement**: Replace the top track of the demountable partitions to increase the structural integrity of the wall system in the James Madison Memorial Building.

**Current Situation**: The existing partitions will not support the loading capacity of the Floor-To-Ceiling (FTC) walls.

**Description/Scope**: This ongoing project is required to increase the loading capacity and replace the top track of the demountable partitions in the James Madison Memorial Building (JMMB). This project will modify and install a new track system that safely doubles the loading capacity on the FTC walls. It involves removing furniture and furnishings from around the walls, removing the wall and replacing the top track, and reinstalling the wall in its original position. The work is planned to be accomplished at night using temporary employees. This effort is expected to be completed in FY2007.

**Impact if not Funded**: The existing partitions may fall when overloaded with shelves and materials causing serious personal injury to employees as well as damage to property.

**Project Title: Replace Sidewalks, LOC** **$100,000**

**Project Requirement**: Replace the sidewalks surrounding the John Adams Building (JAB), James Madison Memorial Building (JMMB), and the Thomas Jefferson Building (TJB) to alleviate safety concerns.

**Current Situation**: The existing sidewalks and street curbs are chipped, cracked, and in disrepair causing potential unsafe walking surfaces. Work is currently on-going on the west side of the Jefferson Building.

**Description/Scope**: This project will replace all of the sidewalks and street curbs around the JAB, JMMB, and TJB. The work in FY2007 will be in accordance with our sidewalk replacement plan and related condition assessment.

**Impact if not Funded**: Personnel and visitors will be subject to tripping hazards. Wheelchair bound employees and visitors will have difficulty navigating over uneven surfaces. Potential for personal injury and claims against the government will persist without this funding.

**Project Title: Electrical Vault Repairs** **$200,000**

**Project Requirement**: Repair electrical vault deficiencies.

**Current Situation**: A comprehensive electrical vault inspection was conducted throughout the Capitol Hill complex. The inspection revealed that the electrical vaults have several deficiencies. Specifically, those deficiencies include: mold growth on the walls, water leaks causing concrete chipping, structural rebar rusting, and cracked concrete walls.

**Description/Scope**: The project will repair the electrical vault deficiencies as noted in the comprehensive inspection.

**Impact if not Funded**: It is critical to maintain the integrity of the electrical vault as any breech in the walls or structural failure would cause widespread electrical outages for building occupants.

## LIBRARY BUILDINGS & GROUNDS (LOC)

### CAPITAL (MULTI-YEAR) BUDGET FOR FY 2007

The Capital (multi-year) Budget for this appropriation is divided into the following four categories:

1) *Capital Projects involving major construction or systems replacement requirements that typically address fire, life safety, security, and cyclical maintenance concerns. These projects have been vetted through the Capital Improvements Plan (CIP) process and, where applicable, have met the 100% design documentation requirement as set forth in HR 107-169.*
2) *Capital Projects necessary to sustain and provide for Congressional and Legislative Branch agency mission requirements that do not meet the CIP criteria (construction projects greater than $250,000 requiring design documentation).*
3) *Minor Construction requirements involving minor construction, repair, and building alterations that provide jurisdictions the flexibility to respond to unforeseen minor construction requirements as generated from Members, Officers, Committees, and other AOC Clients.*
4) *Study, Design, and Condition Assessment (SDCA) provides resources to enable the AOC to conduct 100% design of proposed projects; initiate studies for improved working efficiencies; and condition assessments that enable management to plan maintenance, preservation, and structural and mechanical work cycles.*

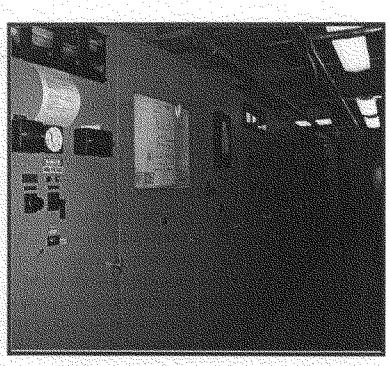
| PROJECT BUDGET - MULTI-YEAR ($000) | | | |
|---|---|---|---|
| Project | FY 2006 Enacted w/ rescission | FY 2007 Request | FY 2006/ 2007 Difference |
| Book Storage Modules 3&4 | 40,293 | - | (40,293) |
| High Voltage Switchgear Replacement, TJB | - | 1,420 | New |
| Sprinkler System Replacement, West Main Pavilion TJB | - | 4,370 | New |
| Smoke Detector Upgrades, JMMB | - | 4,260 | New |
| Firefighter Telephones, TJB | - | 910 | New |
| Logistics Warehouse, Ft. Meade | - | 54,200 | New |
| Air Handling Unit Replacement, Decks A & B | - | 2,890 | New |
| Elevator and Escalator Modernization, TJB & JMMB | - | 2,560 | New |
| Egress Improvements, Phase II, JAB | - | 430 | New |
| Study, Design, and Condition Assessment | 792 | 5,790 | 4,998 |
| Minor Construction | 990 | 990 | - |
| **Total** | **42,075** | **77,820** | |

**Project Title: High Voltage Switchgear Replacement, TJB** **$1,420,000**

**Project Requirement:** Replace the current antiquated high voltage switchgear system.

**Current Situation:** The high voltage switchgear interfaces the power utility (PEPCO) incoming feeders with the AOC power distribution system which provides electrical power to the TJB. The system is the backbone of electric power distribution for the building, and contains high voltage power breakers and protective and metering devices. The high voltage switchgear is antiquated, is at the very end of its life expectancy and must be replaced. The breakers have been repaired or replaced frequently, which is an ineffective method of maintaining a reliable level of switchgear operation. Additionally, replacement/repair parts are difficult to obtain, and cannot be procured in a timely manner.

**Description/Scope:** This project will replace the existing 13.8 kilovolts high voltage switchgear and power distribution system with a new state-of-the-art electric power system to bring the building up to code standards.



**Impact if not Funded**: The current system is a "four-source-spot-network", which ensures that a single failure will not interrupt the power supply. However, if one failure occurs, and is not repaired immediately, a second consecutive failure will result in a major power supply breakdown, interrupting electrical power service to the entire building for several days.

**Project Title: Sprinkler System Replacement, West Main Pavilion, TJB** **$4,370,000**

**Project Requirement:** Provide an automatic sprinkler system for the ground, second, and attic levels of the West Main Pavilion.

**Current Situation**: A fully protected sprinkler system is one of the most effective methods for reducing potential harm to building occupants and property during a fire emergency. An automatic sprinkler system provides quick reaction to the specific area when the predetermined heat level is reached, thereby maximizing protection against heat, flame, and smoke while enhancing egress from the building. A recent performance based analysis indicated that full sprinkler protection is required in the Thomas Jefferson Building. Currently, the Thomas Jefferson Building is the only remaining Library of Congress building without funding for 100% sprinkler protection. The existing sprinkler system has been identified in previous studies and inspections as having numerous fire protection and life safety deficiencies and not being in compliance with National Fire Protection Association (NFPA) 101, the Life Safety Code, and the building code as required by Congressional Accountability Act.

**Description/Scope**: This project will provide automatic sprinkler systems to the Ground, Second, and Attic Levels of the West Main Pavilion. The project will also include addressing portions of the abatements for LOC Citation 1, Item 1 and Item 2.

**Impact if not Funded**: Building occupants would be vulnerable to potential harm and injury as well as significant damage to property. In addition, the building will remain code deficient and the AOC will be unable to address current and future citations.

**Project Title: Smoke Detector Upgrades, JMMB** **$4,260,000**

**Project Requirement:** Upgrade smoke detection systems in several areas of the James Madison Memorial Building (JMMB)

**Current Situation**: The existing condition of the JMMB building is not in compliance with Building Officials and Code Administrators International, Inc. (BOCA) 1999, National Fire Protection Association (NFPA) 72, NFPA 909, and AOC policies.

**Description/Scope**: This project is designed to bring the JMMB into compliance with the following code requirements: BOCA 1999, NFPA 72, NFPA 909 and NFPA 101. This project involves renovation and expansion of the existing smoke detection system in the JMMB and will install and/or upgrade smoke detection systems in several areas of the building.

**Impact if not Funded**: Building will remain code deficient and some areas of the building will be at the risk of undetectable fires. This would put the building, its contents, occupants, and visitors at an increased life safety risk condition.

**Project Title: Firefighter Telephones, TJB** **$910,000**

**Project Requirement:** Install a dedicated, reliable, and code-compliant communications network for fire department and emergency responder use during a fire emergency.

**Current Situation**: Firefighter telephones offer optimum fire and life safety protection in the event of an emergency. Firefighter telephones provide two-way emergency telephone communication between the fire department and authorized personnel. The TJB does not have a two-way communication system as required by NFPA 101 and other applicable building codes. In addition, the District of Columbia fire department radios do not function in all parts of building causing a potential delay in fire suppression and evacuation efforts.

**Description/Scope**: This project will provide two-way fire department communication to the TJB. The two-way communications devices will be installed in the exit stair at each floor level, elevator lobby, and elevator cab. The project will also include installation at the connection of each tunnel and at the main fire department entrance to the building. Further, a control unit will be provided as well as a remote master telephone at the main fire department.

**Impact if not Funded**: Fire suppression efforts will be compromised and the evacuation of building occupants, especially those who are disabled, will be delayed. The building will not be equipped with a reliable and code compliant method of fire department communication.

**Project Title: Logistics Warehouse, Ft. Meade, LOC (Librarian)** **$54,200,000**

**Project Requirement:** Alleviate shortage of storage capacity for specialty materials and chemicals as well as day to day operational supplies and materials

**Current Situation**: The Logistics Warehouse of the Library of Congress is currently housed at an 85,000 square foot General Service Administration Warehouse in Landover, Maryland. The LOC leases this warehouse to house part of their logistics operations including storing office supplies and equipment, carpeting, furniture, and other materials used by the LOC. The leased location does not meet the current space needs as well as environmental and security requirements.

**Description/Scope**: This project will provide for the construction of the Logistics Warehouse at Fort Meade and will provide a facility to meet the Library of Congress environmental and security requirements. The facility will have a total of 153,000 square feet including: air-conditioned storage space and office space as well as mechanical, recycling, and loading/staging space.

**Impact if not Funded**: The LOC will be unable to store day to day office supplies and equipment, carpeting, furniture, and other materials. In addition, the Conservation Division will not have a separate storage room to store the Preservation Office chemicals used for the preservation of printed materials.

**Project Title: Air Handling Unit Replacement, Decks A & B, JMMB** **$2,890,000**

**Project Requirement:** Install new code compliant heating, ventilation, and air-conditioning (HVAC) systems to provide cooling, heating, and ventilation for Decks A and B of the Thomas Jefferson Building.

**Current Situation**: An air handling unit is an integrated piece of equipment consisting of fans, heating and cooling coils, air-control dampers, filters, and silencers. The purpose of an air-handling unit is to collect and mix outdoor air and return the air (cooled or heated) into the building. The existing system uses five HVAC units to supply conditioned air to Decks A and B in the Thomas Jefferson Building. The current units are in poor condition and have reached their useful life span resulting in high maintenance costs. The indoor air quality has deteriorated as the current units are no longer serviceable and can not maintain proper humidity and temperature. Also, there is water leakage which poses potential damage to the book stacks. Maintaining proper humidity and temperature is essential to the preservation and longevity of the collections and materials.

**Description/Scope**: This project will install two new code compliant HVAC systems for Decks A and B in the TJB. The existing five units will be removed and replaced with new structural upgrades (i.e. roof trusses and floor framing) to accommodate the new HVAC system as well as comply with current building codes.

**Impact if not Funded**: The current system is in poor condition and is no longer serviceable causing an escalation in maintenance costs. In addition, the leakage poses potential damage to the book stacks. Maintaining proper air quality (humidity and temperature) is critical to the productivity of the personnel and the longevity of the books.

**Project Title: Elevator Modernization, TJB & JMMB** **$2,560,000**

**Project Requirement:** Modernize elevators and escalators at the Thomas Jefferson and James Madison Memorial Buildings.

**Current Situation**: Safe and reliable operation of elevators and escalators is of great important to the staff of the Library of Congress. Customer satisfaction surveys have shown that our clients are dissatisfied with the current condition of the elevators and escalators within the Thomas Jefferson and James Madison buildings. Elevators and escalators are a heavily used transportation system within the buildings.

The elevators in the Thomas Jefferson Building are 19 years old and are approaching the end of their normal life cycle of 20 years. The James Madison Memorial Building elevators and escalators are 45 years old. The age and condition of the elevators and escalators has generated increased costs for maintenance and repair, increases in reported breakdowns, inconvenience to personnel, and a reduction in manpower for other preventive maintenance efforts.

**Description/Scope**: The elevators and escalators for the modernization program were selected by age, use, and number of repairs. This project will renovate and modernize the current elevators and escalators to comply with current American with Disabilities Act (ADA) safety standards as well as new silicon controlled rectifier (SCR) technology to ensure optimal performance.

**Impact if not Funded**: The elevators and escalators will continue to decline and require significant maintenance. Potential risk of passenger injury will continue to increase due to code violations and inadequate safety mechanisms.

**Project Title: Egress Improvements, Phase II, JAB** **$430,000**

**Project Requirement:** Provide increased exit capacity for building occupants and address a portion of the abatement plan for LOC Citation 2, Item 2.

**Current Situation**: One general requirement for means of egress is sufficient exit capacity. The capacity of an exit is based on the exit width. Without adequate exit capacity building occupants are at risk of danger during an emergency evacuation. As such, the ground floor of the John Adams Building does not have sufficient exit capacity. Currently, the four central exit stairs all discharge on the Ground Floor at the East and West Lobbies. In addition, exit discharge must be large enough to accommodate all those who leave the building. The exit capacity at the doors from the Ground Floor exit stairs is inadequate due to the convergence from the floors above and below. The exit capacity of the JAB was identified as not being in compliance with NPFA 101, the Life Safety code, as required by the Congressional Accountability Act in a 2000 egress study and a recent performance based analysis.

**Description/Scope**: This project will increase the size of exit capacity of the doors from the four central exit stairs as well as the doors from the Ground Floor exit stairs. The project will include replacing the revolving door on the Ground Floor at the East and West Lobbies with a new code complying balance door.

**Study, Design, and Condition Assessment (SDCA)** **$5,790,000**

SDCA provides flexibility to meet the needs of the Library of Congress by performing studies, designs, and condition assessments. In FY 2007, the following SDCA initiatives are planned:

**Project Title: Facility Condition Assessment, JMMB** **$1,000,000**

**Project Requirement:** Document the existing condition of the James Madison Memorial Building systems and equipment.

**Current Situation**: The specific condition and expected life span of the JMMB systems and equipment is currently unknown. Without comprehensive information of the condition, life span and replacement cost, the development of a realistic 10-year Capital Improvement Plan is not possible.

**Description/Scope**: The Facility Condition Assessment (FCA) will provide a detailed building systems inventory and condition assessments, create preventative maintenance plans, and implement a Capital Planning and Management System to facilitate capital renewal and reinvestment including maintenance and preservation requirements. The condition and expected life span of all equipment will be provided. This will be developed through visual inspection, testing, to include vibration analysis and infrared heat scanning, and system performance

measurements. The FCA shall develop a list of prioritized projects with their associated costs and time lines. The FCA will form the basis of a ten-year Capital Improvement Plan. This effort has been funded and is underway in the Senate Office Buildings, the House Office Buildings, and U.S. Capitol jurisdictions.

**Impact if not Funded**: The AOC will be unable to provide a detailed long term capital improvements plan for the Congress and will be unable to provide a comprehensive long term budget forecast for Library of Congress facilities. In addition, funding for critical projects may be delayed or overlooked without a long term capital improvement plan.

**Project Title: Stained Glass Window Repairs, TJB** **$200,000**

**Project Requirement:** Develop potential short and long term stained glass window options.

**Current Situation**: During the painting and repair of the arches for the dome in the Main Reading Room of the Thomas Jefferson Building, the existing condition of the stained was first noticed. An expert consultant was in brought in for a day to perform a cursory evaluation of the historic stained glass windows.

**Description/Scope**: This study will conduct a complete investigation into the windows and develop potential short and long term repair options to sustain the historic stained glass windows.

**Impact if not Funded**: The failure and deterioration of the historic stained glass will continue to persist until it will be impossible to replicate this historic treasure. The potential of a breakage of stained glass will present a hazard to those visiting the Main Reading room.

**Project Title: Backflow Prevention, LOC** **$75,000**

**Project Requirement:** Provide a design to correct additional backflow prevention deficiencies.

**Current Situation**: In 2005, a comprehensive backflow prevention survey was conducted throughout all buildings on Capitol Hill. The LOC facilities have been completely surveyed for backflow compliance, and a significant number of building code deficiencies have been identified. As a result of the survey, some deficiencies require an engineered design to determine final resolution.

**Description/Scope**: This project will develop design documents to resolve more complex backflow prevention deficiencies.

**Impact if not Funded**: The absence of backflow prevention devices is potential hazard to the public because containments can enter the potable water system.

**Project Title: Egress Improvements, LOC** **$1,500,000**

**Project Requirement:** Provide a design to correct a multitude of egress deficiencies in the Thomas Jefferson (TJB), John Adams (JAB), and James Madison Memorial (JMMB) Library of Congress buildings.

**Current Situation**: The Thomas Jefferson, John Adams, and James Madison buildings have multiple egress deficiencies, which includes the following in the TJB, coordinate door swings

from the Colonnades to the Pavilions; provide a second means of egress for the Cellar Mechanical Shops, East Corridor Mechanical Room, Reference and Computer Catalog Room, Books Reading Room and Stacks, and Upper Mechanical Rooms. In JAB, provide a second means of egress from the AOC Shops, House Records, and North Storage Areas. Finally in JMMB, provide minor renovations to the 6th Floor Cafeteria and provide a second means of egress for AOC offices. In the event of an emergency evacuation, several areas of the buildings do not have a second means of egress. Additionally, many of the mechanical rooms, shops, and offices spaces throughout the complex have excessive exit access travel distances, dead-end conditions, and common paths of travel. The travel distance from these various rooms to an exit are inadequate and insufficient.

**Description/Scope**: This project will develop design documents to resolve egress deficiencies within the Thomas Jefferson, John Adams, and James Madison buildings as well as coordinating door swings and providing a second means of egress for various areas throughout the three buildings. The design will also address NFPA 101, the life safety code, as required by the Congressional Accountability Act.

**Impact if not Funded**: The existing egress deficiencies will continue to remain inadequate and building occupants will continue to be subjected to unsafe conditions that could result in the loss of life in the event of an emergency.

**Project Title: Fire Damper & Smoke Control System Modifications, LOC** **$1,000,000**

**Project Requirement**: Provide a design for fire dampers and a smoke control system.

**Current Situation**: According to a August 2002 study, it was determined that a majority of the air duct systems penetrating the existing fire resistive barriers lack fire dampers as required by current life safety codes and the National Building Code. The existing fire dampers and smoke control system are inadequate and do not offer current life safety features required to protect the buildings and its occupants in the case of a fire emergency.

**Description/Scope**: This project will develop a design to enhance and upgrade the smoke control systems. This project will provide a design for the stair pressurization system, which is a supply fan unit providing outside air to generate over-pressurization in stairways, thereby creating an area of refuge by preventing smoke from migrating into the stairways. Additionally, the design will provide fire dampers in the existing HVAC ductworks throughout the various buildings to maintain the integrity of the fire rating of fire barriers which the ducts penetrate.

**Impact if not Funded**: The smoke control system will not be in compliance with applicable building codes to maintain safe and easy egress routes for building occupants as well as preventing costly property damage in case of fire emergency.

**Project Title: Cable TV System Upgrade, LOC** **$510,000**

**Project Requirement:** Develop design documents to replace and upgrade the old cable television system to meet the Federal Communications Commission (FCC) mandate for conversion to completely digital format by the end of 2008.

**Current Situation**: Audio and video play a major role in public access to Congress. Accordingly, cable television coverage of the floor proceedings has existed for many years. The

current cable television distribution system has been in place for more than twenty years. This 36 channel Hill-wide system uses standard technology and has limitations with regards to channels and connectivity. Further, replacement parts are difficult to obtain. The congressional requirements to add additional channels for expanded hearing coverage and the requirement for digital television capability by the end of 2008 must be met. The current distribution can not support the new digital technologies.

**Description/Scope**: This project will develop design documents to provide a new cable television distribution system to all rooms in the John Adams Building, Thomas Jefferson, and LOC Special Facilities Center and to any additional rooms required. The new system will be High Definition Television (HDTV) compatible and will have required channel capabilities. The design plan will include installation of amplifiers, power supplies, junction boxes, and outlet ports.

**Impact if not Funded**: Members and staff will not have the capability to monitor hearings. Eventual phase-in of digital CATV will leave the current system obsolete.

**Project Title: Study, Tunnel Architectural Upgrades** **$200,000**

**Project Requirement:** Develop solutions to improve the existing conditions of the JAB, JMMB, and TJB.

**Current Situation**: The underground tunnels connecting the James Madison, Thomas Jefferson, and John Adams Buildings are in disrepair and require much needed upgrades. There are numerous challenges involved in repairing the tunnels including utilities and low head clearances; poor lighting, deteriorated floor finishes, and unsafe exiting ramps.

**Description/Scope**: This study will develop creative solutions and cost effective alternatives to improve the appearance and functionality of the heavily used tunnel system.

**Impact if not Funded**: Visitors and staff will continue to use the tunnel in its poor and deteriorating condition. The potential for tripping, falling, and other personal injury will remain unabated.

**Project Title: Fire Alarm System Upgrade, JAB** **$680,000**

**Project Requirement:** Design a new reliable, addressable, and efficient fire alarm system to notify occupants in the event of an emergency.

**Current Situation**: The current fire alarm system in the building currently does not meet compliance with the building code, NFPA 101, NFPA 72, ADA and AOC Design Standards for visible notification, audible notification, and extent of smoke detection. Also, the fire alarm system is approaching the end of its useful life.

**Description/Scope**: This project will develop design documents to replace the existing fire alarm system building with a new code compliant addressable fire alarm system. The existing fire alarm system does not meet the current building code and AOC design standards. In addition, the existing system is approaching the end of its useful life and manufacturer support for maintenance and spare parts is decreasing. The replacement system will include control equipment, detection and visual and audio notification systems.

**Impact if not Funded**: Failure to complete this project will result in the existing fire alarm system being code deficient and will result in a significant increase in maintenance and repair costs to the system. The lack of code compliant proper detection and notification can place the building occupants in unnecessary risk in the even of an emergency.

**Project Title: Drinking Water System Replacement, JAB** **$350,000**

**Project Requirement:** Develop design documents to replace the existing drinking water system in the John Adams building with an ADA-compliant system.

**Current Situation**: The current drinking water system in the John Adams Building has three problems. The first problem is that the pipes are nearly clogged because minerals in the District water system have deposited in the pipes over the past 60 years. The second problem is that, over the years, dissimilar materials have been used in the pipes, leading to galvanic corrosion; many of the sections of pipe are thin, and leaking. Finally, the current drinking water fixtures are not ADA-compliant.

**Description/Scope**: This design project will provide solutions to replace and upgrade the current water drinking system with a code compliant system. The design will address removal of existing pipes as well as the installation of new water piping system and ADA-compliant fixtures.

**Impact if not Funded**: The John Adams Building is a public facility, which must meet the expectations of the public as well as requirements established by the law. As such, a code compliant water drinking system is a public expectation. Further, without action the pipes will continue to leak.

**Project Title: Emergency HVAC Shutdown** **$200,000**

**Project Requirement:** Design reliable and secure HVAC emergency shutdown system.

**Current Situation**: The current HVAC systems lack a reliable, functional, and secure emergency shutdown system to stop airflow in case of chemical or biological agent infiltration.

**Description/Scope**: This project will provide design documents to improve the HVAC units within the LOC facilities. The design will include viable solutions to meet the current needs of the LOC.

**Impact if not Funded**: The LOC will be unable to protect against any chemical or biological security threat.

**Project Title: NW & SW Courtyard Renovation, TJB (Librarian)** **$75,000**

**Project Requirement:** Upgrade the court area and fountain near the Coolidge and Whittall auditoriums.

**Current Situation**: The North and Southwest courtyards have been neglected for years and were impacted during the Coolidge Auditorium renovation. The fountain is not code compliant and lacks backflow prevention devices. The space is unsightly and lacks landscape and lighting designs. The existing statuary is starting to become pitted and discolored.

## LIBRARY BUILDINGS & GROUNDS (LOC)

**Description/Scope**: This design project will restore and renovate area including landscaping, paths, irrigation and fountain. The design documents will include proposals to implement the following: a new landscape design and include renovation of the fountain, new pump and filter system, backflow prevention, provide new hardscape, removal of sidewalks, redesign of sidewalk system and installation, restoration of Pan statue, installation of lighting system, installation of irrigation system, and installation of fire doors and door to pump room.

**Impact if not Funded**: The space will continue to look unsightly. Life and safety concern will persist and the water system will remain inefficient. In addition, the statuary will continue to deteriorate.

**Minor Construction** **$990,000**

This program group provides flexibility for unforeseen needs including minor construction, repair, and alteration projects, and related activities in connection with construction and maintenance activities of the facilities under the cognizance of the LOC.

# LOC Functional Budget Summary Fiscal Year 2007

**OPERATING BUDGET ($000)**

| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Payroll (PR) | 10,890 | 9,959 | 11,274 | 12,031 | 757 |
| Facilities Maintenance (FM) | 5,133 | 5,672 | 7,717 | 8,817 | 1,100 |
| General Facilities (GF) | 812 | 756 | 400 | 400 | - |
| Grounds Maintenance (GM) | 65 | 81 | 65 | 65 | - |
| Jurisdiction Centralized Activities (JR) | 300 | 292 | 300 | 450 | 150 |
| Miscellaneous Improvements (MI) | 176 | 161 | 176 | 176 | - |
| **Total** | **17,376** | **16,921** | **19,932** | **21,939** | **2,007** |

**PROJECT BUDGET - ANNUAL ($000)**

| Activity | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Copyright Office Move/Reconfiguration | | | 5,445 | - | |
| Fire Safety Project Management | | | - | 250 | |
| Repair Life Safety Deficiencies | | | 386 | 386 | |
| Backflow Preventer Installation | | | - | 250 | |
| Painting TJB Arches | | | 237 | 237 | |
| Photo-Duplication Asbestos Abatement | | | - | 725 | |
| Preservation Environmental Monitoring | | | - | 80 | |
| Replace Partition Supports | | | - | 250 | |
| Replace Sidewalks, JAB & TJB | | | - | 100 | |
| Electrical Vault Repairs | | | - | 200 | |
| **Total** | **1,066** | **3,843** | **6,068** | **2,478** | **(3,590)** |

**PROJECT BUDGET - MULTI-YEAR ($000)**

| Project | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Study, Design, and Condition Assessment | | | 792 | 5,790 | |
| Minor Construction | | | 990 | 990 | |
| Book Storage Modules 3 & 4 | | | 40,293 | - | |
| High Voltage Switchgear Replacement, TJB | | | - | 1,420 | |
| Sprinkler System Replacement, West Main Pavilion, TJB | | | - | 4,370 | |
| Smoke Detector Upgrades, JMMB | | | - | 4,260 | |
| Firefighter Telephones, TJB | | | - | 910 | |
| Logistics Warehouse, Ft. Meade, LOC | | | - | 54,200 | |
| Air Handling Unit Replacement, Decks A & B, JMMB | | | - | 2,890 | |
| Elevator Modernization, TJB-1 & 2, JMMB D-1,D-2, D-3 & D-4, and ESC 1&2 | | | - | 2,560 | |
| Egress Improvements, Phase II, JAB | | | - | 430 | |
| **Total** | **21,334** | **9,406** | **42,075** | **77,820** | **35,745** |

**TOTAL BUDGET ($000)**

| | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Total Operating Budget | 17,376 | 16,921 | 19,932 | 21,939 | 2,007 |
| Total Project Budget - Annual | 1,066 | 3,843 | 6,068 | 2,478 | (3,590) |
| Total Annual Budget | 18,442 | 20,764 | 26,000 | 24,417 | (1,583) |
| Total Project Budget - Multi-Year | 21,334 | 9,406 | 42,075 | 77,820 | 35,745 |
| **Total Budget** | **39,776** | **30,169** | **68,075** | **102,237** | **34,162** |

# CAPITOL POLICE BUILDINGS & GROUNDS (CPB&G)

## INTRODUCTION

The Architect of the Capitol is responsible for the operation, maintenance, structural, and mechanical care of the United States Capitol Police Buildings and Grounds (CPB&G). This appropriation provides for the Canine Facility, Chemical/Explosive Storage Facility, U.S. Capitol Police Headquarters, Crib, Off-Site Delivery Facility, and leased space within the Fairchild Building, Government Printing Office (GPO), and Vehicle Maintenance/Hazardous Device Unit Facility. *Clarifying statutory language is being requested to include "grounds, spaces and security enhancements of the United States Capitol Police and Capitol Police Board, wherever located."*

## FISCAL YEAR 2007 BUDGET AND FTE SUMMARY*

| TOTAL BUDGET ($000) | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Total Operating Budget | 4,814 | 4,673 | 9,021 | 9,486 | 465 |
| Total Project Budget - Annual | 992 | 496 | 782 | 500 | -282 |
| Total Annual Budget | 5,806 | 5,168 | 9,803 | 9,986 | 183 |
| Total Project Budget - Multi-Year | 4,100 | 953 | 4,950 | 10,232 | 5,282 |
| **Total Budget** | **9,906** | **6,121** | **14,753** | **20,218** | **5,465** |
| Full Time Equivalent (FTE) | 3 | | 12 | 14 | 2 |

## FISCAL YEAR 2007 OBJECT CLASS
**Schedule A ($000)**

| Object Class | FY 2005 Actual* | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|
| 11 Personnel Compensation | 348 | 308 | 473 | 165 |
| 12 Personnel Benefits | 68 | 113 | 178 | 65 |
| 21 Travel | | | | |
| 22 Transportation of Things | | 10 | 7 | (3) |
| 23 Rent, Communications and Utilities | 4,412 | 6,630 | 6,772 | 142 |
| 24 Printing and Reproduction | | | | |
| 25 Other Contractual Services | 6,611 | 2,697 | 3,661 | 964 |
| 26 Supplies and Materials | 164 | 25 | 25 | |
| 31 Equipment | 374 | 20 | 20 | |
| 32 Land and Structures | 12,547 | 4,950 | 9,082 | 4,132 |
| 41 Grants | | | | |
| 42 Insurance Claims and Indemnities | | | | |
| 43 Interest | | | | |
| 44 Refunds | | | | |
| **Total, Budget** | **24,524** | **14,753** | **20,218** | **5,465** |

* FY 2005 Actual represents total obligations of funds incurred in FY 2005, irrespective of the year of appropriation

*The tables included in this budget submission have rounding variances to the nearest thousandth.




## CAPITOL POLICE BUILDINGS & GROUNDS (CPB&G)

**Detailed Analysis of Change by Appropriation**
**Schedule A ($000)**

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount (000) |
| **Appropriation, FY 2006** | 12 | 14,902 |
| Minus Rescission | | (149) |
| **Adjusted Appropriation, FY 2006** | 12 | 14,753 |
| **Program Decreases** | | |
| Facilities Maintenance (FM) | | (10) |
| Jurisdiction Centralized Activities (JR) | | (53) |
| USCP Furniture Replacement | | (126) |
| HVAC Replacement, Crib | | (116) |
| Study, Design, & Condition Assessment | | (170) |
| Vehicle Maintenance Facility Purchase, 67 K Street | | (3,950) |
| **Total, Program Decreases** | - | (4,425) |
| **Mandatory and Related Costs:** | | |
| Cost of Living - Annualization of Cost of Living 2006 | | 6 |
| Cost of Living 2007 | | 12 |
| Within-grade Increases and Pay Adjustments | | 6 |
| Retirement Increases | | 3 |
| FEHBA/FEGLI | | 2 |
| **Total, Mandatory Pay Related Costs** | - | 29 |
| **Price Level Changes:** | | |
| Facilities Maintenance (FM) | | 26 |
| Jurisdiction Centralized Activities (JR) | | 70 |
| Lease - 67 K Street (Vehicle Maintenance Facility) | | 12 |
| **Total, Price Level Changes** | - | 108 |
| **Program Increases:** | | |
| Payroll (PR)- Facilities Operations Specialist and Project Manager | 2 | 201 |
| Facilities Maintenance (FM) | | |
| Equipment-Repairs & Maintenance | | 70 |
| Grounds Maintenace (GM) | | |
| Snow-Removal, USCP | | 4 |
| Mowing Services, USCP | | 6 |
| Jurisdiction Centralized Activities (JR) | | |
| Emergency Preparedness | | 50 |
| Lease - Government Printing Office (GPO) | | 60 |
| Basement Code Compliance, USCP 67 K Street | | 45 |
| Stairwell Handrail Retrofit, HQ Facility | | 29 |
| Structural Fire Proofing Repairs | | 56 |
| Security Barrier Gate Arms for Existing Barriers, USCP | | 850 |
| Police Kiosk on Independence Avenue | | 2,225 |
| Kiosk Replacement, North & South, Capitol Square,USCP | | 1,227 |
| Kiosk at Vehicular Barriers (4 locations) | | 650 |
| Study, Design, & Condition Assessment | | 1,280 |
| Minor Construction | | 3,000 |
| **Total, Program Increases** | - | 9,753 |
| **Net Increase** | 2 | 5,465 |
| **Total Appropriation** | 14 | 20,218 |

# CAPITOL POLICE BUILDINGS & GROUNDS (CPB&G)

## OPERATING BUDGET

The Operating Budget for this appropriation is comprised of all costs associated with the daily care, maintenance and operation of the facilities and activities under the jurisdiction of the Capitol Police Buildings and Grounds (CPB&G). The budget justification for the Operating Budget includes the below summary schedule that incorporates the following data: the Program Group and columns indicating funding levels for fiscal years 2005, 2006, and 2007, as well as the obligations for fiscal year 2005. Following this summary schedule are the Operating Allotment narratives that describe the purpose of all operating allotments funded in this appropriation. When increases or decreases have been requested for fiscal year 2007, the amount and justification for those changes appear in *italics*. In accordance with sound financial management practices, these allotments are reviewed and adjusted to reflect changing needs. Increases that cannot be absorbed are requested through the budget process.

### Summary Schedule

**OPERATING BUDGET ($000)**

| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Payroll (PR) | 402 | 181 | 421 | 651 | 230 |
| Facilities Maintenance (FM) | 3,709 | 425 | 1,865 | 1,951 | 86 |
| Grounds Maintenance (GM) | - | - | - | 10 | 10 |
| Jurisdiction Centralized Activities (JR) | 3,709 | 4,066 | 6,710 | 6,849 | 139 |
| Furniture Repair (FR) | - | - | 25 | 25 | - |
| **Total** | **4,814** | **4,673** | **9,021** | **9,486** | **465** |




## CAPITOL POLICE BUILDINGS & GROUNDS (CPB&G)

### OPERATING BUDGET NARRATIVE DESCRIPTIONS

**Payroll Program Group (PR):** Provides for personnel compensation and personnel benefits for the general administrative support of facilities under the jurisdiction of the Capitol Police Buildings & Grounds. Included are Government staff salaries and other personal services (i.e., paid leave and lump sum annual leave payments upon separation; for compensation above basic rates including, overtime, holiday pay, the Civil Service Retirement System, the Federal Employees Retirement System, Social Security and Medicare); agency contributions to the Federal Employees Health Benefits Program (FEHBP), Federal Employees Group Life Insurance (FEGLI), and subsidies paid to employees for commuting costs.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Compensation | 308 | 23 | 142 | 473 |
| Personnel Benefits | 113 | 6 | 59 | 178 |
| **Payroll (PR)** | **421** | **29** | **201** | **651** |

**Personnel Compensation (PR01)** **$473,000**

This allotment provides for salaries and wages paid directly to employees including paid leave and lump sum annual leave payments upon separation. This allotment also provides for compensation above basic rates including overtime, holiday pay, Sunday pay, night work differential, supervisory differential, and hazardous duty pay.

*Price Level Increase:* *$23,000*

*The increase consists of cost of living adjustments (COLA's) for fiscal year 2007 including the annualization of the January, 2006 COLA and locality pay adjustments for general schedule employees; the COLA and locality pay adjustments for general schedule employees in January, 2007; and within-grade increases and other pay adjustments.*

*Program Increase, New Positions (2):* *$142,000*

*The requested program increase will fund two new positions – a Facilities Operations Specialist, (GS-11) and a Project Manager, (GS-13) in fiscal year 2007. The additional positions are a result of increased operations, maintenance, and inspection services relating to new Capitol Police facilities, e.g., Interim Off-Site Delivery Facility and the Fairchild Building, as well as other USCP support requirements and initial support for centralizing all USCP support within Capitol Police Buildings and Grounds. This support ensures that Capitol Police Buildings and Grounds are able to meet and provide adequate service to Capitol Police facilities, spaces, and security enhancements, wherever located.*




## CAPITOL POLICE BUILDINGS & GROUNDS (CPB&G)

**Personnel Benefits (PR02)** **$178,000**

This allotment provides for personnel benefits to employees including contributions for retirement to the Civil Service Retirement System, the Federal Employees Retirement System, Social Security, and Medicare. Also included are agency contributions to the Federal Employees Health Benefits Program (FEHBP), the Federal Employees Group Life Insurance (FEGLI), and subsidies paid to employees for commuting costs.

*Price Level Increase:* *$6,000*

*The increase for fiscal year 2007 is attributable to increased costs of agency contributions for employees' health benefits, retirement funds, and increased participation in the transit subsidy program.*

*Program Increase, New Positions (2):* *$59,000*

*The requested program increase of $59,000 is to provide funding for costs associated with agency contributions for employee's health benefits, and retirement funds for the 2 additional positions supporting the Capitol Police facilities.*

**Facilities Maintenance Program Group (FM):** Provides funding for annual repairs for maintenance, operation, improvement, parts, supplies and materials to maintain all of the air-conditioning and heating equipment, daytime cleaning and policing of the public restrooms, as well as trash removal, recycling, special event support, pest control, and maintenance repairs including such items as filters, oil, grease, and tools for USCP real property facilities.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Cleaning Services, USCP | 825 | | (10) | 815 |
| Insect & Pest Control | 3 | | | 3 |
| Equipment-Repairs & Maintenance | 1,015 | 26 | 70 | 1,111 |
| Disposal of Bulk and Solid Waste | 3 | | | 3 |
| Equipment | 20 | | | 20 |
| **Facilities Maintenance (FM)** | **1,865** | **26** | **60** | **1,951** |

**Cleaning Services, USCP (FM12)** **$815,000**

This allotment provides for routine and specialty cleaning of the Capitol Police Buildings & Ground facilities. The work includes policing of the public restrooms and public spaces, cleaning materials, cleaning services support for perimeter security kiosks (50 units), Crib, K-9 Facility, Chemical/Explosive Facility, and the Interim Off-site Delivery Facility, as well as the after-hour custodial services at the USCP Headquarters' facility. Additional costs were factored in the request to accommodate the higher cost of cleaning certain areas of the facilities like the Headquarters' jail cells, which require specific blood borne pathogens compliant specialty cleaning; and the fitness facility. Additionally, costs are included for trash removal to the Hart Senate Office Building loading dock.




## CAPITOL POLICE BUILDINGS & GROUNDS (CPB&G)

*Program Decrease:* *($10,000)*
*The requested decrease of $10,000 from the Facilities Maintenance Program Group (FM) previously approved funds will provide for the Grounds Maintenance Program Group (GM) snow removal and mowing services requirements, as approved in the Fiscal Year 2006 Operating Plan.*

**Insect & Pest Control (FM16)** **$3,000**
This allotment provides for insect and pest control at USCP Headquarters, Crib, Interim Offsite Delivery Facility, perimeter security kiosks and K-9 facilities.

**Equipment-Repairs & Maintenance (FM26)** **$1,111,000**
This allotment provides for real property maintenance and operations of the USCP facilities via a consolidated and specialty facilities management contract. Items such as: heating and air conditioning, painting, electrical, elevators, masonry, plumbing, carpentry, sheet metal, general repairs, hardware, building exterior, electric light bulbs & tubes, fire alarm systems testing & inspection, rugs & floor coverings, roofs, hazardous materials abatement, miscellaneous, relamping, and movement of jersey barriers is funded in this allotment. This allotment provides support for the following facilities: USCP Headquarters', Crib, K-9 unit, Interim Offsite Delivery Facility, Chemical/Explosive Facility, Kiosks (50 units), and perimeter security bollards.

*Price Level Increase:* *$26,000*
*The requested price level increase will fund projected rate increases for materials and services.*

*Program Increase:* *$70,000*
*The requested program increase of $70,000 will fund additional requirements for annual repairs and maintenance and operational improvements of the Interim Off-site Delivery facility.*

**Disposal of Bulk and Solid Waste (FM27)** **$3,000**
This allotment provides for removal of trash at the USCP Headquarters, Crib, K9 unit and Interim Offsite Delivery Facility.

**Equipment (FM31)** **$20,000**
This allotment provides for spare parts, repairs and maintenance requirements within the operation and maintenance contract for USCP facilities.

**Furniture Program Group (FR):** Provides funding for the replacement and/or repair of existing furniture, to include procurement of routine materials and supplies, upholstery and drapery work, and annual inventory of furniture items.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Furniture Repair | 25 | | | 25 |
| **Furniture (FR)** | **25** | | | **25** |




## CAPITOL POLICE BUILDINGS & GROUNDS (CPB&G)

**Furniture (FR01)** **$25,000**
This allotment provides for furniture repairs and annual inventory of furniture and furnishings in all Capitol Police Buildings & Grounds.

**Grounds Maintenance Program Group (GM):** Provides for trash, leaf, and snow removal; lawn maintenance; and street and sidewalk maintenance of Capitol Police Buildings & Grounds.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Snow-Removal (New) | | | 4 | 4 |
| Grounds Maintenance (New) | | | 6 | 6 |
| **Grounds Maintenance (GM)** | | | **10** | **10** |

***Snow-Removal (GM01) (New)*** ***$4,000***
*This new allotment provides for contractual care (i.e., snow removal and ice treatment) of the USCP facilities.*

***Grounds Maintenance (GM02) (New)*** ***$6,000***
*This new allotment provides for contractual care (i.e., general landscaping, and mowing services) at 67 K Street, Interim Off-site Delivery Facility, Chemical/Explosive Storage Facility and K-9 facility. This includes the following services: trimming, hedging, pruning, fertilizing, seeding and maintenance of current landscaping, trash and leaf removal.*

**Jurisdiction Centralized Activities Program Group (JR):** Provide for annual leases, operational costs and facility improvements for 67 K Street shared Vehicle Maintenance and Hazardous Device Response facility, GPO leased space, and Fairchild leased space, and leased trailers at 3rd & Constitution and 1st Street, NE.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Emergency Preparedness (New) | | | 50 | 50 |
| 67 K Street Lease | 498 | 12 | | 510 |
| Government Printing Office (GPO) Lease | 370 | | 60 | 430 |
| Fairchild Building Lease | 5,762 | 70 | | 5,832 |
| Movers-Cartage and Drayage | 50 | | (50) | |
| Training | 20 | | | 20 |
| Vehicle | 10 | | (3) | 7 |
| **Jurisdiction Centralized Activities (JR)** | **6,710** | **82** | **57** | **6,849** |

***Emergency Preparedness (JR03) (New)*** ***$50,000***
*This new allotment provides for jurisdictional specific training, exercises, equipment, materials and services in preparation for, and responding to, emergency events. In addition to internal emergency preparedness, AOC supports Legislative Branch agencies within its jurisdiction by leading damage*

*assessment and recovery operations. Personnel must be trained, exercised, and equipped to access, assess and recover facilities in a hazardous environment following safe and accountable procedures.*

**67 K Street Lease (JR05)** **$510,000**
This allotment provides for operation and maintenance of the facility and includes lease cost, custodial cleaning service, snow and trash removal, and pest control.

*Price Level Increase:* *$12,000*
*The requested program increase of $12,000 is the result of negotiated contract cost increase for rent and anticipated utility costs.*

**Government Printing Office (GPO) (JR05)** **$430,000**
This allotment provides for lease of approximately 3,920 square feet of office space and 12,501 square feet of storage space, along with 22 parking spaces in support of the Capitol Police.

*Program Increase:* *$60,000*
*The requested program increase of $60,000 is the result of additional leased space cost increases to provide for previously approved storage and office space within the GPO facility.*

**Fairchild Building Lease (JR05)** **$5,832,000**
This allotment provides for lease of interim space of approximately 115,000 square feet to meet the Capitol Police needs.

*Price Level Increase:* *$70,000*
*The requested price level increase will fund negotiated annual lease escalation and anticipated utility costs.*

**Movers-Cartage and Drayage** **$0**
This allotment provides for cartage and hauling services of furnishing and equipment such as lockers, furniture, and file cabinets. This allotment also provides for this work on an on-going basis and is generally accomplished via contract.

*Program Decrease:* *($50,000)*
*The requested decrease of $50,000 is attributed to no identified requirement from the USCP for moving service requirements at the USCP Headquarters Building, K-9 and other facilities.*

**Training (JR91)** **$20,000**
The allotment provides for training of Capitol Police Buildings & Grounds employees in facility management areas related to the employee's job including safety and OSHA standards and in programs such as prevention of sexual harassment, understanding employee rights and responsibilities, substance abuse, and other subjects. This training is required for employees. Additionally, the AOC provides supervisory, technical skills and staff development training and sponsors basic educational skills training.

**Vehicle Lease & Maintenance (JR08)** **$7,000**
This allotment provides for lease of a utility van used to transport materials and equipment to support the maintenance and operation of the Capitol Police Buildings and Grounds employees.

*Program Decrease:* *($3,000)*
*The requested decrease of $3,000 is attributed to negotiated lease start date in fiscal year 2006 and the lease agreement period of performance in fiscal year 2007.*

## CAPITOL POLICE BUILDINGS & GROUNDS (CPB&G)

### ANNUAL NON-RECURRING PROJECTS FOR FY 2007

| PROJECT BUDGET - ANNUAL ($000) | | | |
|---|---|---|---|
| Projects | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
| USCP Furniture Replacement | 496 | 370 | (126) |
| HVAC Replacement, Crib | 116 | - | (116) |
| Basement Code Compliance, USCP 67 K S | - | 45 | New |
| Stairwell Handrail Retrofit, HQ Facility | - | 29 | New |
| Structural Fireproofing Repairs | - | 56 | New |
| Study, Design & Condition Assessment | 170 | - | (170) |
| **Total** | **782** | **500** | |

**Project Title: USCP Furniture Replacement** **$370,000**

**Project Requirement:** Replace and reconfigure furniture within United States Capitol Police occupied spaces.

**Current Situation:** The existing furniture is old, worn, dirty, and unattractive.

**Description/Scope:** Replaces or provides new modular furniture in spaces occupied by the USCP in the Russell Senate Office Building, Longworth House Office Building, Rayburn House Office Building, Ford House Office Building, Government Printing Office, USCP Headquarters, Alternate Computer Facility, and Cheltenham, MD. This is the third, and final, phase of a major initiative started in fiscal year 2005 to replace old and worn furniture utilized by the USCP. $496,000 was appropriated for each of the first two phases in fiscal years 2005 and 2006. This will complete the last of three phases in support of the USCP furniture replacement program.

**Impact if not Funded:** The backfill of space associated with ongoing relocation of USCP personnel across the campus may be delayed due to inefficient furniture and space utilization. In addition, the USCP will continue to occupy old and worn out furniture.

**Project Title: Basement Code Compliance, USCP 67 K Street** **$45,000**

**Project Requirement:** Upgrade basement to meet code compliance requirements for the Vehicle Maintenance Facility located at 67 K Street, SW, Washington, DC

**Current Situation:** Based on the recently completed Facilities Condition Assessment, the vehicle maintenance facility basement is not in code compliance and is a safety hazard for the occupants of the facility. The basement lacks sprinklers, lighting, and stairs lack fire separation and handrails. The roof of the stairwell is missing and the sliding fire door between the basement and the stairs are inoperable. In addition, the stairs do not meet code compliance; there are a number of open holes in the concrete floor separating the basement and the floor above, as well as compromises in structural fireproofing and in the foundation walls.




## CAPITOL POLICE BUILDINGS & GROUNDS (CPB&G)

**Description/Scope:** Install permanent lighting in basement doors at the top of the stairway, handrails in the stairwell, and stair treads to make the current steps safer. This work also includes sealing holes in the concrete floors with the proper material and repairing the wall foundation that has been decaying over the years.

**Impact if not Funded:** Decaying walls and floors will continue to deteriorate making this more of a safety hazard. The facility basement will not be in code compliance and the cost to repair will significantly increase over the out years. This project was identified as a Priority 1 – IMMEDIATE, in the recently completed Facilities Condition Assessment.

**Project Title: Stairwell Handrail Retrofit, USCP, HQ Facility** **$29,000**

**Project Requirement**: Install handrails in the stairwell at the USCP Headquarters facility.

**Current Situation**: The current stairwell and retrofit handrails do not comply with code requirements for height and/or spacing between balusters and guardrails. In addition, handrails in the stairwell on the outside of the facility are missing.

**Impact if not Funded**: The USCP Headquarters facility handrails in the stairwell will not be in code compliance making this a safety hazard to the occupants of the facility. This project was identified as a Priority 1 – IMMEDIATE, in the recently completed Facilities Condition Assessment.

**Project Title: Structural Fireproofing Repairs** **$56,000**

**Project Requirement**: Repair all damaged and missing structural steel fireproofing materials in USCP HQ facility including concrete encasements. Including stopping all penetrations in fire rated walls and floors and the pipe chase.

**Current Situation**: The USCP Headquarters facility fireproofing materials are deteriorating due to aging and must be repaired to meet code compliance requirements.

**Impact if not Funded**: The USCP Headquarters facility will not be in compliance with fire protection codes making this a safety hazard to the occupants of this facility. This project was identified as a Priority 1 – IMMEDIATE, in the recently completed Facilities Condition Assessment.

## CAPITOL POLICE BUILDINGS & GROUNDS (CPB&G)

### CAPITAL (MULTI-YEAR) BUDGET FOR FY 2007

The Capital (multi-year) Budget for this appropriation is divided into the following four categories:

1) *Capital Projects requested on behalf of AOC Clients, where clients typically include congressional interests from the Senate, House, Library of Congress, and the U.S. Capitol Police. Client projects submitted under this category have been identified in the project title (e.g., "Project Title: XYZ (Client Request)";*
2) *Capital Projects necessary to sustain and provide for Congressional and Legislative Branch agency mission requirements that do not meet the CIP criteria (construction projects greater than $250,000 requiring design documentation).*
3) *Minor Construction requirements involving minor construction, repair, and building alterations that provide jurisdictions the flexibility to respond to unforeseen minor construction requirements as generated from Members, Officers, Committees, and other AOC Clients.*
4) *Study, Design and Condition Assessment (SDCA) provides resources to enable the AOC to conduct 100% design of proposed projects; initiate studies for improved working efficiencies; and condition assessments that enable management to plan maintenance, preservation, structural, and mechanical work cycles.*

**PROJECT BUDGET - MULTI-YEAR ($000)**

| Projects | FY 2006 Enacted w/ rescission | FY 2007 Request | FY2006/2007 Difference |
|---|---|---|---|
| Vehicle Maintenance Facility Purchase (67 K Street) | 4,950 | 1,000 | (3,950) |
| Security Barrier Gate Arms for Existing Barriers, USCP | - | 850 | New |
| Police Kiosks on Independence Ave, USCP | - | 2,225 | New |
| Kiosk Replacement, North & South, Capitol Square, USCI | - | 1,227 | New |
| Kiosks at Vehicular Barriers, (4) locations, USCP | - | 650 | New |
| Study, Design & Condition Assessment | - | 1,280 | New |
| Minor Construction | - | 3,000 | New |
| **Total** | **4,950** | **10,232** | |

**Project Title: Vehicle Maintenance Facility Purchase (USCP)** **$1,000,000**

**Project Requirement**: Purchase land and Vehicle Maintenance Facility located at 67 K Street, SW, Washington, DC.

**Current Situation:** The U.S. Capitol Police currently occupies this facility under a leasehold agreement with ownership rights. The Hazardous Device Unit and Vehicle Maintenance share this facility, which is approximately 24,000 gross square feet for the following elements: a workshop, a maintenance shop, and a vehicle storage area. An amount of $5,000,000 was previously appropriated in fiscal year 2006 for this acquisition. Due to property value escalation associated with construction of the District of Columbia's new baseball stadium, it is estimated an additional $2,000,000 will be required to acquire the facility, bringing the total estimated cost to $7,000,000. This fiscal year 2007 request for $1,000,000 will be coupled with a request to reprogram $1,000,000 in fiscal year 2003 multi-year funds from anticipated savings associated with the Fairchild project to provide the necessary funding.




## CAPITOL POLICE BUILDINGS & GROUNDS (CPB&G)

**Description/Scope:** Cost to complete the purchase of approximately 33,316 squire feet of land containing 24,000 gross square feet of building known as Lots 75 and 814, Square 645, and having a street address of 67 K Street, S.W., Washington, D.C.

**Impact if not Funded**: Inability to purchase the land and Vehicle Maintenance Facility located at 67 K Street. Accordingly, real estate in this zoned area has risen and therefore, additional funding will be necessary to purchase this site in the future.

**Project Title: Security Barrier Gate Arms for Existing Barriers (USCP)** **$850,000**

**Project Requirement**: Design/Build contract for new movable barrier gate arms at existing vehicular barriers throughout the Capitol Complex.

**Current Situation:** There are barriers located throughout the Capitol Complex intersections that allow the U.S. Capitol Police the ability to manage vehicle entry and exit of facilities. There is a need to provide additional visible cues to drivers that will show barriers either raised or lowered. Sometimes during raising and lowering of the barriers by the U.S. Capitol Police, vehicles are colliding with the vehicular barriers. In addition, the barriers occasionally strike vehicles while vehicles are traversing the entrance.

**Description/Scope:** Design and install movable gate arms at existing vehicle barriers to provide additional visual cues to drivers that will show when barriers are raised and lowered.

**Impact if not Funded:** The safety of Members, U.S. Capitol Police, staff and the public will continue to be compromised. If additional visual cues are not installed, there will be continued damage to vehicles and possible injury to Members, Staff and public.

**Project Title: Vehicle Barriers & Police Kiosks, Independence Avenue (USCP)** **$2,225,000**

**Project Requirement:** Design/Build contract for new vehicle barriers and Police kiosks on Independence Avenue to provide a more secure perimeter.

**Current Situation:** The current situation does not provide USCP the ability to quickly secure Independence Avenue should a vehicle not stop at the outer barriers during traffic check points, heightened security periods or special events. This places Members, U.S. Capitol Police, staff and the public in additional danger from terrorist attack.

**Description/Scope:** Design/Build rated vehicle barriers and Police kiosks at two locations on Independence Avenue to increase threat stand off distance and meet the Capitol Police Board's requirements. This work includes hydraulic barriers, bollards, infrastructure, stone cladding and copper gutters. These barriers will allow U.S. Capitol Police to better control vehicular access to the environs of the U.S. Capitol.

**Impact if not Funded:** The inadequate barrier stand off distance on Independence Avenue will remain and thus allow vulnerable points in the perimeter, which increases the likelihood of damage to Government buildings, Members, U.S. Capitol Police, staff and the public in the event of a terrorist event.

## CAPITOL POLICE BUILDINGS & GROUNDS (CPB&G)

**Project Title: Kiosk Replacement, North & South, Capitol Square (USCP)** **$1,227,000**

**Project Requirement:** Design/Build contract that replaces existing octagonal kiosks on the east side of the Capitol with new Police kiosks.

**Current Situation:** The existing octagonal kiosks have outlived their use, no longer meet USCP space requirements and do not meet current ballistic ratings recommended by the Capitol Police Board, thus placing officers at risk of terrorist attack. Accordingly, these kiosks currently, and in the future, house the mechanisms for controlling the vehicle barriers that allow access to the U.S. Capitol House and Senate Plazas.

**Description/Scope:** Replace octagonal kiosks that are not in compliance with new rating requirements and functionality. This replacement of existing octagonal kiosks will remedy the current situation and provide a safer environment for U. S. Capitol Police officers.

**Impact if not Funded:** The U. S. Capitol Police officers will be at greater risk of terrorist attack. Vulnerabilities for Members, U.S. Capitol Police, staff and the public will remain in the perimeter.

**Project Title: Kiosks at Vehicular Barriers, Four (4) Locations (USCP)** **$650,000**

**Project Requirement:** Design/Build contract for new Police kiosks on Independence and Constitution Avenues.

**Current Situation:** The existing temporary kiosks provide inadequate protection for USCP operational requirements. This places Members, U.S. Capitol Police, staff and the public in additional danger from terrorist attack as officers within the kiosks operate adjacent vehicular barriers and officers must be adequately protected to ensure the safety of the Capitol Complex.

**Description/Scope:** Install new, or replace temporary kiosks to protect officers and house the mechanisms for controlling the vehicle barriers that allow access to the U.S. Capitol environs from Constitution and Independence avenues. This includes installation of Underwriter Laboratory, level four (UL IV) rated police kiosks infrastructure, stone cladding and copper gutters.

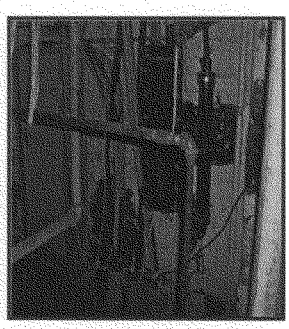
**Impact if not Funded:** The U.S. Capitol Police officers will be at greater risk of terrorist attack. Vulnerabilities for Members, U.S. Capitol Police, staff and the public will remain in the perimeter.

**Study, Design & Condition Assessment (SDCA)** **$1,280,000**

SDCA provides flexibility to meet the needs of the U. S. Capitol Police, U.S. Senate, and U.S. House of Representatives by performing studies, designs and condition assessments. In FY 2007, the following SDCA initiatives are planned:

## CAPITOL POLICE BUILDINGS & GROUNDS (CPB&G)

**Project Title: Cable TV System Upgrade (USCP)** **$100,000**



**Project Requirement:** Develop design documents to replace and upgrade the old cable television system to meet the Federal Communications Commission (FCC) mandate for conversion to completely digital format by the end of 2008.

**Current Situation**: Audio and video play a major role in public access to Congress. Cable television coverage of the floor proceedings has existed for many years. The current cable television distribution system has been in place for more than twenty years. This 36 channel Hill-wide system uses standard technology and has limitations with regards to channels and connectivity. The current distribution can not support the new digital technologies.

**Description/Scope**: Design documents for a new cable television distribution system to all rooms in the U. S. Capitol Police Headquarters' (190 D. Street NE.), and Fairchild Building (Main feed only), which currently have cable TV hook-ups, and to any additional rooms required. The new system will be High Definition Television (HDTV) compatible and will have required channel capabilities. The design plan will include amplifiers, power supplies, junction boxes, and outlet ports.

**Impact if not Funded**: Members, staff and the U.S. Capitol Police will not have the capability to monitor hearings, news, and breaking events. Eventual phase-in of digital CATV will leave the current system obsolete.

**Project Title: Facilities Condition Assessment Update (USCP)** **$20,000**

**Project Requirement**: Update the USCP Master Plan to reflect Facility Condition Assessment (FCA) information in order to develop a detailed long term Capital Improvement Plan.

**Current Situation**: The USCP Implementation Plan, initiated in the Fall of 2002, builds on the vision of the USCP future facilities and was previously laid-out in the Facility Master Plan efforts. Serving as the final element of Master Plan Update, the Implementation Plan identifies detailed solutions to realize the vision as established by the USCP throughout the process. Additionally, the update to the facilities Master and Implementation plan is required to maintain close coordination with the Capitol Complex buildings under the USCP Strategic Plan.

**Description/Scope**: Update the United States Capitol Police Master Plan to reflect changes in the mission and space requirements of the police. This FCA update will ensure USCP that critical maintenance projects are accomplished, as well as operational initiatives, and staffing plans. The update to the Master Plan will assist the AOC in planning and acquisition of facilities based on USCP organizational changes. It includes multiple alternatives for recommended facilities including use of existing facilities, and renovation or construction of existing or new structures within the Capitol Complex.

**Impact if not Funded**: The inability of the USCP to fulfill their mission could be compromised, as well as the ability to fulfill their high security mission could be compromised.




## CAPITOL POLICE BUILDINGS & GROUNDS (CPB&G)

**Project Title: Facilities Security/Comm Room Emergency Power & AC (USCP)** **$500,000**

**Project Requirement**: Study for installation of a power generator, air conditioning, and uninterrupted power supply system in support of all critical USCP SSB Security Rooms and Communication Rooms that support USCP Local Area Network (LAN) and Radio System equipment. Study will develop a program of requirements for USCP equipment located in Capitol, House, Senate, and other jurisdictions.

**Current Situation**: The USCP has identified reliable power and cooling as high priority requirements to support their mission critical systems during planned and unplanned outages. Potential security vulnerabilities may develop and critical communications may be affected should a power or cooling interruption to any one of these critical locations affect USCP Radio System equipment and USCP Network LAN Networks.

**Description/Scope**: Study and develop a program of requirements for a power generator, air conditioning and uninterrupted emergency power supply system for the USCP facilities. This is a force protection initiative that recommends all physical security and critical infrastructure equipment to have utility emergency and backup systems.

**Impact if not Funded**: Failure will occur as continued use without adequate air conditioning systems will greatly deteriorate and shorten the useable life expectancy of these critical computers and communication systems. Additionally, without emergency and backup power, this equipment will not function during electrical power outages and it will be detrimental to mission effectiveness.

**Project Title: Blast Window Assessments, Various Facilities (USCP)** **$620,000**

**Project Requirement**: Study for Blast window protection of the following facilities, USCP Headquarters Building; House Page Dorm; Senate Page Dorm; and Senate Child Care to improve security on the Capitol Complex.

**Current Situation**: Currently a Blast Protection Study is underway throughout the U.S. Capitol complex for seven (7) buildings (e.g. U.S. Capitol Building, HSOB, DSOB, RSOB, RHOB, LHOB, & CHOB). Accordingly, this assessment provides for blast analysis of each building with subsequent upgrade recommendations for windows, walls, roofs, framing, skylights, domes, etc. to meet an Interagency Security Committee (ISC) High protection level for blast load up to 10psi with a peak impulse of 89 psi-msec (as mandated by the USCP).

**Description/Scope**: Blast analysis study, similar to ongoing studies of Office Buildings, of the USCP HQ Building, House Page Dorm, Senate Page Dorm, and Senate Child Care with subsequent upgrade recommendations for windows, walls, roofs, framing, skylights, etc. to meet an ISC High protection level for blast load up to 10psi with a peak impulse of 89 psi-msec.

**Impact if not Funded**: Based on current unknown building load determinations and structural component performances there is potential property damage, injury, and loss of life.




## CAPITOL POLICE BUILDINGS & GROUNDS (CPB&G)

**Project Title: Security Interface System (USCP)**

**Project Requirement:** Design a Security Interface closet in the basement of the Administration building at the Capitol Power Plant to support pending security system upgrades.

**Current Situation:** The Capitol Power Plant currently has several temporary perimeter security systems and several other permanent devices. The USCP intends to implement a security enhancement project once the duct banks around the perimeter and an interface room are constructed. The Perimeter Security Program will be constructing duct banks on E Street and New Jersey Avenues. A separate request has been made to construct duct banks on South Capitol Street and Virginia Avenue. A secure space with discreet power is required for the USCP to mount power supplies and access control equipment to support the upgrade.

**Description/Scope:** Design a security interface closet for approximately 120-144 square feet, with any given wall length no less then eight feet.

**Impact if not Funded:** USCP will be unable to proceed with any future security upgrade projects, without a secure space with power to mount controlling equipment. The location requested for the room currently has fiber patch panels supporting security systems. This equipment is currently vulnerable to tamper or inadvertent damage by plant activity.

**Minor Construction Program Group (MC)** **$3,000,000**

This program group provides flexibility for unforeseen needs including minor construction, repair, and alteration projects, and related activities in connection with construction and maintenance activities of the facilities, spaces and security enhancements under the cognizance of the Capitol Police Buildings & Grounds jurisdiction, wherever they may be located.

# CPBG Functional Budget Summary Fiscal Year 2007

**OPERATING BUDGET ($000)**

| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Payroll (PR) | 402 | 181 | 421 | 651 | 230 |
| Facilities Maintenance (FM) | 3,709 | 425 | 1,865 | 1,951 | 86 |
| Grounds Maintenance (GM) | - | - | - | 10 | 10 |
| Jurisdiction Centralized Activities (JR) | 3,709 | 4,066 | 6,710 | 6,849 | 139 |
| Furniture Repair (FR) | - | - | 25 | 25 | - |
| **Total** | **4,814** | **4,673** | **9,021** | **9,486** | **465** |

**PROJECT BUDGET - ANNUAL ($000)**

| Description | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Furniture Replacement, USCP | | | 496 | 370 | |
| HVAC Replacement, Crib | | | 116 | - | |
| Basement Code Compliance,USCP 67 K Street | | | - | 45 | |
| Stairwell Handrail Retrofit | | | - | 29 | |
| Structural Fireproofing Repairs | | | 170 | 56 | |
| **Total** | **992** | **496** | **782** | **500** | **-282** |

**PROJECT BUDGET - MULTI-YEAR ($000)**

| Description | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Study, Design & Condition Assessment (FY06-Ann) | | | - | 1,280 | |
| Minor Construction | | | - | 3,000 | |
| Vehicle Maintenance Facility Purchase | | | 4,950 | 1,000 | - |
| Freight Elevator, D St. Headquarters Building, USCP | | | - | - | |
| Security Barrier Gate Arms for Existing Barriers, USCP | | | - | 850 | |
| Police Kiosks on Independence, USCP | | | - | 2,225 | |
| Kiosk Replacement, North & South, Capitol Square, USCP | | | - | 1,227 | |
| Kiosks at Nasatka Barriers, (4) locations, USCP | | | | 650 | |
| **Total** | **4,100** | **953** | **4,950** | **10,232** | **5,282** |

**TOTAL BUDGET ($000)**

| | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Total Operating Budget | 4,814 | 4,673 | 9,021 | 9,486 | 465 |
| Total Project Budget - Annual | 992 | 496 | 782 | 500 | -282 |
| Total Annual Budget | 5,806 | 5,168 | 9,803 | 9,986 | 183 |
| Total Project Budget - Multi-Year | 4,100 | 953 | 4,950 | 10,232 | 5,282 |
| **Total Budget** | **9,906** | **6,121** | **14,753** | **20,218** | **5,465** |

# BOTANIC GARDEN (BG)

## INTRODUCTION

The Architect of the Capitol has served as Acting Director of the United States Botanic Garden (USBG) since July 3, 1934. The Architect is responsible for the maintenance, modification, and operation of the Garden. The Architect performs his duties in connection with the Garden under the direction of the Joint Committee on the Library, which is charged by law with control over the Garden. Day-to-day operations are managed by the Executive Director. This appropriation provides for the operation, care, and maintenance of the Conservatory, Administration Building, Bartholdi Park and Fountain, the plant collections, the gardens and grounds, and the Production Facility at D.C. Village.

### FISCAL YEAR 2007 BUDGET AND FTE SUMMARY*

| TOTAL BUDGET ($000) | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
|---|---|---|---|---|---|
| Total Operating Budget | 5,737 | 5,357 | 6,817 | 7,625 | 808 |
| Total Project Budget - Annual | 241 | 3,556 | 740 | 1,639 | 899 |
| Total Annual Budget | 5,978 | 8,913 | 7,557 | 9,264 | 1,707 |
| Total Project Budget - Multi-Year | | | | | |
| **Total Budget** | **5,978** | **8,913** | **7,557** | **9,264** | **1,707** |
| Full-Time Equivalent (FTE) | 57 | | 66 | 66 | |

### FISCAL YEAR 2007 OBJECT CLASS
### Schedule A ($000)

| Object Class | FY 2005 Actual * | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|
| 11 Personnel Compensation | 2,959 | 3,643 | 3,854 | 211 |
| 12 Personnel Benefits | 959 | 1,240 | 1,313 | 73 |
| 21 Travel | 31 | 5 | 5 | - |
| 22 Transportation of Things | - | 60 | 1 | (59) |
| 23 Rent, Communications and Utilities | - | - | - | - |
| 24 Printing and Reproduction | - | - | - | - |
| 25 Other Contractual Services | 3,771 | 1,304 | 1,804 | 500 |
| 26 Supplies and Materials | 714 | 866 | 1,022 | 156 |
| 31 Equipment | 126 | 55 | 55 | - |
| 32 Land and Structures | 241 | 384 | 1,210 | 826 |
| 41 Grants | - | - | - | - |
| 42 Insurance Claims and Indemnities | - | - | - | - |
| 43 Interest | - | - | - | - |
| 44 Refunds | - | - | - | - |
| **Total, Budget** | **8,800** | **7,557** | **9,264** | **1,707** |

*FY 2005 Actual represents total obligations of funds incurred in FY2005, irrespective of the year of appropriation.

* *The tables included in this budget submission have rounding variances to the nearest thousandth.*

## BOTANIC GARDEN (BG)

### Detailed Analysis of Change by Appropriation
### Schedule B

| | FY 2007 Agency Request FTE | Amount (000) |
|---|---|---|
| **Appropriation, FY 2006** | **66** | **7,633** |
| Minus Rescission | | (76) |
| **Revised Appropriation, FY 2006** | | **7,557** |
| **Program Decreases** | | |
| Fire Alarm System Upgrade, Production Facility | | (185) |
| Administration Building Improvements | | (198) |
| Replacement of Delivery Truck | | (59) |
| **Total, Program Decreases** | **-** | **-443** |
| **Mandatory and Related Costs:** | | |
| Cost of Living - Annualization of Cost of Living 2006 | | 11 |
| Cost of Living 2007 | | 107 |
| Within-grade Increases and Pay Adjustments | | 92 |
| Awards | | 1 |
| Retirement Increases | | 56 |
| FEHBA/FEGLI | | 23 |
| Worker's Compensation | | -6 |
| **Total, Mandatory Pay Related Costs** | **-** | **284** |
| **Price Level Changes:** | | |
| Facilities Maintenance (FM) | | 25 |
| Grounds Maintenance (GM) | | 8 |
| Jurisdiction Centralized Activities (JR) | | 4 |
| National Garden Operations (NG) | | 15 |
| **Total, Price Level Changes** | **-** | **52** |
| **Program Increases:** | | |
| Administrative (AD) | | |
| Postage and Metered Mail | | 5 |
| Facilities Maintenance (FM) | | |
| General Annual Repairs | | 42 |
| Grounds Maintenance (GM) | | |
| Grounds Maintenance | | 78 |
| Jurisdiction Centralized Activities (JR) | | |
| Safety Apparel and Equipment | | 47 |
| Emergency Preparedness | | 50 |
| Miscellaneous Improvements (MI) | | 50 |
| Seasonal Display Support (SD) | | 200 |
| Bartholdi Fountain Statue Restoration, Phase 1 | | 750 |
| Bartholdi Fountain Basin and Lighting, Phase 2 | | 460 |
| Backflow Prevention Upgrades | | 132 |
| **Total, Program Increases** | **-** | **1,814** |
| **Net Increase** | **-** | **1,707** |
| **Total Appropriation** | **66** | **9,264** |

## BOTANIC GARDEN (BG)

### OPERATING BUDGET

The Operating Budget for this appropriation is comprised of all costs associated with the daily care, maintenance, and operation of the facilities and activities under the jurisdiction of the United States Botanic Garden. The budget justification for the Operating Budget includes the below summary schedule that incorporates the following data: the Program Group and columns indicating funding levels for fiscal years 2005, 2006, and 2007, as well as the obligations for fiscal year 2005. Following this summary schedule are the Operating Allotment narratives describing the purpose of all operating allotments funded in this appropriation. When increases or decreases have been requested for fiscal year 2007, the amount and justification for those changes appear in *italics*. In accordance with sound financial management practice, these allotments are reviewed and adjusted to reflect changing needs. Increases that cannot be absorbed are requested through the budget process.

**Summary Schedule**

**OPERATING BUDGET ($000)**

| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
|---|---|---|---|---|---|
| Payroll (PR) | 4,546 | 4,021 | 4,883 | 5,167 | 284 |
| Administrative (AD) | 37 | 52 | 48 | 53 | 5 |
| Facilities Management (FM) | 510 | 527 | 602 | 669 | 67 |
| Grounds Maintenance (GM) | 302 | 335 | 401 | 487 | 86 |
| Jurisdictions Centralized Activities (JR) | 317 | 328 | 343 | 444 | 101 |
| National Garden Operations (NG) | | | 515 | 530 | 15 |
| Miscellaneous Improvements (MI) | 25 | 95 | 25 | 75 | 50 |
| Seasonal Display Support (SD) | | | | 200 | 200 |
| **Total** | **5,737** | **5,357** | **6,817** | **7,625** | **808** |




## BOTANIC GARDEN (BG)

### OPERATING BUDGET NARRATIVE DESCRIPTIONS

**Payroll Program Group (PR)**: Provides funding for personnel compensation and personnel benefits for the general administrative support of facilities under the Botanic Garden jurisdiction. Included are Government staff salaries and other personal services (i.e., paid leave and lump sum annual leave payments upon separation; for compensation above basic rates including overtime, holiday pay, the Civil Service Retirement System, the Federal Employees Retirement System, Social Security, and Medicare); agency contributions to the Federal Employees Health Benefits Program (FEHBP), Federal Employees Group Life Insurance (FEGLI), Worker's Compensation Program, and subsidies paid to employees for commuting costs.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Personnel Compensation | 3,643 | 211 | | 3,854 |
| Personnel Benefits | 1,240 | 73 | | 1,313 |
| **Payroll (PR)** | **4,883** | **284** | | **5,167** |

**Personnel Compensation (PR01)** **$3,854,000**

This allotment provides funding for salaries and wages paid directly to employees including paid leave and lump sum annual leave payments upon separation. This allotment also provides for compensation above basic rates including: overtime, holiday pay, Sunday pay, night work differential, supervisory differential, and hazardous duty pay.

*Price Level Increase:* *$211,000*

*The increase consists of cost of living adjustments (COLA's) for fiscal year 2007 including the annualization of the January, 2006 COLA and locality pay adjustments for general schedule employees; the COLA and locality pay adjustments for general schedule employees in January, 2007; and the October, 2006 COLA for wage-board employees; and within-grade increases and other pay adjustments.*

**Personnel Benefits (PR02)** **$1,313,000**

This allotment provides for personnel benefits for employees including: contributions for retirement to the Civil Service Retirement System, the Federal Employees Retirement System, Social Security, and Medicare. Also included are agency contributions to the Federal Employees Health Benefits Program (FEHBP), the Federal Employees Group Life Insurance (FEGLI), and subsidies paid to employees for commuting costs.

*Price Level Increase:* *$73,000*

*The increase for fiscal year 2007 is attributable to increased costs of agency contributions for employees' health benefits, retirement funds, and increased participation in the transit subsidy program.*

**Administrative Program Group (AD)**: Provides funding for printing and reproduction, office equipment, postage and metered mail, and graphics design. Also included are contractor supported activities, to include assistance in development of AOC strategies and policies, and professional consultant services.



## BOTANIC GARDEN (BG)

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Postage and Metered Mail | 20 | | 5 | 25 |
| Books and Office Supplies | 28 | | | 28 |
| **Administrative (AD)** | 48 | | 5 | 53 |

**Postage and Metered Mail (AD01)** **$25,000**
This allotment provides for postage and mail costs incurred by the Botanic Garden.

*Program Increase:* *$5,000*
*The requested program increase of $5,000 will fund additional mailings for the Botanic Garden new exhibits, special events, public programs, workshops, calendar of events, and botanical shows.*

**Books and Office Supplies (AD02)** **$28,000**
This allotment provides for office supplies for the Administration Building, the Conservatory, and the Production Facility at D.C. Village.

**Facilities Maintenance Program Group (FM):** Provides funding for annual building maintenance services required throughout the three facilities of the BG, to include repairing and modifying air conditioning electrical, and greenhouse systems; elevators, masonry, and plumbing; custodial services; fueling station maintenance, preventative interior and exterior building maintenance (e.g., painting, pointing, caulking, and surface preservation); solid and bulk waste disposal; maintenance of fire alarm systems; boiler cleaning and repairs; roof flashing upgrades and ceiling repairs; greenhouse shade cloth replacement; evaporative cooling pad replacement, ducts, and gate upgrades at the Production Facility and Conservatory.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Paints and Brushes | 4 | | | 4 |
| Electrical | 4 | | | 4 |
| Elevator Maintenance | 10 | | | 10 |
| Plumbing | 5 | | | 5 |
| General Annual Repairs | 175 | | 42 | 217 |
| Contractual Custodial Care | 239 | 6 | | 245 |
| Disposal of Bulk and Solid Waste | 24 | 3 | | 27 |
| Miscellaneous - Materials | 38 | | | 38 |
| Miscellaneous Equipment | 37 | | | 37 |
| Equipment - New Growing Facilities | 18 | | | 18 |
| Conservatory Fog System | 5 | | | 5 |
| Shade Curtain Replacement | 44 | 16 | | 60 |
| **Facilities Maintenance (FM)** | **603** | **25** | **42** | **670** |

**Paints and Brushes (FM02)** **$4,000**
This allotment provides for painting supplies necessary for regular care of the buildings, terrace, furniture, and Conservatory connecting buildings.

**Electrical (FM03)** **$4,000**
This allotment provides for maintenance and replacement of the electrical systems within the Conservatory and other USBG facilities.

**Elevator Maintenance (FM04)** **$10,000**
This allotment provides for parts, supplies, and materials related to the maintenance and repair of Conservatory and Production Facility elevators. This allotment supports periodic elevator inspection and testing required by code.

**Plumbing (FM06)** **$5,000**
This allotment provides for replacement materials and supplies of all plumbing systems throughout USBG facilities. Primary examples include: the Conservatory ultraviolet filtration unit, boiler and evaporative cooling isolation valves, recirculation pumps, and Bartholdi Park irrigation system.

**General Annual Repairs (FM11)** **$217,000**
This allotment provides for annual repair and maintenance of the Conservatory, Administration Building, and Bartholdi Park as well as the Production Facility consisting of 34 greenhouse bays, 86,000 square feet of support facilities plus an additional 24,000 square feet of outdoor growing areas, temperate nursery, cold frames, and a lath house. Primary annual repairs include: USBG 15 vehicles, HVAC replacement, Conservatory systems and equipment; Production Facility and Conservatory fertilization systems; reverse osmosis and temperate water systems; and holding tanks.

*Program Increase:* *$42,000*
*The requested program increase of $42,000 will fund necessary repairs to the cold frames. There are 33 cold frames at the Production Facility. Cold frames are used to protect and acclimatize seedlings and plants before transplanting. The current cold frames are unsafe, and without repair will no longer be usable. In addition, the requested increase will fund the replacement of cooling pads for the greenhouse bays and railings for the Production Facility.*

**Contractual Custodial Care (FM12)** **$245,000**
This allotment provides custodial services for the D.C. Village Production Facility, the Administration Building, and the Conservatory. Services provided include: routine janitorial services, including floor maintenance, greenhouse window cleaning; and trash removal; maintenance of rest rooms, kitchen and conference areas; cleaning employee locker areas; and after-hours events at the requests of the Members' of Congress.

*Price Level Increase:* *$6,000*
*The requested price level increase of $6,000 will fund a previously negotiated contract price increases for contractual custodial care.*

**Disposal of Bulk and Solid Waste (FM27)** **$27,000**
This allotment provides for costs related to the removal of bulk and solid waste from the Botanic Garden facilities.

*Price Level Increase:* *$3,000*
*The requested price level increase of $3,000 will fund increased fees for bulk and solid waste disposal.*

**Miscellaneous-Materials (FM30)** **$38,000**
This allotment provides all supplies and materials for the Conservatory, Production Facility, Bartholdi Park, and the Administration Building not included in other facilities maintenance allotments.

**Miscellaneous-Equipment (FM31)** **$37,000**
This allotment provides for the purchase and lease of motor equipment such as front-end loaders, compactors, scaffolds, pallet jacks, and other equipment related to the maintenance of the facilities, gardens, and grounds.

**Equipment- New Growing Facilities (FM33)** **$18,000**
This allotment provides for the purchase of equipment for the Production Facility such as the reconfiguration of the walk-in refrigeration unit to accommodate a restructured growth chamber for the development of regional specific plants.

**Conservatory Fog System (FM45)** **$5,000**
This allotment provides for the annual maintenance contract for the Conservatory and Production Facility Extra Fine Mist Fog System (i.e., high and low pressure misting systems components, nozzles, filters, and pump parts).

**Shade Curtain Replacement (FM52)** **$60,000**
The allotment provides for the annual contract to replace the shade curtain drive system in the Production Facility.

*Price Level Increase:* *$16,000*
*The requested price level increase of $16,000 will fund a previously negotiated contract price increase for the shade curtain replacement program at the Production Facility.*

**Grounds Maintenance Program Group (GM)**: Provides funding for trash, leaf, and snow removal; lawn maintenance; street and sidewalk maintenance; and purchase of grounds maintenance supplies and equipment.

| Title | FY 2006 Enacted w/rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Grounds Maintenance | 400 | 8 | 78 | 486 |
| Transportation of things | 1 | | | 1 |
| **Grounds Maintenance (GM)** | **401** | **8** | **78** | **487** |

**Grounds Maintenance (GM02)** **$486,000**

This allotment provides for contractual care (i.e., lawn maintenance, snow removal, and ice treatment) of the Conservatory, Bartholdi Park, and D.C. Village complex. The allotment funds the integrated pest management program for the Conservatory and Production Facility; purchase of moss and soil amendments (e.g., fertilizer, compost, and vermiculite); orchid and bromeliad growing medium (e.g., bark, charcoal, and other nutrient mixes); tropical, temperate, seasonal, and hardy perennials as well as annual plants and seeds for exhibits and displays. In addition, this allotment funds planting and growing propagation supplies and pots; special ornamental tubs and urns for use at Bartholdi Park, Conservatory Terrace Exhibit and anticipated needs for the National Garden.

*Price Level Increase:* *$8,000*

*The requested price level increase of $8,000 will fund negotiated cost increases for ground maintenance contracts, services, and materials.*

*Program Increase:* *$78,000*

*The requested programmatic increase will fund an increase in the scope of the grounds maintenance contract to include work areas around the cold frames and for increased maintenance in the spring and summer for easy and safe access to low storage levels. The requested increase will also fund additional plants for new collections and to revive existing exhibits.*

**Transportation of things (GM10)** **$1,000**

This allotment is used for transporting and shipping costs for donated plants, trees, and other plant specimens from other botanical institutions affiliated with the USBG expanded outreach program.

**Jurisdiction Centralized Activities Program Group (JR)**: Provides funding for training, registration, and seminar fees; travel cost for training (local and long distance); safety apparel and equipment; uniform allowances; gasoline and oil; and contractual visitor services.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Uniform Allowance | 20 | | | 20 |
| Safety Apparel and Equipment | 45 | | 47 | 92 |
| Emergency Preparedness | | | 50 | 50 |
| Gasoline and Oil | 13 | 4 | | 17 |
| Contractual Visitor Services | 175 | | | 175 |
| Training/Registration/Seminar | 87 | | | 87 |
| Travel | 3 | | | 3 |
| **Jurisdictions Centralized Activities (JR)** | **343** | **4** | **97** | **444** |

**Uniform Allowance (JR01)** **$20,000**

This allotment provides funding for all uniforms provided to employees' of the Botanic Garden.

**Safety Apparel and Equipment (JR02)** **$92,000**
This allotment provides for personal protective equipment and apparel for Botanic Garden employees'. Additionally, this allotment funds safety equipment such as specific fall protection equipment and ladders for the Conservatory and Production Facility.

*Program Increase:* *$47,000*
*The requested program increase of $47,000 will provide funding for required Environmental Protection Agency environmental testing at the Conservatory and greenhouses. As a result of new environmental protection requirements, the testing includes the use of equipment to sample pesticides, soil, water, and air samplings. The programmatic increase will also fund new and improved protective personal equipment for the USBG staff.*

**Emergency Preparedness (JR02)** **$50,000**
This allotment provides funding for jurisdiction specific training, exercises, equipment, materials and services in preparation for, and responding to, emergency events. In addition to internal emergency preparedness, AOC supports Legislative Branch agencies within its jurisdiction by leading damage assessment and recovery operations. Personnel must be trained, exercised, and equipped to access, assess and recover facilities in a hazardous environment following safe and accountable procedures.

*Program Increase:* *$50,000*
*The requested program increase will provide funding to support emergency preparedness initiatives as deemed necessary.*

**Gasoline and Oil (JR07)** **$17,000**
This allotment provides fuel for Botanic Garden operated vehicles.

*Price Level Increase:* *$4,000*
*The requested price level increase of $4,000 will fund increases for gasoline due to rising gasoline prices.*

**Contractual Visitor Services (JR24)** **$175,000**
This allotment provides for contracted visitor services. Contractual visitor services include: exhibit fabrication, display objects, consumable supplies, maintenance and repair of exhibit material, bar-coding of plants and labeling supplies; professional marketing/design services and fine arts consultant; website, 4-color brochure with maps, materials, printing, and interpretative signage.

**Training/Registration/Seminar (JR91)** **$87,000**
This allotment is used to train Botanic Garden employees in technical areas related to the employees' job including operation systems and maintenance at the Conservatory, Production Facility; horticulture and gardening skill sets; AOC health and life safety programs. Additionally, the AOC provides supervisory, technical skills, and staff development training, and sponsors basic educational skills training.

**Travel (JR92)** **$3,000**
This allotment provides for travel costs for Botanic Garden employees. USBG personnel must visit nurseries to examine, select, and purchase new growing stock. Also, included are travel costs for meetings and conferences with other botanical institutions; as well as travel associated with special exhibit work.

## BOTANIC GARDEN (BG)

***National Garden Operations Program Group (NG) (New):*** *This new program group will provide funding for operation and maintenance of the National Garden. Included is funding for payroll compensation and personnel benefits; grounds maintenance; facilities maintenance; travel; and contractual visitor services.*

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Payroll (New) | 226 | 15 | | 241 |
| Postage (New) | 5 | | | 5 |
| Contractual Visitor Services (New) | 88 | | | 88 |
| Travel (New) | 2 | | | 2 |
| Grounds Maintenance (New) | 82 | | | 82 |
| Transportation of things (New) | 1 | | | 1 |
| Irrigation Supplies (New) | 16 | | | 16 |
| Sign Material (New) | 1 | | | 1 |
| Tools and Equipment (New) | 15 | | | 15 |
| Heating, Ventilation, and Air-Conditioning (New) | 1 | | | 1 |
| Electrical (New) | 4 | | | 4 |
| Disposal of Bulk and Solid Waste (New) | 18 | | | 18 |
| Miscellaneous (New) | 56 | | | 56 |
| **National Garden Operations (NG)** | **515** | **15** | | **530** |

***Payroll (New)*** ***$241,000***

*This allotment provides funding for salaries and wages paid directly to employees including paid leave and lump sum annual leave payments upon separation. This allotment also provides for compensation above basic rates including overtime, holiday pay, Sunday pay, night work differential, supervisory differential, and hazardous pay. In addition, this allotment provides for personnel benefits for employees including contributions for retirement to the Civil Service Retirement System, the Federal Employees Retirement System, Social Security, and Medicare. Also, included are agency contributions to the Federal Employees Health Benefits Program (FEHBP), the Federal Employees Group Life Insurance (FEGLI), and subsidies paid to employees for commuting costs.*

*Price Level Increase:* *$15,000*

*The increase consists of cost of living adjustments (COLA's) for the October, 2007 COLA for wage-board employees; and within-grade increases and other pay adjustments. The fiscal year 2007 price level increase is attributed to increased costs of agency contributions for employees' health benefits, retirement funds, and increased participation in the transit subsidy program.*

***Postage (New)*** ***$5,000***

*This allotment provides for postage and mail costs incurred to support the National Garden.*





***Contractual Visitor Services (New)*** ***$88,000***
*This allotment provides for contracted visitor services to support National Garden programs and events. Contractual visitor services include: contractual exhibit interpreters, seasonal outdoor exhibits, amphitheater programming, teacher kits and supplies, explainer carts and supplies, brochures, and interpretative signage.*

***Travel (New)*** ***$2,000***
*This allotment provides for travel costs for the National Garden. USBG personnel must visit nurseries to examine, select, and purchase new growing stock.*

***Grounds Maintenance (New)*** ***$82,000***
*This allotment provides for contractual care of the National Ground grounds. The allotment funds the integrated pest management; purchase of moss and soil amendments (e.g., fertilizer, compost, and vermiculite); tropical, temperate, seasonal, and hardy perennials as well as annual plants and seeds for annual plants and seeds for exhibits and displays. In addition, this allotments funds supplies, pots, ornamental tubs for use at the National Garden.*

***Transportation of Things (New)*** ***$1,000***
*This allotment is used for transporting and shipping costs for donated plants, trees, and other plant specimens from other botanical institutions affiliated with the USBG expanded outreach program.*

***Irrigation Supplies (New)*** ***$16,000***
*This allotment provides funding for the replacement of damaged and broken solenoid valves, fountain pumps, and heat exchange.*

***Sign Material (New)*** ***$1,000***
*This allotment provides funding for wayfinding signs for sidewalks, exits, restrooms, and special notices for events.*

***Tools and Equipment (New)*** ***$15,000***
*This allotment provides funding to purchase grounds maintenance tools, supplies, and equipment essential to the care of the National Garden.*

***Heating, Ventilation, and Air-Conditioning (New)*** ***$1,000***
*This allotment provides funding to purchase air supply filters for the First Ladies' Water Garden worksite vault.*

***Electrical (New)*** ***$4,000***
*This allotment provides funding for the maintenance and replacements of the electrical system within the National Garden (i.e., lamp and lighting replacements).*

***Disposal of Bulk and Solid Waste (New)*** ***$18,000***
*This allotment provides funding for contracted costs related to the removal of bulk and solid waste from the National Garden.*

***Miscellaneous (New)*** ***$56,000***
*This allotment provides funding for additional supplies and materials to support programs, events, and maintenance of the National Garden (e.g., tent rental and outdoor storage shed).*



## BOTANIC GARDEN (BG)

**Miscellaneous Improvements Program Group (MI)**: These funds provide for the repair, replacement, and improvement of Botanic Garden facilities. The scopes of the projects exceed normal maintenance requirements but do not justify a special appropriation request.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Miscellaneous Improvements | 25 | | 50 | 75 |
| **Miscellaneous Improvements (MI)** | **25** | | **50** | **75** |

**Miscellaneous Improvements** **$75,000**

*Program Increase:* *$50,000*
*The requested program increase of $50,000 will provide for unexpected repairs, replacement, and improvements for the Botanic Garden. In past fiscal years, Miscellaneous Improvement funds have been used to fund the Botanic Garden seasonal Holiday Exhibit. However, there is a need for funding to support repairs and improvements which exceed normal maintenance requirements.*

***Seasonal Display Program Group (NG) (New):*** *This new program group will provide for the assistance, fabrication, installation, and supplies associated with Botanic Garden seasonal exhibits including the Holiday Show.*

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Budget Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Seasonal Display Support (New) | | | 200 | 200 |
| **Seasonal Display Support (SD)** | | | **200** | **200** |

***Seasonal Display Support (New)*** ***$200,000***
*This allotment will provide funding for design services associated with the fabrication, installation, and supplies associated with various Botanic Garden seasonal displays.*

*Program Increase:* *$200,000*
*The requested program increase of $200,000 will provide funding for contractual design services and additional materials and supplies needed to support the Botanic Garden seasonal shows. In past fiscal years seasonal display support, specifically the Holiday Show, was funded using Miscellaneous Improvement funds. However, it is important keep the MI funding to support unanticipated needs. This new program group funding is required to continue the outstanding success of the various seasonal displays.*



## BOTANIC GARDEN (BG)

### ANNUAL NON-RECURRING PROJECTS FOR FY 2007

| PROJECT BUDGET - ANNUAL ($000) | | | |
|---|---|---|---|
| Project | FY 2006 Enacted w/ rescission | FY2007 Request | FY 2006 to FY2007 Difference |
| Fire Alarm System Upgrade, Production Facility | 186 | - | (186) |
| Administration Building Improvements | 198 | - | (198) |
| Partnership Support | 297 | 297 | - |
| Replacement of Delivery Truck | 59 | - | New |
| Bartholdi Fountain Statue Restoration, Phase 1 | - | 750 | New |
| Bartholdi Basin and Light Repair, Phase 2 | - | 460 | New |
| Backflow Prevention Upgrades | - | 132 | New |
| **Total** | **740** | **1,639** | |

**Project Title: Partnership Support** **$297,000**

**Project Requirement**: Promote the exchange of ideas and information through national programs with other botanic gardens, institutions, and museums.

**Current Situation**: The United States Botanic Garden (USBG) partnership programs allow the USBG to develop, exchange, research, and host national programs with other botanic gardens. A partnered program with other botanical institutions reinforces the USBG mission as a premiere institution dedicated to educating the public of the ecological importance of plants to the well-being of humankind.

The USBG partnership programs have achieved great success with other gardens and institutions including: Children Gardens with the Chicago Botanic Garden, this effort has encouraged gardening with children across the nation; a national training program in Plant Conservation with the Denver Botanic Garden; and a certificate program with Corcoran College of Art on botanical illustration.

In addition, the USBG partnership programs support nationally recognized exhibits, symposiums, and publications. These partnerships promote the exchange of ideas regarding educational tools and exhibits with other facilities to demonstrate and educate the importance of plants in the past, present, and future.

**Description/Scope**: The funding is needed to continue to develop, exchange, research, and host national programs with other botanic gardens, institutions, and museums.

**Impact if not Funded**: Significant opportunities to educate the public on the cultural and economic importance of plants will be lost.

**Project Title: Bartholdi Fountain Statue Restoration, Phase 1** **$750,000**



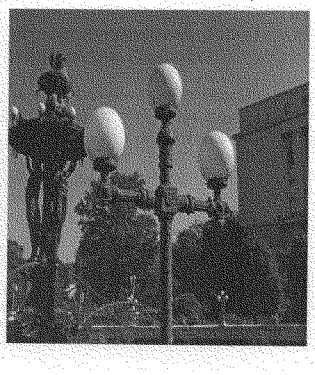
**Project Requirement**: Correct immediate fountain deficiencies.

**Current Situation**: The Bartholdi fountain was purchased in 1876 from the International Centennial Exhibition in Philadelphia, and was moved to Washington, DC in 1877. Currently, the four top coatings have disintegrated and the cast iron is exposed in areas. The lighting on the statue and surrounding pool is rapidly deteriorating, and in some cases, has completely rusted. The high acid content from bird feces is contributing to the decay and breakdown in the coatings on all the metal parts. Due to a lack of filtration and demineralization on the water feed lines the statue is corroding inside and out. The corrosion of the statue bolts have caused the statue to lean and the base to settle. In addition, the fountain lacks backflow prevention devices.

**Description/Scope**: The project will provide funding to begin Phase 1 of the restoration of the Bartholdi fountain. Phase 1 will include applying a four-step coating treatment to the deteriorating metal finish; the fourth coating treatment will be a marine coating. The project will also include replacing the fiberglass bowl at the top of the fountain as well as replacing current light fixtures with electrified replicas of the original gas lamps from 1850. Finally, the project will include upgrading and replacing all plumbing and electrical feeds to the vault. There are five planned phases for completely restoring and improving the fountain. This Phase 1 is the most critical phase to ensure the fountain is once again operable.

**Impact if not Funded**: Bartholdi fountain will continue to deteriorate. Currently, the fountain is inoperable and will not be turned on until the critical areas of deterioration are addressed. This is a significant aesthetic loss for visitors to the Botanic Garden and a potential loss of an historic feature on Capitol Hill.

**Project Title: Bartholdi Fountain Basin and Lighting, Phase 2** **$460,000**



**Project Requirement**: Correct immediate fountain deficiencies.

**Current Situation**: The Bartholdi fountain was purchased in 1876 from the International Centennial Exhibition in Philadelphia, and was moved to Washington, DC in 1877. Currently, the top and lower basins leak and many of the water sprays function sporadically. In addition, the pole lights on the basin are severely rusted and deteriorated. Both the pedestal which holds the statue and the pool edge has deteriorated mortar joints. The sealant between concrete slab sections of the basin is old and deteriorating.

**Description/Scope**: The project will provide funding to replace the basin and park lights with replicas of the

original 1850 gas lamps. In addition, energy efficient lighting will be installed to reduce costs as well as improve illumination of the statue and fountain. The project will also replace the basin drainage and sealant to ensure the basin remains elastic. The remaining phases are scheduled for future years.

**Impact if not Funded**: Bartholdi fountain will continue to deteriorate. Currently, the fountain is inoperable and will not be turned on until the critical areas of deterioration are addressed. This is a significant aesthetic loss for visitors to the Botanic Garden and a potential loss of an historic feature on Capitol Hill.

**Project Title: Backflow Prevention Upgrades** **$132,000**

**Project Requirement**: Install Backflow Prevention Devices, BG.

**Current Situation**: In 2005, a comprehensive backflow prevention survey was conducted throughout all buildings on Capitol Hill. The survey revealed that the facilities backflow prevention systems have numerous deficiencies that must be corrected. Backflow is the flow of contaminated water or other liquids and substances into the distribution pipes of a potable water supply system. It occurs when non-potable water is siphoned into the pipe distribution system. To remedy the problem, backflow prevention devices are installed to avoid cross-contamination of the drinking water supply.

**Description/Scope**: Replace backflow prevention devices and install devices throughout the Botanic Garden.

**Impact if not Funded**: The absence of backflow prevention devices is a potential hazard to the public because contaminants can enter the potable water system.

# BG Functional Budget Summary Fiscal Year 2007

**OPERATING BUDGET ($000)**

| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
|---|---|---|---|---|---|
| Payroll (PR) | 4,546 | 4,021 | 4,883 | 5,167 | 284 |
| Administrative (AD) | 37 | 52 | 48 | 53 | 5 |
| Facilities Management (FM) | 510 | 527 | 602 | 669 | 67 |
| Grounds Maintenance (GM) | 302 | 335 | 401 | 487 | 86 |
| Jurisdictions Centralized Activities (JR) | 317 | 328 | 343 | 444 | 101 |
| National Garden Operations (NG) | - | - | 515 | 530 | 15 |
| Miscellaneous Improvements (MI) | 25 | 95 | 25 | 75 | 50 |
| Seasonal Display Support (SD) | - | - | - | 200 | 200 |
| **Total** | **5,737** | **5,357** | **6,817** | **7,625** | **808** |

**PROJECT BUDGET - ANNUAL ($000)**

| Activity | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
|---|---|---|---|---|---|
| Fire Alarm System Upgrade, Production Facility | | | 186 | - | |
| Administration Building Improvements | | | 198 | - | |
| Partnership Support | | | 297 | 297 | |
| Bartholdi Fountain Statue Restoration, Phase 1 | | | - | 750 | |
| Bartholdi Fountain Basin and Lighting, Phase 2 | | | - | 460 | |
| Replacement of Delivery Truck | | | 59 | - | |
| Backflow Prevention Upgrades | | | - | 132 | |
| **Total** | **241** | **3,556** | **740** | **1,639** | **899** |

**PROJECT BUDGET - MULTI-YEAR ($000)**

| Project | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
|---|---|---|---|---|---|
| Study, Design and Condition Assessment | | | - | - | |
| Minor Construction | | | - | - | |
| **Total** | | | | - | |

**TOTAL BUDGET ($000)**

| | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/rescission | FY 2007 Request | FY2006/2007 Difference |
|---|---|---|---|---|---|
| Total Operating Budget | 5,737 | 5,357 | 6,817 | 7,625 | 808 |
| Total Project Budget - Annual | 241 | 3,556 | 740 | 1,639 | 899 |
| Total Annual Budget | 5,978 | 8,913 | 7,557 | 9,264 | 1,707 |
| Total Project Budget - Multi-Year | - | - | - | - | - |
| **Total Budget** | **5,978** | **8,913** | **7,557** | **9,264** | **1,707** |
| Full-Time Equivalent (FTE) | 57 | | 66 | 66 | |

# CAPITOL VISITOR CENTER (CVC)

## INTRODUCTION

Congress established the U.S. Capitol Visitor Center (CVC) with the intent to, *"provide greater security for all persons working in or visiting the United States Capitol and a more convenient place in which to learn of the work of Congress."* To date, the appropriation has provided funding for construction of the facility and minimal operational start-up costs and facility maintenance activities to support the Capitol Visitor Center (CVC). The Fiscal Year 2007 budget request provides funds for operation, administration, facility management, and cost-to-complete construction. The requested funding also supports the required activities and programs for the following line items: transitional and start-up costs, exhibits, gift shops, telecommunications, and information technology infrastructure support. The Capitol Preservation Commission (CPC) members have concurred with the AOC in providing a Fiscal Year 2007 operational funding request as an interim measure until they render a determination on how, and by whom, the CVC will be operated. Costs for facility operations and maintenance are based on the CVC Master Operations Plan.

## FISCAL YEAR 2007 BUDGET AND FTE SUMMARY

**TOTAL BUDGET ($000)**

| | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/recission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Total Operating Budget | | | 2,277 | 16,041 | 13,764 |
| Total Project Budget - Annual | | | - | 3,534 | 3,534 |
| Total Annual Budget | | | 2,277 | 19,575 | 17,298 |
| Total Project Budget - Multi-Year | | | - | 1,000 | 1,000 |
| **Total Budget** | | | **2,277** | **20,575** | **18,298** |
| Full Time Equivalent (FTE) | 16 | | 24 | 115 | 91 |

**COST-TO-COMPLETE NO-YEAR ($000)**

| Description | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/recission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| CVC Cost-to-Complete | | | 41,481 | 20,600 | (20,881) |
| **Total** | | | **41,481** | **20,600** | (20,881) |

**TOTAL BUDGET & COST-TO-COMPLETE ($000)**

| Description | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/recission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| **Total Budget & Cost-to-Complete** | | | **43,758** | **41,175** | (2,583) |




## CAPITOL VISITOR CENTER (CVC)

**FISCAL YEAR 2007 OBJECT CLASS**
**Schedule A ($000)**

| Object Class | FY 2005 Actual* | FY 2006 Enacted w/rescission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|
| 11 Personnel Compensation | 917 | 1,649 | 7,717 | 6,068 |
| 12 Personnel Benefits | 212 | 628 | 2,922 | 2,294 |
| 21 Travel | 22 | - | 94 | 94 |
| 22 Transportation of Things | | - | | |
| 23 Rent, Communications and Utilities | 337 | - | 140 | 140 |
| 24 Printing and Reproduction | 10 | - | 325 | 325 |
| 25 Other Contractual Services | 1,176 | - | 4,052 | 4,052 |
| 26 Supplies and Materials | 2 | - | 1,015 | 1,015 |
| 31 Equipment | 2,550 | - | 3,585 | 3,585 |
| 32 Land and Structures | 127,311 | 41,481 | 21,325 | (20,156) |
| 41 Grants | - | - | - | - |
| 42 Insurance Claims and Indemnities | - | - | - | - |
| 43 Interest | | - | - | - |
| 44 Refunds | - | - | - | |
| **Total, Budget** | **132,538** | **43,758** | **41,175** | **(2,583)** |

* FY 2005 Actual represents total obligations of funds incurred in FY 2005, irrespective of the year of appropriation.




## CAPITOL VISITOR CENTER (CVC)

**Detailed Analysis of Change by Appropriation**
**Schedule B ($000)**

| | FY 2007 Agency Request FTE | | Amount (000) |
|---|---|---|---|
| **Appropriation, FY 2006** | **24** | **$** | **44,200** |
| Minus Rescission | | | (442) |
| **Revised Appropriation, FY 2006** | | | **43,758** |
| **Program Decreases** | | | |
| CVC Base Cost-to-Complete | | | (41,481) |
| **Total, Program Decreases** | **-** | **$** | **(41,481)** |
| | | | |
| **Mandatory and Related Costs:** | | | |
| Cost of Living - Annualization of Cost of Living 2006 | | | 85 |
| Cost of Living 2007 | | | 512 |
| Within-grade Increases and Pay Adjustments | | | 45 |
| Retirement Increases | | | 155 |
| FEHBA/FEGLI | | | 1 |
| **Total, Mandatory and Related Costs** | **-** | **$** | **798** |
| **Program Increases:** | | | |
| New FTEs - Payroll (PR) | 91 | | 7,564 |
| Administrative (AD) | | | 314 |
| Exhibitions (EX) | | | 315 |
| Facility Maintenance (FM) | | | 2,905 |
| Gift Shops (GS) | | | 310 |
| Information Resource Management (IR) | | | 1,239 |
| Jurisdiction Centralized Activities (JR) | | | 319 |
| CVC Furniture , Fixtures and Equipment - Staff | | | 470 |
| CVC Furniture, Fixtures and Equipment (USCP) | | | 407 |
| Advance Reservation System | | | 400 |
| CVC Computers and Equipment - Staff | | | 289 |
| Public Awareness - Grand Opening Events | | | 200 |
| Benches for Quick Hood Storage | | | 200 |
| Self Serve Terminals | | | 160 |
| Furniture & Equipment - Meeting Rooms | | | 135 |
| Food Service - Layout Modifications/Equipment | | | 112 |
| Public Awareness - Brochure Printing | | | 100 |
| Replace West Lawn Kiosk | | | 100 |
| Ropes and Stanchions | | | 60 |
| Training Material | | | 55 |
| Communication Equipment | | | 49 |
| Initial Inventory of Office Supplies | | | 32 |
| Statue & Display Relocation CVC - Capitol | | | 565 |
| Relocation of the Freedom Statue Cast | | | 100 |
| Computer, Telecom & Electrical Upgrades | | | 100 |
| Miscellaneous Fitouts | | | 625 |
| Dbase Mgmt Support (CAFM, BAS, and Microstation) | | | 225 |
| IT Consulting & Safety Certification | | | 150 |
| CVC Cost-to-Complete | | | 20,600 |
| **Total, Program Increases** | **91** | **$** | **38,100** |
| **Net Decrease** | | $ | (2,583) |
| **Total Appropriation** | **115** | **$** | **41,175** |




## CAPITOL VISITOR CENTER (CVC)

### OPERATING BUDGET

The Operating Budget for this appropriation is comprised of estimated costs associated with the daily care, maintenance, and operation of the facilities and activities of the Capitol Visitor Center (CVC). The budget justification for the Operating Budget includes the below summary schedule that incorporates the following data: the Program Group and columns indicating funding levels for fiscal years 2005, 2006, and 2007, as well as, the obligations for fiscal year 2005. Following this summary schedule are the Operating Allotment narratives that describe the purpose of all operating allotments funded in this appropriation.

### SUMMARY SCHEDULE

**OPERATING BUDGET ($000)**

| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/recission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Payroll (PR) | | | 2,277 | 10,639 | 8,362 |
| Administrative (AD) | | | - | 314 | 314 |
| Exhibitions (EX) | | | - | 315 | 315 |
| Facilities Maintenance (FM) | | | - | 2,905 | 2,905 |
| Gift Shops (GS) | | | - | 310 | 310 |
| Information Resource Management (IR) | | | - | 1,239 | 1,239 |
| Jurisdiction Centralized Activities (JR) | | | - | 319 | 319 |
| **Total** | | | **2,277** | **16,041** | **13,764** |




## CAPITOL VISITOR CENTER (CVC)

### OPERATING BUDGET NARRATIVE DESCRIPTIONS

**Payroll Program Group (PR):** Provides funding for personnel compensation and personnel benefits for the general administrative support of the operations and maintenance of the Capitol Visitor Center. Included are Government staff salaries and other personal services (i.e., paid leave and lump sum annual leave payments upon separation; for compensation above basic rates including, overtime, holiday pay, the Civil Service Retirement System, the Federal Employees Retirement System, Social Security and Medicare); agency contributions to the Federal Employees Health Benefits Program (FEHBP), Federal Employees Group Life Insurance (FEGLI), and subsidies paid to employees for commuting costs.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Personnel Compensation | 1,649 | 642 | 5,426 | 7,717 |
| Personnel Benefits | 628 | 156 | 2,138 | 2,922 |
| **Payroll (PR)** | **2,277** | **798** | **7,564** | **10,639** |

**Personnel Compensation (PR01)** **$7,717,000**

This allotment provides salaries and wages paid directly to employees including paid leave and lump sum annual leave payments upon separation. This allotment will also provide for compensation above basic rates including overtime, holiday pay, Sunday pay, night work differential, supervisory differential, and hazardous duty pay.

*Price Level Increase:* *$642,000*

*The increase consists of cost of living adjustments (COLA's) for fiscal year 2007 including the annualization of the January, 2006 COLA and locality pay adjustments for general schedule employees; the COLA and locality pay adjustments for general schedule employees in January, 2007; and the October, 2006 COLA for wage-board employees; and within-grade increases and other pay adjustments.*

*Program Increase, New Positions (91):* *$5,426,000*

*The requested program increase will fund personnel compensation for an increase of 91 FTEs for operational and facilities maintenance support of the CVC facility. This increase consists of 24 FTEs ($1,910,000) to support administration activities; 17 FTEs ($638,000) to support gift shop activities; 6 FTEs ($462,000) to support exhibition activities; and 44 FTEs ($2,416,000) to support the facility maintenance activities for the operation of the CVC.*

**Personnel Benefits (PR02)** **$2,922,000**

This allotment provides personnel benefits to employees including contributions for retirement to the Civil Service Retirement System, the Federal Employees Retirement System, Social Security, and Medicare. Also included are agency contributions to the Federal Employees Health Benefits Program (FEHBP), the Federal Employees Group Life Insurance (FEGLI), and subsidies paid to employees for commuting costs.

*Price Level Increase:* *$156,000*

*The increase for fiscal year 2006 is attributable to increased costs of agency contributions for employees' health benefits, retirement funds, and for increased participation in the transit subsidy program.*

*Program Increase, New Positions (91):* *$2,138,000*
*The requested program increase will provide agency contributions for employees' health benefits, retirement funds, and transit subsidies for an increase of 91 FTEs for operational and facilities maintenance support of the CVC facility. The personnel benefit increase consists of $748,000 to support administration activities; $269,000 to support gift shop activities; $181,000 to support exhibition activities; and $940,000 to support the facility maintenance activities for the operation of the CVC.*

**Administrative Program Group (AD):** Provides funding for printing and reproduction, office equipment, postage and metered mail and graphics design. Also included are contractor supported activities, to include assistance in development of CVC strategies and policies, professional consultant services, and audio visual contracts and supplies.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Postage and Metered Mail | | | 55 | 55 |
| Advertising | | | 10 | 10 |
| Copier Maintenance | | | 18 | 18 |
| NFC Payroll System | | | 15 | 15 |
| Professional Svcs Support, HRMD | | | 50 | 50 |
| Professional Svcs Support, General Counsel | | | 50 | 50 |
| Office Supplies | | | 31 | 31 |
| Graphic Design | | | 10 | 10 |
| Support Services - AOC Wide | | | 25 | 25 |
| Printing & Reproduction | | | 15 | 15 |
| Audio Visual Maintenance Contracts (New) | | | 25 | 25 |
| Audio Visual Supplies (New) | | | 10 | 10 |
| **Administrative Services (AD)** | | | **314** | **314** |

**Postage and Metered Mail (AD01)** **$55,000**
This allotment provides funding for all postage costs incurred by the mailing of promotional materials for the Capitol Visitor Center.

*Program Increase:* *$55,000*
*The requested program increase will fund the anticipated postage needs of the Capitol Visitor Center. Estimate is based on a per person cost from historical cost information provided from the AOC's General Administration budget.*

**Advertising (AD02)**
This allotment provides funding for advertising cost for the Capitol Visitor Center. $10,000

*Program Increase:* *$10,000*
*The requested program increase will fund advertising costs associated with the opening of the Capitol Visitor Center.*

**Copier Maintenance (AD04)** **$18,000**
This allotment provides funding for contracted copier maintenance on equipment operated by the Capitol Visitor Center.

*Program Increase:* *$18,000*
*The requested program increase will provide annual service contracts for (6) copiers (4 for operations, 2 for facility maintenance). Estimate is derived from historical cost information provided from the AOC's General Administration budget.*

**NFC Payroll System (AD08)** **$15,000**
This allotment provides funding for the reimbursement to the Department of Agriculture National Finance Center (NFC) for processing the AOC payroll.

*Program Increase:* *$15,000*
*The requested program increase will fund the increased processing cost from the Department of Agriculture due to the hiring of additional FTE's to support the Capitol Visitor Center.*

**Professional Services Support, HRMD (AD12)** **$50,000**
This allotment provides funding for contractor support services to assist in the maintenance and further development of human resources management policies, procedures, and practices. The allotment also provides contractual support services needed to assist in: recruitment and staffing; classification; enhancement of the worker's compensation program; life/safety program initiatives; and personnel drug testing.

*Program Increase:* *$50,000*
*The requested program increase will procure contractor support to develop the CVC Human Resources and Equal Employment Opportunity policies and procedures should the CVC operate independently from the Architect of the Capitol.*

**Professional Services Support, General Counsel (AD15)** **$50,000**
This allotment provides funding for professional services support, which includes legal contract support for environmental, labor-management, and other specialty issues.

*Program Increase:* *$50,000*
*The requested program increase will procure contractor support for the General Counsel's office for CVC legal advice, reviews, and actions. Estimate is derived from historical cost information provided from the AOC's General Administration budget.*

**Office Supplies (AD19)** **$31,000**
This allotment provides for office supplies for employees of the Capitol Visitor Center.

*Program Increase:* *$31,000*
*The requested program increase will fund the purchase of office supplies (paper, pens, toner, stationary, etc) for the operations and facility maintenance employees of the Capitol Visitor Center. Estimate is derived from historical cost information provided from the AOC's General Administration budget.*

**Graphic Design (AD22)** **$10,000**
This allotment provides funding for contracted graphic design services and publications for the Capitol Visitor Center.

*Program Increase:* *$10,000*
*The requested program increase will fund graphic design costs to cover promotional material design for the Capitol Visitor Center.*

**Support Services – AOC Wide (AD27)** **$25,000**
This allotment provides funding for contracted services for CVC business initiatives; to conduct surveys and studies; and to meet unforeseen expenses in connection with activities under the care of the Capitol Visitor Center. The services will provide the CVC's senior management team with contracted consultation and facilitation services in response from congressional direction (including recommendations as provided by the Government Accountability Office).

*Program Increase:* *$25,000*
*The requested program increase will fund management consultant services as needed by the Capitol Visitor Center.*

**Printing and Reproduction Services (AD28)** **$15,000**
This allotment provides funding for printing and reproduction services as required for the Capitol Visitor Center.

*Program Increase:* *$15,000*
*The requested program increase will fund printing and reproduction costs for CVC brochures (initial 3 million copies estimated).*

***Audio Visual Maintenance Contracts (New)*** ***$25,000***
*This allotment provides funding for maintenance service contracts to cover equipment such as assisted listening devices. This amount is based on 6-8% of the original equipment costs.*

***Audio Visual Supplies (New)*** ***$10,000***
*This allotment provides funding for replacement of projection bulbs and other audio visual supplies to maintain equipment.*

***Exhibitions Program Group (EX) (New)****: Provides funding for the purchasing of supplies, document rotation, conservation and artifact insurance for the many exhibitions located throughout the Capitol Visitor Center.*

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Exhibit/Registrar Supplies (New) | | | 5 | 5 |
| Exhibit Artifact Insurance (New) | | | 10 | 10 |
| Exhibit Conservation (New) | | | 14 | 14 |
| Document Rotation (New) | | | 20 | 20 |
| Online Exhibition (New) | | | 200 | 200 |
| Exhibit Audio Tour Updates (New) | | | 6 | 6 |
| Exhibits Writer Contractor Support (New) | | | 60 | 60 |
| **Exhibitions (EX)** | | | **315** | **315** |

***Exhibit/Registrar Supplies (New)*** ***$5,000***

*This allotment provides funding for the Exhibits Department to replenish miscellaneous registrar supplies. Replacement registrar supplies can include: packing materials, white gloves, Fome-Cor products, replacement paper for hygrothermograph, maintenance on or repairs to FM-200 fire suppression system and storage room environmental system, acid-free paper for cushioning documents, scissors, exacto knives, tape, compact discs, digital camera discs, possible replacements for ladders, carts, etc.*

***Exhibit Artifact Insurance (New)*** ***$10,000***

*This allotment provides funding for Exhibit Artifact Insurance which is required when exhibits are on loan to the Capitol Visitor Center.*

***Exhibit Conservation (New)*** ***$14,000***

*This allotment provides funding for exhibit conservation which will provide for conservation of loan items prior to loan (borrower always pays for conservation on requested loan items); conservation on government-owned artifacts (Smithsonian, Library of Congress, National Archives) required due to damage while in the possession of the CVC (insurance does not apply here because all government agencies must self-insure); and conservation consultation on special artifact mounts. Conservators charge, on average, $100 per hour.*

***Document Rotation (New)*** ***$20,000***

*This allotment provides funding for documents to be rotated twice per year at a cost of $20,000 per rotation (50 documents at $400 per document). In FY07, documents will be rotated only once but in future years documents will be rotated twice annually. The cost includes preparation, matting and framing, art handling charges, brackets, fabrication of new labels and minor case re-designs.*

***Online Exhibition (New)*** ***$200,000***

*This allotment provides funding for the development of an online version of the exhibition. Funding will provide for program development and digital photography. As each document rotation occurs, documents will need to be photographed and added to the online exhibition.*

***Exhibit Audio Tour Updates (New)*** ***$6,000***

*This allotment will provide funding for contractual support to update/refresh Exhibit Audio Tour recordings.*

***Exhibit Writer Contractor Support (New)*** ***$60,000***

*This allotment will provide funding for contractual support for an Exhibits writer/researcher.*




## CAPITOL VISITOR CENTER (CVC)

**Facilities Maintenance Program Group (FM)**: Provides funding for the annual building maintenance and operational services for the infra-structure systems installed throughout the Capitol Visitor Center.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Heating & Ventilation A/C (HVAC) | | | 70 | 70 |
| Painting | | | 31 | 31 |
| Electrical | | | 73 | 73 |
| Elevator Maintenance & Repairs | | | 126 | 126 |
| Masonry | | | 24 | 24 |
| Plumbing | | | 28 | 28 |
| Carpentry | | | 25 | 25 |
| Sheet Metal | | | 18 | 18 |
| Labor Division | | | 86 | 86 |
| Cleaning | | | 1,500 | 1,500 |
| Building Exterior Pointing & Caulking | | | 55 | 55 |
| Insect & Pest Control | | | 6 | 6 |
| Fire Protection Testing/Maintenance | | | 107 | 107 |
| Roofing Preventative Maintenance Program | | | 64 | 64 |
| Hazardous Materials Abatement | | | 21 | 21 |
| Maintenance of Architectural Surfaces | | | 79 | 79 |
| Miscellanous | | | 10 | 10 |
| Equipment | | | 500 | 500 |
| Pendant Light Fixture Cleaning (New) | | | 82 | 82 |
| **Facilities Maintenance (FM)** | | | **2,905** | **2,905** |

**Heating, Ventilation & A/C (HVAC) (FM01)** **$70,000**

This allotment provides for the maintenance of all air conditioning and refrigeration systems in the Capitol Visitor Center. Systems also included are filters, oil, grease, cleaning equipment, tools, and refrigerant for the air conditioning equipment. This allotment also provides for the replacement of specialized air filters (95% filtration capability). Also included are air handlers, smoke control systems, exhaust fans, cooling and heating coils and other appurtenances.

*Program Increase:* *$70,000*

*The requested program increase provides base funding for the maintenance of the heating, ventilation & A/C (HVAC) as well as other related systems as indicated above for the Capitol Visitor Center.*

**Painting (FM02)** **$31,000**

This allotment provides for supplies and equipment necessary to maintain the painted surfaces of the public and private spaces in the Capitol Visitor Center.

*Program Increase:* *$31,000*

*The requested program increase provides base funding for painting materials for the Capitol Visitor Center.*

**Electrical (FM03)** **$73,000**

This allotment provides for maintenance to all electrical power distribution and lighting systems in the Capitol Visitor Center. Included in this allotment is the maintenance of the various electronic and electrical systems installed in support of the Americans with Disabilities Act (ADA), electrical door openers, and emergency egress hardware.

*Program Increase:* *$73,000*

*The requested program increase provides base funding for electrical systems maintenance for the Capitol Visitor Center.*

**Elevator Maintenance and Repairs (FM04)** **$126,000**

This allotment provides for the maintenance and upkeep of the CVC's elevators and escalators as well as the support necessary for contractual parts and labor services associated with emergency repairs for the 23 elevators and 6 escalators. Included are such items as hoisting cables, lubricants, oil, grease, tools, and cleaning fluids. Also included are the inspection, testing, and certification of the elevators and escalators as required by code.

*Program Increase:* *$126,000*

*The requested program increase provides base funding for the maintenance and repair of the elevators and escalators in the Capitol Visitor Center.*

**Masonry (FM05)** **$24,000**

This allotment provides for the maintenance and repair of the stone, marble and block infrastructure within the Capitol Visitor Center.

*Program Increase:* *$24,000*

*The requested program increase provides base funding for masonry maintenance and repair in the Capitol Visitor Center.*

**Plumbing (FM06)** **$28,000**

This allotment provides for the maintenance and repair of plumbing systems that are part of the water supply and waste lines, restroom and kitchen plumbing fixtures, hot water/steam heating systems, and standpipe systems throughout the Capitol Visitor Center.

*Program Increase:* *$28,000*

*The requested program increase provides base funding for plumbing maintenance and repair in the Capitol Visitor Center.*

**Carpentry (FM07)** **$25,000**

The allotment provides funding to perform renovations, modifications, and repairs of wood infrastructure, wall systems, doors, signage and miscellaneous woodworking within the Capitol Visitor Center as well as locksmith services.

*Program Increase:* *$25,000*

*The requested program increase provides base funding for carpentry, locksmith maintenance and repair services in the Capitol Visitor Center.*

**Sheet Metal (FM08)** **$18,000**
This allotment provides for maintenance, repairs and modification of ductwork, sheet metal work, door closures, and welding within the Capitol Visitor Center.

*Program Increase:* *$18,000*
*The requested program increase provides base funding for sheet metal maintenance and repair in the Capitol Visitor Center.*

**Labor Division (FM09)** **$86,000**
This allotment provides for the erection of scaffolding, materials and supplies, and other labor support for the Capitol Visitor Center.

*Program Increase:* *$86,000*
*The requested program increase will provide base funding for the indicated labor services in the Capitol Visitor Center.*

**Cleaning (FM12)** **$1,500,000**
This allotment provides for the contractual support of night time cleaning and daily policing of the public restrooms and public spaces in the Capitol Visitor Center.

*Program Increase:* *$1,500,000*
*The requested program increase is based on contracting services for the night custodial and day policing services. Night custodial cost is based on a current contract for the Ford House Office Building. Such contract supports 600,000 square feet at an annual cost of $850,000. Add-ons include a 6% escalation cost plus 20% allowance for the maintenance of masonry floor surfaces. Day policing cost was assumed at twice the current contract for the U.S. Capitol Building.*

**Building Exterior (Includes Pointing and Caulking) (FM15)** **$55,000**
This allotment provides for the preventive maintenance of stonework and other masonry surfaces which includes the pointing and caulking of walls and steps; includes only minimal maintenance of exterior surfaces and joints at building entrances.

*Program Increase:* *$55,000*
*The requested program increase provides base funding for pointing and caulking maintenance and repair inside the Capitol Visitor Center and at the immediate areas of the building entrances.*

**Insect and Pest Control (FM16)** **$6,000**
This allotment provides for a pest control program, as well as providing for the emergency and unforeseen service calls that occur each year.

*Program Increase:* *$6,000*
*The requested program increase provides base funding for insect and pest control in the Capitol Visitor Center.*




## CAPITOL VISITOR CENTER (CVC)

**Fire Protection Testing/Maintenance (FM19)** **$107,000**
This allotment provides for the contractual annual inspection, testing, and certification of all fire alarm systems, including smoke detectors, duct detectors, strobes, evacuation alarm speakers, smoke exhaust systems, stair pressurization systems, and fire alarm panels. This testing must be performed annually to meet fire and life safety codes.

*Program Increase:* *$107,000*
*The requested program increase provides base funding for the annual testing, inspection, and certification of the fire protection systems in the Capitol Visitor Center.*

**Roofing Preventive Maintenance Program (FM21)** **$64,000**
This allotment provides for contractual support for skylight maintenance and repairs. It should be noted that the exterior roof surface of the CVC is comprised of stone pavers. The maintenance of such pavers is included in the budget submission of the AOC's Capitol Grounds jurisdiction.

*Program Increase:* *$64,000*
*The requested program increase provides base funding for maintenance and repair of the skylights of the Capitol Visitor Center.*

**Hazardous Materials Abatement (FM22)** **$21,000**
This allotment provides for materials and equipment to support hazardous responses to handle fuel/oil spills at the loading dock of the Capitol Visitor Center.

*Program Increase:* *$21,000*
*The requested program increase provides base funding for purchase of the required materials and equipment to support spill response operations at the loading dock of the Capitol Visitor Center.*

**Maintenance of Architectural Surfaces (FM25)** **$79,000**
This allotment provides for the systematic specialized cleaning of architectural elements in the Capitol Visitor Center. This includes architectural elements such as marble surfaces and bronze features of the Capitol Visitor Center.

*Program Increase:* *$79,000*
*The requested program increase provides base funding for the maintenance of the listed architectural surfaces of the Capitol Visitor Center.*

**Miscellaneous (FM30)** **$10,000**
This allotment provides necessary funding for support services required by various divisions within the Capitol Visitor Center for unforeseen events.

*Program Increase:* *$10,000*
*The requested program increase provides base funding for the miscellaneous expenses as indicated above.*




## CAPITOL VISITOR CENTER (CVC)

**Equipment (FM31)** **$500,000**
This allotment provides for the purchase and replacement of hand tools and major equipment for the various maintenance shops and offices that will support the maintenance operations of the Capitol Visitor Center.

*Program Increase:* *$500,000*
*The requested program increase provides base funding for maintenance related equipment indicated above.*

**Pendant Light Fixture Cleaning (New)** **$82,000**
This allotment provides for the cleaning of the various pendant lighting fixtures of the Capitol Visitor Center. These pendant light fixtures will require specialized accessibility to perform the required cleaning operations. Additionally, this allotment includes funding for the procurement of contractual services to provide the cleaning services of the pendant light fixtures. This routine and scheduled cleaning will ensure that these pendant light fixtures are properly maintained and thoroughly inspected on a regular basis.

*Program Increase:* *$82,000*
*The requested program increase provides base funding for the regular cleaning of the various pendant light fixtures in the Capitol Visitor Center.*

**Gift Shops Program Group (GS) (New)**: Provides funding for the operational costs and replenishment of inventory for the Gift Shops located within the Capitol Visitor Center.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Retail Shop Operating Expense (New) | | | 70 | 70 |
| Gift Shop Inventory (New) | | | 240 | 240 |
| **Gift Shops (GS)** | | | **310** | **310** |

***Retail Shop Operating Expense (New)*** ***$70,000***
*This allotment will provide for credit card fees, shipping supplies, bags, boxes and tissues, bar coding pricing, point-of-sale supplies, ticket supplies, replacement hanger/display props and travel for annual trade shows.*

***Gift Shop Inventory (New)*** ***$240,000***
*This allotment will provide for the replenishment of gift shop inventory and enhanced inventory each year based on an industry rate of 20% of initial stock (20% of initial $1.2M inventory stock).*




## CAPITOL VISITOR CENTER (CVC)

**Information Resources Management Program Group (IR)**: Provides funding for procurement, operations & maintenance of information technologies, to include computer hardware and software (and user licenses) support; contractor technical services support for computer systems, web sites and automated systems.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Hardware | | | 24 | 24 |
| Software | | | 20 | 20 |
| AOC-Wide Contractor Support | | | 268 | 268 |
| Website Maintenance (New) | | | 60 | 60 |
| Time Pass Distribution Equipment Maintenance (New) | | | 7 | 7 |
| Advance Reservation System (New) | | | 825 | 825 |
| Catering/Events Scheduling System (New) | | | 5 | 5 |
| Visitor Information Station Electronic Support (New) | | | 30 | 30 |
| **Information Resource Management (IR)** | | | **1,239** | **1,239** |

**Hardware (IR01)** **$24,000**

This allotment will provide funding for network upgrades, security hardware (firewalls), and peripheral equipment.

*Program Increase:* *$24,000*

*The requested program increase will provide funding for the lifecycle of the hardware equipment and is calculated at $400 per user per year (based on historical information provided from the AOC's General Administration budget). Request is based on maintaining 58 personal computers (37 of the 48 operations employee; 12 of the 56 facility maintenance employees; 10 personal computers in the facility maintenance shops and locker areas).*

**Software (IR02)** **$20,000**

This allotment provides funding for recurring software licenses, to include: software licenses for network firewalls; anti-spy and anti-virus licenses; network server licenses; e-mail licenses; Oracle database licenses; and web development software licenses.

*Program Increase:* *$20,000*

*The requested program increase will provide for necessary software upgrades and licenses. The cost is calculated at $335 per user per year (based on historical information from the AOC's General Administration budget) and includes Novell Netware and Microsoft applications. Request is based on maintaining 58 personal computers (37 of the 48 operations employees; 12 of the 56 facility maintenance employees; 10 personal computers in the facility maintenance shops and locker areas).*

**AOC-Wide Contractor Support (IR05)** **$268,000**

This allotment provides funding for computer technicians supporting the helpdesk (including hardware and software installation and troubleshooting); network and server technicians; IT security contractors; web development contractors; intrusion detection services; systems and workstation relocation (generally resulting from office moves); and e-mail/personal digital assistant (PDA) technical support.




## CAPITOL VISITOR CENTER (CVC)

*Program Increase:* *$268,000*
*The requested program increase will provide base funding for contractor support and is based on historical information from the AOC's General Administration budget which reflects the cost to support an information technology user at approximately $4,545 per person. The cost is an aggregate that includes incremental increases in Helpdesk, network and applications support for 59 users (37 of the 48 operations employees; 12 of the 56 facility maintenance employees; 10 personal computers in the facility maintenance shops and locker areas).*

***Website Maintenance (New)*** ***$60,000***
*This allotment will provide funding for contractor support to provide website maintenance (to supplement support for Webmaster). Estimate is based on an estimate of 40 hours per month at $125 per hour.*

***Time Pass Distribution Equipment Maintenance (New)*** ***$7,000***
*This allotment will provide funding for an annual maintenance contract for the time pass distribution equipment.*

***Advance Reservation System Maintenance (New)*** ***$825,000***
*This allotment will provide funding for license fees for the Advance Reservation System for the visitor services staff ($120,000), 2 licenses for each Member's office ($335,000), web distribution ($330,000), and the self-service ticket kiosks ($40,000).*

***Catering/Events Scheduling System Maintenance (New)*** ***$5,000***
*This allotment will provide funding for annual maintenance contract (licenses, upgrades, etc) for the Catering/Events Scheduling System.*

***Visitor Information Station Electronic Support (New)*** ***$30,000***
*This allotment will provide funding for an annual maintenance contract and software support (licenses, upgrades) for 8 Capitol Visitor Center kiosks as well as information desks with visitor services information.*

**Jurisdiction Centralized Activities Program Group (JR)**: Provides funding for training, registration, and seminar fees; travel; and uniform allowances.

| Title | FY 2006 Enacted w/ rescission ($000) | FY 2007 Final Request ($000) | | |
|---|---|---|---|---|
| | | Price Level | Program Increase/ Decrease | Total Request |
| Uniform Allowance | | | 28 | 28 |
| Safety Apparel | | | 14 | 14 |
| Communications | | | 92 | 92 |
| Waste Recycling Program | | | 7 | 7 |
| Training/Registration/Seminar | | | 158 | 158 |
| Travel | | | 20 | 20 |
| **Jurisdiction Centralized Activities (JR)** | | | **319** | **319** |

**Uniform Allowance (JR01)** **$28,000**
This allotment provides for uniforms for the employees supporting operations, gift shops and facility maintenance for the Capitol Visitor Center.

*Program Increase:* *$28,000*
*The requested program increase will provide uniforms for 12 gift shop employees ($7,200), 4 Audio Visual technicians ($1,600) and 47 facility maintenance employees ($18,800).*

**Safety Apparel (JR02)** **$14,000**
This allotment provides funding for the personal protective equipment (PPE) and safety apparel for the facility maintenance employees for the Capitol Visitor Center.

*Program Increase:* *$14,000*
*The requested program increase will provide safety apparel for 56 facility maintenance employees based on a cost per person of $250.*

**Communications (JR04)** **$92,000**
This allotment will provide funding for all communication devices and associated services for the Capitol Visitor staff, to include telephones (land-line and wireless), pagers, radios, and personal digital assistants (PDA's).

*Program Increase:* *$92,000*
*The requested program increase will provide service for 74 cell phone/PDA combinations, and 59 desktop phones (37 facility maintenance employees will require cell phone/PDA combinations, 12 will require desktop phones, and the locker area/shops will require 10 desktop phones; 37 operations employees will require cell phone/PDA combinations and desktop phones). Prices used for estimating are as follows: desktop phone, $20 per user/month; cell/PDA combination, $80 per user/month; and separate cell phone or PDA, $40 per user/month. Included in this request is $7,000 for radio maintenance to repair/replace, annually, 15% of the radios assigned to the 48 operations employees.*

**Waste Recycling Program (JR10)** **$7,000**
This allotment provides for the comprehensive recycling program for the Capitol Visitor Center. Items to be procured include recycling containers, promotional materials, and associated support.

*Program Increase:* *$7,000*
*The requested program increase will provide base funding for the recycling program for the Capitol Visitor Center.*

**Training/Registration/Seminar (JR91)** **$158,000**
This allotment provides training to Capitol Visitor Center employees in technical areas related to the employees' job including safety and OSHA standards and in programs such as the prevention of sexual harassment, understanding employee rights and responsibilities, substance abuse, and other subjects. This training is required for all current and new employees. Additionally, the agency provides supervisory, technical skills and staff development training and sponsors basic educational skills training.

*Program Increase:* *$158,000*
*The requested program increase will provide base funding for the training of 104 Capitol Visitor Center employees: 56 facility maintenance ($84,000), and 48 operations employees ($74,000).*




## CAPITOL VISITOR CENTER (CVC)

**Travel (JR92)** **$20,000**

This allotment provides funding for official travel requirements for the Executive and Deputy Directors of the Capitol Visitor Center. This allotment funds both transportation and per diem costs.

*Program Increase:* *$20,000*

*The requested program increase will provide base funding for travel for the Executive and Deputy Directors of the Capitol Visitor Center to include travel associated with site visits to other institutions for educational purposes, reviewing systems in use at other venues for possible improvements to enhance efficiency, and conventions to showcase the Capitol Visitor Center.*




## CAPITOL VISITOR CENTER (CVC)

### ANNUAL NON-RECURRING PROJECTS FOR FY 2007

| PROJECT BUDGET - ANNUAL ($000) | | | |
|---|---|---|---|
| Project | FY2006 Enacted w/ rescission | FY 2007 Request | FY 2006 to FY2007 Difference |
| CVC Furniture, Fixtures, and Equipment - Staff | | 470 | New |
| CVC Furniture, Fixtures and Equipment (USCP) | | 407 | New |
| Advance Reservation System | | 400 | New |
| CVC Computers and Equipment - Staff | | 289 | New |
| Public Awareness - Grand Opening Events | | 200 | New |
| Benches for Quick Hood Storage | | 200 | New |
| Self Serve Terminals | | 160 | New |
| Furniture & Equipment - Meeting Rooms | | 135 | New |
| Food Service - Layout Modifications/Equipment | | 112 | New |
| Public Awareness - Brochure Printing | | 100 | New |
| Replace West Lawn Kiosk | | 100 | New |
| Ropes and Stanchions | | 60 | New |
| Training Material | | 55 | New |
| Communication Equipment | | 49 | New |
| Initial Inventory of Office Supplies | | 32 | New |
| Statue & Display Relocation CVC - Capitol | | 565 | New |
| Relocation of the Freedom Statue Cast | | 100 | New |
| Computer, Telecom & Electrical Upgrades | | 100 | New |
| **Total** | | **3,534** | |

**Project Title: CVC Furniture, Fixtures, and Equipment - Staff** **$470,000**

**Project Requirement:** Procure furniture and equipment for CVC staff (Operations and Visitor Services).

**Description/Scope**: This project will procure furniture, seating, task lighting and accessories for 23 private offices and 24 workstations for the following staff: CVC administration (26), visitor service administration (10); exhibits (6); and gift shop (5) department operations. Estimated cost per work area ranges from $3,000 - $4,500. Each department's space program includes general support areas such as conference/team rooms (credenza, chairs, and tables), file storage, material storage and pantry area (cabinets, shelving, and small appliances). To accommodate Visitor Service guides and non-guide staff (170) and gift shop staff (12), funding is included for lockers, benches, tables and related accessories.

**Impact if not Funded**: The CVC administrative, visitor services, exhibits department and gift shop staff will not have appropriate support space to carry out designated duties to effectively serve the visitors, Members and staff.




## CAPITOL VISITOR CENTER (CVC)

**Project Title: CVC Furniture, Fixtures and Equipment (USCP)** **$407,000**

**Project Requirement:** Procure furniture, fixtures and equipment for U.S. Capitol Police

**Description/Scope**: This project will provide funding for the necessary furniture, fixtures and equipment to support the U.S. Capitol Police staff housed in the Capitol Visitor Center.
**Impact if not Funded**: The U.S. Capitol Police will not have appropriate administrative and support space to carry out designated duties in the Capitol Visitor Center.

**Project Title: Advance Reservation System** **$400,000**

**Project Requirement:** Setup and custom development of the Advance Reservation System

**Description/Scope**: This project provides for project management and custom development for the initial set-up of the Advance Reservation System by the vendor for use at the Capitol Visitor Center. Cost estimate includes consultant services, support, training and engineering resources for initialization and custom development. This system also supports on-line, web-based reservation capabilities for visitors and tour operators.

**Impact if not Funded**: The Capitol Visitor Center will not have a key system that will enable visitor services to efficiently manage capacity and spread demand, particularly during high peak periods, or provide seamless integration for scheduling tours through Member offices.

**Project Title: CVC Computers and Equipment - Staff** **$289,000**

**Project Requirement:** Purchase computers, cell phone/PDA combinations, desktop telephones, and office equipment to outfit the Capitol Visitor Center staff

**Description/Scope**: This project will purchase 37 personal computers (PC), cell phone/PDA combinations, and desktop telephones ($83,500) to equip Capitol Visitor Center operations staff as follows: administration (26), exhibit (6), and gift shop (5) department operations. Estimates are based on the following unit prices: PC $1,500; cell phone/PDA combination $400; desktop telephone $350. The purchase of office equipment for separate spaces will also be needed to support the individual department functions including a copier, printer, fax and shredder ($100,000).

In addition, 12 of the facilities maintenance administrative staff will require a PC, desktop telephone, and a cell phone/PDA combination ($27,000); facility maintenance shop staff will require 10 desktop phones and PCs ($18,500 to accommodate 10 different divisions - i.e. HVAC, Electrical, Plumbing, Carpentry, Fire Protection, Elevator, Labor, Paint, Masonry, and Sheet Metal). Cell phone/PDA combinations are required for 25 facility maintenance staff ($10,000) and office equipment ($50,000) for a copier, printer, fax, and shredder.

**Impact if not Funded**: The administrative, exhibits department, gift shop, and facilities management staff will not have appropriate technology to carry out designated duties at the Capitol Visitor Center and will not be able to effectively serve the visitors, Members and staff.

## CAPITOL VISITOR CENTER (CVC)

**Project Title: Public Awareness – Grand Opening Events** **$200,000**

**Project Requirement:** Provide public awareness for Capitol Visitor Center grand opening events

**Description/Scope**: This project will provide an event allowance for Capitol Visitor Center grand opening events to be used toward supporting announcements and invitations, entertainment, equipment rental, décor, food/beverage and related costs.

**Impact if not Funded**: Capitol Visitor Center management will not have funds available to provide necessary support for grand opening events and related activities.

**Project Title: Benches for Quick Hood Storage** **$200,000**

**Project Requirement:** Provide 40 benches for the storage of quick hoods

**Description/Scope**: This project will provide 40 benches for comfort and quick hood storage. The funding will provide for fabrication, delivery, and installation of the benches in the public portions of the Capitol Visitor Center. Based on appropriate capacity levels for the CVC, it was determined that 4,950 quick hoods are required for distribution at key locations throughout the public areas, including the Congressional Auditorium and associated meeting rooms. Quick hoods for other spaces will be stored in standard cabinets. The quick hoods are being purchased by the U.S. Capitol Police.

**Impact if not Funded**: There will not be storage for quick hoods in the event of emergency or resting areas for visitors during their visit to the Capitol Visitor Center.

**Project Title: Self Serve Terminals** **$160,000**

**Project Requirement:** Purchase of self serve terminals for distribution of timed passes

**Description/Scope**: This project will provide for the purchase of 8 self serve terminals to allow visitors to obtain timed passes, into the U.S. Capitol, without the assistance of a staff member. This would allow the time pass distribution demand to be achieved with fewer staff members providing service. Terminals can be located outside or inside the CVC.

**Impact if not Funded**: Obtaining timed entry passes would require the assistance of staff members and could increase the number of staff needed for distribution of passes.

**Project Title: Furniture & Equipment – Meeting Rooms** **$135,000**

**Project Requirement:** Procurement of classroom and banquet furniture and equipment

**Description/Scope**: This project will provide furniture and equipment to accommodate classroom and banquet setup for up to 125 persons each (500 chairs $80,000; 80 tables $30,000; 4 electronic equipped lectern stands $5,500; and 8 mobile presentation white boards $10,000). The Capitol Visitor Center will provide for 2 constituent meeting rooms on the upper level and 2 congressional auditorium meeting rooms.

**Impact if not Funded**: The rooms will not be useable for their intended purpose to serve Members, staff and visitors.

**Project Title: Food Service – Layout Modifications/Equipment** **$112,000**

**Project Requirement:** Modifications of space, equipment placement and purchase of small equipment in the Capitol Visitor Center restaurant

**Description/Scope**: This project will provide an allowance to the selected operator of the CVC restaurant for minor space modifications, equipment placement and small equipment purchases and installation. It is customary and appropriate to allow the selected operator a certain level of flexibility in the final layout and equipment selection for a restaurant. The Request for Proposal provides an allowance to the selected operator and this request is an addition allotment, in the event the initial allocation is not sufficient to implement the requested changes.

**Impact if not Funded**: The food service operator would not have sufficient funding to make necessary modifications to the CVC restaurant, if necessary, to improve efficiency.

**Project Title: Public Awareness – Brochure Printing** **$100,000**

**Project Requirement:** Development of an informational brochure to orient the visitor to the various features, services and amenities before and after guided tours

**Description/Scope**: This project will develop an informational brochure as an aid to orient the visitor to the various features, services and amenities before and after guided tours, using international symbols in lieu of versions with multiple languages. Estimated cost is based on approximately 3.9M copies or 1.3 times the annual visitation projection at 2.5 cents each.

**Impact if not Funded**: Visitors will have difficulty orienting themselves in the Capitol Visitor Center without a brochure providing key visitor information on features and locations, available amenities and services.

**Project Title: Replace West Lawn Kiosk** **$100,000**

**Project Requirement:** Replacement of the west lawn kiosk for exterior pass distribution

**Description/Scope**: This project will replace the West Lawn Kiosk temporary structure with a permanent structure to match the other police shelters and visitor kiosks, which either currently exist or are currently planned for Capitol Square. The West Lawn Kiosk is recommended to continue supporting visitor services (demand and flow control). The West Lawn Kiosk is a

temporary wooden shelter which was put in place to serve during CVC construction. The construction of the CVC required the temporary closure of the east side of the Capitol and necessitated that Capitol Tours be organized and led from the West Front. During this interim period, however, the utility of staging tours from the West Front (especially large groups arriving by bus) has been recognized. Therefore, to help mitigate some of the congestion on First Street NE/SE once the CVC opens, it has been recommended to continuing operating the West Front Visitor Kiosk.

**Impact if not Funded**: The visitor services staff will not have the infrastructure to distribute timed entry passes and information to the visitors arriving to the Capitol Visitor Center, thus impacting operational readiness and visitor satisfaction. During peak periods, exterior pass distribution is vital to managing capacity and flow within the Capitol Visitor Center and the U.S. Capitol Building.

**Project Title: Ropes and Stanchions** **$60,000**

**Project Requirement:** Purchase, delivery and installation of ropes and stanchions

**Description/Scope**: This project will provide movable ropes and stanchions of high quality comparable to Capitol Visitor Center finishes. Two holding areas will be needed in front of the entrances to the orientation theatres with a capacity of 250 persons each. After exiting the theatres, the 250 visitors will need to be divided into smaller groups of 40-50 each. The ropes and stanchions will help organize the visitor lines. The funding will provide for the purchase, delivery and installation of the equipment for orientation theatre queues (2 areas/104 stanchions), pre-tour queues (12 rows/70 stanchions), gallery tour holding (9 stanchions), miscellaneous for maintenance, special events, and contingency (20) for a total of 203 units x $295 = $60,000.

**Impact if not Funded**: The ability of visitor services staff to manage visitor flow will be seriously compromised, which will diminish the quality of the visitor experience. Tours could be impeded by creating bottlenecks at key access points as well as efficient, effective management of allowable tour capacity levels to flow from the CVC into the Capitol Building. Slow downs in moving visitors through the various pre-tour areas could also mean a certain number of tours, for which time passes have been distributed, would not be able to start on time or at all. Visitor dissatisfaction and complaints would result.

**Project Title: Training Material** **$55,000**

**Project Requirement:** Compilation and printing of manuals

**Description/Scope**: This project will provide for the compilation and printing of employee handbooks, operations manuals and training guides for the Capitol Visitor Center staff.

**Impact if not Funded**: The Capitol Visitor Center will not have necessary materials for training its administrative, and operations staff on operational procedures, policies and practices designed to ensure a high standard for the visitor experience expected of the Capitol Visitor Center.




## CAPITOL VISITOR CENTER (CVC)

**Project Title: Communication Equipment** **$49,000**

**Project Requirement:** Procurement of 48 radios for operational staff

**Description/Scope**: This project will enable the procurement of 48 radio units (approximately $1,000 each) for the Capitol Visitor Center operations staff. This request is based on the recommendation of the U.S. Capitol Police.

**Impact if not Funded**: The Capitol Visitor Center staff will not have equipment needed to communicate with each other and with the U.S. Capitol Police to effectively manage the large number of visitors and could impair day-to-day management as well as handling emergency situations.

**Project Title: Initial Inventory of Office Supplies** **$32,000**

**Project Requirement:** Procurement of initial inventory of office supplies and accessories for the Capitol Visitor Center staff

**Description/Scope**: This project will enable the purchasing of initial inventory of office supplies and accessories (stationery, business cards, copy paper, writing tablets, pens/pencils, folders, envelopes, clips, stapler, tape dispensers, etc.) for the CVC administrative staff (facilities maintenance $10,000; operations $22,000).

**Impact if not Funded**: Staff will not have the basic tools and materials necessary for performing their day to day tasks.

**Project Title: Statue & Display Relocation CVC - Capitol** **$565,000**

**Project Requirement:** Relocate statues from the U.S. Capitol Building into the Capitol Visitor Center

**Description/Scope**: This project will relocate 23 statues from the U.S. Capitol Building to the Capitol Visitor Center. As a result of these moves, another 22 would be re-arranged within the U.S. Capitol Building to fill the gaps and expose other statues to the visitors' experience. Estimated cost is based on the relocation of 45 statues at $12,500 (price ranges varied from $10,000 - $15,000 per statue). The relocation of these statues will provide for the exhibition of selected statues in the Great Hall of the Capitol Visitor Center and they will form part of the overall Center's exhibition plan. It is intended to have all the planned exhibitions in place prior to the opening of the CVC. In addition, Members have also called for the relocation because at their present locations within the U.S. Capitol, many of the statues cannot be seen properly or seen at all by visitors who are looking for statues from their states.

**Impact if not Funded**: If these statues are not relocated prior to the opening of the Capitol Visitor Center, the exhibition plan will not be completed and the designated spaces where the statues are to be placed will remain open until such relocation is accomplished. This is not an operational requirement, but rather one that is part of the visitor's experience of the Capitol Visitor Center.




## CAPITOL VISITOR CENTER (CVC)

**Project Title: Relocation of the Freedom Statue Cast** **$100,000**

**Project Requirement:** Relocation of the Statue of Freedom from the Russell Rotunda to the Great Hall of the Capitol Visitor Center

**Description/Scope**: This activity provides funding for the relocation of the cast of the Statue of Freedom from the Russell basement rotunda to the Great Hall of the Capitol Visitor Center. The level of effort to accomplish this involves contracting with a reputable rigging company, cutting the cast into moveable parts, moving it to the CVC, and re-assembling it prior to the opening of the CVC. The requested funds are based on a quote provided by a rigging company two years ago and as such, has been escalated to 2007 costs and also includes a contingency to cover any unforeseen conditions during the performance of the work. The decision to relocate this statue was made by Alan M. Hantman, FAIA, at the request of Senator Akaka and other Members, and such will be placed on the Lower Level of the CVC.

**Impact if not Funded**: The Statue of Freedom cast is planned as the centerpiece of the exhibit for the very large space in the Great Hall of the Capitol Visitor Center. This exhibit would lack a visual anchor and an educational opportunity would be lost. It provides an immediately recognizable connection to the U.S. Capitol and to the Capitol dome, which is seen through the skylights. The Statue of Freedom cast is not seen by most visitors due to its current location in the Russell basement rotunda.

**Project Title: Computer, Telecom, and Electrical Upgrades** **$100,000**

**Project Requirement:** Provide for the required telecom infra-structure to accommodate changes requested by the end users

**Description/Scope**: The CVC Project is providing the telecom infra-structure to the expansion space rooms and providing standard installation within the rooms based on today's requirements. Once the space occupants move into the designated spaces, additional changes to the standard installation may be required, thus requiring this funding to support modifications to the rooms' systems as requested by the end user.

**Impact if not Funded**: Modifications to the standard telecom infra-structure will not be available to accommodate the occupants of the Capitol Visitor Center.

## CAPITOL VISITOR CENTER (CVC)

### CAPITAL BUDGET PROJECTS FOR FY 2007

| PROJECT BUDGET - MULTI-YEAR ($000) | | | |
|---|---|---|---|
| Project | FY2006 Enacted w/ rescission | FY 2007 Request | FY 2006 to FY2007 Difference |
| Miscellaneous Fitouts | | 625 | New |
| Dbase Mgmt Support (CAFM, BAS,and Microstation) | | 225 | New |
| IT Consulting & Safety Certification | | 150 | New |
| **Total** | | **1,000** | |

**Project Title: Miscellaneous Fitouts** **$625,000**

**Project Requirement**: Perform alterations and/or modifications to fitout the spaces designated in support of the Capitol Visitor Center facility maintenance operations.

**Description/Scope:** This funding will provide for the modification of the spaces that will be designated in support of the maintenance operations of the CVC. These spaces will include administrative space, storage areas, and equipment control and monitoring spaces. In order to ensure that the designated spaces will be ready for occupancy and/or use by the maintenance personnel, there is a need to perform alterations and infra-structure finishes such as power, telecommunications, lighting, wall finishes, floor finishes, cooling, ventilation and heating modifications, etc. This funding request also includes the provision of furniture and office equipment in support of the intended operations.

**Impact if not Funded:** There will not be space to house the support personnel and required materials needed for the maintenance functions of the Capitol Visitor Center. The U.S. Capitol Building does not have the spaces necessary to accommodate the administrative functions and storage requirements to support the new Capitol Visitor Center. Therefore, the CVC spaces are the only spaces available to accommodate these added requirements. It is critical that these spaces be completed in time to house the support personnel and the required materials needed for the maintenance functions.

**Project Title: Dbase Management Support (CAFM, BAS, and MicroStation)** **$225,000**

**Project Requirement:** Update record drawings and other databases that will be developed prior to the opening of the Capitol Visitor Center

**Current Situation:** A Gap Analysis will be performed in FY2006 to transfer as-built drawings from hard copies and Auto CAD to the MicroStation electronic media, input the equipment maintenance requirements into the Computer Aided Facility Management (CAFM) database, gather and input the equipment warranty information into a database, develop a database for spare parts tracking, and develop a database for tools and equipment inventory. In addition, the CVC contractor will provide a database containing Building Automation Systems (BAS) information for the digital controls of the mechanical systems, will program the addressable fire alarm control system, will program the lighting control systems, and will also program the elevators controls system. It is typical that such databases and programmable systems will require adjustments and updates in a regular basis during the first year of operation of a new facility.




## CAPITOL VISITOR CENTER (CVC)

**Description/Scope:** This project will provide for contractual services to update the record drawings included in the electronic media (MicroStation), equipment warranty database, spare parts inventory database, tools and equipment database, BAS controls, addressable fire alarm control system, CAFM database, lighting controls, elevator controls, and other information technology support services for the facilities maintenance systems indicated above.

**Impact if not Funded:** It is important that during the first year of operation of a new facility that the records drawings, infra-structure related controls, maintenance tasks, and maintenance support databases be adjusted to support the maintenance functions related to the installed infra-structure and systems. Changes and adjustments to controls and databases are not warranty related items; therefore, the need to consult with the systems providers for changes and support may be required.

**Project Title: IT Consulting & Safety Certification** **$150,000**

**Project Requirement:** Development of various databases in support of maintenance functions of the Capitol Visitor Center

**Description/Scope:** This funding will provide for Information Technology services including database management services, inspection services, code analysis and miscellaneous consulting services. This includes the review of the various safety policies and their applicability to the CVC maintenance functions, development of a database to document the safety training requirements for the maintenance personnel in order to comply with the applicable safety policies, including the development of a medical surveillance program, and technical certification requirements to comply with Occupational Safety and Health Administration (OSHA) Codes. In addition, there is a need to determine the inspection, testing, and certification requirements for the various electrical, mechanical, fire protection, and miscellaneous systems of the CVC, and develop a database to manage the weekly, monthly, bi-monthly, semi-annual, and annual inspection, testing, and certification requirements for such systems.

**Impact if not Funded:** Will be unable to determine and manage the critical requirements of the Occupational Safety and Health Administration (OSHA) Codes, the National Fire Protection Association (NFPA) Codes, and the National Electrical Code (NEC).

## CAPITOL VISITOR CENTER (CVC)

### CAPITAL (NO-YEAR) BUDGET FOR FY 2007

| COST-TO-COMPLETE - NO-YEAR ($000) | | | |
|---|---|---|---|
| Project | FY 2006 Enacted w/ rescission | FY 2007 Request | FY 2006 to FY2007 Difference |
| CVC Cost-to-Complete | 41,481 | 20,600 | (20,881) |
| **Total** | 41,481 | 20,600 | (20,881) |

**Project Title: Capitol Visitor Center (CVC) – Cost-to-Complete** **$20,600,000**

**Project Requirement:** Provide funding to complete the CVC construction project.

**Current Situation:** Construction of the U.S. Capitol Visitor Center (CVC) began in July 2002 and is currently anticipated to be completed, including commissioning, in December 2006. The expected costs for factors such as additional unforeseen site conditions, weather and additional scope, that delayed the commencement of the Sequence 2 portion of the project, and are currently delaying Sequence 2 are much more than was contemplated in FY 2005 and have caused the budget to increase. In addition, risks exist that could push completion of the construction several months beyond the expected December 2006 completion date. We have worked with the Government Accountability Office (GAO) to identify and evaluate the potential costs associated with these risks. Factors contributing to the increase included: delay costs experienced by the Sequence 2 contractor waiting to commence work; delay costs experienced by the Sequence 2 contractor while performing Sequence 2 work; differing site conditions encountered in construction of the utility tunnel and House Connector Tunnel; current cost increases in the bid prices for construction of the Jefferson building modifications; and other necessary changes to ensure delivery of a complete usable facility. In addition, if these risk factors occur, then administrative cost for the extended management of the project by the AOC, architecture/engineer, and construction manager beyond the expected December 2006 completion date would be incurred. Based on the final cost to complete analysis and GAO's evaluation and recommendations, an additional $20.6 million is required to complete the project.

**Description/Scope:** The cost-to-complete includes: AOC additional administration; architect/engineer additional administration and design support; construction management fees for additional construction administration; Sequence 2 equitable adjustments due to differing site conditions; excusable delay; additional contingency; and Jefferson Building bids that were substantially above estimates.

**Impact if not Funded:** The AOC will be unable to provide the complete scope of the current CVC project as currently envisioned in December 2006, and there will be significant claims as a result of the inability to pay the contractor for legitimate delay costs incurred to date.

# CVC Functional Budget Summary Fiscal Year 2007

**OPERATING BUDGET ($000)**

| Program Groups | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/recission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Payroll (PR) | | | 2,277 | 10,639 | 8,362 |
| Administrative (AD) | | | - | 314 | 314 |
| Exhibitions (EX) | | | - | 315 | 315 |
| Facilities Maintenance (FM) | | | - | 2,905 | 2,905 |
| Gift Shops (GS) | | | - | 310 | 310 |
| Information Resource Management (IR) | | | - | 1,239 | 1,239 |
| Jurisdiction Centralized Activities (JR) | | | - | 319 | 319 |
| **Total** | | | **2,277** | **16,041** | **13,764** |

**PROJECT BUDGET - ANNUAL ($000)**

| Description | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/recission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| CVC Furniture, Fixtures, and Equipment - Staff | | | | 470 | |
| CVC Furniture, Fixtures and Equipment (USCP) | | | | 407 | |
| Advance Reservation System | | | | 400 | |
| CVC Computers and Equipment - Staff | | | | 289 | |
| Public Awareness - Grand Opening Events | | | | 200 | |
| Benches for Quick Hood Storage | | | | 200 | |
| Self Serve Terminals | | | | 160 | |
| Furniture & Equipment - Meeting Rooms | | | | 135 | |
| Food Service - Layout Modifications/Equipment | | | | 112 | |
| Public Awareness - Brochure Printing | | | | 100 | |
| Replace West Lawn Kiosk | | | | 100 | |
| Ropes and Stanchions | | | | 60 | |
| Training Material | | | | 55 | |
| Communication Equipment | | | | 49 | |
| Initial Inventory of Office Supplies | | | | 32 | |
| Statue & Display Relocation CVC - Capitol | | | | 565 | |
| Relocation of the Freedom Statue Cast | | | | 100 | |
| Computer, Telecom & Electrical Upgrades | | | | 100 | |
| **Total** | | | | **3,534** | **3,534** |

**PROJECT BUDGET - MULTI-YEAR ($000)**

| Description | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/recission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Miscellaneous Fitouts | | | | 625 | |
| Dbase Mgmt Support (CAFM, BAS, Microstation) | | | | 225 | |
| IT Consulting & Safety Certification | | | | 150 | |
| **Total** | | | | **1,000** | **1,000** |

**TOTAL BUDGET ANNUAL & MULTI-YEAR ($000)**

| | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/recission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Total Operating Budget | | | 2,277 | 16,041 | 13,764 |
| Total Project Budget - Annual | | | - | 3,534 | 3,534 |
| Total Annual Budget | | | 2,277 | 19,575 | 17,298 |
| Total Project Budget - Multi-Year | | | - | 1,000 | 1,000 |
| **Total Budget** | | | **2,277** | **20,575** | **18,298** |
| Full Time Equivalent (FTE) | 16 | | 24 | 115 | 91 |

**COST-TO-COMPLETE NO-YEAR ($000)**

| Description | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/recission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| CVC Cost-to-Complete | | | 41,481 | 20,600 | (20,881) |
| **Total** | | | **41,481** | **20,600** | **(20,881)** |

**TOTAL BUDGET ANNUAL, MULTI-YEAR & COST-TO-COMPLETE ($000)**

| Description | FY 2005 Enacted w/rescission | FY 2005 Obligation | FY 2006 Enacted w/recission | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| **Total Budget & Cost-to-Complete** | | | **43,758** | **41,175** | **(2,583)** |




**FISCAL YEAR 2007**

# THE LIBRARY OF CONGRESS

# BUDGET JUSTIFICATION

**SUBMITTED FOR USE OF**
**THE COMMITTEES ON APPROPRIATIONS**

**LIBRARY OF CONGRESS**

**FY 2007 BUDGET JUSTIFICATION**

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**LIBRARY OF CONGRESS**
**FY 2007 BUDGET REQUEST**
**OVERVIEW STATEMENT**

## INTRODUCTION

The Library of Congress is the **world's largest repository of human knowledge** and the main research arm of the United States Congress. The Library is looked to throughout our country and the world as the leading example of what a library does for a democratic society.

With all the unique distinction that this institution has achieved in the print world, it now faces the unprecedented challenge of sustaining its leadership amidst the revolutionary changes of the digital world. Information-seekers now have many (and often more convenient) ways of finding what they need. But they are often overwhelmed or misled by the profusion of unfiltered and often inaccurate information on the world wide web. The Library of Congress must redefine its role in this new environment. This institution-wide process is now underway — and will be embedded in the new strategic plan that we are developing for the entire Library for 2008-2013.

In this budget request, we have made these basic assumptions:

- The Library of Congress must continue to build comprehensive, world-wide collections in all formats so that Members of Congress, scholars, school students, and the American people will have access to valid, high-quality information for their work, their research, and their civic participation.

- A comprehensive institutional workforce transformation will be required for staff to continue providing the highest levels of service to the Congress and to the public.

- There is no change in the Library's historic mission of acquiring, preserving, and making its materials accessible and useful to the Congress and the nation. The aim is to blend the new digital materials into the traditional artifactual collections so that knowledge and information can be objectively and comprehensively provided by an integrated library.

- The transformation of functions, of facilities, and of people must begin with a reallocation of existing resources. The current process of analysis and planning will produce, in the course of calendar 2006, the strategic plan that will determine the extent and nature of resource needs for future budget submissions.

THE LIBRARY OF CONGRESS OF TODAY

**Library of Congress collections** are made up of more than **132 million artifactual items** in more than **470 languages** including:

- **30 million books (among them more than 5 thousand printed before the year 1500)**
- **14 million photographs**
- **5.2 million maps**
- **3 million audio materials**
- **981 thousand films, television, and video items**
- **5.3 million pieces of music**
- **59 million manuscripts**
- **Hundreds of thousands of scientific and government documents**

And these collections continue to grow. **More than 13 thousand items are added to the Library's collections every day**. These materials are organized, cataloged, and served to readers in on-site reading rooms and through cultural programs and exhibitions. A steadily increasing number of materials are made available free of charge on the Internet.

The Library's collections gather in not only regularly published materials, but arcane reports that have limited distribution, international ephemera that illuminate other cultures and socio-political movements, and special collections that have been carefully assessed by our curators and acquired by our donors. Among the many new materials acquired by the Library in FY 2005 are:

- The unique Jay I. Kislak Collection of nearly 4 thousand items documenting the early history of the Americas.
- 38,555 individual oral histories collected from interviews with U.S. war veterans.

- Original music manuscripts of Felix Mendelssohn, Jerome Kern, George Gershwin, and Woody Guthrie.

- The Bernard Krisher Collection, containing 450 taped interviews with Asian dignitaries documenting major developments in Asia from 1962 - 1983.

- The personal and professional papers of the late Chief Executive Officer and Publisher of the *Washington Post*, Katharine Graham.

- The Cuban Exile Collection, 234 microfilm reels of materials documenting the Cuban-American experience.

- *Factiva,* a full-text online database of publications and up-to-the minute reports and news focusing on global developments and business from 118 countries in 22 languages.

- A collection of 454 charts of the coast of China from the Chinese Navy Headquarters, the Navigation Guarantee Department. A complete set of modern hydrographic charts of the Chinese coastline and areas of the South China Sea.

- The American Colony of Jerusalem Collection, a Christian society formed in Jerusalem in 1881 by an American, Horatio Gates Spafford, and his wife Anna Lawson Spafford.

**Library of Congress services** include:

- Fulfilling our priority mission of service to the Congress through the objective research and analysis done exclusively for the Congress by the Congressional Research Service. Our Law Library also largely serves the Congress. Overall, the Library provides a wide range of services from analysis on current public policy issues to responses to constituent requests.

- In FY 2005, the Library performed the following major services to the Congress and its constituents:

    - Delivered **more than 900 thousand replies to members of Congress**, covering nearly 200 current policy areas and providing access to 1,400 regularly updated research products.

    - Registered about **532 thousand copyright claims**.

    - Circulated nearly **24 million books and magazines** free of charge to the blind and physically handicapped.

- Assisted local libraries all over the nation by **cataloging nearly 313 thousand books and serials** — the highest number in the Library's history.

**Library of Congress digital leadership** includes:

- Providing free internet access to its entire catalog, to **more than 10 million primary documents of American history and culture**, to a growing body of similarly unique and multi-medial materials from six other major national libraries, and to extensive information about the Congress. In FY 2005, our web site, www.loc.gov, recorded **more than 3.8 billion hits** — a 14 percent increase in usage over FY 2004.

- Coordinating the development and implementation of a comprehensive national plan mandated by the Congress for preserving important but often ephemeral materials on the Internet. The Library has enlisted eight national consortia involving 36 institutions across the country to share in this massive project. The Library has already collected 128 terabytes; and our partners are expected to collect an estimated 100 terabytes. The materials include digital maps, photographs, TV programming, news, and datasets.

## BUILDING THE LIBRARY FOR THE FUTURE

### The Library's Vision and Strategic Plan

The Library's vision is to sustain in the digital world of the 21st century its historic mission of acquiring, preserving, and making maximally accessible to the public and useful for the Congress an universal collection of human knowledge. The challenge now is to bring the best of the traditional library into the digital environment. This will require holding fast to the principles of equitable access and long-term preservation while seamlessly integrating new digital materials with traditional artifactual items and helping develop standards and protocols for the electronic sharing of bibliographic records just as the Library did for the print world with its cataloging records.

The Library has developed a Library-wide framework for program assessment of every division and support office. Congressional support has already enabled us to reengineer copyright functions and to create a National Audio-Visual Conservation Center. And we are developing new roles for key staff to become objective " knowledge navigators" who can make knowledge useful from both the artifactual and the digital world.

The institution is undertaking a comprehensive strategic planning process that presupposes a zero-based approach and will guide us in what will have to be a major transformation of our workforce. We must find ways to transfer the widely recognized skills of our best traditional librarians on to the more broadly and democratically accessible web and into K-12 education which is making increasing use of the Library's online resources. We must continue to integrate and be open to new technology and best business practices library-wide — and to maximize fairness and diversity in building the workforce of the future.

This work will continue in FY 2006, culminating in a comprehensive new strategic plan for FY 2008-2013, from which all future budget requests will be derived. Our FY 2007 request already reflects the Library's improved strategic planning process and has led us to ask for no new additional FTEs and a historically low 4 percent budgetary increase despite the many challenges that the Library will face in FY 2007.

**THE LIBRARY'S FY 2007 BUDGET REQUEST**

In FY 2007, the Library requests a **total budget of $628.465 million ($588.131 million in net appropriations** and **$40.334 million in** authority to use **receipts**), **an increase of $24.842 million or 4.1 percent above the FY 2006 level.** The total includes $23.969 million in mandatory pay and price level increases and $4.896 million in program increases, offset by $-4.023 million in non-recurring costs.

Requested funding supports 4,258 full-time equivalents (FTEs), a net decrease of -44 FTEs below the FY 2006 level of 4,302.

The Library's programs and activities are funded by four salaries and expenses (S&E) appropriations which support management of the Library, the National and Law Library Services, Copyright administration, Congressional Research Service, and Library Services to the Blind and Physically Handicapped.

FY 2007 funding is allocated as follows:

- **Library of Congress, S&E ($409.294M/2,902 FTEs)**, which includes:
  - **National Library ($312.590M/2,264 FTEs)**
    - National Library - Basic
    - Purchase of Library Materials (GENPAC)
    - Office of Strategic Initiatives
    - Cataloging Distribution Service
  - **Law Library ($14.026M/101 FTEs)**
  - **Management Support Services ($82.723M/537 FTEs)**

- **Copyright Office, S&E ($59.189M/523 FTEs)**
- **Congressional Research Service, S&E ($104.279M/705 FTEs)**
- **Books for the Blind and Physically Handicapped, S&E ($55.703M/128 FTEs)**

THE LIBRARY'S FUNDING PRIORITIES

1. **Mandatory Pay and Price Level increases**

   The Library is requesting an additional **$23.969 million to maintain current services.** This is the amount needed to support the annualization of the FY 2006 pay raise, the FY 2007 pay raise, within grade increases, and unavoidable inflation and vendor price increases. These funds are needed simply to sustain current business operations and to prevent a reduction in staff that would severely affect the Library's ability to manage its programs in support of its mission and strategic objectives.

2. **Unfunded Mandates**

   The Library is requesting **$2.171 million for one unfunded mandate: the Department of State (DOS) Capital Security Cost-Sharing Program.**

   In FY 2005, the DOS, mandated by the Executive branch, began its 14-year program to finance the construction of approximately 150 embassy compounds, requiring increasing contributions from all agencies with an overseas presence, including the Library. The Library has argued that the DOS methodology for assessing agencies is unfair since it is based on the number of overseas personnel rather than on actual services or space provided by DOS in diplomatic facilities. The Library's yearly assessment was $1.2 million in FY 2005 and $2.4 million in FY 2006. The proposed bill for FY 2007 is $4.572 million, an increase of $2.171million. If funding is not provided for the next phase of the program, the Library will have insufficient resources to operate its overseas offices. This would result in the curtailment — and in some cases termination — of international acquisitions programs in areas that are of increasing importance to the nation (Islamabad, Cairo, Jakarta, Nairobi, New Delhi and Rio de Janeiro). The Library continues to negotiate with the DOS and will alert the Committees if DOS agrees to any downward adjustments of their assessment.

**3. Major Ongoing Projects**

The Library is requesting **$794 thousand for two ongoing major projects** that are either in their last year of development or on a time-sensitive schedule that must be maintained if the entire project is to succeed.

- **National Audio-Visual Conservation Center (NAVCC), Culpeper, VA** – A five- year plan for the completion of NAVCC was included in the Library's FY 2004 budget. FY 2007 represents the fourth year in the Library's five-year cost model, which is adjusted annually to align with shifts in the construction schedule of the Packard Humanities Institute and the Library's occupancy schedule. In 2005, the Phase 1 Central Plant was turned over to the AOC and the Collections Building to the Library. In 2006, construction will be completed and the entire property transferred to the government. Staff relocations will take place, as will the procurement and integration of digital preservation equipment and systems within the NAVCC's audio-visual conservation facility. Funding is needed in FY 2007 to continue purchasing equipment for the facility as well as for operations support. Total requested **FY 2007 funding of $13.9 million reflects a net decrease of $-1.206 million and -6 FTEs from FY 2006.**

- **Acquisitions (GENPAC/Electronic Materials)** – Advances in technology have opened opportunities for the Library to acquire materials from parts of the world about which, until recently, there had been little knowledge. National interest, especially with respect to security and trade, dictates that we acquire emerging electronic publications and other difficult-to-find resources that document other cultures and nations. The GENPAC appropriation, which funds the purchase of all-important current collections materials, declined precipitously in its purchasing power during the 1990s. Consistent with our FY 2005 - 2006 budget requests for a multi-year, $4.2 million base increase to the GENPAC budget, the Library is requesting the next incremental adjustment of **$2 million**, which will bring the total base adjustment up to $3.3 million. Funding is needed to help keep pace with the greatly increased cost of serial and electronic materials that risks seriously eroding the foundation of the many services provided by the Library to the Congress and the nation.

**4. New Projects**

The Library is requesting **$1.931 million for three new critical initiatives as follows:**

- **Copyright Records Preservation** — A six-year, $6 million initiative is needed to image digitally 70 million pages of pre-1978 public records that are deteriorating, jeopardizing the mandatory preservation of, and access to, these

unique records of American creativity. In FY 2007, the Library is requesting the first **$1 million,** which will permit the scanning of 10 million page images.

- **Workforce Transformation Project** — Renewal and development of the Library workforce is essential to retrain staff with the necessary skills for the digital age, and to capture for the future the vast knowledge of large numbers of experienced staff who are near retirement. In FY 2007, the Library will begin a program to enhance digital competencies, leadership skills, career development, recruitment, and other workforce counseling and services. These activities are particularly important for sustaining the Library's commitment to a diverse workforce. Funding of **$781 thousand** is requested, and will support initiatives to:

  - Define and develop digital competencies
  - Build an aspiring leaders program for GS 5-9 employees
  - Enhance Library-wide training through the Center for Learning and Development
  - Create a summer intern recruitment program and a talent pool for permanent employment
  - Expand interpreting services

- **Abraham Lincoln Bicentennial Exhibition** — The Library's Abraham Lincoln Bicentennial Exhibition will be a centerpiece of the nationwide celebration to mark the bicentennial of Lincoln's birth. The Library will draw on its unparalleled Lincoln materials to focus on Lincoln's rise to national prominence and the thinking and writing that underlie his career. A total of $1.442 million will be needed for this project, of which **$150 thousand** is requested in FY 2007. The balance of $1.292 million will be requested in FY 2008. **Multi-year (3 year) authority is requested** for the FY 2007 funding. Funding will support the design of the exhibition and travel needed to visit other venues and/or other institutions that will be lending materials to the Library exhibition.

5. **Other program changes** — Congress created and passed the Library of Congress Digital Collections and Educational Curricula Act of 2005. Beginning in FY 2006, the Act moved the administrative and programmatic ownership of the Adventure of the American Mind (AAM) from the Educational and Research Consortium to the Library.

   While no additional funding is requested in FY 2007 for the Library's new AAM National Program, the Library is reallocating the FY 2006 funds of $5.801 million (all earmarked for grants) to support both administrative ($1.791M) and grant awards ($4.01M). In addition, the Library will begin developing standards-based, field-tested curricula, using a train-the-trainer model to create a network of partners from all parts of the country.

**ARCHITECT OF THE CAPITOL - LIBRARY OF CONGRESS BUILDINGS AND GROUNDS**

The Architect of the Capitol (AOC) is responsible for the structural and mechanical care and maintenance of the Library's buildings and grounds. In coordination with the Library, the AOC is requesting an FY 2007 budget of $102.2 million, of which $62.265 million supports projects specifically requested by the Library. Included is $54.2 million to construct a 166 thousand square foot logistics warehouse at Ft. Meade, replacing and consolidating current long-term and temporary facilities leased and maintained by the Library.

The significant increase over the FY 2006 budget request level is the result of deferring maintenance and upgrades to the Library's buildings on Capitol Hill and the delays in the Ft. Meade construction plan. Costs are higher because more maintenance and upgrade projects need to be completed concurrently. Deferments and delays have created longer lists of projects. The cost increase is compounded by inflationary pressures and by the steadily growing risks in health, safety, and security to the Library's staff and collections. The cost of maintenance and upgrades will increase exponentially if the Library cannot stop, or at least slow down, the rate of deterioration of its buildings, and return to its construction plan and schedule.

**PROPOSED CHANGES TO LEGISLATIVE LANGUAGE**

The Library has proposed language to improve employment options elsewhere in the Federal Government for Library staff. The first provision confers *competitive status* to Library employees who have successfully completed their probationary period at the Library – the basic eligibility to be noncompetitively selected to fill vacancies in the competitive service of the Federal Government. This will enable Library staff to apply for positions in the executive branch on an equal footing with "career" executive branch employees. A related provision would enhance the employability of Library employees displaced because of a reduction in force (RIF) or failure to accept a transfer to an alternative work location. This provision would give staff who have been separated, priority for selection for competitive service positions comparable to that enjoyed by separated employees from other federal agencies.

We also propose new appropriation language to address the requirement specified in the Cooperative Acquisitions Program Revolving Fund legislation (CAP), Public Law 105-55, that the revolving fund receive its own audit by March 31 following the end of each fiscal year. The Library requests that the March 31 audit requirement be rescinded and that the CAP be subject to the same audit requirement as the Library's other revolving funds.

The FY 2006 administrative provision limiting the Library's assessment for embassy construction to equal to or less than the unreimbursed value of the services provided to Library on State Department diplomatic facilities must also be maintained in FY 2007.

**CONCLUSION**

The Library of Congress' priorities expressed in the FY 2007 budget request have a common theme: that of enhancing and transforming the staff, the collections they manage, and the buildings that house them. These requests will make it possible for the Library to improve the quality of its service in keeping with the high ideal of a knowledge-based democracy and a creativity-enhancing society. This budget will help us prepare for the many changes needed to sustain and expand the opportunities for a free people to benefit from an open and universal stream of knowledge and information. The Library looks forward to working with and for the Congress as we seek to build these opportunities in FY 2007, and in the years ahead.

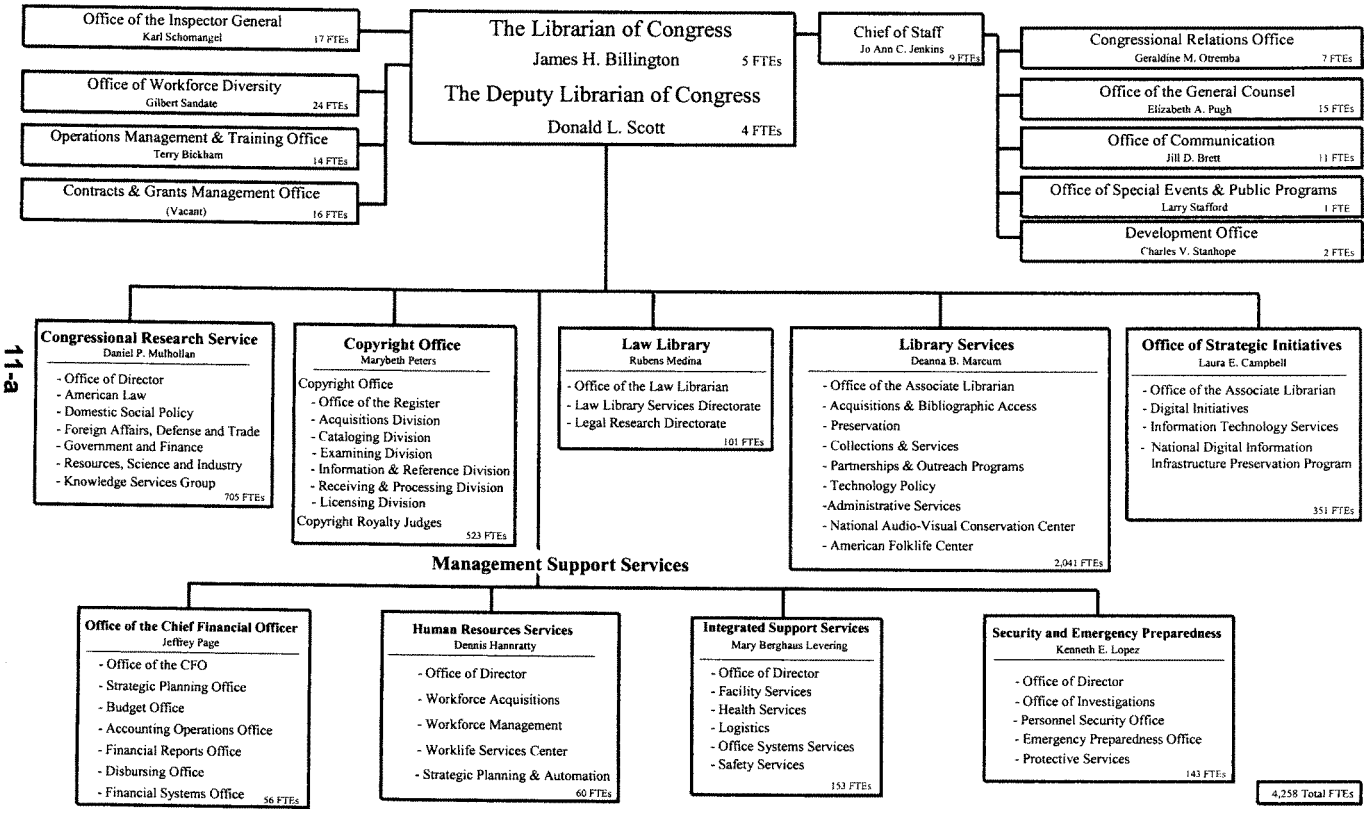
## THE LIBRARY'S ORGANIZATIONAL STRUCTURE

The attached organizational charts provide only the current snapshot of a structure that is continuing to adapt. Every service unit within the Library is assessing its organizational structure to take advantage of new technology and best business practices, while sustaining the varied knowledge competencies needed to serve the Congress and the public.

The only significant realignment proposed for FY 2007 will be the Copyright Office's implementation of its newly reengineered organizational structure.

The Congressional Research Service's organizational chart has been expanded to include a more detailed display of the non-research functions previously reported as a single office under the Office of the Director.

# LIBRARY OF CONGRESS



# Office of the Librarian

## The Librarian of Congress

Directs the Library of Congress to create an environment that supports delivery of superior service to the Congress and the American people through effective communications and management of business, supporting processes, and financial resources that provides a safe and healthy workplace.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 0 | 0 | 0 |
| GS 13 - 14/WG Equivalent : | 2 | 0 | 2 |
| GS 7 - 12/WG Equivalent : | 2 | 0 | 2 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs : | 5 | 0 | 5 |

## The Deputy Librarian of Congress

As Chief Operating Officer, manages the day to day operations of the Library of Congress

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 2 | 0 | 2 |
| GS 13 - 14/WG Equivalent : | 0 | 0 | 0 |
| GS 7 - 12/WG Equivalent : | 1 | 0 | 1 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs : | 4 | 0 | 4 |

Total FTEs - 80

## Contracts and Grants Management Office

Provides comprehensive contracting and grants management support for the Library; manages all procurement activity for the Library; provides administrative, managerial and technical direction, and policy guidance for the Library's grant programs.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 2 | 0 | 2 |
| GS 13 - 14/WG Equivalent : | 3 | 0 | 3 |
| GS 7 - 12/WG Equivalent : | 9 | 0 | 9 |
| GS 1 - 6/WG Equivalent : | 1 | 0 | 1 |
| Total FTEs : | 16 | 0 | 16 |

## Office of Workforce Diversity

The Office of Workforce Diversity (OWD) is responsible for creating a workplace environment that recognizes and respects the diversity that Library's employees bring to the workplace, and their valuable contributions that enable the Library to accomplish its mission. OWD manages the Library's Affirmative Action and Special Programs Office, the Dispute Resolution Center, and the Equal Employment Opportunity Complaints Office.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 2 | 0 | 2 |
| GS 13 - 14/WG Equivalent : | 10 | 0 | 10 |
| GS 7 - 12/WG Equivalent : | 8 | 0 | 8 |
| GS 1 - 6/WG Equivalent : | 3 | 0 | 3 |
| Total FTEs : | 24 | 0 | 24 |

## Operations Management & Training Office

The Operations, Management & Training Office supports the Deputy Librarian in his ability to respond to Congressional directives, implement operational policy, strengthen the communication, collaboration and delivery of support services, provide oversight and staffing to the Management Control Program Committee and create and maintain the proper training infrastructure, resources, and assessment tools to ensure a highly skilled, well-developed and diverse workforce.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 0 | 0 | 0 |
| GS 13 - 14/WG Equivalent : | 7 | 0 | 7 |
| GS 7 - 12/WG Equivalent : | 6 | 0 | 6 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs : | 14 | 0 | 14 |

## Office of the Inspector General

The Office of the Inspector General prevents and detects fraud, waste, abuse and mismanagement in Library of Congress programs. The office performs financial, contract, IT, security, and performance audits and administrative investigations.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 4 | 0 | 4 |
| GS 13 - 14/WG Equivalent : | 10 | 0 | 10 |
| GS 7 - 12/WG Equivalent : | 2 | 0 | 2 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs : | 17 | 0 | 17 |

# Office of the Chief of Staff

## Office of the Chief of Staff

Manages the Office of the Librarian Service Unit and serves as key advisor to the Librarian for policy development and agency decision-making.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 5 | 0 | 5 |
| GS 7 - 12/WG Equivalent : | 2 | 0 | 2 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs : | 9 | 0 | 9 |

Total FTEs - 45

## Congressional Relations Office

Ensures that the Library efficiently and effectively meets Congressional requirements, internal priorities, and improve external expectations.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 3 | 0 | 3 |
| GS 7 - 12/WG Equivalent : | 2 | 0 | 2 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs : | 7 | 0 | 7 |

## Office of the General Counsel

Provides timely legal support and advice for the Library's initiatives and legal requirements.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 3 | 0 | 3 |
| GS 13 - 14/WG Equivalent : | 8 | 0 | 8 |
| GS 7 - 12/WG Equivalent : | 3 | 0 | 3 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs : | 15 | 0 | 15 |

## Office of Communication

Maintains and develops the Library's communications and public relations functions; protects the Library's good name and image; maintains contact with online news outlets.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 4 | 0 | 4 |
| GS 7 - 12/WG Equivalent : | 4 | 0 | 4 |
| GS 1 - 6/WG Equivalent : | 1 | 0 | 1 |
| Total FTEs : | 11 | 0 | 11 |

## Office of Special Events & Public Programs

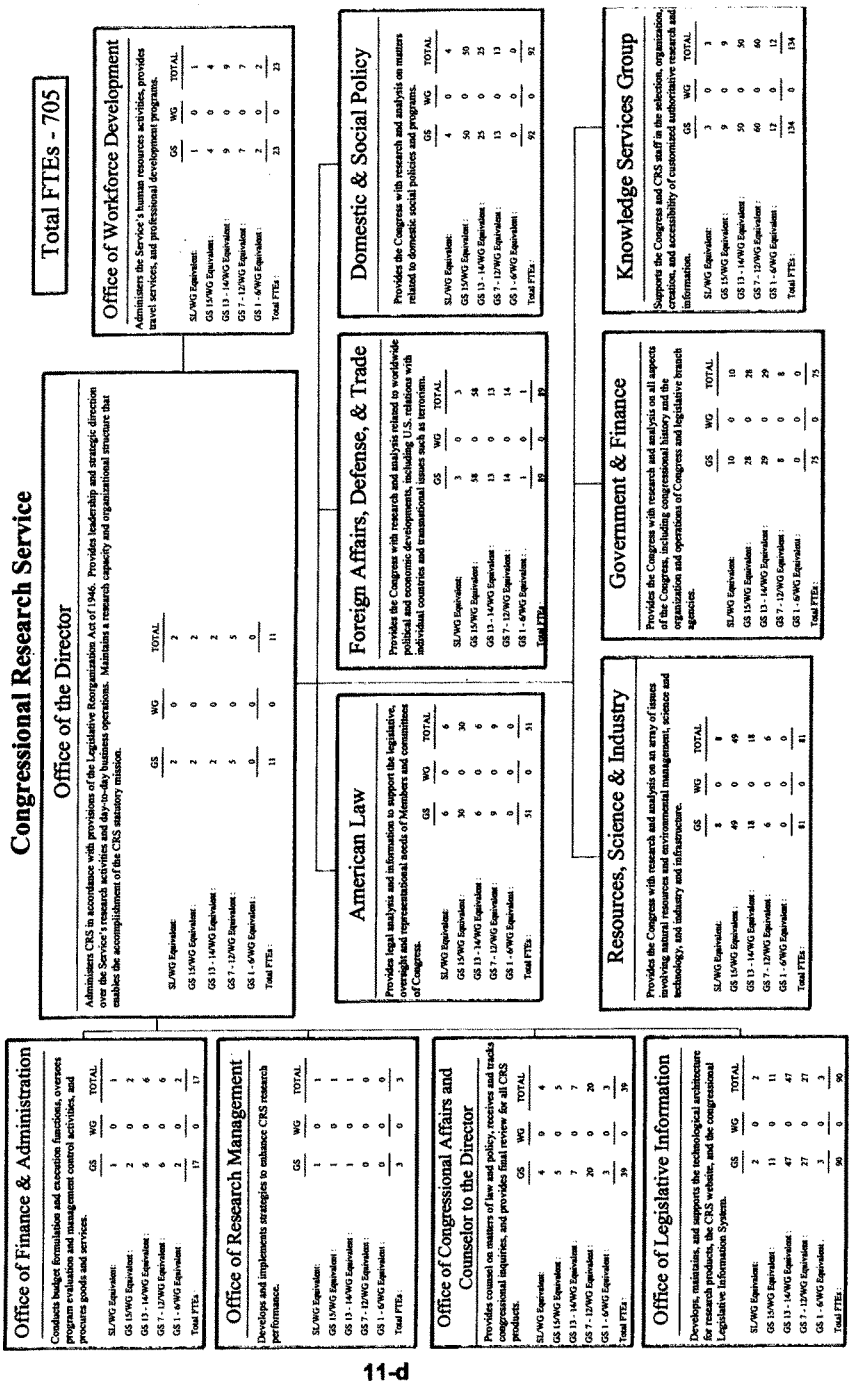
Coordinates and manages all aspects of Library of Congress special and public events.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent : | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 0 | 0 | 0 |
| GS 7 - 12/WG Equivalent : | 0 | 0 | 0 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs : | 1 | 0 | 1 |

## Development Office

To reach agency fundraising goal and coordinate and track all fundraising activities throughout the Library.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 0 | 0 | 0 |
| GS 13 - 14/WG Equivalent : | 1 | 0 | 1 |
| GS 7 - 12/WG Equivalent : | 0 | 0 | 0 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs : | 2 | 0 | 2 |


Congressional Research Service
Total FTEs - 705
Office of the Director
Administers CRS in accordance with provisions of the Legislative Reorganization Act of 1946. Provides leadership and strategic direction over the Service's research activities and day-to-day business operations. Maintains a research capacity and organizational structure that enables the accomplishment of the CRS statutory mission.
SL/WG Equivalent: GS 2 WG 0 TOTAL 2
GS 15/WG Equivalent: 2 0 2
GS 13 - 14/WG Equivalent: 2 0 2
GS 7 - 12/WG Equivalent: 5 0 5
GS 1 - 6/WG Equivalent: 0 0 0
Total FTEs: 11 0 11
Office of Workforce Development
Administers the Service's human resources activities, provides travel services, and professional development programs.
SL/WG Equivalent: GS 1 WG 0 TOTAL 1
GS 15/WG Equivalent: 4 0 4
GS 13 - 14/WG Equivalent: 9 0 9
GS 7 - 12/WG Equivalent: 7 0 7
GS 1 - 6/WG Equivalent: 2 0 2
Total FTEs: 23 0 23
Office of Finance & Administration
Conducts budget formulation and execution functions, oversees program evaluation and management control activities, and procures goods and services.
SL/WG Equivalent: GS 1 WG 0 TOTAL 1
GS 15/WG Equivalent: 2 0 2
GS 13 - 14/WG Equivalent: 6 0 6
GS 7 - 12/WG Equivalent: 6 0 6
GS 1 - 6/WG Equivalent: 2 0 2
Total FTEs: 17 0 17
American Law
Provides legal analysis and information to support the legislative, oversight and representational needs of Members and committees of Congress.
SL/WG Equivalent: GS 6 WG 0 TOTAL 6
GS 15/WG Equivalent: 30 0 30
GS 13 - 14/WG Equivalent: 6 0 6
GS 7 - 12/WG Equivalent: 9 0 9
GS 1 - 6/WG Equivalent: 0 0 0
Total FTEs: 51 0 51
Foreign Affairs, Defense, & Trade
Provides the Congress with research and analysis related to worldwide political and economic developments, including U.S. relations with individual countries and transnational issues such as terrorism.
SL/WG Equivalent: GS 3 WG 0 TOTAL 3
GS 15/WG Equivalent: 38 0 38
GS 13 - 14/WG Equivalent: 13 0 13
GS 7 - 12/WG Equivalent: 14 0 14
GS 1 - 6/WG Equivalent: 1 0 1
Total FTEs: 69 0 69
Domestic & Social Policy
Provides the Congress with research and analysis on matters related to domestic social policies and programs.
SL/WG Equivalent: GS 4 WG 0 TOTAL 4
GS 15/WG Equivalent: 50 0 50
GS 13 - 14/WG Equivalent: 25 0 25
GS 7 - 12/WG Equivalent: 13 0 13
GS 1 - 6/WG Equivalent: 0 0 0
Total FTEs: 92 0 92
Office of Research Management
Develops and implements strategies to enhance CRS research performance.
SL/WG Equivalent: GS 1 WG 0 TOTAL 1
GS 15/WG Equivalent: 1 0 1
GS 13 - 14/WG Equivalent: 1 0 1
GS 7 - 12/WG Equivalent: 0 0 0
GS 1 - 6/WG Equivalent: 0 0 0
Total FTEs: 3 0 3
Resources, Science & Industry
Provides the Congress with research and analysis on an array of issues involving natural resources and environmental management, science and technology, and industry and infrastructure.
SL/WG Equivalent: GS 8 WG 0 TOTAL 8
GS 15/WG Equivalent: 49 0 49
GS 13 - 14/WG Equivalent: 18 0 18
GS 7 - 12/WG Equivalent: 6 0 6
GS 1 - 6/WG Equivalent: 0 0 0
Total FTEs: 81 0 81
Government & Finance
Provides the Congress with research and analysis on all aspects of the Congress, including congressional history and the organization and operations of Congress and legislative branch agencies.
SL/WG Equivalent: GS 10 WG 0 TOTAL 10
GS 15/WG Equivalent: 28 0 28
GS 13 - 14/WG Equivalent: 29 0 29
GS 7 - 12/WG Equivalent: 8 0 8
GS 1 - 6/WG Equivalent: 0 0 0
Total FTEs: 75 0 75
Knowledge Services Group
Supports the Congress and CRS staff in the selection, organization, creation, and accessibility of customized authoritative research and information.
SL/WG Equivalent: GS 3 WG 0 TOTAL 3
GS 15/WG Equivalent: 9 0 9
GS 13 - 14/WG Equivalent: 50 0 50
GS 7 - 12/WG Equivalent: 60 0 60
GS 1 - 6/WG Equivalent: 12 0 12
Total FTEs: 134 0 134
Office of Congressional Affairs and Counselor to the Director
Provides counsel on matters of law and policy, receives and tracks congressional inquiries, and provides final review for all CRS products.
SL/WG Equivalent: GS 4 WG 0 TOTAL 4
GS 15/WG Equivalent: 5 0 5
GS 13 - 14/WG Equivalent: 7 0 7
GS 7 - 12/WG Equivalent: 20 0 20
GS 1 - 6/WG Equivalent: 3 0 3
Total FTEs: 39 0 39
Office of Legislative Information
Develops, maintains, and supports the technological architecture for research products, the CRS website, and the congressional Legislative Information System.
SL/WG Equivalent: GS 2 WG 0 TOTAL 2
GS 15/WG Equivalent: 11 0 11
GS 13 - 14/WG Equivalent: 47 0 47
GS 7 - 12/WG Equivalent: 27 0 27
GS 1 - 6/WG Equivalent: 3 0 3
Total FTEs: 90 0 90
11-d

# Copyright Office

## Copyright Royalty Judges

Sets rates and determines royalty distributions for statutory licenses.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 3 | 0 | 3 |
| GS 15/WG Equivalent : | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 1 | 0 | 1 |
| GS 7 - 12/WG Equivalent : | 1 | 0 | 1 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs : | 6 | 0 | 6 |

## Office of the Register

The Register of Copyrights, under the Copyright Act, directs the Copyright Office; administers the copyright law of the United States; promulgates copyright regulations; advises Congress, government agencies, and courts on copyright issues; and works with executive branch agencies to protect U.S. works abroad. The Office of the Register includes the General Counsel, the Associate Register for Policy and International Affairs, the Chief Operating Officer, the Administrative Services Office, and the Copyright Technology Office.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 4 | 0 | 4 |
| GS 15/WG Equivalent : | 8 | 0 | 8 |
| GS 13 - 14/WG Equivalent : | 23 | 0 | 23 |
| GS 7 - 12/WG Equivalent : | 15 | 0 | 15 |
| GS 1 - 6/WG Equivalent : | 2 | 0 | 2 |
| Total FTEs : | 52 | 0 | 52 |

Total FTEs - 523

## Acquisitions Division

Acquires works needed for the collections of the Library of Congress through the enforcement of the mandatory deposit requirements of section 407 of the copyright law.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent : | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 1 | 0 | 1 |
| GS 7 - 12/WG Equivalent : | 16 | 0 | 16 |
| GS 1 - 6/WG Equivalent : | 3 | 0 | 3 |
| Total FTEs : | 21 | 0 | 21 |

## Cataloging Division

Records the copyright facts and a brief bibliographic description for all works registered in the Copyright Office; creates a public record of documents submitted for recordation.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent : | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 5 | 0 | 5 |
| GS 7 - 12/WG Equivalent : | 79 | 0 | 79 |
| GS 1 - 6/WG Equivalent : | 7 | 0 | 7 |
| Total FTEs : | 92 | 0 | 92 |

## Examining Division

Examines all applications and deposits submitted for copyright and copyright-related registration under copyright law, related laws, court decisions, and Copyright Office regulations.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent : | 2 | 0 | 2 |
| GS 13 - 14/WG Equivalent : | 13 | 0 | 13 |
| GS 7 - 12/WG Equivalent : | 83 | 0 | 83 |
| GS 1 - 6/WG Equivalent : | 12 | 0 | 12 |
| Total FTEs : | 110 | 0 | 110 |

## Information & Reference Division

Responds to all copyright information and reference requests including forms, publications, and search reports; maintains the Office website; manages the information and publications programs; prepares certifications and other legal documents; preserves and maintains copyright-related records.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent : | 3 | 0 | 3 |
| GS 13 - 14/WG Equivalent : | 5 | 1 | 6 |
| GS 7 - 12/WG Equivalent : | 53 | 0 | 53 |
| GS 1 - 6/WG Equivalent : | 22 | 0 | 22 |
| Total FTEs : | 83 | 1 | 84 |

## Receiving and Processing Division

Receives all incoming and dispatches all outgoing materials; establishes controls for materials in process; searches, assembles, and expedites material for processing; maintains accounts and related reports on fees received and services rendered.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent : | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 2 | 0 | 2 |
| GS 7 - 12/WG Equivalent : | 56 | 0 | 56 |
| GS 1 - 6/WG Equivalent : | 65 | 0 | 65 |
| Total FTEs : | 124 | 0 | 124 |

## Licensing Division

Administers the provisions of the copyright law relating to statutory licenses and obligations; collects royalty fees from cable operators, satellite carriers, and importers and manufacturers of digital audio recording devices; disburses these royalties as determined by the Copyright Royalty Judges.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent : | 0 | 0 | 0 |
| GS 13 - 14/WG Equivalent : | 3 | 0 | 3 |
| GS 7 - 12/WG Equivalent : | 22 | 0 | 22 |
| GS 1 - 6/WG Equivalent : | 9 | 0 | 9 |
| Total FTEs : | 34 | 0 | 34 |

# Law Library

## Office of the Law Librarian

The Office of the Law Librarian provides policy and program direction as well as support to Directorates and support functions of the Law Library which collectively provide innovative legal research and reference to the Law Library's various constituencies.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 3 | 0 | 3 |
| GS 13 - 14/WG Equivalent : | 11 | 0 | 11 |
| GS 7 - 12/WG Equivalent : | 10 | 0 | 10 |
| GS 1 - 6/WG Equivalent : | 1 | 0 | 1 |
| Total FTEs: | 26 | 0 | 26 |

Total FTEs - 101

## Law Library Services Directorate

Responsible for developing policies and coordinating all aspects of congressional and public legal information services and to insure uniformity of its collections and services with other divisions of the Library of Congress.

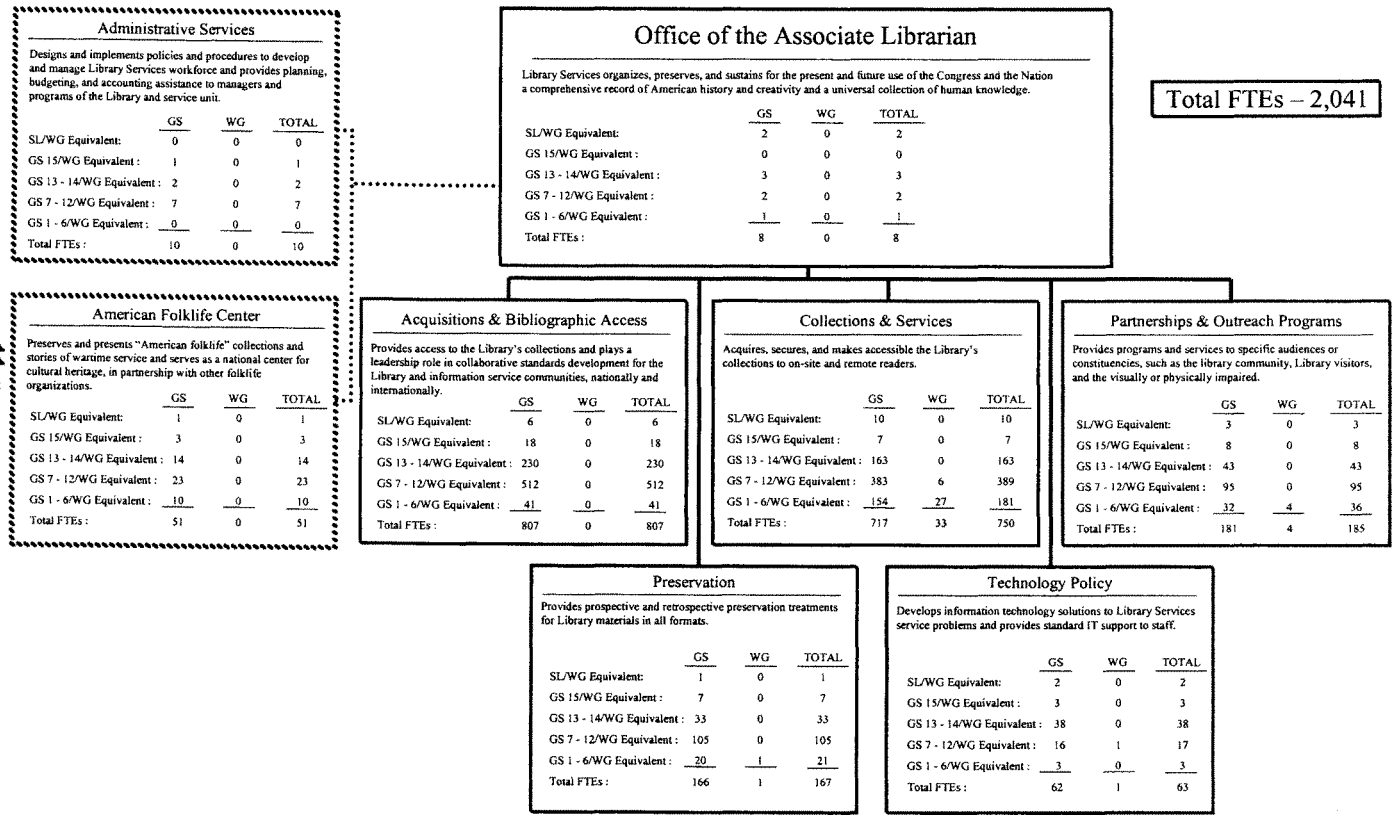
| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent: | 2 | 0 | 2 |
| GS 13 - 14/WG Equivalent : | 7 | 0 | 7 |
| GS 7 - 12/WG Equivalent : | 30 | 0 | 30 |
| GS 1 - 6/WG Equivalent : | 5 | 0 | 5 |
| Total FTEs : | 45 | 0 | 45 |

## Legal Research Directorate

Responsible for legal and legislative analytical research and reference services, dealing with issues concerning international, comparative, and interrelated national laws, and developing the Law Library's international and comparative Law collections.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 3 | 0 | 3 |
| GS 15/WG Equivalent: | 11 | 0 | 11 |
| GS 13 - 14/WG Equivalent : | 9 | 0 | 9 |
| GS 7 - 12/WG Equivalent : | 7 | 0 | 7 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs : | 30 | 0 | 30 |

# Library Services



## Office of the Associate Librarian

Library Services organizes, preserves, and sustains for the present and future use of the Congress and the Nation a comprehensive record of American history and creativity and a universal collection of human knowledge.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 2 | 0 | 2 |
| GS 15/WG Equivalent : | 0 | 0 | 0 |
| GS 13 - 14/WG Equivalent : | 3 | 0 | 3 |
| GS 7 - 12/WG Equivalent : | 2 | 0 | 2 |
| GS 1 - 6/WG Equivalent : | 1 | 0 | 1 |
| Total FTEs : | 8 | 0 | 8 |

**Total FTEs – 2,041**

## Administrative Services

Designs and implements policies and procedures to develop and manage Library Services workforce and provides planning, budgeting, and accounting assistance to managers and programs of the Library and service unit.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent : | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 2 | 0 | 2 |
| GS 7 - 12/WG Equivalent : | 7 | 0 | 7 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs : | 10 | 0 | 10 |

## American Folklife Center

Preserves and presents "American folklife" collections and stories of wartime service and serves as a national center for cultural heritage, in partnership with other folklife organizations.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 3 | 0 | 3 |
| GS 13 - 14/WG Equivalent : | 14 | 0 | 14 |
| GS 7 - 12/WG Equivalent : | 23 | 0 | 23 |
| GS 1 - 6/WG Equivalent : | 10 | 0 | 10 |
| Total FTEs : | 51 | 0 | 51 |

## Acquisitions & Bibliographic Access

Provides access to the Library's collections and plays a leadership role in collaborative standards development for the Library and information service communities, nationally and internationally.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 6 | 0 | 6 |
| GS 15/WG Equivalent : | 18 | 0 | 18 |
| GS 13 - 14/WG Equivalent : | 230 | 0 | 230 |
| GS 7 - 12/WG Equivalent : | 512 | 0 | 512 |
| GS 1 - 6/WG Equivalent : | 41 | 0 | 41 |
| Total FTEs : | 807 | 0 | 807 |

## Collections & Services

Acquires, secures, and makes accessible the Library's collections to on-site and remote readers.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 10 | 0 | 10 |
| GS 15/WG Equivalent : | 7 | 0 | 7 |
| GS 13 - 14/WG Equivalent : | 163 | 0 | 163 |
| GS 7 - 12/WG Equivalent : | 383 | 6 | 389 |
| GS 1 - 6/WG Equivalent : | 154 | 27 | 181 |
| Total FTEs : | 717 | 33 | 750 |

## Partnerships & Outreach Programs

Provides programs and services to specific audiences or constituencies, such as the library community, Library visitors, and the visually or physically impaired.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 3 | 0 | 3 |
| GS 15/WG Equivalent : | 8 | 0 | 8 |
| GS 13 - 14/WG Equivalent : | 43 | 0 | 43 |
| GS 7 - 12/WG Equivalent : | 95 | 0 | 95 |
| GS 1 - 6/WG Equivalent : | 32 | 4 | 36 |
| Total FTEs : | 181 | 4 | 185 |

## Preservation

Provides prospective and retrospective preservation treatments for Library materials in all formats.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 7 | 0 | 7 |
| GS 13 - 14/WG Equivalent : | 33 | 0 | 33 |
| GS 7 - 12/WG Equivalent : | 105 | 0 | 105 |
| GS 1 - 6/WG Equivalent : | 20 | 1 | 21 |
| Total FTEs : | 166 | 1 | 167 |

## Technology Policy

Develops information technology solutions to Library Services service problems and provides standard IT support to staff.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 2 | 0 | 2 |
| GS 15/WG Equivalent : | 3 | 0 | 3 |
| GS 13 - 14/WG Equivalent : | 38 | 0 | 38 |
| GS 7 - 12/WG Equivalent : | 16 | 1 | 17 |
| GS 1 - 6/WG Equivalent : | 3 | 0 | 3 |
| Total FTEs : | 62 | 1 | 63 |

# Office of Strategic Initiatives

## Office of the Associate Librarian

Oversee institution-wide digital initiatives and lead the national program to build a preservation network and infrastructure for the nation's important digital assets. Includes management support and oversight for Information Technology Services.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 3 | 0 | 3 |
| GS 15/WG Equivalent : | 4 | 0 | 4 |
| GS 13 - 14/WG Equivalent : | 9 | 0 | 9 |
| GS 7 - 12/WG Equivalent : | 10 | 0 | 10 |
| GS 1 - 6/WG Equivalent : | 2 | 0 | 2 |
| Total : | 28 | 0 | 28 |

Total FTEs - 351

## Digital Initiatives

Oversees the life cycle management of the Library's digital assets and implementation of Library-wide institution digital initiatives; brings the Library's educational primary source materials online to local jurisdictions, teachers and classrooms.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 8 | 0 | 8 |
| GS 13 - 14/WG Equivalent : | 45 | 0 | 45 |
| GS 7 - 12/WG Equivalent : | 35 | 0 | 35 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs: | 88 | 0 | 88 |

## Information Technology Services

Responsible for the planning, analysis, design, development and maintenance of software and hardware system, telecommunications systems and services, and network architecture and software in support of Library mission and operations

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 4 | 0 | 4 |
| GS 15/WG Equivalent: | 19 | 0 | 19 |
| GS 13 - 14/WG Equivalent : | 143 | 0 | 143 |
| GS 7 - 12/WG Equivalent : | 43 | 0 | 43 |
| GS 1 - 6/WG Equivalent : | 1 | 0 | 1 |
| Total FTEs: | 210 | 0 | 210 |

## National Digital Information Infrastructure Preservation Program

Responsible for the establishment of a national network of committed partners, collaborating in a digital preservation architecture with defined roles and responsibilities.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent: | 6 | 0 | 6 |
| GS 13 - 14/WG Equivalent : | 10 | 0 | 10 |
| GS 7 - 12/WG Equivalent : | 8 | 0 | 8 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs: | 25 | 0 | 25 |

# Office of the Chief Financial Officer

## Office of the Chief Financial Officer

OCFO directs a comprehensive financial management program and is responsible for the development and tracking of the Library's strategic and performance plans, the formulation, presentation, and execution of the Library's budget, the establishment and monitoring of financial systems controlling the expenditure and reporting of funds, financial reporting, and the establishment of all budgetary and accounting standards.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 0 | 0 | 0 |
| GS 13 - 14/WG Equivalent : | 1 | 0 | 1 |
| GS 7 - 12/WG Equivalent : | 2 | 0 | 2 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs : | 4 | 0 | 4 |

Total FTEs - 56

## Strategic Planning Office

Responsible for coordinating the preparation and tracking of the Library's strategic and annual performance plans.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 0 | 0 | 0 |
| GS 13 - 14/WG Equivalent : | 3 | 0 | 3 |
| GS 7 - 12/WG Equivalent : | 0 | 0 | 0 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs : | 4 | 0 | 4 |

## Budget Office

Responsible for budget formulation, presentation and execution processes.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 3 | 0 | 3 |
| GS 13 - 14/WG Equivalent : | 5 | 0 | 5 |
| GS 7 - 12/WG Equivalent : | 1 | 0 | 1 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs : | 10 | 0 | 10 |

## Accounting Operations Office

Responsible for processing obligations and invoice payments for vendors, coordinating travel arrangements, and processing payroll transactions.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent : | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 2 | 0 | 2 |
| GS 7 - 12/WG Equivalent : | 8 | 0 | 8 |
| GS 1 - 6/WG Equivalent : | 3 | 0 | 3 |
| Total FTEs : | 14 | 0 | 14 |

## Financial Reports Office

Responsible for preparing monthly, quarterly and annual reports to the Treasury, and financial statements for audit, coordinating cost accounting and reconciling of accounts.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent : | 2 | 0 | 2 |
| GS 13 - 14/WG Equivalent : | 6 | 0 | 6 |
| GS 7 - 12/WG Equivalent : | 4 | 0 | 4 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs : | 12 | 0 | 12 |

## Disbursing Office

Responsible for payment of invoices via EFT and check, processing receipts, and handling of investments.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent : | 0 | 0 | 0 |
| GS 13 - 14/WG Equivalent : | 1 | 0 | 1 |
| GS 7 - 12/WG Equivalent : | 4 | 0 | 4 |
| GS 1 - 6/WG Equivalent : | 1 | 0 | 1 |
| Total FTEs : | 6 | 0 | 6 |

## Financial Systems Office

Responsible for the monitoring, enhancing and upgrading of the Library's central financial system.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent : | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 5 | 0 | 5 |
| GS 7 - 12/WG Equivalent : | 0 | 0 | 0 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs : | 6 | 0 | 6 |

# Human Resources Services

## Office of the Director of Human Resources Services

In partnership with the service and infrastructure units, HRS designs and implements the policies, procedures, and systems to build, develop, and manage the workforce to support the Library's mission and priorities.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 1 | 0 | 1 |
| GS 7 - 12/WG Equivalent : | 1 | 0 | 1 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total : | 4 | 0 | 4 |

Total FTEs - 60

## Workforce Acquisitions

Responsible for recruiting and hiring a diverse and talented workforce through innovative strategies that emphasize speed and flexibility.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 7 | 0 | 7 |
| GS 7 - 12/WG Equivalent : | 12 | 0 | 12 |
| GS 1 - 6/WG Equivalent : | 1 | 0 | 1 |
| Total FTEs: | 21 | 0 | 21 |

## Workforce Management

Responsible for managing all aspects of labor and employees relations and performance management programs for the Library.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 3 | 0 | 3 |
| GS 7 - 12/WG Equivalent : | 5 | 0 | 5 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs: | 9 | 0 | 9 |

## Worklife Services

Responsible for providing benefits, retirement, and employee assistance counseling as well as a wide-ranging array of human resources services and information to Library managers and staff.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 3 | 0 | 3 |
| GS 7 - 12/WG Equivalent : | 12 | 0 | 12 |
| GS 1 - 6/WG Equivalent : | 2 | 0 | 2 |
| Total FTEs: | 18 | 0 | 18 |

## Strategic Planning & Automation

Responsible for ensuring human resources alignment to Library strategic goals and objectives; supporting workforce planning; and identifying and implementing electronic solutions to human resources needs.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 4 | 0 | 4 |
| GS 7 - 12/WG Equivalent : | 3 | 0 | 3 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs: | 8 | 0 | 8 |

# Integrated Support Services

## Office of the Director

Responsible for planning, managing, and providing infrastructure support to the Library to include printing, graphics, transportation, mail, freight, and logistic services; operation, utilization and renovation of all facilities, management of Library parking program and ensuring the health and safety of staff, visitors and contractors. The Office of the Director plans, manages and provides oversight to all ISS functional activities, including budget, information technology, administrative and personnel support.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 4 | 0 | 4 |
| GS 7 - 12/WG Equivalent : | 9 | 0 | 9 |
| GS 1 - 6/WG Equivalent : | 3 | 0 | 3 |
| Total FTEs : | 18 | 0 | 18 |

Total FTEs - 153

## Facility Services

Plans, designs and provides oversight of construction, alterations and operations of Library buildings and grounds; manages custodial and food services programs and the use and operation of public meeting spaces.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent : | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 7 | 0 | 7 |
| GS 7 - 12/WG Equivalent : | 16 | 7 | 23 |
| GS 1 - 6/WG Equivalent : | 5 | 8 | 13 |
| Total FTEs : | 29 | 15 | 44 |

## Health Services

Develops and administers the Library's occupational health and medicine program, workers compensation program, and all public and workforce health issues; first responder to medical emergencies.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent : | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 2 | 0 | 2 |
| GS 7 - 12/WG Equivalent : | 6 | 0 | 6 |
| GS 1 - 6/WG Equivalent : | 2 | 0 | 2 |
| Total FTEs : | 11 | 0 | 11 |

## Logistics

Responsible for utilization, inventory control and disposal of Library furniture and equipment; management of reimbursable supply operation, including a warehouse; the receipt, storage and deliveries of supplies and materials.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent : | 0 | 0 | 0 |
| GS 13 - 14/WG Equivalent : | 1 | 0 | 1 |
| GS 7 - 12/WG Equivalent : | 8 | 6 | 14 |
| GS 1 - 6/WG Equivalent : | 0 | 7 | 7 |
| Total FTEs : | 9 | 13 | 22 |

## Office Systems Services

Responsible for Library's correspondence and records management program, transportation services, printing, duplication, mail and messenger services and the loading dock operation.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent : | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 5 | 0 | 5 |
| GS 7 - 12/WG Equivalent : | 21 | 9 | 30 |
| GS 1 - 6/WG Equivalent : | 14 | 0 | 14 |
| Total FTEs : | 41 | 9 | 50 |

## Safety Services

Manages Library fire prevention, safety, environmental health and environmental compliance programs; provides advice and guidance to agency safety committee; conducts periodic safety and environmental health evaluations; and develops hazard abatement plans.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent : | 0 | 0 | 0 |
| GS 13 - 14/WG Equivalent : | 6 | 0 | 6 |
| GS 7 - 12/WG Equivalent : | 2 | 0 | 2 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs : | 8 | 0 | 8 |

# Security and Emergency Preparedness

## Office of the Director of Security and Emergency Preparedness

The Office of the Director of Security and Emergency Preparedness provides and maintains security of Library staff and visitors; safeguards Library facilities, collections, assets, and information; maintains personnel security and suitability programs; executes an investigations program responsible for criminal, civil, and administrative investigations involving violations of laws and regulations affecting Library programs and operations; and manages the Library's Emergency Preparedness Program.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 1 | 0 | 1 |
| GS 15/WG Equivalent : | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 2 | 0 | 2 |
| GS 7 - 12/WG Equivalent : | 2 | 0 | 2 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total : | 6 | 0 | 6 |

Total FTEs - 143

## Personnel Security Office

Responsible for administering the Library's personnel security and suitability programs; initiating and adjudicating background investigations to determine suitability of employees and contractors; and determining security clearance eligibility of individuals requiring access to classified national security information.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 0 | 0 | 0 |
| GS 13 - 14/WG Equivalent : | 2 | 0 | 2 |
| GS 7 - 12/WG Equivalent : | 3 | 0 | 3 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs: | 5 | 0 | 5 |

## Emergency Preparedness Office

Responsible for managing the Library's Emergency Preparedness Program, including staff training, exercises, plan review, and incident response and recovery; management of the Library's Emergency Management Center; and coordination with Library officers and outside agencies on emergency preparedness.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 0 | 0 | 0 |
| GS 13 - 14/WG Equivalent : | 3 | 0 | 3 |
| GS 7 - 12/WG Equivalent : | 1 | 0 | 1 |
| GS 1 - 6/WG Equivalent : | 0 | 0 | 0 |
| Total FTEs: | 4 | 0 | 4 |

## Protective Services

Responsible for administering the Library's program for the protection of staff, visitor's, collections, and equipment; the Library's Information Security Program for classified materials; the operation of the Library of Congress Police; and electronic and physical security services.

| | GS | WG | TOTAL |
|---|---|---|---|
| SL/WG Equivalent: | 0 | 0 | 0 |
| GS 15/WG Equivalent: | 1 | 0 | 1 |
| GS 13 - 14/WG Equivalent : | 7 | 0 | 7 |
| GS 7 - 12/WG Equivalent : | 118 | 0 | 118 |
| GS 1 - 6/WG Equivalent : | 2 | 0 | 2 |
| Total FTEs: * | 128 | 0 | 128 |

* Includes 114 Police FTEs

# Library of Congress
# Resource Summary

(Dollars in Thousands)

| Appropriation/PPA | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | Change | Percent of Increase |
|---|---|---|---|---|---|
| **Library of Congress, S&E** | | | | | |
| National Library: | | | | | |
| National Library - Basic | $189,703 | $197,348 | $206,357 | + $ 9,009 | |
| Purchase of Library Materials | 12,156 | 13,832 | 16,509 | + 2,677 | |
| Office of Strategic Initiatives | 80,406 | 82,439 | 83,679 | + 1,240 | |
| Cataloging Distribution Service | 4,498 | 6,633 | 6,000 | - 633 | |
| Law Library | 13,200 | 13,551 | 14,026 | + 475 | |
| Management Support Services: | | | | | |
| Office of the Librarian | 21,124 | 22,376 | 24,682 | + 2,306 | |
| Human Resources Services | 7,987 | 7,675 | 8,265 | + 590 | |
| Integrated Support Services | 24,488 | 27,071 | 28,529 | + 1,458 | |
| Security & Emergency Preparedness | 21,103 | 20,871 | 21,247 | + 376 | |
| **Total, LC, S&E, Budget** | **$374,665** | **$391,796** | **$409,294** | **+ $17,498** | |
| CDS & Law Library Offsetting Collections | | - 6,286 | - 6,350 | - 64 | |
| **Total, LC, S&E, Appropriation** | **$374,665** | **$385,510** | **$402,944** | **+ $17,434** | |
| **Copyright Office, S&E** | | | | | |
| Basic | $ 41,916 | $ 52,605 | $ 53,540 | + $ 935 | |
| Licensing | 3,561 | 3,826 | 3,964 | + 138 | |
| CARP | 360 | 297 | 301 | + 4 | |
| CRJ | 260 | 1,287 | 1,384 | + 97 | |
| **Total, Copyright, S&E, Budget** | **$ 46,097** | **$ 58,015** | **$ 59,189** | **+ $ 1,174** | |
| Basic Offsetting Collections | | - 30,176 | - 28,335 | + 1,841 | |
| Licensing, CARP, & CRJ Offsetting Collections | | - 5,410 | - 5,649 | - 239 | |
| **Total, CO, S&E, Appropriation** | **$ 46,097** | **$ 22,429** | **$ 25,205** | **+ $ 2,776** | |
| **Congressional Research Serv, S&E** | **$ 95,856** | **$ 99,907** | **$104,279** | **+ $ 4,372** | |
| **BBPH, S&E** | **$ 53,403** | **$ 53,905** | **$ 55,703** | **+ $ 1,798** | |
| **Total Budget** | **$570,021** | **$603,623** | **$628,465** | **+ $24,842** | **4.1%** |
| **Total Offsetting Collections** | | - 41,872 | - 40,334 | + 1,538 | |
| **Total Library of Congress Appropriations** | **$570,021** | **$561,751** | **$588,131** | **+ $26,380** | |
| **AOC Library Buildings and Grounds** | | **$ 68,075** | **$102,237** | **+ $34,162** | **50.2%** |
| **Total Library of Congress Related Funding** | | **$629,826** | **$690,368** | **+ $60,542** | **9.6%** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

# Library of Congress
# Resource Summary
# Analysis of Change

(Dollars in Thousands)

| Appropriation/PPA | FY 2006 Enacted [1] | FY 2007 | | | | | | FY 2007 Total Request |
|---|---|---|---|---|---|---|---|---|
| | | Mandatory Increases | Price Level | Sub-total | Non-Recurring | Current Services Request | Program Increases | |
| **Library of Congress, S&E** | | | | | | | | |
| National Library: | | | | | | | | |
| National Library - Basic | $197,348 | $6,260 | $887 | $7,147 | -$588 | $203,907 | $2,450 | $206,357 |
| Purchase of Library Materials | 13,832 | 0 | 677 | 677 | 0 | 14,509 | 2,000 | 16,509 |
| Office of Strategic Initiatives | 82,439 | 1,457 | 1,287 | 2,744 | -150 | 85,033 | -1,354 | 83,679 |
| Cataloging Distribution Service | 6,633 | 60 | 0 | 60 | -693 | 6,000 | 0 | 6,000 |
| Law Library | 13,551 | 393 | 82 | 475 | 0 | 14,026 | 0 | 14,026 |
| Management Support Services: | | | | | | | | |
| Office of the Librarian | 22,376 | 1,459 | 66 | 1,525 | 0 | 23,901 | 781 | 24,682 |
| Human Resources Services | 7,675 | 243 | 347 | 590 | 0 | 8,265 | 0 | 8,265 |
| Integrated Support Services | 27,071 | 476 | 964 | 1,440 | -1 | 28,510 | 19 | 28,529 |
| Security & Emergency Prep | 20,871 | 589 | 141 | 730 | -354 | 21,247 | 0 | 21,247 |
| **Total, LC, S&E, Budget** | **$391,796** | **$10,937** | **$4,451** | **$15,388** | **-$1,786** | **$405,398** | **$3,896** | **$409,294** |
| CDS & LL Offsetting Collections | -6,286 | -60 | -4 | -64 | 0 | -6,350 | 0 | -6,350 |
| **Total, LC, S&E, Appropriation** | **$385,510** | **$10,877** | **$4,447** | **$15,324** | **-$1,786** | **$399,048** | **$3,896** | **$402,944** |
| **Copyright Office, S&E** | | | | | | | | |
| Basic | $52,605 | $1,449 | $327 | $1,776 | -$1,841 | $52,540 | $1,000 | $53,540 |
| Licensing | 3,826 | 111 | 27 | 138 | 0 | 3,964 | 0 | 3,964 |
| CARP | 297 | 0 | 4 | 4 | 0 | 301 | 0 | 301 |
| CRJ | 1,287 | 81 | 16 | 97 | 0 | 1,384 | 0 | 1,384 |
| **Total, Copyright, S&E, Budget** | **$58,015** | **$1,641** | **$374** | **$2,015** | **-$1,841** | **$58,189** | **$1,000** | **$59,189** |
| Basic Offsetting Collections | -30,176 | 0 | 0 | 0 | 1,841 | -28,335 | 0 | -28,335 |
| Licensing, CARP, CRJ Collections | -5,410 | -192 | -47 | -239 | 0 | -5,649 | 0 | -5,649 |
| **Total, CO, S&E, Appropriation** | **$22,429** | **$1,449** | **$327** | **$1,776** | **$0** | **$24,205** | **$1,000** | **$25,205** |
| **Congressional Res Serv, S&E** | **$99,907** | **$3,765** | **$607** | **$4,372** | **$0** | **$104,279** | **$0** | **$104,279** |
| **BBPH, S&E** | **$53,905** | **$439** | **$1,755** | **$2,194** | **-$396** | **$55,703** | **$0** | **$55,703** |
| **TOTAL BUDGET** | **$603,623** | **$16,782** | **$7,187** | **$23,969** | **-$4,023** | **$623,569** | **$4,896** | **$628,465** |
| Offsetting Collections | -41,872 | -252 | -51 | -303 | 1,841 | -40,334 | 0 | -40,334 |
| **TOTAL APPROPRIATIONS** | **$561,751** | **$16,530** | **$7,136** | **$23,666** | **-$2,182** | **$583,235** | **$4,896** | **$588,131** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

# Library of Congress
## Total Funds Available - All Sources
(Dollars in Thousands)

| | FY 2005 | FY 2006 Budget | FY 2007 Requested |
|---|---|---|---|
| **Total Appropriations:** | | | |
| Library of Congress | $545,362 | $561,751 [1] | $588,131 |
| AOC - Library Buildings and Grounds | 39,776 | 68,075 [1] | 102,237 |
| Appropriation transfers to/from the Library of Congress: | | | |
| Transfer to Abraham Lincoln Bicentennial Commission | (496) | (594) | (600) |
| **Subtotal, Appropriations** | **$584,642** | **$629,232** | **$689,768** |
| **Receipts:** | | | |
| Actual Collected and Estimated: | | | |
| Sales of catalog cards and publications | $4,158 | $5,940 | $6,000 |
| Collections to Global Legal Information Network | 5 | 346 | 350 |
| Copyright fees | 23,888 | 30,176 | 28,335 |
| Licensing, CARP, and CRJ fees | 4,251 | 5,410 | 5,649 |
| **Subtotal, Receipts** | **$32,302** | **$41,872** | **$40,334** |
| **Non-Appropriated Funds:** | | | |
| Gift and Trust Funds [2] | 11,078 | 11,203 | 10,375 |
| Revolving Fund Revenue (Actual & Estimated) | 73,280 | 81,651 | 82,430 |
| Reimbursable Activities (Actual & Estimated) | 7,537 | 1,300 | 1,300 |
| **Subtotal, Non-Appropriated Funds** | **$91,895** | **$94,154** | **$94,105** |
| **Total** | **$708,839** | **$765,258** | **$824,207** |

[1] FY 2006 enacted, less the 1% rescission.

[2] Includes new gift and trust fund contributions and income realized: excludes prior-year carryover funds.

# Library of Congress
# Statement of Receipts
(Dollars in Thousands)

| Statement of Receipts, Treasury Department General Fund Account | | | |
|---|---|---|---|
| | FY 2005 Actual | FY 2006 Estimate | FY 2007 Estimate |
| Other miscellaneous receipts | $49 | $100 | $100 |
| Total receipts into general fund account | $49 | $100 | $100 |
| **Statement of Receipts, Payments to Copyright Owners** | | | |
| Receipts from Fees, Cable Television, Satellite, and Dart | $214,240 | $262,183 | $254,710 |
| Receipts from Interest on Investments in Public Debt Securities | 21,737 | 44,455 | 32,633 |
| Total receipts into special fund account | $235,977 | $306,638 | $287,343 |

# Library of Congress
# Staffing Summary - FTEs

| Direct Funded by Appropriation/PPA | FY 2005 Actual | FY 2006 Enacted | FY 2007 Request | Change |
|---|---|---|---|---|
| **Library of Congress, S&E** | | | | |
| National Library: | | | | |
| National Library - Basic | 1,720 | 1,876 | 1,873 | - 3 |
| Purchase of Library Materials | 0 | 0 | 0 | 0 |
| Office of Strategic Initiatives | 302 | 355 | 351 | - 4 |
| Cataloging Distribution Service | 30 | 40 | 40 | 0 |
| Law Library | 89 | 101 | 101 | 0 |
| Management Support Services: | | | | |
| Office of the Librarian | 156 | 181 | 181 | 0 |
| Human Resources Services | 51 | 60 | 60 | 0 |
| Integrated Support Services | 131 | 153 | 153 | 0 |
| Security & Emergency Preparedness | 143 | 149 | 143 | - 6 |
| **Total, Library of Congress, S&E** | **2,622** | **2,915** | **2,902** | **- 13** |
| **Copyright Office, S&E** | | | | |
| Basic | 467 | 488 | 483 | - 5 |
| Licensing | 31 | 36 | 34 | - 2 |
| CARP | 2 | 0 | 0 | 0 |
| CRJ | 1 | 6 | 6 | 0 |
| **Total, Copyright Office, S&E** | **501** | **530** | **523** | **- 7** |
| **Congressional Research Service, S&E** | **700** | **729** | **705** | **- 24** |
| **BBPH, S&E** | 114 | 128 | 128 | 0 |
| **Total, Library of Congress** | **3,937** | **4,302** | **4,258** | **- 44** |

# Library of Congress
# Staffing Summary - FTEs
# Analysis of Change

| Appropriation/PPA | FY 2006 Enacted FTEs | FY 2007 | | | | FY 2007 Total Request |
|---|---|---|---|---|---|---|
| | | Annualized FTEs | Non-Recurring | Current Services Request | Program Inc/Dec | |
| **Library of Congress, S&E** | | | | | | |
| National Library: | | | | | | |
| National Library - Basic | 1,876 | | - 1 | 1,875 | - 2 | 1,873 |
| Purchase of Library Materials | 0 | | | 0 | | 0 |
| Office of Strategic Initiatives | 355 | | | 355 | - 4 | 351 |
| Cataloging Distribution Service | 40 | | | 40 | | 40 |
| Law Library | 101 | | | 101 | | 101 |
| Management Support Services: | | | | | | |
| Office of the Librarian | 181 | | | 181 | | 181 |
| Human Resources Services | 60 | | | 60 | | 60 |
| Integrated Support Services | 153 | | | 153 | | 153 |
| Security & Emergency Prep | 149 | | - 6 | 143 | | 143 |
| **Total, Library of Congress, S&E** | **2,915** | **0** | **- 7** | **2,908** | **- 6** | **2,902** |
| **Copyright Office, S&E** | | | | | | |
| Basic | 488 | | -5 | 483 | | 483 |
| Licensing | 36 | | -2 | 34 | | 34 |
| CARP | 0 | | | 0 | | 0 |
| CRJ | 6 | | | 6 | | 6 |
| **Total, Copyright, S&E, Budget** | **530** | | **-7** | **523** | **0** | **523** |
| **Congressional Res Serv, S&E** | **729** | | **-24** | **705** | **0** | **705** |
| **BBPH, S&E** | **128** | | **0** | **128** | **0** | **128** |
| **TOTAL, Library of Congress** | **4,302** | **0** | **- 38** | **4,264** | **- 6** | **4,258** |

# The Library of Congress
## Comparison of Appropriations, Staff, and Workload Statistics
## FY 2001 - 2006

| | FY 2001 | FY 2002 | FY 2003 | FY 2004 | FY 2005 | FY 2006 Budget | Change FY 2001-2006 | % Change |
|---|---|---|---|---|---|---|---|---|
| **LIBRARY APPROPRIATIONS - ACTUAL** [4] | $543,489,401 | $525,837,000 | $539,496,502 | $559,299,548 | $584,870,304 | $603,622,800 | + $60,133,399 | + 11.1% |
| **FULL-TIME EQUIVALENT (FTE) POSITIONS (Appropriated)** | 3,938 | 3,947 | 4,020 | 4,056 | 3,937 | 4,302 | + 364 | + 9.2% |
| **SIZE OF LIBRARY COLLECTIONS** | 124,247,602 | 126,060,980 | 127,720,880 | 130,198,428 | 131,879,073 | 134,000,000 | + 9,752,398 | + 7.8% |
| **WORKLOAD STATISTICS:** | | | | | | | | |
| Unprocessed Library Arrearages | 21,142,980 | 20,095,008 | 20,422,598 | 19,313,015 | 15,505,746 | 15,000,000 | - -6,142,980 | - -29.1% |
| CRS - Requests and Services Provided Congress | 711,612 | 811,467 | 875,197 | 899,284 | 906,445 | 921,037 | + 209,425 | + 29.4% |
| Loans of Collections to Congress | 25,713 | 25,099 | 29,454 | 29,067 | 29,646 | 30,000 | + 4,287 | + 16.7% |
| Copyright Claims Registered | 601,659 | 521,041 | 534,122 | 661,469 | 531,720 | 540,000 | - -61,659 | - -10.2% |
| Copyright Inquires | 339,658 | 358,604 | 371,446 | 381,845 | 362,263 | 370,000 | + 30,342 | + 8.9% |
| Services to the Blind and Physically Handicapped (BPH) - Readership | 742,000 | 695,907 | 766,137 | 799,718 | 799,718 | 799,718 | + 57,718 | + 7.8% |
| BPH - Books and Magazines; Total Circulated | 23,100,000 | 23,464,309 | 23,780,639 | 23,833,430 | 23,833,430 | 23,833,430 | + 733,430 | + 3.2% |
| BPH - New Braille, Audio Books, and Magazines Titles [1] | 2,638 | 2,663 | 2,764 | 4,994 | 4,361 | 4,361 | + 1,723 | + 65.3% |
| Print Materials Cataloged | 273,534 | 310,235 | 269,568 | 294,510 | 312,818 | 320,000 | + 46,466 | + 17.0% |
| National Coordinated Cataloging Operation (NACO) - LC Contribution | 90,542 | 88,475 | 93,584 | 101,081 | 101,829 | 100,000 | + 9,458 | + 10.4% |
| National Coordinated Cataloging Operation - Outside Contribution | 143,031 | 162,363 | 176,487 | 156,098 | 161,230 | 165,000 | + 21,969 | + 15.4% |
| Exhibits, Displays, and Publications (Funded by Appropriations) | 35 | 37 | 23 | 23 | 27 | 25 | - -10 | - -28.6% |
| Regular Tours (Participants) | 105,988 | 112,423 | 111,755 | 109,252 | 140,847 | 145,000 | + 39,012 | + 36.8% |
| Reference Service | 828,533 | 775,115 | 715,479 | 682,264 | 685,408 | 685,000 | - -143,533 | - -17.3% |
| Main Reading Room and Five Other Reading Rooms Hours Per Week | 65 | 65 | 65 | 65 | 65 | 65 | 0 | 0.0% |
| Items Circulated | 1,580,162 | 1,362,724 | 1,375,807 | 1,389,161 | 1,226,067 | 1,200,000 | - -380,162 | - -24.1% |
| Preservation Treatment - Original Format [2] | 326,623 | 666,422 | 1,591,735 | 2,648,334 | 2,754,425 | 2,750,000 | + 2,423,377 | + 741.9% |
| Mainframe Computer Transactions [3] | 63,913,258 | 109,008,458 | 111,175,428 | 103,463,022 | 50,730,911 | 12,679,735 | - -51,233,523 | - -80.2% |
| Integrated Library System Input/Update Transactions | 65,663,286 | 91,834,274 | 96,495,434 | 98,312,132 | 103,644,698 | 108,826,930 | + 43,163,644 | + 65.7% |
| Machine Readable Cataloging (MARC) Records | 31,103,700 | 31,638,841 | 33,758,594 | 35,360,828 | 36,873,893 | 38,717,588 | + 7,613,888 | + 24.5% |
| Internet Transactions (i.e.,LOCIS,MARVEL, WORLD-WIDE-WEB, and THOMAS public transactions) | 1,283,747,169 | 2,039,268,542 | 2,620,884,359 | 3,360,481,609 | 3,845,481,430 | 4,037,755,501 | + 2,754,008,332 | + 214.5% |

January 2006

1 Includes regular produced books, audio books converted from analog to digital, audio books produced digital to digital, and duplication of braille transcription masters from outside sources. This began in FY 2004.

2 The mass deacidification of paper sheets, a new process that was begun in FY 2003, treated 1,200,000 sheets in FY 2004. The treatment and rehousing of an additional 750,000 paper-based items resulted from multiyear initiatives for preventive preservation and for the preparation of items in advance of their relocation to off-site storage facilities.

3 The Library if phasing out its mainframe applications and changing over to a server-based environment.

4 The Legislative Branch Appropriations Act, FY 2006, PL 109-55, includes a rescission of $6,858,000 against FY 2001 funding made available for the NDIIPP program under PL 106-554.

## Library of Congress
## FY 2007
## Supplemental Data on Mandatory Increases

(Dollars in Thousands)

| Category | LC, S&E | CO, S&E | CRS, S&E | BBPH, S&E | Total |
|---|---|---|---|---|---|
| **Mandatory** | | | | | |
| 1. Pay Raises: | | | | | |
| 1a. January 2007 Pay Raise | $5,406 | $828 | $1,797 | $222 | $8,253 |
| 1b. Foreign Service Nationals (FSN) Pay Raise | 225 | 0 | 0 | 0 | 225 |
| 2. Annualization of January 2006 Pay Raise | 2,905 | 452 | 978 | 121 | 4,456 |
| 3. Within-grade (WIG) Increases | 2,322 | 361 | 783 | 96 | 3,562 |
| 4. Workers' Compensation | 79 | - | 0 | 0 | 79 |
| **Sub-total, Mandatory Increases** | **$10,937** | **$1,641** | **$3,558** | **$439** | **$16,575** |
| **Relatively Uncontrollable Costs** | | | | | |
| **5. Career Ladder Promotions** | **0** | **0** | **207** | **0** | **207** |
| **Relatively Controllable Costs** | **0** | **0** | **0** | **0** | **0** |
| **Total Mandatory Increases** | **$10,937** | **$1,641** | **$3,765** | **$439** | **$16,782** |

**Explanation of Calculations**

1a. January 2007 pay raise calculated at 2.025% of pay base. (COLA of 2.7% X 9 months or 75%).

1b. Pay raise for overseas foreign service nationals. Computation based on individual country rates, provided by the Department of State, applied to pay base. Country rates used for FY 2007 are as follows: Brazil - 6%; Egypt - 5%; Kenya - 10%; India - 6%; Pakistan - 14%; and Indonesia - 9%.

2. January 2006 pay raise annualization calculated at 1.115% of pay base. (Reflects the sum of: 1) COLA of 3.44% x 3 months or 25%, and 2) the difference between the budgeted FY 2006 pay raise of 3.1% and the actual pay raise of 3.44% (.34%) X nine months or 75%).

3. Within grade increase calculation based on historical data, at .9% of pay base.

4. Increase required against FY 2006 base to fund the Library of Congress' FY 2007 Workers' Compensation bill. Total FY 2007 allocation provided by the Department of Labor.

5. Career ladder promotions based on CRS' actual career position projections for FY 2007, and historical trend analy

# Library of Congress
# FY 2007
# Supplemental Data on Price Level Increases

**(Dollars in Thousands)**

| Category | LC, S&E | CO, S&E | CRS, S&E | BBPH, S&E | Total |
|---|---|---|---|---|---|
| 1. General inflationary increase | $1,934 | $374 | $75 | $918 | $3,301 |
| 2. Field Office inflationary increase | 324 | - | - | - | 324 |
| 3. Acquisitions inflation | 677 | - | 333 | - | 1,010 |
| 4. Software maintenance | 513 | - | 84 | - | 597 |
| 5. NFC/AVUE contract increase | 300 | - | - | - | 300 |
| 6. GSA Space Rental adjustment | 703 | - | - | 837 | 1,540 |
| 7. CRS Consultant Support | - | - | 115 | - | 115 |
| **Total Price Level Increases** | **$4,451** | **$374** | **$607** | **$1,755** | **$7,187** |

**Explanation of Calculations**

1. General inflationary increase calculated using OMB rate of 2.2% of non-pay base (except as noted below).
2. Inflationary increase for overseas field offices. Computation based on individual country rates, provided by the Department of State, applied to non-pay base. Country rates used for FY 2007 are as follows: Brazil - 6%; Egypt - 5%; Kenya - 8%; India - 6%; Pakistan - 14%; and Indonesia - 9%.
3. Inflationary rate for acquisition of library materials determined by annual study and/or actual historical rates. Rates used for FY 2007 are as follows: Books for the Law Library - 5.63%; Books for the General Collections - 4.75%; CRS research materials - 9.5%.
4. Software maintenance inflationary increase calculated using actual historical rate of 15% of software maintenance base.
5. NFC/AVUE contract adjustment based on actual data provided by contractor for FY 2007.
6. GSA-managed leased space increase based on estimates provided by GSA for FY 2007.
   Note: The Library is still negotiating the Landover and Taylor Street FY 2006 - 2007 leases. Once rates are finalized, the Library will inform the Committees of any adjustments required in the space budgets and related appropriation/PPA accounts.
7. Inflationary rate increase for CRS contract support based on the FY 2007 COLA rate of 2.7%.

## LIBRARY OF CONGRESS
## FY 2007 ADMINISTRATIVE PROVISIONS

1. **Section 1302 - Obligational authority for Reimbursable and Revolving Fund Activities**

The Legislative Branch Appropriations Act of 1994, P.L. 103-69, requires that obligations for any reimbursable and revolving fund activities performed by the Library of Congress are limited to the amounts provided in appropriation acts. The Library requests obligational authority, consistent with this provision:

Reimbursable Funds ..... **$ 1,300,000**

Revolving Funds ..... **$109,778,000**

Further justification of these amounts is provided in the Reimbursable and Revolving Fund sections of this document. The following is the proposed administrative provision:

SEC. 1302. REIMBURSABLE AND REVOLVING FUND ACTIVITIES.
(a) IN GENERAL.—For fiscal year 2007, the obligational authority of the Library of Congress for the activities described in subsection (b) may not exceed $111,078,000.

(b) ACTIVITIES.—The activities referred to in subsection (a) are reimbursable and revolving fund activities that are funded from sources other than appropriations to the Library in appropriation Acts for the legislative branch.

(c) TRANSFER OF FUNDS.—During fiscal year 2007, the Librarian of Congress may temporarily transfer funds appropriated in this Act, under the heading "LIBRARY OF CONGRESS" under the subheading "SALARIES AND EXPENSES" to the revolving fund for the FEDLINK Program and the Federal Research Program established under section 103 of the Library of Congress Fiscal Operations Improvement Act of 2000 (Public Law 106-481; 2 U.S.C. 182c): *Provided*, That the total amount of such transfers may not exceed $1,900,000: *Provided further*, That the appropriate revolving fund account shall reimburse the Library for any amounts transferred to it before the period of availability of the Library appropriation expires.

2. **Section 1303 - Fee for Maintenance, Upgrade, or Construction of United States Diplomatic Facilities**

The Department of State (DOS) has established a Capital Security Cost-Sharing Program in their budget. The program is designed to have all U.S. Government agencies with overseas presence pay a portion of DOS' building program, based on number of employees overseas (vs. actual space required or services provided in each embassy). The building program will build approximately 150 new embassy compounds over a 14-year period for a total of approximately $17.5 billion. Each agency, including the Library of Congress, is required to request funding in its annual budget submission to support this program.

The following is the proposed administrative provision:

> *SEC. 1303. UNITED STATES DIPLOMATIC FACILITIES. Funds made available for the Library of Congress under this Act are available for transfer to the Department of State as remittance for a fee charged by the Department for fiscal year 2007 for the maintenance, upgrade, or construction of United States diplomatic facilities only to the extent that the amount of the fee so charged is equal to or less than the unreimbursed value of the services provided during fiscal year 2007 to the Library of Congress on State Department diplomatic facilities.*

3. **Section 1304 – Cooperative Acquisition Program Revolving Fund Audit**

Public Law 105-55 (2 U.S.C. § 182) approved October 7, 1997, established the Cooperative Acquisitions Program Revolving Fund (CAP) from the existing balances of gift funds that were used for the same purpose. In 1997, the GAO determined that the usage of gift funds for the purpose of cooperative acquisitions was invalid and suggested that the Library seek revolving fund legislation. The CAP became the first "true" revolving fund of the Library and the proposed legislation was modeled after other revolving funds in existence at the time. One of the items in the proposed and approved legislation was the need for the revolving fund to be audited by itself and a report submitted to Congress by March 31 following the end of the fiscal year.

Many other "revolving-like" activities existed in the Library, and the effort was made to make these activities "true" revolving funds. On November 9, 2000, Public Law 106-481 (2 U.S.C. §182a to 182d) was approved, authorizing revolving funds for several other programs. For all of these funds and any other approved after

November 9, 2000, an audit is only required "subject to audit by the Comptroller General at the Comptroller General's discretion" (2 U.S.C.§ 182d). To date, the Comptroller General has not requested an audit of the revolving funds and it is believed that no such audit has been requested because all of the revolving funds (including CAP) are part of the consolidated financial statement audit of the Library. To date, the Library has received nine consecutive "clean" audits.

The individual audit of the CAP is quite costly, cumbersome and inefficient, requiring an amendment to the audit contract, separate from the Library's consolidated financial statement audit contract and support from several different offices within the Library. Cost for this audit contract is paid out of the CAP from fees charged to customers.

The Library's consolidated financial statement audit includes all fund sources, including revolving funds; thus, CAP is reported as part of the consolidated statements. It is common for cash receipts or expenditure transactions of the CAP to be tested in the Library's consolidated audit - only to be retested, at a cost - in the individual CAP audit.

Materiality is also an issue. In FY 2005, the CAP had earned revenues of $2.6M and program costs of $2.9M. The other revolving funds had earned revenues of $78.1M and program costs of $79.6M. As a result, the Library is spending additional funds, and staff time, to audit a $2.6M program, when other programs totaling $78M are captured in the consolidated audit. Further, the $2M of activity causes a very low dollar threshold for reporting error, so almost every transaction exceeding $1K must be treated as "material" and thus time is spent on reporting errors that would not show up in a consolidated audit. This is time-consuming and not a good use of limited staff and contractor resources.

While requiring an audit made sense when CAP was new and the only revolving fund, it is time to incorporate the CAP review under the consolidated audit, like the rest of the Library's revolving funds. Therefore, the Library is requesting that the March 31 audit requirement be rescinded and that the CAP be subject to the same audit requirement as the Library's other revolving funds. This recommendation is supported by both the Library's Office of the Chief Financial Officer and the Office of the Inspector General. The following is the proposed administrative provision:

*SEC. 1304. COOPERATIVE ACQUISITIONS PROGRAM REVOLVING FUND AUDIT. Section 207 of the Legislative Branch Appropriations Act, 1998 (Public Law 105-55, 2 U.S.C. 182) is amended by striking subsection (e) and inserting the following*

*"(e) AUDIT. The revolving fund shall be subject to audit by the Comptroller General at the Comptroller General's discretion."*

**4. Section 1305 – Competitive Status for Library of Congress Employees**

The Library of Congress is in the "excepted service" within the federal civil service [see 5 U.S.C. 2102, 2103 and 3302]. As such, employment at the Library does not confer "competitive status" within the federal government. Competitive status is basic eligibility to be noncompetitively selected to fill a vacancy in the competitive service – a status acquired by career appointment through open competitive examination upon satisfactory completion of a probationary period, or granted by statute without competitive examination.

Proposed language confers competitive status on Library employees who have satisfactorily completed their probationary period in the Library (the probationary period currently is one year) without regard to a competitive examination. With competitive status, Library's "permanent" and "indefinite" (i.e. non-temporary employees) will be able to apply for competitive service positions in the executive branch on an equal footing with "career" executive branch employees. (Career executive branch employees are already eligible for excepted service positions, including permanent/indefinite positions at the Library.) Such competitive status has been conferred by act of Congress on, for example, judicial branch employees of the Administrative Office of U.S. Courts [see 28 U.S.C. 602 [note], P.L. 101-474].

The following is the proposed administrative provision:

*SEC. 1305 COMPETITIVE STATUS.— (a) COMPETITIVE STATUS. Notwithstanding any other provision of law, any employee of the Library of Congress who has satisfactorily completed a probationary period in the Library of Congress under a non-temporary appointment acquires a competitive status for appointment to any position in the competitive service for which the employee possesses the required qualifications. A Library of Congress employee who acquires a competitive status under this provision shall not be required to complete a probationary period upon appointment to a position in the competitive service.*

*(b) EFFECTIVE DATE. This section shall become effective upon the date of enactment of this Act and shall remain in effect for each fiscal year thereafter.*

**5. Section 1306 – Selection Priority for Displaced Library of Congress Employees**

The provision grants to Library of Congress employees who receive a reduction in force (RIF) notice or a notice of separation for failure to transfer the same priority for selection for competitive service positions in the executive branch as is currently granted to executive branch employees who are RIF-ed from executive branch positions. The provision includes Library of Congress employees in the executive branch's Interagency Career Transition Assistance Program (ICTAP) that the Office of Personnel Management (OPM) currently administers for RIF-ees under 5 C.F.R. 330.701 et. seq. and in any similar interagency program that OPM may administer in the future.

Being included in ICTAP means that a displaced Library of Congress employee, who applies for a position in an executive branch agency, will be considered in the same applicant pool as displaced employees from other Federal agencies – behind the agency's own RIF-ed employees in selection priority, but ahead of applicants who have no Federal service.

The following is the proposed administrative provision:

*SEC. 1306. SELECTION PRIORITY FOR DISPLACED LIBRARY OF CONGRESS EMPLOYEES. (a) SPECIAL SELECTION PRIORITY.—A displaced employee of the Library of Congress shall be eligible for special selection priority for a position in the competitive service under the interagency career transition assistance program administered by the Office of Personnel Management, and under any similar interagency program for displaced Federal employees that the Office may subsequently administer. A "displaced Library employee" is a current or former employee of the Library of Congress who: (i) is or was serving on an appointment without time limit; (ii) at grade levels GS-15 or below; and (iii) is in receipt of a notice of reduction in force or a notice of proposed removal for declining a transfer of function or directed reassignment out of the local commuting area or was separated or removed under such a notice.*

*(b) EFFECTIVE DATE.—This section shall apply to displaced Library employees who have been separated up to 90 days prior to the*

*enactment of this Act, and shall remain effective for the current fiscal year and each succeeding fiscal year during which the Office of Personnel Management administers such a program.*

6. **The Library of Congress, Salaries and Expenses appropriation language changes:**

*Provided further, That of the total amount appropriated, $16,509,000 shall remain available until expended for the partial acquisition of books, periodicals, newspapers, and all other materials . . .*

*Provided further, That of the total amount appropriated, $5,801,000 shall remain available until expended for the digital collections and educational curricula program.*

*Provided further, That of the total amount appropriated, $150,000 shall remain available to the Library of Congress until September 30, 2009, for support of the Abraham Lincoln Bicentennial Exhibition.*

*Provided further, That of the total amount appropriated, $600,000 shall remain available until expended, and shall be transferred to the Abraham Lincoln Bicentennial Commission for carrying out the purposes of Public Law 106-173, of which $10,000 may be used for official representation and reception expenses of the Abraham Lincoln Bicentennial Commission.*

*Provided further, That of the total amount appropriated, $11,037,000 shall remain available until expended for partial support of the National Audio-Visual Conservation Center.*

7. **The Library of Congress, Copyright Office Salaries and Expenses appropriation language changes:**

*For necessary expenses of the Copyright Office, $59,189,000, of which not more than $28,335,000, to remain available until expended,*

*Provided further, That not more than $5,649,000 shall be derived from collections during fiscal year 2007.*

*Provided further, That the total amount available for obligation shall be reduced by the amount by which collections are less than $33,984,000:*

8. **The Library of Congress, Books for the Blind and Physically Handicapped Salaries and Expenses appropriation language changes:**

*For salaries and expenses to carry out the Act of March 3, 1931 (chapter 400; 46 Stat. 1487; 2 U.S.C. 135a), $55,703,000, of which $16,018,000 shall remain available until expended.*

# Library of Congress
## Library of Congress, Salaries and Expenses
## Analysis of Change
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| **Appropriation, FY 2006** | **2,915** | **$395,754** |
| **Minus: Rescission** | **0** | **- 3,958** |
| **Adjusted Appropriation, FY 2006** | **2,915** | **$391,796** |
| **Non-recurring Costs:** | | |
| Business Enterprise Project | - 1 | - 340 |
| Middle East Text Initiative | | - 248 |
| University of Mississippi Music Archives | | - 396 |
| Univeristy of South Carolina Preservation and Conservation | | - 297 |
| Transfer of CDS Appropriation to National Library - Basic | | - 693 |
| Transfer to National Library - Basic of CDS Appropriation | | 693 |
| ITS Systems Certification and Accreditiation | | - 150 |
| Red Oak Space Rental | | - 1 |
| Police Staffing | - 6 | - 354 |
| **Total, Non-recurring Costs** | **- 7** | **- 1,786** |
| **Mandatory Pay and Related Costs:** | | |
| Comparability pay raise 2007 | | 5,406 |
| Comparability pay raise 2007 (foreign) | | 225 |
| Annualization of pay raise 2006 | | 2,905 |
| Within-grade increases | | 2,322 |
| Workers' Compensation | | 79 |
| **Total, Mandatory Pay and Related Costs** | **0** | **10,937** |
| **Price Level Changes** | **0** | **4,451** |
| **Program Increases:** | | |
| **Unfunded Mandates:** | | |
| DOS Capital Security Cost-Sharing Program | | 2,171 |
| **Major Ongoing Projects:** | | |
| NAVCC - Culpeper | - 6 | - 1,206 |
| [NAVCC - National Library-Basic] | [- 2] | [ 129] |
| [NAVCC - OSI-ITS] | [- 4] | [-1,354] |
| [NAVCC - ISS] | | [ 19] |
| GENPAC - Acquisition of Library Collections | | 2,000 |
| **New Projects:** | | |
| Library Workforce Transformation Project | | 781 |
| Lincoln Bicentennial Exhibition | | 150 |
| **Total, Program Increases** | **- 6** | **3,896** |
| **Net Increase/Decrease** | **- 13** | **$ 17,498** |
| **Total Budget** | **2,902** | **$409,294** |
| **Total Offsetting Collections** | **0** | **- 6,350** |
| **Total Appropriation** | **2,902** | **$402,944** |

## Library of Congress
## Library of Congress, Salaries and Expenses

### Summary By Object Class
(Dollars in Thousands)

| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $191,801 | $203,540 | $212,082 | + $ 8,542 |
| 12 Personnel Benefits | 46,313 | 52,328 | 52,310 | - 18 |
| 13 Benefits for Former Personnel | 247 | 268 | 279 | + 11 |
| 21 Travel | 1,683 | 1,688 | 1,844 | + 156 |
| 22 Transportation of Things | 677 | 1,226 | 891 | - 335 |
| 23 Rent, Communications and Utilities | 5,272 | 6,842 | 7,671 | + 829 |
| 24 Printing and Reproduction | 3,997 | 4,562 | 4,719 | + 157 |
| 25 Other Contractual Services | 71,728 | 72,430 | 76,483 | + 4,053 |
| 26 Supplies and Materials | 3,093 | 2,761 | 2,951 | + 190 |
| 31 Equipment | 43,383 | 38,279 | 44,918 | + 6,639 |
| 41 Grants | 6,465 | 7,272 | 4,540 | - 2,732 |
| 42 Insurance Claims and Indemnities | 6 | 6 | 6 | 0 |
| 43 Interest | 0 | 0 | 0 | 0 |
| 94 Finance Transfers | 0 | 594 | 600 | + 6 |
| **Total, Budget** | **$374,665** | **$391,796** | **$409,294** | **+ $17,498** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

**OVERVIEW**

The Library of Congress, Salaries and Expenses appropriation supports the National Library, Office of Strategic Initiatives, Law Library, and Management Support Services, including the Office of the Librarian, Human Resource Services, Integrated Support Services, and Security and Emergency Preparedness.

**FY 2007 BUDGET REQUEST**

The Library is requesting a total of **$409.294 million** for the Library of Congress, Salaries & Expenses (LC, S&E) in **FY 2007.** The total includes mandatory pay increases of $10.937 million, price level increases of $4.451 million, and program increases of $3.896 million, offset by non-recurring costs $-1.786 million. The Library is also requesting offsetting collections authority of $6,350,000, the same level as FY 2006.

The requested program changes support a variety of Library initiatives – including the National Audio-Visual Conservation Center at Culpeper, Virginia, acquisitions, Lincoln Bicentennial Exhibition, and workforce development. All initiatives support the programs and staff of the Library and will enhance its products, services, and customers' satisfaction.

Detailed funding tables and justifications for each of the LC, S&E programs are provided under the next nine tabs.

# Library of Congress
## Library of Congress, Salaries and Expenses
## National Library - Basic
## Analysis of Change
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| **Appropriation, FY 2006** | **1,876** | **$199,341** |
| **Minus: Rescission** | **0** | **- 1,993** |
| **Adjusted Appropriation, FY 2006** | **1,876** | **$197,348** |
| **Non-recurring Costs:** | | |
| Business Enterprise Project | - 1 | - 340 |
| Middle East Text Initiative | | - 248 |
| University of Mississippi Music Archives | | - 396 |
| Univeristy of South Carolina Preservation and Conservation | | - 297 |
| Transfer of CDS Appropriation to National Library - Basic | | 693 |
| **Total, Non-recurring Costs** | **- 1** | **- 588** |
| **Mandatory Pay and Related Costs:** | | |
| Comparability pay raise 2007 | | 3,047 |
| Comparability pay raise 2007 (foreign) | | 225 |
| Annualization of pay raise 2006 | | 1,660 |
| Within-grade increases | | 1,328 |
| **Total, Mandatory Pay and Related Costs** | **0** | **6,260** |
| **Price Level Changes** | **0** | **887** |
| **Program Increases:** | | |
| **Unfunded Mandates:** | | |
| DOS Capital Security Cost-Sharing Program | | 2,171 |
| **Major Ongoing Projects:** | | |
| NAVCC - Culpeper - Library Services | - 2 | 129 |
| **New Projects:** | | |
| Lincoln Bicentennial Exhibition | | 150 |
| **Total, Program Increases** | **- 2** | **2,450** |
| **Net Increase/Decrease** | **- 3** | **$ 9,009** |
| **Total Budget** | **1,873** | **$206,357** |
| **Total Offsetting Collections** | **0** | **0** |
| **Total Appropriation** | **1,873** | **$206,357** |

## Library of Congress
## Library of Congress, Salaries and Expenses
## National Library - Basic

### Summary By Object Class

(Dollars in Thousands)

| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $118,174 | $123,195 | $128,897 | + $5,702 |
| 12 Personnel Benefits | 28,344 | 32,450 | 31,600 | - 850 |
| 13 Benefits for Former Personnel | 177 | 143 | 154 | + 11 |
| 21 Travel | 1,057 | 1,121 | 1,161 | + 40 |
| 22 Transportation of Things | 604 | 1,143 | 808 | - 335 |
| 23 Rent, Communications and Utilities | 1,184 | 1,546 | 1,610 | + 64 |
| 24 Printing and Reproduction | 2,923 | 3,112 | 3,176 | + 64 |
| 25 Other Contractual Services | 23,151 | 21,774 | 22,405 | + 631 |
| 26 Supplies and Materials | 2,038 | 1,824 | 1,859 | + 35 |
| 31 Equipment | 10,909 | 8,975 | 13,557 | + 4,582 |
| 41 Grants | 1,142 | 1,471 | 530 | - 941 |
| 42 Insurance Claims and Indemnities | 0 | 0 | 0 | 0 |
| 43 Interest | 0 | 0 | 0 | 0 |
| 94 Finance Transfers | 0 | 594 | 600 | + 6 |
| **Total, Budget** | **$189,703** | **$197,348** | **$206,357** | **+ $9,009** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

**OVERVIEW**

The National Library's mission is to acquire, organize, preserve, secure and sustain for the present and future use of the Congress and the nation, a comprehensive record of American history and creativity and a universal collection of human knowledge. The National Library provides:

- Acquisitions and bibliographic access services to the Library of Congress; leadership in bibliographic access collaborations and standards for the library and information science communities, nationally and internationally; coordination of collection development policies for the Library; and acquisition of materials from all over the world. Each year the Library acquires more than two million items for addition to the collections.
- Public service and collections management for both general and special format materials such as manuscripts, rare books, prints, photographs, maps, atlases, music, motion pictures, sound recordings, videotapes, and materials in foreign languages, in addition to the administration of the National Film and Recording Preservation Boards. The Library responds to almost 700,000 requests a year for research and information, including more than 300,000 in-person requests in the 21 reading rooms, open to the public in Washington, D.C. In addition, the Library responds to more than 62,000 interlibrary loan requests from across the nation and from foreign libraries and some 30,000 requests for book loans from the Congress each year.
- Programs, products, and services to specific audiences or customers such as the library community, federal libraries in particular, and visually or physically impaired readers, through the Cataloging Distribution Service, Federal Library Information Center and Committee (FLICC), and the National Library Service for the Blind and Physically Handicapped. Approximately 1,200 federal offices participate in the FLICC program, which saves the offices an estimated $7.8 million annually in contract cost avoidance benefits, and more than $11 million in products and services discounts. The Center for the Book, Interpretive Programs Office, Publishing Office, Retail Marketing Office, Business Enterprises, Office of Scholarly Programs, Veterans History Project, and Visitor Services Office add interpretive and educational value to the resources of the Library by enhancing the quality of the creative works and highlighting the importance of the Library's contributions to the nation's well-being and future progress. The American Folklife Center preserves and presents the great heritage of American folklife through programs of research, documentation, archival preservation, reference service, live performance, exhibition, publication, and training.

- Through the preservation program, long-term, uninterrupted access to the Library's collections, either in original or reformatted form – more than 4 million pages of deteriorated material are reformatted into various new formats annually. The Mass Deacidification program provides treatment of more than one million items a year to extend the life of acidic material.

- Technology leadership by setting policy and standards, and by delivering technology platforms and services to achieve the goals and objectives of the National Library in support of the Library, the Congress, and the larger library community. Coordinates with the Office of Strategic Initiatives in the Library's pioneering effort to share its unique collections and those of its collaborating partners with the nation's schools, libraries and others, via new electronic technology.

**FY 2006 PRIORITIES**

- Begin the construction of Modules 3 and 4 at Ft. Meade.

- Continue developing the technical and facilities infrastructure for the National Audio-Visual Conservation Center (NAVCC) in Culpeper, VA, a state-of-the-art conservation center.

- Continue efforts to stabilize, preserve, and store an additional 4.5 million at-risk items over the next three fiscal years.

**FY 2007 PRIORITIES**

- Complete construction work at the NAVCC, allowing full collections and staff to be relocated in Culpeper.

- Secure funding for the Department of State Security Capital Cost-Sharing Program to allow continued acquisition of time-sensitive items and material of critical importance to the United States.

- Develop a major exhibition to mark the bicentennial of Abraham Lincoln's birth and focus on his rise to national prominence, drawing upon the unparalleled Lincoln materials in the Library's collections.

- Continue the construction of Ft. Meade Modules 3 and 4 that are essential for the preservation of special collections.

**FY 2007 BUDGET REQUEST**

The Library is requesting a total of **$206.357 million** for the National Library - Basic Program **in FY 2007**, a net increase of $9.009 million over FY 2006. The total includes $7.147 million in mandatory pay and price level increases, $ 2.45 million in program changes, offset by $- 588 thousand in non-recurring costs. Funding supports a total of 1,873 FTEs, a reduction of -3 FTEs from FY 2006.

**PROGRAM CHANGES** **$2,450,000**

**Department of State Capital Security Cost-Sharing** **($2,171,000)**

The Capital Security Cost-Sharing Program was established in the Department of State (DOS) under the authority of the Secure Embassy Construction and Counterterrorism Act of 1999, as amended by the FY 2005 Consolidated Appropriations Act. The program is designed to have all U.S. Government agencies with an overseas presence pay a portion of the DOS new building program based on the number of employees overseas (vs. actual space required or services provided in each embassy). The building program proposes to build approximately 150 new embassy compounds over a 14-year period for a total of approximately $17.5 billion. Each agency, including the Library, is required to request funding in its yearly budget submission to support this program.

The program began slowly in FY 2005 with a funding rate that will progressively increase, topping out at a total annual cost of $1.4 billion to all agencies for FY 2009 - 2018 (per capita charges equal 20 percent - FY 2005; 40 percent - FY 2006; 60 percent - FY 2007; 80 percent - FY 2008; and 100 percent - FY 2009). Current data indicates that DOS would pay approximately 63 percent of the yearly $1.4 billion, with the balance paid by all agencies with an overseas presence.

The Library's yearly assessment was $1.2 million in FY 2005 and $2.4 million in FY 2006. The proposed bill for FY 2007 is $4.572 million, an increase of $2.171 million. If funding is not provided for the next phase of the program, the Library will have insufficient resources to operate its overseas offices. This would result in the curtailment — and in some cases termination of international acquisitions programs in areas that are of increasing importance to the nation (Islamabad, Cairo, Jakarta, Nairobi, New Delhi and Rio de Janeiro).

The Library has maintained the FY 2006 administrative provision limiting DOS' assessment to the equal of or less than the unreimbursed value of the services provided to the Library on State Department diplomatic facilities. However, the Library feels it must still request the full $4.572 million to protect itself until the assessment

methodology is fully resolved – possibly in FY 2006. The Library will alert the Committees if DOS agrees to any downward adjustments of their assessment.

**National Audio-Visual Conservation Center, Culpeper** **($129,000)**

The NAVCC will be a world-class, state-of-the-art conservation center that will consolidate and integrate the Motion Picture, Broadcasting and Recorded Sound (MBRS) Division administrative, acquisitions, processing, storage, preservation, laboratory transfer and reformatting activities in one central facility, while also greatly increasing preservation capabilities and efficiencies. A detailed introduction to the NAVCC was included in the Library's FY 2004 funding request for this initiative. FY 2007 represents the fourth year in the Library's five-year cost model for funding the development of the NAVCC. These five-year cost projections are adjusted annually to align with shifts in the construction schedule of the Packard Humanities Institute (PHI) and the Library's occupancy schedule. The complete cost model was previously forwarded to the Congress and has been updated again for the FY 2007 request.

The Library continues to work closely with representatives of the PHI to build the NAVCC. Construction on the project began in September 2003. The Phase I Central Plant was turned over to the AOC on November 7, 2005, and the Collections Building was turned over to the Library on December 16, 2005. Once shelving and other pre-move tasks are completed, the months-long relocation of the collections will begin at the end of January 2006. For Phase 2, the new Conservation Building and Nitrate Vaults will be ready for staff move-in by approximately November 1, 2006. At this time, construction by PHI will be completed and the entire property will be transferred to the government.

During FY 2007, the Library's ability to procure, deliver and install additional NAVCC equipment and infrastructure must again be carefully managed in concert with PHI's schedule for finishing, testing and commissioning Phase 2 of the facility. For this reason, **no-year funding authority is again required** in order to accommodate construction schedules and to stage the various transition components and procurements across fiscal years. For FY 2007, the overall transition includes several components for which timing and funding flexibility will be especially desirable, including completion of the staff relocations, and completing the procurement and integration of the complex digital preservation equipment and systems within the NAVCC's audio-visual laboratories.

The Library has identified a series of one-time Investment and Relocation costs and ongoing Program and Operations & Maintenance (O&M) requirements related to the transition to Culpeper that are being staged for deployment during the initial five-year

period (FY 2004 – 2008). The facility will be opened during this time period and the requested equipment and FTE resources are required for the facility to be operational.

Total requested **FY 2007 funding of $13.9 million and 41 FTEs reflects a net decrease of $-1.206 million and -6 FTEs from FY 2006.**

Funding is requested in three of the Library's offices – Library Services (LS), Office of Strategic Initiatives/Information Technology Services (ITS), and Integrated Support Services (ISS) as follows:

| Office | (Dollars in Thousands) | | | | | |
|---|---|---|---|---|---|---|
| | FY 2006 | | FY 2007 | | Difference | |
| | FTE | $ | FTE | $ | FTE | $ |
| LS | 41 | $12.239 | 39 | $12.368 | -2 | $ .129 |
| ITS | 4 | 2.104 | 0 | .750 | -4 | -1.354 |
| ISS | 2 | .703 | 2 | .722 | 0 | .019 |
| **Total** | **47** | **$15.046** | **41** | **$13.840** | **-6** | **$-1.206** |

The changes in ITS and ISS reflect the net of mandatory pay and price level increases, offset by non-recurring costs.

The changes in Library Services also include program changes. Funding is requested in Library Services as follows:

| Costs | Total | Change over FY 2006 |
|---|---|---|
| Pay | $3.211M/39 FTEs | $-1.317M/ -2 FTEs |
| Non-Pay | $9.157M | $ 1.446M |
| Total | $12.368M/ 39 FTEs | $129K/ -2 FTEs |

Pay costs reflect mandatory pay increases, offset by non-recurring costs.

Non-Pay costs reflect a combination of new requested funds and reprogrammed funds in the base. The description of each funding category is for total costs. The number in parenthesis reflects the change from FY 2006.

OC 21 – **Travel** – Total $0 **($-21K)**

OC 22 – **Transportation of Things** – Total $0 **($-351K)**

OC 23 – **Rental** – Total $50K **($-10K)**

- Collections Transport Vehicles: Annual lease for specialized vehicles dedicated to NAVCC service, including one refrigerated truck and one step-van. ($50,000)

**OC 25 – Contracts/Consultants** – Total $1.486M **($-1.919M)**

- Human Resources Consultant: Continuation of contract for additional six months to assist full-time with completing implementation of the MBRS reorganization, prepare new job descriptions, consult with staff on position transitions, assist with union packages and negotiations, and coordinate with the relocation contractor. ($75K)

- Relocation and Travel Services Contractor: Final year of contract with the Department of Treasury's Bureau of Public Debt to provide all standard relocation services to employees. These services include two major components: full end-to-end relocation services, and processing of all relocation-related financial transactions. ($35,000)

- Maintenance for Office Equipment: Ongoing maintenance contracts for office hardware/software. ($30K)

- Maintenance for A/V Labs Equipment & Software: Full year of ongoing maintenance contracts and software upgrades for the specialized equipment in the Film Lab and Sound & Video Lab. Includes $75K each for the maintenance of two SAMMA video preservation robotic systems. ($200K)

- Maintenance for Facilities Equipment: Contract for ongoing maintenance of forklifts, battery chargers, pallet jacks, compactors, etc. ($10K)

- Furniture Service Contract: Includes furniture repair, minor relocation, art work oversight, signage, etc. ($15K)

- Transportation Services and Repair: Includes gasoline and oil costs, miscellaneous repairs and maintenance. ($26K)

- Security Contract: Provides 24/7 contract security guard services, two guards per shift; includes maintenance on security vehicles, communications equipment, training, etc. Rates rise about seven percent per year. ($535K)

- Hazmat Removal Services: Contract removal of laboratory chemicals and discarded nitrate film materials. ($50K)

- Health Services: Includes stocking of a small health room, participation in local immunization programs, etc. ($10K)

- Digital Preservation System – Network/Archival Maintenance (Program/Ongoing): At the end of a specified warranty period all hardware and software will require maintenance coverage to address routine upgrades and component failures. Typically maintenance is estimated at about 15% annually. ($500K)

**OC 31 – Equipment** – Total $7.621M **($+3.747M)**

- Film Laboratory Equipment: See Film Lab master equipment list (updated annually) for complete FY 2007 details. ($400K)

- Sound & Video Laboratory Equipment: See Sound & Video Lab master equipment list (updated annually) for complete FY 2007 details. ($1.971M)

- A/V Labs Equipment Refreshment: With the opening of the NAVCC, these funds will become necessary to refresh existing analog and digital lab equipment and systems in need of replacement or upgrading, including obsolete or near-obsolete equipment for the playback and recording of legacy A/V formats. ($1.2M)

- Digital Preservation System (DPS) – Production Software/Hardware (Investment/One-Time): The FY 2007 costs for the production side of the DPS will include a Digital Asset Management system, software for Digital Audio Workstations, laboratory scheduling software, the remaining off-the-shelf software requirements to populate the workstations at NAVCC, etc. ($300K)

- Digital Preservation System – Network/Archival Hardware/Software (Investment/One-Time): The system being procured for implementation upon the opening of the NAVCC is being sized to serve the "startup" production goals identified by Library Services. These additional resources must be procured in FY 2007 and in place by the start of year two in Culpeper to ensure continuity of production. These DPS components are switches, servers, hard disk storage, and the middleware software to manage the resources. ($2M)

- Digital Preservation System – Network/Archival Expansion (Program/Ongoing): As the production capacity increases, the DPS will require more processing, distribution, and storage resources to ingest and manage the increasing daily workloads. This includes addition of hardware components to the preservation archive tape management system to accommodate the total number of data tapes that need to be maintained. To ensure the highest level of data integrity and media life, all tapes will be kept in the physical tape slot. Therefore the number of tape slots will increase with the number of tapes. The preservation archive will be replicated at a remote location, so each new hardware component must be added at both the primary and remote locations. ($1.4M)

- Digital Preservation System – Archival Tape Stock (Program/Ongoing): A continuous supply of new data tapes will be required to store the fast growing digital collection. Furthermore, it will be necessary to migrate to the latest tape generation in order to reduce the requirements for more physical tape slots. Tapes are expected to double in density roughly every 18 months for the foreseeable future, and is critically important both physically and financially, to stay current with this technology. ($350K)

**Abraham Lincoln Bicentennial Exhibition** **($150,000)**

In February 2009, the Library will open a major exhibition to mark the bicentennial of Abraham Lincoln's birth. The Library's exhibition will be a centerpiece of the nationwide celebration of the bicentennial anniversary. The exhibition will capitalize on the strengths of the Library's collections and focus on Lincoln's rise to national prominence and the thinking and writing that underlie his career. It will chart Lincoln's growth from prairie politician to preeminent statesman and address the controversies that marked the road to his presidency, including challenges to civil liberties and the Constitution, slavery and race, and the dissolution of the Union and the Civil War. By placing Lincoln's words in a historical context, a visitor to the exhibition will gain a deeper understanding of how remarkable some of Lincoln's decisions were for their time and why his words continue to resonate today. The exhibition will feature bedrock documents in U.S. history including: Lincoln's first inaugural address, the Emancipation Proclamation, the Gettysburg Address, his second inaugural address, etc. Electronic means such as "page-by-page" technology will provide avenues to further explore and enhance understanding of the materials on display for visitors.

The Library will draw upon its unparalleled Lincoln materials that include more than 30,000 pages documenting his rise to national politics, the years of his presidency, and the Alfred Whitall Stern Collection of Lincolniana — a wide array of ephemera dealing with Lincoln's life and legacy. In addition, impressive holdings documenting the Civil War as well as contemporary political cartoons and iconic material donated by the

Lincoln family, such as the contents of Lincoln's pockets on the night he was assassinated, will be included. Finally, the Library will borrow key pieces from public and private collections.

The exhibition will travel to the New York Historical Society, the Newberry Library in Chicago, and the Huntington Library in San Marino, California. The exhibition tour will conclude in 2010. An accompanying publication will reproduce a significant selection of Lincoln's writings with stellar reproductions of Lincoln's original texts, whether in manuscript form or as they were first published, often in the newspapers of the day. An accompanying interpretation by Lincoln scholars will provide the reader with a context in which to learn directly from the documents. An online, interactive version of the exhibition will feature a time line. The Library will sponsor teacher institutes during the initial installation and as the exhibition travels across the country. These institutes provide educators with an opportunity to engage in discovery learning, and to develop strategies to teach about Lincoln using Library exhibitions and related online programs.

A total of $1.442 million will be needed for this project, of which **$150 thousand is requested in FY 2007**. The balance of $1.292 million will be requested in FY 2008. **Multi-year (3-year) authority is requested** for the FY 2007 funding. Funding will support the design of the exhibition and travel needed to visit other venues and/or other institutions that will be lending materials to the Library exhibition.

Specifically, funding will support:

- Contract Support – $135K
    - Funding will be used to convene a meeting of the advisory panel and to hire an exhibition design firm to create a conceptual design for the Lincoln Bicentennial Exhibition.
- Travel – $15K
    - Travel will be required to meet with other venues that will host the Library's exhibition in order to work out exhibition details and develop joint programming. The exhibition will travel to three, possibly four venues around the United States, including New York, Chicago, San Marino, and possibly Atlanta in 2010. Additional travel will be required for site visits to other institutions with Lincoln holdings, which will be borrowed for the Library's exhibition and rotated into the exhibition at subsequent venues.

**FY 2005 ACCOMPLISHMENTS**

**Library of Congress Goal 1:**

***Build and preserve a comprehensive collection of knowledge and creativity in all formats and languages for use by the Congress and other customers.***

- Deacidified 296 thousand books and 1.013 million manuscript pages to extend the life and utility of collections as part of the Library's 30-year initiative to stabilize over 8.5 million general collection books, and at least 30 million pages of manuscripts.

- The Veterans History Project (VHP) made significant strides in its efforts to collect the oral histories of veterans. Specifically, more than half of the Members of Congress (94 Senators and 202 Representatives) now participate in the program, and VHP staff trained over 780 volunteers in 25 oral history workshops, including Americorps, thus bolstering VHP's capacity to acquire oral histories.

- Continued to support of the U.S. Newspaper Program and the development of digital tools for preserving newspaper content.

- Completed preservation assessment for 2.6 million items of all formats intended for relocation to Ft. Meade and commenced treatment efforts in preparation of the move.

- Enhanced research ties and improved capacity for acquiring material from China by successfully acquiring hydrographic charts produced by China's government. This is the first time in 50 years that cartographic materials have been acquired directly from China's government and opens the door to additional acquisitions.

- Continued to work with Facilities Services and the Architect of the Capitol on environmental monitoring and improvements, assessment of risk to collections from fire and suppression efforts, and specification of environments for the Capitol Visitors Center, exhibit space, and proposed secured storage facilities.

- Initiated a cooperative project with the Deutsche Bibliothek, the State Library of Berlin, and the Bavarian State Library, along with the U.S. Government Printing Office, to exchange access rights to government electronic journals, metadata for those electronic journals, and the sharing of archival responsibilities for those same government e-journals.

- Continued work as part of the Elektronische Zeitschriftenbibliothek consortium to identify and acquire access to almost 8 thousand freely available electronic journals and to exchange metadata regarding those journals.

**Library of Congress Goal 2:**

***Provide maximum access and facilitate effective use of the collections by the Congress and other customers.***

- Added 889 thousand digital items to the Library's online digital collections, raising the total number of digital items available to the Congress and other customers to 10.2 million.

- Digitized thousands of images, placed maps from throughout the world online, created web-based reference aids, and expanded "Portals of the World" all of which have increased access to international collections related to Australia, Canada, Chile, China, Egypt, Germany, Ireland, Japan, Mali, Mexico, New Zealand, Portugal, the United Kingdom and other parts of the world.

- The Library had in excess of 1.2 million visitors and provided tours for more than 106 thousand individuals in FY 2005, including Members' constituents, VIPs, foreign ambassadors and embassy personnel, library schools, schools from across the nation, and the general public.

- Concept drawings for the Digital Audio-Visual Preservation System were completed, and software developers have begun work on automated production components within the system.

- Moved designated MBRS Division staff to Culpeper, with four maintenance staff now working at the temporary Elkwood storage warehouse near Culpeper.

- Continued to work closely with Packard Humanities Institute, the AOC, and contractors throughout the year on the NAVCC.

- Continued to enhance Library catalog records by adding tables of content, publishers' descriptions for monographic publications, and links from printed publications listed in the catalog to publicly available electronic versions of the text held by trusted repositories.

- The VHP, enhanced public awareness of veteran histories through the release of two radio programs on public radio, and with the National Geographic Society, the publication of two educational books, *Voices of War* and *Forever a Soldier.*

**Library of Congress Goal 3:**

***Lead, promote, and support the growth and influence of the national and international library and information communities.***

- Worked with libraries in regions impacted by hurricanes Katrina and Rita to provided technical expertise and related assistance to their salvage and recovery efforts.
- Planned recovery workshops for librarians from Iraq.
- Led and supported development of technical library standards related to identification and retrieval of materials (search protocols, bibliographic formats, metadata, etc., using XML, Unicode, and other new techniques).
- Developed, promoted, and executed more than 30 programs including author lectures, workshops, and literacy and literary award ceremonies as well as providing support for the National Book Festival.
- Continued the scientific exchange of conservation knowledge through a visiting scientists program.
- Supported two reading promotion networks (state center affiliates and Reading Promotion Partners) and participated in several important international reading promotion projects.
- Extended the Library's outreach program through traveling major exhibitions, nationally and internationally.
- Supported the Program for Cooperative Cataloging and the Cooperative Serials Cataloging Program, with a combined total of more than 550 member institutions worldwide, by providing training for partners and recruiting partner institutions.
- Through the ongoing Homegrown Concert Series, documented the best folk and traditional artists from a wide-range of American ethnic traditions.
- Through sponsorship of the VHP, held public symposia at the Library and hosted public book talks.

# Library of Congress
## Library of Congress, Salaries and Expenses
## Purchase of Library Materials
## Analysis of Change
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| **Appropriation, FY 2006** | 0 | $13,972 |
| **Minus: Rescission** | 0 | - 140 |
| **Adjusted Appropriation, FY 2006** | 0 | $13,832 |
| **Non-recurring Costs** | 0 | 0 |
| **Mandatory Pay and Related Costs** | 0 | 0 |
| **Price Level Changes** | | 677 |
| **Program Increases:** | | |
| **Major Ongoing Projects:** | | |
| GENPAC - Acquisition of Library Collections | 0 | 2,000 |
| **Total, Program Increases** | 0 | 2,000 |
| **Net Increase/Decrease** | 0 | $ 2,677 |
| **Total Budget** | 0 | $16,509 |
| **Total Offsetting Collections** | 0 | 0 |
| **Total Appropriation** | 0 | $16,509 |

## Library of Congress
## Library of Congress, Salaries and Expenses
## Purchase of Library Materials

### Summary By Object Class

(Dollars in Thousands)

| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $0 | $0 | $0 | $0 |
| 12 Personnel Benefits | 0 | 0 | 0 | 0 |
| 13 Benefits for Former Personnel | 0 | 0 | 0 | 0 |
| 21 Travel | 0 | 0 | 0 | 0 |
| 22 Transportation of Things | 0 | 0 | 0 | 0 |
| 23 Rent, Communications and Utilities | 0 | 0 | 0 | 0 |
| 24 Printing and Reproduction | 0 | 0 | 0 | 0 |
| 25 Other Contractual Services | 0 | 0 | 0 | 0 |
| 26 Supplies and Materials | 0 | 0 | 0 | 0 |
| 31 Equipment (Books and Library Materials) | 12,156 | 13,832 | 16,509 | + 2,677 |
| 41 Grants | 0 | 0 | 0 | 0 |
| 42 Insurance Claims and Indemnities | 0 | 0 | 0 | 0 |
| 43 Interest | 0 | 0 | 0 | 0 |
| 94 Finance Transfers | 0 | 0 | 0 | 0 |
| **Total, Budget** | **$12,156** | **$13,832** | **$16,509** | **+ $2,677** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

**OVERVIEW**

The Purchase of Library Materials program provides for the acquisition of necessary research materials for the Library of Congress collections. The program is administered by the Office of the Associate Librarian for Library Services in conjunction with the Law Library. The Library purchases materials that are not available through copyright deposit, exchange or federal transfer. Most of these materials are foreign publications that the Library acquires with the assistance of the overseas offices and through arrangements with book dealers, agents, or publishers. These techniques ensure that the Library will acquire current foreign publications of research value for the Congress and the scholarly community.

Each year, the Library acquires more than two million new items in all formats for addition to its priceless collections, which are the largest of any library in the world. The collections, and the information they contain, are the foundation of the many services that the Library provides to the Congress and the nation.

**FY 2006 - 2007 PRIORITIES**

- Acquire books, serials, maps and other material documenting the American experience, published during the last five years, including electronic subscriptions and acquisitions.

- Acquire research quality materials published in languages other than English or from other countries. This material complements and extends materials published in the United States, including electronic subscriptions and acquisitions.

**FY 2007 BUDGET REQUEST**

The Purchase of Library Materials program will require **$16.509 million in FY 2007**. The funding request includes $677 thousand in price level increases (to cover purchasing arrangements already in place), and $2 million in program changes.

| | |
|---|---|
| **PROGRAM CHANGES** | **$2,000,000** |
| **Acquisitions (GENPAC) Program** | **($2,000,000)** |

The GENPAC appropriation, which funds the purchase of Library collections materials, is the key to ensuring that the universal collection continues to be built and sustained. However, it is currently funded at a level that does not allow us to achieve this mission. The appropriation has not come close to keeping pace with the increased cost of materials, and the Library's buying power has been diminished. For example, the cost

of journals has been rising at the rate of over 14 percent per year. In addition, an indispensable and expensive class of research materials – electronic resources – has emerged and must be funded.

There are many factors that have combined to diminish the purchasing power of the GENPAC appropriation to the point where it is currently inadequate to meet the Library's mission of sustaining and preserving its unparalleled collections. Some of these factors and other considerations are:

- The purchasing power of the U.S. dollar dropped dramatically over the past few years, only now beginning a modest rebound against some currencies. The following are examples, as of December 2005:
    - Although the dollar rose against the Euro in 2005, it still takes twenty-eight cents more to buy a Euro than it did five years ago.
    - The UK pound sterling has declined from its 12-year high a year ago against the dollar, but it still takes twenty-six cents more to buy a pound sterling than it did five years ago.
    - At 118 yen, the dollar remains almost unchanged in its four and a half year low of 114 yen to the dollar.
    - Both the Australian and the New Zealand dollar remain close to their 15-year low against the U.S. dollar.
    - The U.S. dollar has kept a steady decline against the Korean Won, with resulting purchasing power down about twenty-one percent from five years ago.
- In parts of Europe, publishing has shifted from governmental and quasi-governmental institutions (academies of science, universities, etc.) to commercial publishers.
- Over a 16-year period, serials costs have risen 260 percent, as reported by the Association of Research Libraries.
- The Library's subscriptions to multiple Arabic newspapers illustrate the importance of serials to the institution's work in support of the Congress. Each day, Library staff in Cairo prepare an English language summary of news stories about Iraq and send it to the Congressional Research Service analysts by e-mail.

- The Library strongly believes that one of the roles of the National Library is to collect and preserve the documents of American history and significant examples of the world's culture.

- The number of electronic journals is growing rapidly. In 1991, there were seven peer-reviewed electronic journals. Now, there are over 5,000 peer-reviewed electronic journals without print counterparts, and approximately 35,000 journals that are available both in print and electronic versions.

Consistent with the Library's FY 2005 – 2006 budget requests for a multi-year, $4.2 million base increase to the GENPAC budget, the Library is requesting the next incremental adjustment of $2 million, which will bring the total base adjustment up to $3.3 million. Funding is needed to help keep pace with the greatly increased cost of serial and electronic materials that risks seriously eroding the foundation of the many services provided by the Library to the Congress and the nation. The remaining balance of $906K will be requested in FY 2008.

The following table shows GENPAC's requested base increase for FY 2005 - FY 2008:

| | FY 2005 Initial Request | FY 2005 Enacted | FY 2006 Enacted | Balance | FY 2007 Request | Balance | FY 2008 Request |
|---|---|---|---|---|---|---|---|
| Serial | $1,500,000 | $143,642 | $400,000 | $ 956,358 | $957,000 | $0 | $0 |
| Electronic | 2,500,000 | 51,510 | 500,000 | 1,948,490 | 1,043,000 | 905,490 | 906,000 |
| Subtotal, GENPAC - LS | $4,000,000 | $195,152 | $900,000 | $2,904,848 | $2,000,000 | $905,490 | $906,000 |
| GENPAC - LAW | $ 205,000 | 205,000 | 0 | 0 | 0 | 0 | 0 |
| Total Base Increase | $4,205,000 | $400,000 [1] | $900,000 [1] | $2,904,848 | $2,000,000 | $905,490 | $906,000 |

[1] Includes rescissions.

## FY 2005 ACCOMPLISHMENTS

**Library of Congress Strategic Goal 1:**

***Build and preserve a comprehensive collection of knowledge and creativity in all formats and languages for use by the Congress and other customers.***

- Purchased approximately 685 thousand new collections items in all formats. The total number of new items added to the collections through all sources of acquisitions (including purchase, exchange, gift, federal transfer, and copyright deposit) was 1.7 million.

- Notable purchase acquisitions during FY 2005 included:
  - Electronic collections:
    - *Early American Newspapers (1690-1876)*
    - *CQ Weekly*
    - *JSTOR Arts & Sciences II-III*
    - *JSTOR General Science Collection*
    - *AllAfrica.com*
    - *Black Studies Database*
    - *China Data Online*
  - Serials:
    - Ordered 2,538 new serial subscriptions.
- Microform collection:
  - *Cuban Exile Collection (Part I: Newsletters)* on 234 microfilm reels – a recognized source documenting the Cuban - American experience over a forty-year plus period.
- Special collections:
  - Woody Guthrie – collection of manuscript letters and song lyrics
  - Collection of five Thai manuscripts from the mid-eighteenth century
  - Felix Frankfurter – collection of autograph and typed letters to Herbert Bayard Swope
  - Felix Mendelssohn's *Der Zitherspieler* and *Abendlied,* autograph music manuscripts

# Library of Congress
## Library of Congress, Salaries and Expenses
## Office of Strategic Initiatives
## Analysis of Change
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| **Appropriation, FY 2006** | 355 | $83,272 |
| **Minus: Rescission** | 0 | - 833 |
| **Adjusted Appropriation, FY 2006** | 355 | $82,439 |
| **Non-recurring Costs:** | | |
| ITS Systems Certification and Accreditiation | | - 150 |
| **Total, Non-recurring Costs** | 0 | - 150 |
| **Mandatory Pay and Related Costs:** | | |
| Comparability pay raise 2007 | | 736 |
| Annualization of pay raise 2006 | | 401 |
| Within-grade increases | | 320 |
| **Total, Mandatory Pay and Related Costs** | 0 | 1,457 |
| **Price Level Changes** | 0 | 1,287 |
| **Program Increases:** | | |
| **Major Ongoing Projects:** | | |
| NAVCC - Culpeper | - 4 | - 1,354 |
| **Total, Program Increases** | - 4 | - 1,354 |
| **Net Increase/Decrease** | - 4 | 1,240 |
| **Total Budget** | 351 | $83,679 |
| **Total Offsetting Collections** | 0 | 0 |
| **Total Appropriation** | 351 | $83,679 |

## Library of Congress
## Library of Congress, Salaries and Expenses
## Office of Strategic Initiatives

### Summary By Object Class

(Dollars in Thousands)

| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $27,046 | $28,971 | $29,851 | + $ 880 |
| 12 Personnel Benefits | 6,554 | 7,167 | 7,369 | + 202 |
| 13 Benefits for Former Personnel | 0 | 0 | 0 | 0 |
| 21 Travel | 339 | 218 | 328 | + 110 |
| 22 Transportation of Things | 1 | 6 | 6 | 0 |
| 23 Rent, Communications and Utilities | 1,432 | 1,813 | 1,863 | + 50 |
| 24 Printing and Reproduction | 75 | 219 | 294 | + 75 |
| 25 Other Contractual Services | 23,246 | 25,517 | 27,887 | + 2,370 |
| 26 Supplies and Materials | 303 | 279 | 310 | + 31 |
| 31 Equipment | 16,087 | 12,448 | 11,761 | - 687 |
| 41 Grants | 5,323 | 5,801 | 4,010 | - 1,791 |
| 42 Insurance Claims and Indemnities | 0 | 0 | 0 | 0 |
| 43 Interest | 0 | 0 | 0 | 0 |
| 94 Finance Transfers | 0 | 0 | 0 | 0 |
| **Total, Budget** | **$80,406** | **$82,439** | **$83,679** | **+ $1,240** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

**OVERVIEW**

The Office of Strategic Initiatives (OSI) mission is to oversee institution-wide technology and digital initiatives that support the continuing mission, services, and operations of the Library of Congress. OSI is responsible for cross-institution digital library programs such as the National Digital Library (NDL) and programmatic support of externally focused digital initiatives: the National Digital Information Infrastructure and Preservation Program (NDIIPP), the National Digital Newspaper Project (NDNP), and the Digital Collections and Educational Curricula Initiative – also known as the Library's Adventure of the American Mind program (AAM).

All digital library programs and projects of OSI are collaborative in nature, requiring Library service units to coordinate with other units within the Library as well as with external partners and institutions nationally and internationally to attain the digital strategic goals of the Library.

- NDL
    - The flagship project of the Library's NDL Program – American Memory – now in its eleventh year, offers 10.1 million digital items in 133 thematic collections. The American Memory digital collections are illustrative of the breadth and depth of the Library's collections and those of our collaborative partners. The American Memory Web site, the most visited of the Library's web sites, continues to be one of the premier web sites of the federal government. Millions of users across the country and around the world can freely access these online primary historical resources documenting the cultural record of the nation.
- Digital Collections and Educational Curricula Initiative (aka AAM)
    - The Congress created the AAM program, and directed the Library to implement the program with the Educational and Research Consortium (ERC) of the Western Carolinas. The AAM program is designed to train in-service and pre-service classroom teachers and college-level education specialists to access, use, and produce curriculum using the Internet and the digitized primary source materials from the collections of the Library. This program is currently active in Colorado, Illinois, Indiana, Pennsylvania, Virginia, North Carolina and South Carolina and has 23 funded partners.

- NDNP
    - This new program is a long term collaborative effort to develop an Internet-based searchable database of U.S. newspapers now in the public domain. In March 2005, the Library and the National Endowment for the Humanities (NEH) announced that six institutions had received more than $1.9 million in NEH grants. Two-year projects in California, Florida, Kentucky, New York, Utah, and Virginia each will digitize 100 thousand or more pages of each state's most historically significant newspapers published between 1900 and 1910. When completed, digitized newspapers will be made available through the Library's web site. The first phase of the NDNP is expected to result in the Library's ingest of 60 terabytes of digitized content.
- NDIIPP
    - The program is funded by a FY 2001 appropriation of $99.8 million. The Congress directed the Library to lead this nationwide effort in collaboration with other federal and non-federal entities. The goals of the NDIIPP are to:
        - Encourage shared responsibility between many institutions and organizations for the collection, storage, and preservation of digital content.
        - Seek national solutions for the continuing collection, selection, and organization of historically significant cultural materials despite evolving formats.
        - Ensure the long-term storage, preservation, and authenticity of those collections.
        - Work toward persistent, rights-protected access for the public to the digital heritage of the American people.

Beyond its leadership role in developing digital strategy and preserving digital content, the OSI has oversight responsibilities for the Library's Information Technology Services (ITS) unit. The mission of ITS is to provide the best possible technical support to assist the Library's various service units with fulfillment of their missions in support of the Congress and the nation. ITS provides reliable and effective information systems and telecommunications services to the Library in support of its efforts to serve the Congress and the nation, manage its collections, and plan, design, and implement systems that define the future digital library and information infrastructure.

ITS provides a range of information technology services including:

- Computing and storage services for all enterprise-level data collections.
- Voice and data communications services.
- Software application analysis, design, development, and maintenance support.
- Network architecture and software.
- End-user computing support.
- Business analysis support.
- IT Strategic Planning, Enterprise Architecture, and Performance Measurement.
- Information Technology security policy and technical support;
- Web development services.
- High resolution digital still image scanning.
- Multi-media presentation design and development support.

**FY 2006 - 2007 PRIORITIES**

- Refine, improve, and expand the Library's public Web presence including upgrades to the THOMAS web site, features to the National Digital Library's American Memory web site, Global Gateway, Learning Page, America's Library, and the Wise Guide.

- Develop the National Digital Newspapers Program (NDNP) repository for eventual online access to digitized newspapers of the Library and its partners in the NDNP program.

- Begin developing systems functionality to enable eventual online access to Library harvested Web content by the Library's users.

- Maintain and expand the NDIIPP Web site for the public and the Library's NDIIPP partners. This includes developing networked collaborative work spaces for an ever expanding NDIIPP partnership network.

- Continue educator workshops and presentations on the use of the Library's online primary source materials at more then 40 venues nationwide, reaching approximately 7,500 educators and thousands more conference attendees.

- Build a national online educators program expanding AAM to additional states across the country.

- Establish broader institutional support for and participation in capturing at-risk digital content under the NDIIPP program. This includes establishing best practices for content identification, selection, and archiving within a reliable technical environment.

- Expand the Library's captured Web content holdings.
- Work with the International Internet Preservation Consortium to develop common Web capture tools, processes, and practices that will allow national libraries to share digital content.
- Continue to implement a Library-wide collaborative project to build a prototype system that will ingest, archive, and create access to electronic journals and other digital content in the Library collections. The project will take into consideration other systems and technologies available, both internally and externally, to ensure efficient use of available system development resources.
- Perform Certification and Accreditation (C&A) of all mission-critical systems.
- Develop an Enterprise Architecture (EA) as an essential tool for effectively and efficiently engineering business processes, and for implementing and evolving supporting systems.
- With the Congressional Research Service, develop an annual plan for improving THOMAS and the Legislative Information System.
- Continue development of a Library Test Lab infrastructure and services that facilitate development, testing, and quality assurance best practices into the system development life cycle at all stages.
- Develop a data and voice infrastructure that provides a secure manageable digital environment in support of National Audio-Visual Conservation Center (NAVCC).
- Develop sufficient internal administration support services, facilities, equipment, and day-to-day technology infrastructure in support of the NDIIPP.
- Develop an Electronic Copyright Deposit solution that is reliable, maintainable, scalable, and operates effectively and efficiently.
- Develop integrated search tools for indexing, searching, and retrieving documents in Library databases as web pages.
- Complete the third phase of standardizing, securing and modernizing the Library's workstations.

- Complete the upgrade of the cabling plant in the John Adams and Thomas Jefferson buildings.

- Continue C&A of critical legacy applications and systems.

- Based upon analyses conducted in FY 2006, implement Wireless Data Networking in the Library where applicable.

- Develop and implement a remote site architecture for the overseas sites currently being serviced by Library Services. The architecture would allow remote site users to access Library internal IT resources, ensure that all remote sites comply with Library Security Policy, and allow ITS the ability to provide remote support to these offices. The remote site architecture will focus on providing interoperability with the Library of Congress Technology Infrastructure, Office Automation Systems and Workstation Management systems through appropriate bandwidth connections. This architecture will be used for all new or additional remote sites needing access to internal Library network resources.

- With Los Alamos National Laboratories, support research and development of tools that will help address complex problems related to collecting, storing, and accessing digital journals.

- With the University of California, San Diego Supercomputing Center, conduct a potential pilot project to demonstrate the feasibility and performance for a production digital Data Center to host selected digital content from the Library including both collected Web content and scanned digital images.

- Initiate new specialized repository development in addition to work underway on archiving web sites, digital newspapers, periodicals, images and audio and video formats.

**FY 2007 BUDGET REQUEST**

The Library is requesting a total of **$ 83.679 million in FY 2007**, a net increase of $1.2 million above FY 2006. Of this amount, $2.744 million is for mandatory pay and price level increases, offset by $ -1.504 million for non-recurring costs ($-150K) and program reductions ($-1.354M) in support of the NAVCC project. Funding supports 351 FTEs, a reduction of -4 FTEs from FY 2006.

**PROGRAM CHANGES**

**Adventure of the American Mind**

Congress created and passed the Library of Congress Digital Collections and Educational Curricula Act of 2005. Beginning in FY 2006, the Act moved administrative and programmatic ownership of the Adventure of the American Mind (AAM) program from the Education and Research Consortium of the Western Carolinas (ERC) to the Library.

While no additional funding is requested in FY 2007 for the Library's new Adventure of the American (AAM) National Program, the Library is reallocating the FY 2006 funds of $5.801 million (all earmarked for grants) to support **both** administrative and grant awards. In addition, the Library will begin developing standards-based, field-tested curricula, using a train-the-trainer model to create a network of partners from all parts of the country.

The ERC will continue to have oversight of the previously appropriated funding for the 26 active partners until all funds are expended. Beginning in FY 2006, all new funding will be managed and granted to new and existing partners by the Library.

At the current rate of spending, the ERC will exhaust all available funding for administrative and programmatic operations during FY 2006. Current AAM partners will exhaust their previously granted funding between FY 2007 - 2009, depending on activity and level of grant funding. Partners will operate in isolation and without guidance from a coordinating entity, beginning in FY 2007, unless permanent funding is provided to the Library to sustain and coordinate the programmatic intent of the Library of Congress Digital Collections and Educational Curricula Act.

**Overview of the Library's AAM National Program**

Teachers today find themselves faced with a multitude of choices for including primary sources into their classroom activities. They know that these resources stimulate their students to develop the critical thinking skills that they will need in the future. Yet the availability of this wealth of material is what makes it difficult, if not impossible, for educators to use them.

How to choose from among millions of available items? How to find the time to present them in a context that will be meaningful and appropriate for their students? A new national program from the Library will help teachers make these choices more easily, confident of the materials' quality and usefulness, providing current best practices in the use of primary sources incorporated into readily available teacher-tested education

materials. These curriculum-based materials will rely on national standards of learning, yet be flexible enough to adapt to local needs.

For the past six years, the AAM model has been used successfully in eight states. The materials available have been designed for differing grade levels and subject disciplines. One of the most important aspects of AAM and one of the keys to its success is based on an active model of sharing and support. AAM encourages educators to share their lesson plans with other teachers, thereby increasing exponentially the effects of their work A single lesson plan or activity based on primary sources has the potential to be used by thousands of teachers and to benefit tens of thousands of students.

The more than 5 thousand teachers who have already participated in this program are the Library's AAM foot soldiers, ready, willing and able to advise fellow educators on the benefits of primary sources and the best ways to introduce them to students. The new AAM program will use a train-the-trainer model to create a network of partners with members in every corner of the country. These partners will help the Library establish standards-based, field-tested lessons and curricula to be vetted by an independent organization to assure their quality. AAM envisions adding new partners each year through a congressional-selection process that draws on universities within each of the 10 Department of Education's regional education centers. This method will ensure the greatest amount of diversity – urban, suburban and rural – from the broadest number of states.

A major component of a national AAM program will be an American Memory Virtual Institute, a web-based resource to provide curriculum-based materials within a community of professionals eager to aid and learn from each other. It is hoped that each AAM partner will train teachers in at least 40 schools annually for a minimum of 15 "contact hours." Approximately 10 trainers will be qualified from among these schools to increase the multiplier effect of the program by training others.

Each participating school in the AAM network will be required to provide at least one lesson plan or other learning experience to the program that is national in scope, and could be easily replicated and adapted by other educators. All AAM materials will be subject to the same rigorous standards for quality that were developed during the American Memory Fellows Program. This network will inspire current and new members to join a new community of educators dedicated to harnessing the benefits of technology for the benefit of students everywhere, leveling the playing field, and making these rare and unique treasures of the Library an important part of the educational experience of the 21st century student.

Required Resources

Of the $5.801 million in the base, OSI is requesting that $1.791 million be used for the administration of the programs, selection of new consortium members based on specific criteria developed by the Library, and awarding funds to the consortium members. The balance of $4.010 million will support the awards/grants to consortium members.

The administrative funds will be used for:

Contract Support - $1.541M

- Funds are required to hire nine temporary support ($980K) staff for the administration of the AAM program including:
  - 1 Program Manager (GS-15/5)
  - 1 Internet/Virtual Classroom Coordinator (GS-14/5)
  - 1 AAM Program Specialist (GS-13/5)
  - 1 Education Resource Specialist (GS-13/5) [1/]
  - 1 AAM Web Publisher (GS-12/5)
  - 2 Partner Liaisons (GS-12/5)
  - 1 AAM Administrative (GS-11/5)
  - 1 AAM Budget Specialist (GS-11/5)
  - 9 Total

[1/] 1 Specialist for every 5 partners added.

- Funds are also required for product reviews, instructors, program evaluation and selection panel ($551K).

Operational Costs - $250K

- Funding supports travel ($105K), postage ($10K), printing services ($70K), supplies ($25K), and automation equipment and software ($40K).

- Staff will be required to travel to partner sites to execute program activities and orientations, provide programmatic and administrative oversight, conduct workshops, teacher-to-teacher training, and other associated programmatic and administrative operational activities.

**FY 2005 ACCOMPLISHMENTS**

**Library of Congress Strategic Goal 4:**

***Expand, manage, and communicate Library of Congress digital strategies and roles.***

- The Library continued to support the congressionally mandated AAM, which currently has 23 funded partners in seven states. The Library hosted orientation and directors meetings; made presentations at 13 workshops in four states, reaching more than 600 educators; hosted 28 in-house workshops for 560 educators; and contracted for a research study on best practices. Other national collaborations included in-house teacher institutes with curatorial divisions of the Library. Began discussions with other federal agencies regarding potential content access collaborations.

- The first eight formal NDIIPP partnerships, eight consortia comprising 36 institutions, now is a model collaborative network focused on preserving at-risk digital information. In FY 2005, the Library focused on establishing a "community of practice" among the partners to help spur collaboration. Topical "affinity groups" were also formed to transcend institutional and project boundaries and explore areas that merit common solutions.

- In a jointly sponsored program with the National Science Foundation, 10 universities were awarded a total of $3 million to undertake pioneering research to support the long term management of digital information. Research supported by these awards will help produce technological breakthroughs needed to keep digital content preserved and accessible over many years.

- The Library began to explore and assess states' and U.S. territories' interest and current work in digital preservation, types of challenges faced, and how these commonalities of interest can be leveraged to advance the NDIIPP collaborative partnership network. Approximately 200 representatives from state libraries, archives, and information technology organizations were convened in three separate workshops. Findings and recommendations from these workshops will provide insights for the Library's collaboration strategy with state and local entities.

- Awarded $3 million to Portico, a nonprofit electronic archiving service for e-journals. The award advances two fundamental NDIIPP goals: to explore viable technical infrastructures to support long-term preservation of digital content, and

to foster the development of new business models for digital preservation services.

- A Section 108 Study Group was convened under the aegis of NDIIPP and co-sponsored by the U.S. Copyright Office to address the preservation of digital materials and the challenges posed by copyright law. The Section 108 Study Group, named after the section of the U.S. Copyright Act that provides limited exceptions for libraries and archives, is to prepare findings regarding digital preservation and copyright issues, and make recommendations to the Librarian of Congress. It is a 19-member committee of copyright experts from various fields, including law, publishing, libraries, archives, film, music, software, and photography.

- The Library completed the Archive Ingest and Handling Test (AIHT) in FY 2005. The first practical test of the NDIIPP technical architecture was completed with Harvard, Stanford, Johns Hopkins and Old Dominion University. It was designed to identify, document, and disseminate working methods for preserving the nation's increasingly important digital cultural materials, and to identify areas that may require further research or development.

**Library of Congress Strategic Goal 5:**

***Manage and sustain digital content.***

- OSI added significant content to online collections, including:

    - New digital files produced - 911 thousand
    - New digital collections online - 16
    - Total digital files produced - 10.2 million
    - Total digital collection online - 148

- For web content capture, OSI worked with recommending officers and curators in Library Services, Law Library and the Congressional Research Service to expand the Library's collection of web content by 15 TB of data comprised of over 3500 web sites captured.

- OSI continued to maintain the Learning Page outreach to educators on the use of the Library's American Memory digital content. Learning Page enhancements included: 15 new collection connections with teaching resources and four new lessons.

- The Library is nearing successful completion of the first phase of a project with Los Alamos National Laboratories (LANL) to research and test mechanisms and tools for digital repositories by transferring digital journal materials of The American Physical Society and storing them at LANL.

**Library of Congress Strategic Goal 17:**

***Manage and sustain mission-critical IT programs.***

- The Library's online computer resources attracted even more users than in previous years. In FY 2005, there were nearly 4 billion Internet transactions, or hits, on the Library's web sites, compared to slightly more than 3 billion in FY 2004. The American Memory web site registered over 825 million hits in FY 2005, more than 208 million above FY 2004. The America's Library web site for children and families handled 239 million hits in FY 2005, as compared to 218 million the previous year. The THOMAS public legislative information system and online Library exhibitions remained popular pages on the Library's web site, receiving 210 million and 154 million hits, respectively.

- THOMAS was enhanced for the start of the 109th Congress. The capability of searching across multiple Congresses was added together with implementation of American Disabilities Act Section 508 Compliance standard for accessibility.

- During FY 2005, ITS continued working closely with OSI and the other service units to expand the number of digital collections accessible to the public through the Library's web site. New digital collections introduced include: The *Miller Scrapbook; Islamic Manuscripts from Mali: A Collection: Historias Parallelas; Tending the Commons; France in America; Hotchkiss Map Collection; Women of Protest; and Meeting of Frontiers.* ITS also enhanced searching Library's digitized visual materials by integrating a thesaurus into the Prints and Photographs Online Catalog. Standardized subject, genre, and image process terms and their cross-references now enable researchers to look up related terms or to look for pictures indexed with the term.

- ITS worked closely with OSI and Library Services on a range of R&D projects to support the Library's digital initiatives for the 21st century, including the NDIIPP, as well as all new collections and materials added to the NDL. Two major projects accomplished in FY 2005 include the National Digital Newspaper Program (NDNP) and the Web Collection Management System (WCMS). NDNP and WCMS mark the first Library attempt at developing applications using the Open Source development model.

- Numerous IT infrastructure related projects were completed by ITS in FY 2005 in order to increase the efficiency of Library IT operations, such as the development of the Centralized Network Monitoring System; Network Standardization; Centralized Workstation Management via the ON system; a Server Architecture Assessment that identified replacement requirements for the Madison Data Center server components over the next 2 – 3 years; a Storage Architecture Assessment that will help to forecast Madison Data Center needs for storage, architecture, and infrastructure growth over the next two to three years; an Architecture Assessment that recommended the IT infrastructure needed for the NAVCC; retirement of the Token Ring Network and the establishment of a fully functional gigabit Ethernet network for the entire Library; phase 1 implementation of an in-building Wireless Cellular Network that enables voice/data cell signals of all major carriers available in public areas of the Library; a Wireless Data Network designed to provide collection scanning services in the stacks for the Library Services staff; the Financial Hosting Environment was created as a separate hosting environment within the server architecture which meets National Institute of Standards and Technology guidance and Federal Information Systems Control Automation Manual requirements; C&A of the Financial Hosting Environment and all applications within its boundaries, including Momentum, the Financial Reports System, and WebTA; replicated the FHE at the Alternate Computer Facility for fail over capabilities under the Continuity of Operations Plan, and the establishment of migration paths for converting two major mainframes applications to the software platform used by the Integrated Library System.

- During FY 2005, ITS focused on the implementation of best practices in the areas of Systems Development Life Cycle, Project Management and IT Security.

- ITS supported more than 210 enterprise applications. These applications were improved and upgraded by the Resource and Development groups. One major effort over the past year included fine-tuning the performance of the Momentum financial application deployed the end of FY 2004 and migrating all of the financial applications, including reporting and time and attendance, to a newly created, separate financial hosting environment.

- ITS made tremendous strides in IT Security in FY 2005. Building upon the IT Security Policy from FY 2004, ITS issued 12 directives in FY 2005, providing details for service units and enabling infrastructures on IT Security. ITS also developed a Library-wide IT Security Plan and began coordinating with other components of the Library to draft their individual IT Security Plans.

- The Security Operations Center was created in FY 2005. It provides incident handling and response capability, review of audit logs, monitoring of certification and accreditation activities, and IT security advisories to all Library IT personnel

- A new IT Security Awareness Training Program was instituted requiring Library users to take annual online IT security awareness training. ITS worked with the Office of Management and Training to create the online course.

- In FY 2005, the ITS Assistive Technology Demonstration Center continued to provide assistance to physically challenged Library employees. Approximately 30 staff members and a number of Library patrons were provided technological accommodations.

- ITS continued to provide units throughout the Library with state-of-the-art technical support services in the areas of help desk support, cable installation, network support, workstation configuration, and server support. During FY 2005, ITS responded to over 30 thousand requests for workstation related products and services, including help desk support. In addition, ITS telephone operators responded to over 54 thousand incoming calls.

- The ITS Digital Scan Center (DSC) increased its support of approved digital conversion projects for Library Services, scanning 20 collections for inclusion on the Library's web site. Significant scanning services were also provided to the Congressional Research Service, the Copyright Office, and the Interpretive Programs Office. At the end of the FY 2005, the DSC had produced approximately 100 thousand high-resolution digital images. The DSC now offers a variety of capture techniques that address virtually any scanning need, and is recognized throughout the Library for its high-quality scanning work.

- In FY 2005, the Multi-Media Group produced more than 182 productions. Videos produced by the Multi-Media Group are now featured as "highlights" on the Library's web site home page. An archive of more than 600 video programs is available for viewing on the "Webcasts" page, and includes conferences, symposia, lectures, book talks, and documentaries about the Library's collections. These productions are sponsored by more than 20 Library work units.

# Library of Congress, Salaries and Expenses
## Cataloging Distribution Service
## Analysis of Change
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| **Budget, FY 2006** | 40 | $6,700 |
| **Minus: Rescission** | 0 | - 67 |
| **Adjusted Budget, FY 2006** | 40 | $6,633 |
| **Non-recurring Costs** | | |
| Transfer of CDS Appropriation to National Library | | - 693 |
| **Total, Non-recurring Costs** | 0 | - 693 |
| **Mandatory Pay and Related Costs:** | | |
| Comparability pay raise 2007 | | 54 |
| Annualization of pay raise 2006 | | 6 |
| **Total, Mandatory Pay and Related Costs** | 0 | 60 |
| **Price Level Changes** | 0 | 0 |
| **Program Increases** | 0 | 0 |
| **Net Increase/Decrease** | 0 | - $ 633 |
| **Total Budget** | 40 | $6,000 |
| **Total Offsetting Collections** | 0 | - 6,000 |
| **Total Appropriation** | 40 | $ 0 |

## Library of Congress
## Library of Congress, Salaries and Expenses
## Cataloging Distribution Service

### Summary By Object Class

**(Dollars in Thousands)**

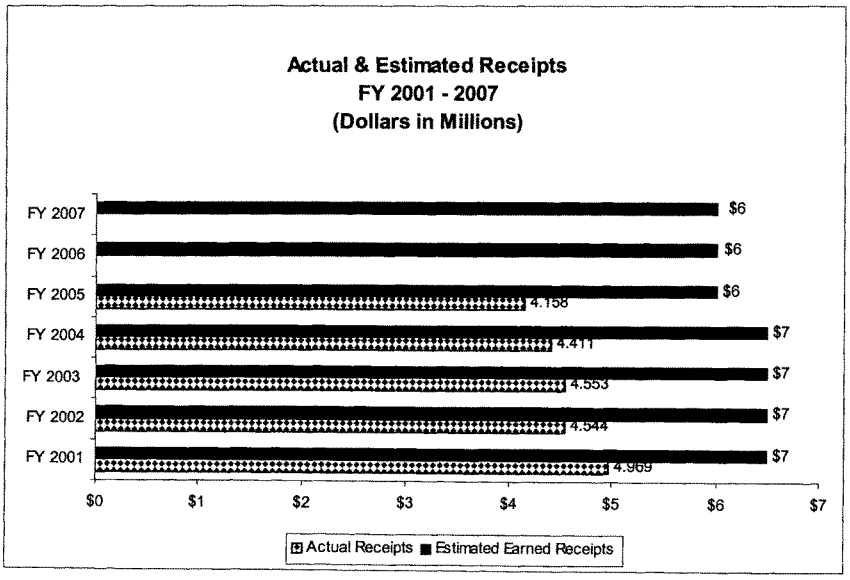
| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $2,266 | $2,759 | $2,230 | - $529 |
| 12 Personnel Benefits | 489 | 603 | 499 | - 104 |
| 13 Benefits for Former Personnel | 0 | 0 | 0 | 0 |
| 21 Travel | 20 | 23 | 23 | 0 |
| 22 Transportation of Things | 65 | 65 | 65 | 0 |
| 23 Rent, Communications and Utilities | 134 | 165 | 165 | 0 |
| 24 Printing and Reproduction | 372 | 435 | 435 | 0 |
| 25 Other Contractual Services | 1,118 | 2,537 | 2,537 | 0 |
| 26 Supplies and Materials | 19 | 19 | 19 | 0 |
| 31 Equipment | 15 | 27 | 27 | 0 |
| 41 Grants | 0 | 0 | 0 | 0 |
| 42 Insurance Claims and Indemnities | 0 | 0 | 0 | 0 |
| 43 Interest | 0 | 0 | 0 | 0 |
| 94 Finance Transfers | 0 | 0 | 0 | 0 |
| **Total, Budget** | **$4,498** | **$6,633** | **$6,000** | **- $633** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

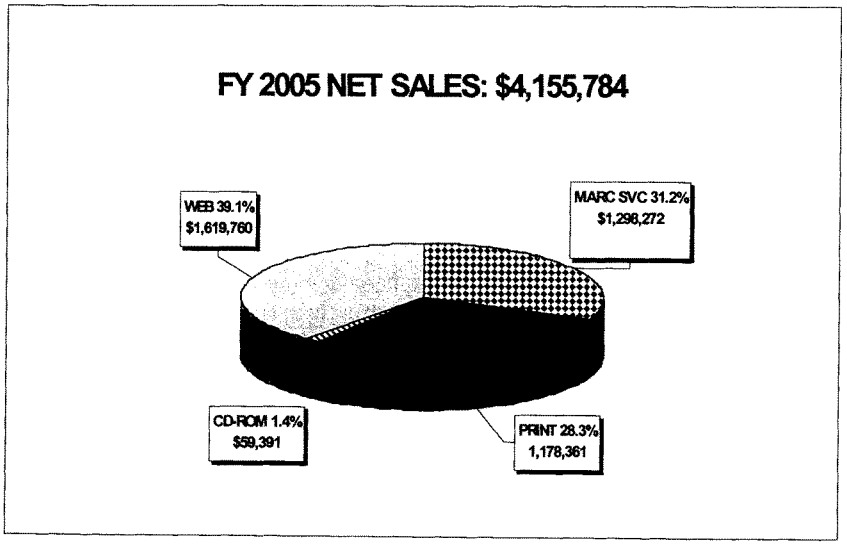
**OVERVIEW**

The Cataloging Distribution Service (CDS) is the distribution arm for the Library of Congress bibliographic data and related technical publications. For more than 100 years, libraries throughout the United States and around the world have depended upon Library cataloging records and standards to process their materials. The use of Library cataloging data and standards promotes consistency and sharing of data that helps libraries avoid expensive duplication of cataloging efforts.

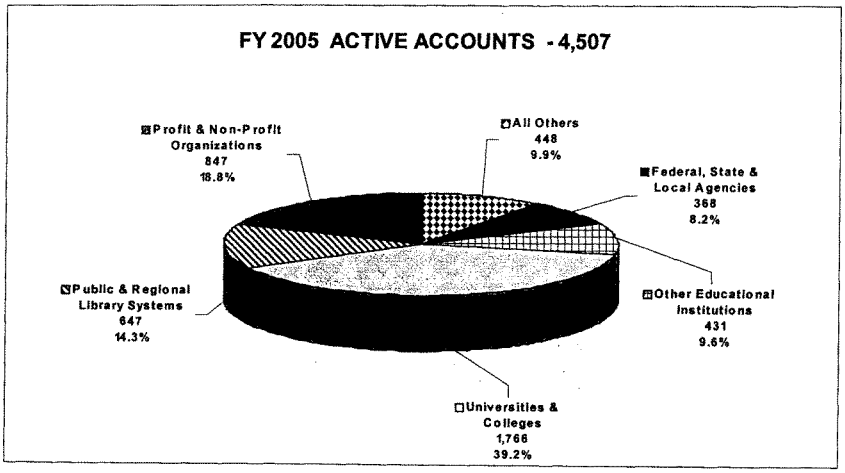
CDS administers a cost-recovery distribution program under the authority of 2 U.S.C. 150, which requires that the Library charge for its products "...a price which will cover their costs plus ten per centum added." This requirement to return cost plus 10 percent is applied across the sum of all products sold. On an annual basis, CDS establishes product prices that will fulfill this statutory requirement within the earned receipt requirement established through the congressional budget process.



CDS products and services include MARC (Machine-Readable Cataloging) data files delivered to customers through Internet file transfer; cataloging training materials delivered in PDF format; and Library classification schedules, subject headings, and cataloging manuals delivered in both print and value-added electronic formats. Total net sales for FY 2005 reflect these product categories in the following proportions:



In FY 2005, a total of 4,507 accounts representing customers in more than 80 countries purchased Library cataloging products and services from CDS. These accounts represent all segments of the information services community, as illustrated by the chart below. Included in the Profit and Non-Profit Organizations segment are value-added redistributors of bibliographic data. These accounts utilize the Library's cataloging records in providing customized services for thousands of additional users of library data throughout the world.



**FY 2006 PRIORITIES**

- Continue the collaborative development and distribution of cataloging and metadata training materials in support of the Library's leadership role in the emerging digital environment.
- Explore alternative approaches for implementing a web-based business and customer information management system for improved customer service.
- Continue the enhancement of Cataloger's Desktop and Classification Web to meet customer needs while incorporating advances in technology.
- Implement recommendations resulting from a cataloging documentation survey conducted in FY 2005.
- Publish new editions of the Library Classification schedules and Subject Headings.
- Pursue further planning for an XML-based authoring and editing system for the publication of cataloging documentation.

**FY 2007 PRIORITIES**

- Enhance and extend the reach of the Library's cataloging products and services through marketing and product development initiatives in the area of emerging digital standards and metadata generation.
- Sustain cost-recovery operations by continuing to define and implement new business processes and approaches for disseminating the Library's cataloging databases, standards, and related technical publications.

**FY 2007 BUDGET REQUEST**

The Library is requesting a total budget of **$6 million** for the CDS program **in FY 2007**, a net reduction of $-633K from FY 2006.

The CDS budget will be **funded with offsetting collections** earned through the sale of CDS products and services to both internal and external Library customers. FY 2007 is the first year CDS' budget will be funded, in total, with offsetting collections, consistent with its authorizing language. Appropriated funds of $693 thousand, provided to CDS in FY 2006 to cover the cost of products and services for internal Library customers, has been reallocated to National Library-Basic, the office which manages the internal Library orders from CDS. The following chart reflects CDS' FY 2006 - 2007 budgets.

**(Dollars in Thousands)**

| Type of Authority | FY 2006 | FY 2007 | Difference |
|---|---|---|---|
| Appropriated Funds | $ 693 | $ 0 | $-693 (reallocated to NL Basic) |
| Offsetting Collections | 5,940 | 6,000 | 60 |
| Total Budget | $6,633 | $6,000 | $ -633 |

Funding supports 40 FTEs, the same level as FY 2006.

## FY 2005 ACCOMPLISHMENTS

**Library of Congress Goal 3:**

***Lead, promote, and support the growth and influence of the national and international library and information communities.***

- Continued the collaborative development and distribution of cataloging and metadata training materials. Published training manuals for two new cataloging courses on authority-record creation, and for three updated courses on serials cataloging. Developed and launched a new web-based clearinghouse portal for cataloging and metadata training resources for information workers.

- Continued planning for implementation of a web-based business and customer information management system for improved customer services. Contracted for a feasibility analysis and cost estimate for the replacement of CDS's legacy business system using Momentum, the software used for the new Library central financial system.

- Enhanced Classification Web, one of CDS' most popular web-based cataloging products, by implementing a major upgrade to the underlying data management software. The software upgrade, written in Java, is Unicode-compliant. This will enable the display of non-roman language data, a feature that is important when serving a worldwide customer base.

- Enhanced Cataloger's Desktop (a web-based compendium of cataloging publications) by harvesting from the Web and indexing related resources, by adding quick-reference aids and training tips, and by conducting a user survey to assess customer satisfaction and priorities for enhancements.

- Completed the migration of the MARC database distribution services from the Library mainframe computer to a server environment under Voyager, the system used for the Library's Integrated Library System (ILS). This migration included the implementation of Unicode in the ILS and enhanced CDS' ability to distribute Unicode-compliant records.

- Completed a survey of print product subscribers regarding the future distribution of cataloging documentation in electronic format. Survey results varied by product line and will be part of a new business plan.

- Published eleven new editions of Library Classification schedules: G (Geography. Maps, Anthropology, Recreation); H (Social Sciences); K (Law, General); K Tables (Form Divisions for Law); KF (Law of the United States); L (Education); P-PA (Philology and Linguistics, Greek Language and Literature, Latin Language and Literature); PB-PH (Modern European Languages); PJ-PK (Oriental Philology and Literature, Indo-Iranian Philology and Literature); PR, PS, PZ (English and American Literature, Juvenile Belle Lettres); and PT (German, Dutch, and Scandinavian Literatures).

# Library of Congress
## Library of Congress, Salaries and Expenses
## Law Library
## Analysis of Change
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| **Appropriation, FY 2006** | 101 | $13,688 |
| **Minus: Rescission** | 0 | - 137 |
| **Adjusted Appropriation, FY 2006** | 101 | $13,551 |
| **Non-recurring Costs** | 0 | 0 |
| **Mandatory Pay and Related Costs:** | | |
| Comparability pay raise 2007 | | 198 |
| Annualization of pay raise 2006 | | 108 |
| Within-grade increases | | 87 |
| **Total, Mandatory Pay and Related Costs** | 0 | 393 |
| **Price Level Changes** | 0 | 82 |
| **Program Increases** | 0 | 0 |
| **Net Increase/Decrease** | 0 | 475 |
| **Total Budget** | 101 | $14,026 |
| **Total Offsetting Collections** | 0 | - 350 |
| **Total Appropriation** | 101 | $13,676 |

## Library of Congress
## Library of Congress, Salaries and Expenses
## Law Library

### Summary By Object Class

(Dollars in Thousands)

| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $6,846 | $7,734 | $8,050 | + $316 |
| 12 Personnel Benefits | 1,660 | 1,895 | 1,972 | + 77 |
| 13 Benefits for Former Personnel | 0 | 0 | 0 | 0 |
| 21 Travel | 78 | 90 | 92 | + 2 |
| 22 Transportation of Things | 1 | 2 | 2 | 0 |
| 23 Rent, Communications and Utilities | 42 | 45 | 46 | + 1 |
| 24 Printing and Reproduction | 53 | 46 | 47 | + 1 |
| 25 Other Contractual Services | 4,330 | 3,612 | 3,687 | + 75 |
| 26 Supplies and Materials | 46 | 39 | 40 | + 1 |
| 31 Equipment | 144 | 88 | 90 | + 2 |
| 41 Grants | 0 | 0 | 0 | 0 |
| 42 Insurance Claims and Indemnities | 0 | 0 | 0 | 0 |
| 43 Interest | 0 | 0 | 0 | 0 |
| 94 Finance Transfers | 0 | 0 | 0 | 0 |
| **Total, Budget** | **$13,200** | **$13,551** | **$14,026** | **+ $475** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

## OVERVIEW

The Law Library of Congress is the world's largest legal and legislative library containing almost 2.5 million volumes of legal material. Its primary mission is to provide the United States Congress with legal research and reference service in foreign, international, and comparative law, and with reference assistance in American law. The Law Library, through its Directorate of Legal Research, provides high quality, timely legal research, analysis, and legal reference to the Congress, executive branch agencies, courts, the legal community, and other customers. The Directorate of Law Library Services acquires, maintains and preserves a comprehensive legal collection in both analog and digital formats, for use by the Congress, executive branch agencies, the Supreme Court and other members of the Judiciary, and other customers. It provides reference and information research services in-person in the Law Library Reading Room as well as electronically. Through the development and implementation of the Global Legal Information Network (GLIN), the Law Library is creating an international standard for an electronic legal information system that provides a timely, multi-lingual and comprehensive global legal information data base for the use and support of the Congress and other government agencies and governmental jurisdictions.

## FY 2006 PRIORITIES

- Continue to respond to increased demand for legal research.
- Continue to prevent arrearage shortfalls from developing in processing of new acquisitions.
- Provide increased virtual reference services through the transfer of responsibility for responding to legal reference requests from users of the THOMAS web site.
- Expand the content of the U.S. legal material in GLIN to include judicial decisions, including additional retrospective legal material from the U.S. and Latin American countries, and promoting GLIN among countries in regions under represented in the network.
- Complete the digitization of the Statutes-at-Large and the Congressional hearings, and begin adding this material to GLIN and making it available to THOMAS and the Library's Information System (LIS).
- Conduct seminars, demonstrations and/or discussions on legal research techniques (international, comparative, and foreign law) for congressional staffers, law librarians and attorneys; up to 6 annually. Ongoing in FY 2007.

- Continue reclassifying one third of the Law Library's collection in the Class K schedule, beginning from Law General, Great Britain, France, Israel, Iraq, Kuwait, and Japan.

- Prepare want list for titles not owned by the Law Library in the following areas: (a) Benjamin Franklin legal imprints; (b) pre-state Texas legal materials; and (c) pre-state Louisiana legal materials. Extend the want list to English yearbooks in FY 2007.

- Prepare uniform standards for the types of material that should be in the foreign legal reference collection for each jurisdiction.

- Expand virtual reference services through introduction of Question Point software.

- Conduct at least 10 presentations on use of the Law Library and basic legal research techniques to the public as a part of a new Law Library public services program "Law Library Research Orientation." Ongoing in FY 2007.

- Create at least two digital collections annually on issues of national importance, digitally publishing collections and associated bibliographies and metadata. Ongoing in FY 2007.

- Create metadata and add the Supreme Court web archive collection to the Supreme Court nominations virtual library.

- Add all U.S. public laws from current Congress to GLIN database, maintain currency throughout the fiscal year, and add at least 1200 selected retrospective U.S. public laws to support Law Library's reference services in U.S. Law. Ongoing in FY 2007.

- Add all the Supreme Court decisions from current term and maintain currency throughout fiscal year, and add five terms of retrospective decisions. Ongoing in FY 2007.

- Complete incorporation of approximately 70,000 laws for 13 Latin American countries for the period of 1950 – 1975.

- Complete next phase of GLIN system upgrade to include nine additional multi-lingual interfaces, the ability to exchange data with a foreign regional level legal information systems, and distance learning capabilities.

- Conduct GLIN demonstrations and assessment/recruitment missions. Ongoing in FY 2007.

**FY 2007 PRIORITIES**

- Expand the content of GLIN, focusing on retrospective laws from Latin American countries from 1950 – 1975, by completing the linking of English language summaries to their corresponding full texts.
- Place all current U.S. public laws and Supreme Court decisions on the GLIN database.
- Implement the distance learning system for GLIN.
- Expand seminars on legal research techniques for both U.S. and foreign law, with emphasis on the maintenance and security of special collections of government documents.
- Continue classification of the LAW collection from Great Britain to the Class K schedule. Begin classification of the rest of the Arabic language countries and Iran.
- Plan and implement the consolidation of the foreign legal reference collection.
- Implement the inventory control component of the Library's collection security plan by providing timely check-in for each direct-shipped serial piece at the point of entry, capturing this date in the Library's ILS, and ensuring timely updating of records in the Library's ILS.
- Participate in electronic research and digital preservation initiatives by hosting a digital collection of web sites relating to prominent national policy issues involving law, courts, and legal process.
- Complete incorporation of approximately 25 thousand laws for 6 Latin American countries for the period of 1950 – 1975.
- Prepare and distribute a minimum of six Special Issue Reports, consolidating articles from the Law Library's World Law Bulletin and other Law Library research performed in the expectation of events of interest to Congress.

- Evaluate the FY 2006 enhancement to exchange data with the European Union and begin to expand this capability to other foreign regional/national level legal information systems.

- Initiate a prototype for a GLIN module which would display repeals, amends and other relationships between legal instruments.

- Prepare summaries and associated metadata for 100 U.S. treaties and other international agreements.

## FY 2007 BUDGET REQUEST

The Library is requesting a total of **$13.676 million** for the Law Library **in FY 2007**, an increase of $475 thousand over FY 2006. The increase supports mandatory pay and price level increases, the minimum amount required to maintain the Law Library's current level of operation. Total funding supports 101 FTEs, the same level as FY 2006.

## FY 2005 ACCOMPLISHMENTS

**Library of Congress Strategic Goal 6:**

***Provide high-quality and timely legal research, analysis, and legal reference services to the Congress, the executive branch agencies, courts, the legal community, and other customers.***

- Responded to more than 37 thousand reference requests from all sources in the Law Library reading room.

- Created a Supreme Court nominations virtual library which recorded 85 thousand visitors.

- Provided 1,035 analytical reports, and 1,417 reference services in international and foreign law to the Congress, a 23 percent increase over FY 2004.

- Provided non-congressional customers 907 reports, studies or legal opinions.

**Library of Congress Strategic Goal 7:**

***Acquire, secure, maintain, preserve, and make accessible a comprehensive legal collection, in both analog and digital formats, for use by the Congress, executive branch agencies, courts, the legal community, and other customers.***

- Added approximately 60 thousand new volumes to the Library's collection. Gaps were identified in the Blackstone collection – 16 titles were found and purchased. Collection reviews conducted for Australia, Iran, and Moldova developed and distributed lists of needed items to book dealers. All incoming items were processed within 5 days of receipt.

- Responded to 4,561 reference inquiries from the Congress of which 4,404 were from readers requiring in-person assistance with their legal research.

- Extended Law Library hours to provide after-hours services for 289 congressional staff members to obtain specialized information.

- Offered 16 seminars on legal research, providing training to 305 congressional staff members.

- Provided assistance to 52 thousand in-person, non-congressional users.

- Online requests:

    - Responded to 2,756 Internet references inquiries in the Law Library Reading Room.

    - Recorded 2.3 million transactions in the Guide to Law Online database – a 16% increase from FY 2004.

    - Recorded 2.8 million transactions in the Century of Law Making database – a 32% increase from FY 2004.

    - Recorded one million transactions in the Multi-national Database – a 221% increase from FY 2004.

**Library of Congress Strategic Goal 8:**

***Expand and enhance the Global Legal Information network (GLIN).***

- Conducted assessment/recruitment missions to countries of interest to the Congress including Canada, France, Luxembourg (European Union), and Pakistan.
- Completed input of approximately 95 thousand English language summaries of laws for 19 Latin American countries covering the period of 1950 – 1975.
- Completed digital conversion of microfilm to PDF files for the laws of 16 Latin American countries covering the period of 1950 – 1975.
- Added 1,100 laws from 16 countries to the GLIN database.
- Recorded 2.3 million hits, and 88 thousand visits in the GLIN database.
- Implemented a major system upgrade of GLIN that incorporated a multi-lingual interface, began to populate records in two additional categories of legal information (judicial decisions, legislative records), and provided enhanced search capabilities.

# Library of Congress
## Library of Congress, Salaries and Expenses
## Office of the Librarian
## Analysis of Change
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| **Appropriation, FY 2006** | **181** | **$22,602** |
| **Minus: Rescission** | **0** | **- 226** |
| **Adjusted Appropriation, FY 2006** | **181** | **$22,376** |
| **Non-recurring Costs** | **0** | **0** |
| **Mandatory Pay and Related Costs:** | | |
| Comparability pay raise 2007 | | 701 |
| Annualization of pay raise 2006 | | 375 |
| Within-grade increases | | 304 |
| Accident Compensation | | 79 |
| **Total, Mandatory Pay and Related Costs** | **0** | **1,459** |
| **Price Level Changes** | **0** | **66** |
| **Program Increases:** | | |
| **New Projects:** | | |
| Library Workforce Transformation Project | | 781 |
| **Total, Program Increases** | **0** | **781** |
| **Net Increase/Decrease** | **0** | **$ 2,306** |
| **Total Budget** | **181** | **$24,682** |
| **Total Offsetting Collections** | **0** | **0** |
| **Total Appropriation** | **181** | **$24,682** |

## Library of Congress
## Library of Congress, Salaries and Expenses
## Office of the Librarian

### Summary By Object Class

(Dollars in Thousands)

| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $13,481 | $15,166 | $16,589 | + $1,423 |
| 12 Personnel Benefits | 3,755 | 4,105 | 4,550 | + 445 |
| 13 Benefits for Former Personnel | 70 | 125 | 125 | 0 |
| 21 Travel | 85 | 99 | 101 | + 2 |
| 22 Transportation of Things | 4 | 6 | 6 | 0 |
| 23 Rent, Communications and Utilities | 148 | 237 | 243 | + 6 |
| 24 Printing and Reproduction | 371 | 541 | 554 | + 13 |
| 25 Other Contractual Services | 2,678 | 1,697 | 1,995 | + 298 |
| 26 Supplies and Materials | 130 | 127 | 240 | + 113 |
| 31 Equipment | 396 | 267 | 273 | + 6 |
| 41 Grants | 0 | 0 | 0 | 0 |
| 42 Insurance Claims and Indemnities | 6 | 6 | 6 | 0 |
| 43 Interest | 0 | 0 | 0 | 0 |
| 94 Finance Transfers | 0 | 0 | 0 | 0 |
| **Total, Budget** | **$21,124** | **$22,376** | **$24,682** | **+ $2,306** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

**OVERVIEW**

The Office of the Librarian (OL) consists of the Librarian of Congress and his staff as well as the following offices:

- The **Congressional Relations Office (CRO)** is responsible for congressional and press relations.
- The **Office of the Chief Financial Officer (OCFO)** is responsible for the centralized strategic planning, budgeting, accounting and disbursing activities of the Library's appropriated, gift, trust, gift revolving, revolving, and reimbursable funds.
- The **Office of the General Counsel (OGC)** is responsible for legal counseling.
- The **Development Office (DO)** is responsible for private sector outreach fund-raising.
- The **Office of Communications (OC)** is responsible for all internal and external communications.
- The **Office of Operations Management and Training (OMT)** is responsible for formulation and implementation of operational policies; developing and administering training and career development programs.
- The **Office of Contracts and Grants Management (OCGM)** is responsible for facilitating and executing large purchases, contracts, grants, and cooperative agreements.
- The **Office of Workforce Diversity (OWD)** is responsible for facilitating a workplace environment that recognizes and respects the racial, ethnic, gender, cultural, and other differences the Library's employees bring to the workplace.
- The **Office of Special Events and Public Programs (OSEPP)** is responsible for coordinating Library sponsored events, as well as those sponsored by outside organizations that utilize the Library's facilities.
- The **Office of the Inspector General (OIG)** is responsible for conducting audits and investigations.

In addition, the Management Support Service Units of Human Resources, Integrated Support Services, and the Office of Security and Emergency Preparedness (OSEPP) report to the Office of the Librarian. These offices are presented elsewhere in the budget as separate program elements.

**FY 2006-2007 PRIORITIES**

- Continue to improve the CRO web-portal, LCnet, and expand Congressional awareness and use of the Library's collections, facilities and programs.

- Provide legal support for Library initiatives, including the Library's move to the National Audio-Visual Conservation Center (NAVCC), complex issues relating to copyright, contracts, and personnel. Continue providing legal advice in support of the establishment of the Center for American Creativity in the Library of Congress; legal support for National Digital Information Infrastructure and Preservation Program (NDIIPP); and legal advice for other Library digital initiatives relating to the collection and preservation of digital materials, and legal issues (primarily copyright issues) relating to public access to such materials. Clarify gift statutes to allow the Librarian to accept securities, private property, and services for the benefit of the Library .

- In coordination with the re-energized James Madison Council, the OL will focus fund-raising efforts on the priority projects of the newly designed Thomas Jefferson Building visitor experience, the cross-country celebration of American creativity, the growing membership of the Leaders Circle, and the establishment of the spotlight event and related initiatives around the annual announcement of the National Film Registry.

- Develop a staff web site for the OSEPP. Participate in a national events Venue Publication and web site for event marketing purposes and referral services.

- Implement the one-year pilot program with the Personnel Appeals Board of the Government Accountability Office for handling EEO and other administrative hearings.

- Begin planning and implementing the Library's Workforce Transformation Project.

- Design and implement a comprehensive supervisor development program.

- Design and implement a revised new employee orientation.

- Design and implement a workplace harassment prevention training program for managers.
- Establish a mandatory training curriculum for all Library employees and monitor completion using the new Online Learning Center.
- Design and implement a formal training evaluation program.
- Modify and expand the Library's Summer Intern Recruitment Program and implement a new mentoring program.
- Continue to implement new modules available within the Library's new central financial management system.
- Coordinate the revision of the Library's Strategic Plan for 2008 through 2013.

**FY 2007 BUDGET REQUEST**

The Library is requesting a total of **$24.682 million** for the OL **in FY 2007**, an increase of $2.306 million over FY 2006. Of this amount, $1.525 million supports mandatory pay and price level increases and $781 thousand for program changes. Funding supports a total of 181 FTEs, the same level as FY 2006.

| | |
|---|---|
| **PROGRAM CHANGES** | **$781,000** |
| **Library Workforce Transformation Project** | **($781,000)** |

Renewal and development of the Library's workforce is essential to retrain staff with the necessary skills for the digital age, and to capture for the future the vast knowledge of large numbers of experienced staff who are near retirement.

As the Library's 2004 – 2008 strategic plan notes:

> The Library's dedicated **workforce must,** to a large extent, **be retrained or renewed.** Facing a disproportionally large number of experienced personnel at or nearing retirement age, we must create a workforce that will in the aggregate provide even greater diversity of both backgrounds and technical skills. The staff for the 21st century must include highly skilled and well-trained experts in the new technologies of the information age and the traditionally scholarly substantive expertise required by the richness and variety of the collections. Developing a retooled workforce, in many ways, is the most important single task the Library faces in the next decade.

Information is the currency of the global digital environment. However, much of this information is unfiltered, chaotic, and ephemeral. The Library must equip its workforce with the skills necessary for success and sustain the deep substantive scholarly expertise that enables staff to filter, navigate, analyze, and objectively interpret knowledge for the Congress and the nation. Specifically, our workforce must be retooled with the skills necessary to take advantage of 21st century technology to:

- Digitize information to meet user's needs
- Increase technology use to get information to all who need it
- Reassert the Library's long leadership in describing and organizing information
- Master the challenges of preserving information in digital formats
- Define what constitutes special collections in the digital era
- Strengthen our collaborative work with the broader library community

The Library is also facing a crisis due to large numbers of staff retiring in the near future. Library staff are highly experienced, both a source of considerable strength for the institution and a factor that places it at risk because of the prospect of significant staff retirements. Library employees average nearly 50 years of age and 20 years of federal service. Less than one percent of all librarians, the institution's largest occupational series, are under the age of 30 and only nine percent are under the age of 40. At the other end of the age spectrum, 70 percent of librarians are age 50 and above, with 52 percent at age 55 and above. The imminent retirement of highly experienced staff represents not only a risk to the Library's senior leadership, but also to many other critical positions. The Library must implement comprehensive succession planning that provides leadership development opportunities for both senior staff and junior employees who demonstrate the promise and desire to contribute at higher levels of responsibility.

**The Solution**

In FY 2007, the Library will begin a program to enhance digital competencies, leadership skills, career development, recruitment, and other workforce counseling and services. These activities are particularly important for sustaining the Library's commitment to a diverse workforce. The **five initiatives** outlined below describe the systematic and systemic approach that the Library will undertake in FY 2007.

**Development of Digital Competencies Initiative** **[$100,000]**

In order to prepare the Library's workforce to serve in the 21st century library, the Library must provide the workforce with innovative training solutions linked to a comprehensive set of competencies that describe desired performance. The Library must develop new job-specific competencies that describe the skills and knowledge required for key

occupations in the digital age. The first step in developing new roles for the staff to become "knowledge navigators" is to systematically identify what it is they are expected to know and do. Funding for this effort will permit the Library to contract with external professionals, in the fields of performance consulting and organizational development, to work with Library subject matter experts to define these new competencies. The Library anticipates that $100 thousand, a one-time cost, is necessary for this initial analysis effort. Comprehensive learning solutions linked to the results of this detailed analysis will be presented for funding consideration in FY 2008.

**Aspiring Leaders and Foundational Learning Program** **[$225,000]**

The Library recognizes the importance of building leadership skills among its current workforce and growing future leaders as a key component of our larger succession planning efforts. This initiative establishes an Aspiring Leaders and Foundational Learning Program that provides structured career development activities for Library employees in grades GS-5 through GS-9. This new program will consist of courses, workshops, career counseling, and supervised activities that are designed to provide future Library leaders with a foundation in leadership and prepare them for positions as team leaders, supervisors, and managers. Some components of the program would be open to all employees while other components would be limited to those employees who have participated in a selection process that identifies those with high potential. This program would complement, but not replace, the Leadership Development Program now offered to a select group of GS-11 to GS-13 employees. At the same time, this program provides foundational learning and development programs for all employees that are essential to the long term Library Workforce Transformation Project. The following tools will help support this program:

*E-Learning Solutions*

E-learning is an effective and efficient method of career development for junior employees as well as an essential component of larger workforce development efforts. Many types of skills and knowledge required for the digital age and leadership development can be delivered via interactive e-learning at a fraction of the cost of traditional classroom training. Empirical studies show that e-learning is often more effective than traditional classroom-based learning. A blend of e-learning and classroom instruction will be provided for those topics where e-learning alone is not appropriate. The Library has successfully piloted a number of e-learning courses that have also been used as core components of many federal agency training programs, including the Government Accountability Office. For example, the Library recently trained and evaluated 100 percent of its employees in Information Technology Security Awareness, using an online course at a cost that was approximately one-fifth of what it would have cost using classroom-based instruction. This component would fund an annual subscription

to a comprehensive library of 600 online courses including computer and software technology, leadership, effective communications, project management, and human resources development. All Library employees would have access to these courses, and management can use them to augment individual development plans. Recognizing that not all employees are prepared for e-learning, a full range of support and preparatory programs will be provided. The per employee cost for full access to all 600 courses is a very reasonable $15. The total amount of recurring funds requested for this component is **$60 thousand**.

*Interactive Leadership Courses*

This component includes an annual subscription to a set of highly acclaimed leadership development courses for at least 200 employees, allowing the Library to reach a wide audience of aspiring leaders and high potential employees. These courses are CD-ROM based and include facilitated discussions with groups of employees. These courses have proven to be effective in other executive and legislative branch agencies. The total amount of recurring funds requested for this component is **$50 thousand**.

*Strategic Mentoring*

Enhancements will be made to the Library's modest mentoring program to allow better matching of employees to mentors based on career specialties in an effort to transfer the vast knowledge of employees nearing or recently retirement to a new generation. The program includes workshops and seminars for participants to further mentoring goals. A vendor will provide professional mentoring program management. The total amount of recurring funds requested for this component is **$50 thousand**.

*Career Planning and Counseling*

Expanded opportunities for professional development are a critical underpinning for succession planning. To this end, employees need access to professional career planning and counseling to help them identify and prepare for career growth and take advantage of the opportunities available to them at the Library. This component will allow outsourcing of personalized career planning and counseling services to a vendor with proven expertise and success in providing these services to federal employees. All services would be tailored to Library careers. Specifically, the following services would be provided each year: (1) telephone and email based career coaching to Library employees, (2) a dedicated website with online career assessments, career planning and job search related links, and career planning and job search relevant articles,

(3) onsite career planning and job search workshops, and (4) onsite career coaching for individuals and/or small groups. The total amount of recurring funds requested for this component is **$65 thousand**.

**Center for Learning and Development Staff Position** **[$98,000]**

To lay the groundwork for the workforce development challenges the Library reorganized its Internal University (LCIU), establishing the Center for Learning and Development as its successor. As a result of the reorganization, the Library's training staff was reduced from 9 lower grade administrative FTEs to 6 higher grade professional FTEs. Fewer administrative staff are needed due to the automation of learning administration and because the function of the staff was redefined to include training professionals who provide instructional analysis, development and evaluation services.

Initial assessments, at the time of reorganization, indicated that the funds from the original 9 FTEs could fund the 6 new FTEs. Because most of the employees selected for the new positions qualified for salaries at, or near, the top of the pay scale, only five positions have been filled on a permanent basis. The sixth position has been filled with a temporary employee participating in the Library's Career Development Intern Program. Additional funding is necessary to allow the Library to hire a permanent employee for this key sixth position to help carry out the new professional development initiatives outlined in this document. The total amount of recurring funds requested for this GS-12 position is $98 thousand.

**Summer Intern Recruitment Program** **[$231,000]**

In FY 2005, the Library hosted a summer intern program that provided temporary staff to search through unexplored copyright materials and itemize the unprocessed elements. The Jefferson Patterson Jr. Fellows Trust funded the FY 2005 Jr. Fellows Creative America Summer Intern Program. Beginning in FY 2007, the Library plans to modify and expand the program for use as a targeted recruitment initiative called the Summer Intern Recruitment Program.

The Library's Summer Intern Recruitment Program will expose interns to a broad spectrum of Library work, introducing them to principles of preservation, reference, access standards, information management, and the copyright system. This program will help attract young high-potential students from a wide variety of diverse backgrounds, providing an experienced pool of potential permanent employees that can be targeted in future recruitment efforts. At the same time, the Library gains much needed assistance with collections management – two pluses from one program. The total recurring annual cost for the program is $231 thousand. This amount allows participation for 50 temporary interns (equivalent to 10 FTEs) each year. Funding supports:

| | |
|---|---|
| Salaries and Benefits | **$228K** |
| $400 per week x 10 weeks x 50 interns ($200K) | |
| Benefits (FICA, Medicare, Transit Subsidy ($28K) | |
| Administrative Expenses | **$3K** |
| Printing/Supplies ($2K) | |
| Transit Administration Fee ($1K) | |

**Interpreter Services** **[$127,000]**

The Library's interpreting services are provided solely through contracted services and are managed under the disability program . Contracted "on-site" interpreting services are provided three days a week. A Library employee who happens to be a qualified sign language interpreter provides "back up" interpreting services, when possible, but this is not a desirable situation. As a result, both the Access Program for persons with disabilities and the Interpreting Services Program are stretched to the limits and barely able to meet the need of providing quality services in a timely manner.

A full-time staff interpreter (GS-11/12) is needed for the Library's Interpreting Services Program to manage a full range of services, including providing programmatic support. An interpreter will receive requests, assess requests, conduct an interactive discussion with customers, schedule the services, and coordinate supplemental services as needed. The interpreter will also be responsible for designing, managing, publicizing, marketing, implementing, and evaluating the full range of services available as well as serving as an expert in cross cultural communications for a wide variety of situations. The total amount of recurring funds requested for this program is $82 thousand to fund salary and benefits for one full time interpreter. An additional $45 thousand is needed to expand the interpreting services contract so that all requests for interpreter services can be accommodated.

The Library is not requesting any additional FTEs for either the Summer Intern Recruitment Program or sign language interpreter. FTEs will be absorbed within the Library of Congress, S&E appropriation base, and reallocated to the appropriate offices in the FY 2007 operating plans.

**FY 2005 ACCOMPLISHMENTS**

**Library of Congress Strategic Goal 16:**

***Create an environment that supports delivery of superior service to the Congress and the American people through effective communication and management of business and supporting processes and financial resources, and that provides a safe and healthy workplace.***

- Successfully planned and managed more than 130 Congressional meetings, briefings, receptions, lectures, and dinners in the Great Hall, Members Room, and other Library facilities.

- Launched the new LCnet web site to the Congress. The site features a wide range of information about the Library's programs, activities, and collections tailored to the interests and needs of the Congress.

- Continued providing support for many aspects of the Library's most popular public face, its comprehensive web site, which received 3.8 billion hits during FY 2005. During the year, the home page and various other pages on the site, were redesigned to add content and facilitate navigation. Worked with the Ad Council, and oversaw a successful public service campaign to advertise the Library's main web site and the America's Library Web site for children and families. Since its inception in 2000, the campaign has resulted in more than $200 million in donated radio, television and Internet ads. At year's end, the Library's web site received an "Outstanding Website" award from the Web Marketing Association.

- Continued support of national outreach through: traveling exhibitions, such as Lewis and Clark, Winston Churchill, Haven to Home, and Brown vs Board; educational outreach activities in Congressional states and districts; and Veterans History Project activities of Congress in their states and districts.

- The Library was featured prominently on Inauguration Day through an on-site broadcast of *Good Morning America*, which was set in the magnificent Great Hall. The broadcast featured an interview with Dr. Billington in the Main Reading Room, and a short segment on the inaugural exhibition titled, *I Do Solemnly Swear*.

- Garnered extensive press attention for many of the Library's programs, exhibitions, and special events including the 2004 and 2005 National Book Festivals, both fell within FY 2005; the announcement of the Librarian's annual additions to both the National Film and National Recording Registries; the awarding of the second $1 million Kluge Prize for Lifetime Achievement in the Human Sciences, and exhibitions featuring color photographs from the depression era, woodcuts in printed

books from the15th century, the Jay Kislak collection of history and cultures of the Americas, and Walt Whitman's *Leaves of Grass*. The popular Veterans History Project drew wide local and national coverage as did an employee's discovery of a Voice of America tape featuring an all-star jazz concert at Carnegie Hall on Nov. 29, 1957, which was not known to have been recorded.

- Fund-raising activities brought in a total of $12 million, representing 750 gifts from 639 donors. The donor categories included 48 foundations giving $7.2 million; 476 individuals giving $2 million; 62 corporations giving $1.8 million; and 53 trusts, estates associations, councils, and societies giving $1 million. These gifts, including one-half million received through the Library's Planned Giving Program, were made to 64 different Library funds and consisted of $3.6 million in cash gifts, $7.9 million in new pledges, and $400 thousand of in-kind gifts. The Library forged new partnerships with 232 first-time donors, including 181 individuals, 22 trusts, estates, associations, councils and societies, 17 corporations, and 12 foundations. These new donors gave $1 million representing eight percent of the gifts received this year. Six new gift and trust funds were established.

- The James Madison Council — the Library's first private-sector advisory group — continued to provide substantial support for a number of Library initiatives. Twelve new members joined the Council. Gifts from members in FY 2005 totaled $8.8 million, bringing the Council's total support since 1990 to $167.8 million.

- The Library's new donor group, the Leaders Circle, recruited 39 new members and began to design a project to spotlight the annual announcement of additional important motion picture film titles added to the National Film Registry.

- Successfully brought The Library's new central financial management system into operation, training approximately 500 system users across the Library. Also trained fund managers on how to use the Financial Reports System for fund and payroll reports.

- Prepared three sets of FY 2004 financial statements (in FY 2005) for audit and provided assistance on audits of Library customer agencies and funds. Preparation and coordination led to the Library's receiving its ninth "clean" audit opinion for the consolidated financial statements, and continued "clean" opinions for the other agencies and funds.

- Provided legal advice in support of Congressionally-mandated activities, such as the Veterans History Program, the Hands Across American Program, National Digital Information Infrastructure and Preservation Program, the Abraham Lincoln Bicentennial Commission, and the Open World Leadership Center Program, the 2005 National Book Festival, and also on the development of "The Center for American Creativity," the vision of the Librarian of Congress. Worked closely with

staff of the Motion Picture, Broadcasting, and Recorded Sound Division (MBRS) and Human Resources Services regarding complicated personnel, contract, and intellectual property issues associated with the relocation in 2006 and 2007 of MBRS employees to the NAVCC. Advised Library officials on a wide variety of ethical issues, including outside employment, conflicts of interest, travel, and gift matters. Responded to more than 900 formal requests for legal opinions from Library units and managers. Prepared a new reference tool for Library managers and Congressional staff entitled LC Laws.

- Participated in 59 federal court and administrative cases and closed 32 during the year. Successfully won 11 administrative cases, settled four and lost one. In the federal court, successfully won 16 cases.

- Negotiated an interagency agreement with the Personnel Appeals Board to handle administrative hearings. The new system is now in effect for non-bargaining unit employees, and the Library is currently in negotiations with the recognized labor organizations regarding use of the PAB for union employees

- Held regular sessions of the Library's mandatory ethics training program to ensure that all employees received ethics training. Reviewed 389 financial disclosure reports filed by Library officials in accordance with the Ethics in Government Act (5 U.S.C. Appendix 4, §§ 101 et seq.). Provided a training session to the Library staff on the U.S. Constitution entitled *Our Constitution: What Every Citizen Should Know*, this training was mandated by a statute commemorating "Constitution Day". Also provided a training session on copyright laws to directors involved in the Adventure of the American Mind program.

- Reorganized the Library's Internal University (LCIU), resulting in the establishment of the Center for Learning and Development as its successor.

- Began implementation of a state-of-the-art learning management system known as the Online Learning Center (OLC) that will serve as the technology platform for the Library of Congress Workforce Transformation Project.

- Closed 81 percent of EEO cases, and reduced the backlog of cases by 72 percent in a two-year period.

- Dispute Resolution Center mediators resolved 92 percent of all employee-employee and employee-manager conflicts and successfully completed approximately one thousand consultations with employees, managers, and union representatives.

- Added two additional colleges and universities to the Adventure of the American Mind, and increased funding for other participating educational institutions for a total grant of $41 million. Grant agreements were also prepared and executed for the

Association of Diplomatic Studies, the University of South Carolina to preserve and conserve the Movietone Newsreel Collections and Brigham Young's Middle Eastern Collection.

- Completed more than 5 thousand contract actions, valued at approximately $193 million, and facilitated the training of 25 contracting officers technical representative (COTRs). Also completed more than 3 thousand interagency contractual actions valued at approximately $98 million, as well as 2 thousand prior year control modifications in support of the FEDLINK program.

- Implemented an online system in the OSEPP, electronically routing the Special Events Request Form and storing all documents related to Special Events on a shared computer drive.

- Provided more than 1,500 hours of interpreting services for visitors, patrons, and employees of the Library of Congress.

- Coordinated and managed 370 events during the year, an increase of 13 percent over the previous year. These included 201 Library Sponsored events, 132 Congressional or Congressionally requested events, and 37 events for non-profit organizations and corporations. Many of these events took place over several days or involved the coordination of multiple activities throughout the day. When viewed from this multi-layered perspective, a grand total of 545 events were managed by the Office of Special Events and Public Programs. In addition to the events that occurred, the Office responded to more than 520 inquiries from library service units, Congressional Offices, and outside organizations regarding special events at the Library.

# Library of Congress
# Library of Congress, Salaries and Expenses
# Human Resources Services
# Analysis of Change
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| **Appropriation, FY 2006** | 60 | $7,753 |
| **Minus: Rescission** | 0 | - 78 |
| **Adjusted Appropriation, FY 2006** | 60 | $7,675 |
| **Non-recurring Costs** | 0 | 0 |
| **Mandatory Pay and Related Costs:** | | |
| Comparability pay raise 2007 | | 131 |
| Annualization of pay raise 2006 | | 62 |
| Within-grade increases | | 50 |
| **Total, Mandatory Pay and Related Costs** | 0 | 243 |
| **Price Level Changes** | 0 | 347 |
| **Program Increases** | 0 | 0 |
| **Net Increase/Decrease** | 0 | $ 590 |
| **Total Budget** | 60 | $8,265 |
| **Total Offsetting Collections** | 0 | 0 |
| **Total Appropriation** | 60 | $8,265 |

## Library of Congress
## Library of Congress, Salaries and Expenses
## Human Resources Services

### Summary By Object Class

**(Dollars in Thousands)**

| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $4,007 | $4,304 | $4,480 | + $176 |
| 12 Personnel Benefits | 1,140 | 1,248 | 1,315 | + 67 |
| 13 Benefits for Former Personnel | 0 | 0 | 0 | 0 |
| 21 Travel | 10 | 17 | 17 | 0 |
| 22 Transportation of Things | 1 | 2 | 2 | 0 |
| 23 Rent, Communications and Utilities | 26 | 33 | 34 | + 1 |
| 24 Printing and Reproduction | 94 | 106 | 108 | + 2 |
| 25 Other Contractual Services | 2,615 | 1,905 | 2,247 | + 342 |
| 26 Supplies and Materials | 35 | 36 | 37 | + 1 |
| 31 Equipment | 59 | 24 | 25 | + 1 |
| 41 Grants | 0 | 0 | 0 | 0 |
| 42 Insurance Claims and Indemnities | 0 | 0 | 0 | 0 |
| 43 Interest | 0 | 0 | 0 | 0 |
| 94 Finance Transfers | 0 | 0 | 0 | 0 |
| **Total, Budget** | **$7,987** | **$7,675** | **$8,265** | **+ $590** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

## OVERVIEW

This budget funds Human Resources Services (HRS) and administrative support to the Little Scholars Child Development Center, the Library of Congress day care facility.

In partnership with the service and infrastructure units, HRS designs and implements the policies, procedures, and systems to build, develop, and manage the workforce needed to support the Library's mission and priorities. HRS consists of the following offices:

- The **Strategic Planning and Automation Office** ensures alignment of human resources plans, programs, and systems to the Library's strategic goals and objectives; identifies and implements electronic solutions to human resources needs; conducts workforce transition plans to identify current and future required skill sets; and assists Library offices in succession and workforce planning initiatives.

- The **Workforce Acquisition Office** recruits and hires the best and brightest staff, through internal and external partnerships, ensuring a diverse and talented workforce through the design of innovative strategies that emphasize speed and flexibility.

- The **Workforce Management Office** supports the Library's goal of becoming a performance-based organization through the design of programs and policies, and manages all aspects of labor and employee relations and performance management programs for the Library.

- The **Worklife Services Office** provides a wide-ranging array of human resources services and information to Library managers and staff, including compensation and leave management; benefits, retirement, and employee assistance counseling; personnel records management; and personnel action and payroll processing.

## FY 2006 PRIORITIES

During FY 2006, HRS will enhance core service delivery by implementing the Office of Personnel Management's Electronic Official Personnel Folder (eOPF) system. Through this system, Library OPFs will be available in digital format to authorized personnel, will be accessible to staff for on-demand retrieval and printing, and will be securely stored and backed up. HRS will also strengthen performance management by implementing a module within the Human Resources Information System (HRIS) that automates key elements of that process and will also ensure linkage of staffing and operating plans.

**FY 2007 PRIORITIES**

During FY 2007, HRS will help service units fill positions requiring digital expertise and continue supporting the Library's goal of becoming a performance-based organization, maximizing management's discretion, strengthening productivity, and addressing poor performance and misconduct.

**FY 2007 BUDGET REQUEST**

The Library is requesting a total of **$8.265 million** for HRS activities **in FY 2007**, an increase of $590 thousand over FY 2006. The requested increase is needed to support mandatory pay and price level increases, the minimum amount needed to maintain HRS activities at the current level of operation. Funding supports 60 FTEs, the same level as FY 2006.

**FY 2005 ACCOMPLISHMENTS**

**Library of Congress Goal 15:**

***Manage Human Capital so the Library is able to attract and maintain an outstanding workforce with the skills, resources, and dedication to deliver a range of high-quality, cutting-edge services, in all the Library's program and support areas.***

- Assisted managers and supervisors to make nearly 400 competitive selections.
- Adopted a standard merit selection process for professional and para-professional positions.
- Implemented a redesigned employment web site to assist potential applicants when applying for Library vacancies.
- Strengthened Library operations by reaching numerous agreements with labor organizations, including 26 mid-term bargaining agreements covering such topics as revisions to the merit selection plan and authorization for continuing telework with supervisory approval.
- Provided expert employee relations services, including conducting approximately 350 consultations with managers.

- Ensured comprehensive performance management program design, training, and oversight, including coaching 30 managers on performance assessments and developing approximately 30 performance plans Library-wide.

- Processed more than 5,000 personnel actions for such activities as temporary appointments, promotions, reassignments, details, retirements, and resignations.

- Offered eight comprehensive retirement planning seminars to assist employees with their retirement decisions.

- In conjunction with the National Finance Center, continued implementing an upgraded HRIS, including developing transit subsidy tracking and awards processing enhancements.

- Launched an enhanced employee intranet site, providing Library staff extensive information on human resources programs and resources as well as a comprehensive events calendar.

# Library of Congress
# Library of Congress, Salaries and Expenses
# Integrated Support Services
# Analysis of Change
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| **Appropriation, FY 2006** | 153 | $27,344 |
| **Minus: Rescission** | 0 | - 273 |
| **Adjusted Appropriation, FY 2006** | 153 | $27,071 |
| **Non-recurring Costs:** | | |
| Red Oak Space Rental | | - 1 |
| **Total, Non-recurring Costs** | 0 | - 1 |
| **Mandatory Pay and Related Costs:** | | |
| Comparability pay raise 2007 | | 240 |
| Annualization of pay raise 2006 | | 131 |
| Within-grade increases | | 105 |
| **Total, Mandatory Pay and Related Costs** | 0 | 476 |
| **Price Level Changes** | 0 | 964 |
| **Program Increases:** | | |
| **Major Ongoing Projects:** | | |
| NAVCC - Culpeper | 0 | 19 |
| **Total, Program Increases** | 0 | 19 |
| **Net Increase/Decrease** | 0 | $ 1,458 |
| **Total Budget** | 153 | $28,529 |
| **Total Offsetting Collections** | 0 | 0 |
| **Total Appropriation** | 153 | $28,529 |

## Library of Congress
## Library of Congress, Salaries and Expenses
## Integrated Support Services

### Summary By Object Class

**(Dollars in Thousands)**

| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $8,164 | $9,522 | $9,912 | + $ 390 |
| 12 Personnel Benefits | 1,888 | 2,286 | 2,380 | + 94 |
| 13 Benefits for Former Personnel | 0 | 0 | 0 | 0 |
| 21 Travel | 47 | 60 | 61 | + 1 |
| 22 Transportation of Things | 1 | 1 | 1 | 0 |
| 23 Rent, Communications and Utilities | 2,258 | 2,938 | 3,643 | + 705 |
| 24 Printing and Reproduction | 64 | 69 | 70 | + 1 |
| 25 Other Contractual Services | 10,113 | 10,828 | 11,065 | + 237 |
| 26 Supplies and Materials | 149 | 162 | 165 | + 3 |
| 31 Equipment | 1,804 | 1,205 | 1,232 | + 27 |
| 41 Grants | 0 | 0 | 0 | 0 |
| 42 Insurance Claims and Indemnities | 0 | 0 | 0 | 0 |
| 43 Interest | 0 | 0 | 0 | 0 |
| 94 Finance Transfers | 0 | 0 | 0 | 0 |
| **Total, Budget** | **$24,488** | **$27,071** | **$28,529** | **+ $1,458** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

**OVERVIEW**

The mission of Integrated Support Services (ISS) is to provide a basic range of infrastructure support services to the Library of Congress as a whole. ISS is comprised of five divisions or offices:

- The **Facility Services Division** plans, designs, and provides oversight of construction, alterations, and operation of the Library's buildings and grounds on Capitol Hill and in remote locations – NW Washington, DC; Wright-Patterson Air Force Base, OH; and Landover, MD; collaborates with the Architect of the Capitol (AOC) in design and construction of the book storage modules at Fort Meade, MD, and the National Audio-Visual Conservation Center (NAVCC) at Culpeper, VA; provides labor support for facility operations; manages the custodial services and food services programs; and oversees the use and operation of public meeting spaces to facilitate meetings, workshops, seminars, and receptions for public and private events.

- The **Health Services Office** develops and administers the Library's occupational health and medicine program; manages the workers compensation program; provides expert advice to the Library on public health and workforce health issues; and serves as first responder to medical emergencies.

- The **Logistics Services Office** accounts for and ensures proper utilization and disposal of Library property, including inventory control for Library-owned furniture and equipment; manages a reimbursable supply operation for the Library that buys common office supplies in bulk; manages a warehouse operation in Landover, MD, responsible for the receipt, storage, and delivery of materials and supplies, and for the pick-up, recycling, and disposal of surplus property.

- The **Office Systems Services Division** administers the Library's correspondence and records management program; transportation services; printing, duplication, and composition functions; and manages the contractor operation for mail and messenger services, and the loading dock.

- The **Safety Services Office** manages and coordinates the Library's fire prevention, safety, industrial hygiene, and environmental compliance programs for staff, researchers, and visitors of the Library, including development and promulgation of safety and environmental health directives; periodically reviews and analyzes the Library's injury record and redirects emphasis as necessary; provides expert advice and guidance to the agency's safety and health committee; conducts or directs periodic safety and environmental health evaluations of Library work places; develops hazard abatement plans for correction of identified hazards; and where

appropriate, negotiates for resolution of environmental and occupational health and safety differences with other federal agencies.

**FY 2006 PRIORITIES**

- Collaborate with AOC on the construction of Book Modules 3 and 4 at Ft. Meade, and support the AOC on all facilities-related projects at the Library, including perimeter security, life safety, collection security, environmental monitoring, capitol complex master planning; and construction/renovation projects; finalize new contracts for food and custodial service; and implement just-in-time furniture delivery service.

- Identify an automated patient management system with electronic medical records (EMRs) in Health Services that meets defined requirements; expand the smoking cessation program, physical fitness, and the nutritional information initiatives; and work with the Office of Security and Emergency Management Preparedness in developing Medical Emergency Response Teams.

- Complete an in-depth requirements and workflow analysis as part of implementing a fixed assets and warehouse management system that is both efficient and cost-effective.

- Distribute new state-of-the, art multi-functional copying equipment, and collaborate with ITS on full certification and accreditation of the software that supports networking the copiers.

- Develop requirements analysis for a Library-wide electronic forms program to reduce overall production, handling, and storage cost of paper forms.

- Coordinate installation and implementation of new Print Shop equipment and software.

- Provide mail, transportation, and printing support to new off-site Library operations at NAVCC and the Copyright Office off-site location (Crystal City).

- Explore potential Library applications of House-initiated digital mail processing.

- Provide technical oversight to the move of the Dayton, OH film laboratory facility to the NAVCC.

- Develop in coordination with the Library's Center for Learning and Development, a mandatory safety training pilot, which will be used as a model by all Library offices.

- Establish, in coordination with the Library's Contracts and Grants Office, a master contract for hazardous waste disposal and monitor the Library's compliance with its requirements.

- Develop four safety directives, covering such areas as hazardous waste and asbestos notification.

- Provide expert advice and technical oversight in areas of life safety and fire protection during construction of Modules 3 and 4 at Ft Meade.

- Install emergency communications systems in the Library's garages, and working with the Office of Security and Emergency Preparedness, implement the use of hand-held entrance monitoring/screening technology.

**FY 2007 PRIORITIES**

ISS will continue working to provide high-quality service to customers, refining and implementing customer service standards, tracking and reporting processes, developing additional standards, and conducting customer service satisfaction surveys to validate and build upon baseline data.

- Support AOC activities related to abatement of hazardous conditions and materials.

- Provide ongoing support of safety and security upgrades for the Library.

- Finalize construction and planning of Library spaces and operations impacted by the opening of the Capitol Visitor Center tunnel, and coordinate return of the Copyright Office to Capitol Hill.

- Finalize the design requirements for the space vacated by staff operations moving to Culpeper and support the design of Ft. Meade Book Module 5.

- Collaborate with AOC on construction of the new Logistics Warehouse, and develop plans for the move of the warehouse to a new facility at Ft. Meade and the use of a new automation system for fixed assets and warehouse material.

- Finalize the design for the secure off-site treasures facility and Thomas Jefferson Building deck life safety upgrades.

- Implement networking capability of new state-of-the art multi-functional copying equipment to permit electronic scanning and distribution.

- Provide effective, secure and timely dock management for the James Madison Building Loading Dock.

- Continue exploration and emphasis on electronic forms management to efficiently and effectively manage the myriad of records and forms utilized by the Library.

- Support the Library's safety programs and initiatives, including environmental compliance, fire protection, industrial hygiene and occupational safety. Continue hazardous materials management and waste disposal and recycling programs; review and comment on construction/space modification plans; evaluate indoor air quality and other environmental health issues; and expand safety training to all Library offices.

**FY 2007 BUDGET REQUEST**

The Library is requesting a total of **$ 28.529 million** for ISS activities **in FY 2007**, a net increase of $1.458 million over FY 2006. The requested increase includes $1.440 million in mandatory pay and price level increases, the minium amount needed to maintain ISS' current level of operations, offset by $-1 thousand in non-recurring costs, and $19 thousand in program changes in support of the NAVCC project. It should be noted that the Library is still negotiating two of its building leases, which could result in adjustments to the ISS FY 2007 budget request. Total funding supports 153 FTEs, the same level as FY 2006.

| | |
|---|---|
| **PROGRAM CHANGES** | **$19,000** |
| **NAVCC, Culpeper** | **($19,000)** |

ISS is requesting an additional $19 thousand in support of the NAVCC project. While funding supports mandatory pay and price level increases, it is reflected as a program change so that all NAVCC costs can be tracked at the total program level. However, funding is required to maintain current services, not to expand ISS' role in this project.

**FY 2005 ACCOMPLISHMENTS**

**Library of Congress Strategic Goal 3:**

***Lead, promote, and support the growth and influence of the national and international library and information communities.***

- Supported the Computers for Learning Program (established by Executive Order 1299) by cleaning and repairing the Library's surplus computers for donation to qualified educational institutions. Donated 747 computer systems in FY 2005, valued at more than $950 thousand, to 21 schools and non-profit organizations nationwide.

**Library of Congress Strategic Goal 16:**

***Create an environment that supports delivery of superior service to the Congress and the American people through effective communication and management of business and supporting processes and financial resources, and that provides a safe and healthy workplace.***

- Managed the Library's parking program, which received and processed 2,200 parking applications accommodating staff working in eight different shifts; received 2,275 official guest/visitor requests; and maintained a same-day confirmation response standard, typically within an hour of the request.

- Supported full implementation of 11 measurable "standards of customer service" for ISS core services, focusing on timeliness in the provision of services to Library operations and process and service improvement programs, particularly in the area of communication.

- Increased efficiency of customer service and satisfaction through the following system improvements: upgrade of the Computer-Aided Design (CAD) system; procurement of software modules for the new Computer-Aided Facility Management (CAFM) system; and implementation of an automated supply catalog.

- Implemented a reengineered process to more efficiently complete small facility projects, achieving a completion time reduction of 75 percent and substantial cost avoidance in the area of clerical and administrative support.

- Convened a panel of nationally recognized fire protection experts and Library stakeholders to assist the Library in managing its risk assessment process for space modifications in existing buildings. Developed a risk-assessment methodology and handbook for the Library's facilities and operations.

- Coordinated completion of collective bargaining of the Library's smoking policies and practices, eliminating smoking from all of the Library's buildings and vehicles in April 2005 and implementing a smoking cessation program for Library staff.

- Provided acute and emergency treatment to approximately 6,895 walk-in staff members and visitors and responded to 65 medical emergencies (18 life-threatening); administered 2,029 flu vaccines and 27 pneumonia vaccines.

- Sponsored 13 health forums, including a two-day wellness fair featuring interactive programs and access to numerous vendors of health-related services and products.

- Implemented an extensive hazardous materials control program.

- Tracked high-security mail processing and delivery for all Library offices; represented the Library during the competitive solicitation and award of a new secure mail testing and distribution contract by the U.S. House of Representatives; received and distributed safely throughout the Library more than 1.7 million letters and flats and 300 thousand packages; took over in-house management of the Library's 23 mailing lists from a private contractor.

- Supported the Library's day-to-day printing needs. Provided estimates and technical assistance in writing specifications, resulting in 2,059 actual orders.
- Managed the administrative copier program through which users made more than 9.8 million copies/impressions in FY 2005.

- Coordinated development of a complex new contract to provide Library-wide copier equipment services that use state-of-the-art, multi-functional machines to provide low cost, high quality copying and administrative tools to all Library organizations.

- Managed a reimbursable supply operation that enabled the Library to buy commonly used office supplies at volume discounts; filled 1,025 requisitions with total sales of nearly $841 thousand, a 10 percent increase over sales in FY 2004.

- Picked up and delivered to Library buildings more than 25.5 thousand items, including furniture and equipment.

- Recycled 688 tons of paper, an increase of percent over tonnage recycled in FY 2004.

- Completed 37 major facility projects, including renovation of the executive suite of the Office of the Associate Librarian for Library Services and administrative areas of the James Madison Building loading dock.

- Completed space planning and design services for Copyright Office facilities on and offsite and planning support for the Capitol Visitor Center tunnel and facilities at Ft. Meade and Culpeper.

- Managed more than 4 million square feet of rental space housing collections, equipment, and supplies.

- Installed 172 full and partial ergonomic workstations and designed and procured approximately 200 workstations for the Copyright Office.

- Managed the contract to feed more than 750 thousand patrons.

**Library of Congress Strategic Goal 18:**

***Provide effective security and emergency planning for the Library's staff and visitors, collections, facilities, and other assets.***

- Working with the Office of Security and Emergency Preparedness, supported new and ongoing emergency management and facility projects Library-wide, and continued to provide technical input and review to support revision of the Library's Comprehensive Emergency Management Plan (CEMP), the Employee's Emergency Action Guide, and development of a Communication and Emergency Response Team (CERT) program.

- Trained 103 first responders and 62 non-medical staff in CPR and use of automatic external defibrillators (AEDs).

- Hired emergency medical coordinator, and developed emergency medical support cache.

# Library of Congress
# Library of Congress, Salaries and Expenses
# Security and Emergency Preparedness
# Analysis of Change
**(Dollars in Thousands)**

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| **Appropriation, FY 2006** | 149 | $21,082 |
| **Minus: Rescission** | 0 | - 211 |
| **Adjusted Appropriation, FY 2006** | 149 | $20,871 |
| **Non-recurring Costs:** | | |
| Police Staff Reduction | - 6 | - 354 |
| **Total, Non-recurring Costs** | - 6 | - 354 |
| **Mandatory Pay and Related Costs:** | | |
| Comparability pay raise 2007 | | 297 |
| Annualization of pay raise 2006 | | 162 |
| Within-grade increases | | 130 |
| **Total, Mandatory Pay and Related Costs** | 0 | 589 |
| **Price Level Changes** | 0 | 141 |
| **Program Increases** | 0 | 0 |
| **Net Increase/Decrease** | - 6 | $ 376 |
| **Total Budget** | 143 | $21,247 |
| **Total Offsetting Collections** | 0 | 0 |
| **Total Appropriation** | 143 | $21,247 |

# Library of Congress
## Library of Congress, Salaries and Expenses
## Security and Emergency Preparedness

### Summary By Object Class

(Dollars in Thousands)

| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $11,817 | $11,889 | $12,073 | + $184 |
| 12 Personnel Benefits | 2,483 | 2,574 | 2,625 | + 51 |
| 13 Benefits for Former Personnel | 0 | 0 | 0 | 0 |
| 21 Travel | 47 | 60 | 61 | + 1 |
| 22 Transportation of Things | 0 | 1 | 1 | 0 |
| 23 Rent, Communications and Utilities | 48 | 65 | 67 | + 2 |
| 24 Printing and Reproduction | 45 | 34 | 35 | + 1 |
| 25 Other Contractual Services | 4,477 | 4,560 | 4,660 | + 100 |
| 26 Supplies and Materials | 373 | 275 | 281 | + 6 |
| 31 Equipment | 1,813 | 1,413 | 1,444 | + 31 |
| 41 Grants | 0 | 0 | 0 | 0 |
| 42 Insurance Claims and Indemnities | 0 | 0 | 0 | 0 |
| 43 Interest | 0 | 0 | 0 | 0 |
| 94 Finance Transfers | 0 | 0 | 0 | 0 |
| **Total, Budget** | **$21,103** | **$20,871** | **$21,247** | **+ $376** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

**OVERVIEW**

The mission of the Office of Security and Emergency Preparedness (OSEP) is to provide and maintain security of Library of Congress staff and visitors; safeguard Library facilities, collections, assets, and information; maintain personnel security and suitability programs; and manage the Library's Emergency Preparedness Program.

The Director of OSEP is the Library's principal representative on all security and emergency preparedness matters and serves as the chair of the Library's Collections Security Oversight Committee and the Emergency Management Team. The OSEP consists of the following four divisions:

- **Protective Services** includes:
  - **Library of Congress Police** – responsible for protecting the life, property, and civil rights of staff and visitors by maintaining law and order, and for protecting Library property and collections.
  - **Electronic Security Section** – responsible for analyzing and evaluating requirements for electronic security applications, developing electronic security system designs, and overseeing system installations.
  - **Physical Security Section** – responsible for assessing the effectiveness of the Library's physical security systems, devices, procedures, and methods used for safeguarding information, property, and materials, and assisting Library managers in maintaining control of their work space and collections materials.
- **Personnel Security Office** functions include:
  - Administering the Library's personnel security and suitability programs.
  - Initiating and adjudicating background investigations to determine suitability of employees and contractors, as well as determining security clearance eligibility of individuals requiring access to classified national security information.
  - Maintaining the reinvestigation program.
  - Conducting defensive security briefings and debriefings.
  - Providing clearance certifications, in conjunction with Protective Services Division, for agency employees and visitors who require access to classified information; establishing policies and procedures for indoctrinating and training cleared personnel in the safeguarding of classified information.

- Issuing and maintaining the *Library of Congress National Security Manual.*

- **Emergency Preparedness**

  - Managing the Library's Emergency Preparedness Program, which includes, but is not limited to, staff training exercises, plan reviews, and incident response and recovery.

  - Managing the Library's Emergency Operations Center.

  - Coordinating with Library managers and outside agencies on emergency preparedness.

- **Program Management**

  - Performing all of the administrative functions that support the office such as budget planning, formulation, and execution; personnel management, logistics, and training; technical writing; and special assignments.

**FY 2006 - FY 2007 PRIORITIES**

- Continue to provide electronic security systems and physical security systems, methods, and procedures necessary to protect the Library staff, visitors, buildings, collections, information, and other assets from external and internal threats.

- Continue to implement the Library's Strategic Plan for Safeguarding the Collections, and continually enhance and update the plan through the Collections Security Oversight Committee.

- Continue to ensure the suitability of Library employees and contractors through initiation and adjudication of effective and timely background investigations; determining security clearance eligibility of individuals requiring access to classified national security information; maintaining a reinvestigations program; and conducting defensive security briefings.

- Continue to improve the Library's Emergency Preparedness program through the timely achievement of emergency preparedness program objectives.

- Ensure that all Library staff are properly trained in emergency preparedness procedures.

- Ensure that the Library is properly equipped with emergency preparedness supplies and equipment that are properly stored and maintained.

- Ensure that all building areas are covered by communication systems (public address and alarm systems).

**FY 2007 BUDGET REQUEST**

The Library is requesting a total of **$21.247 million** for the Office of Security and Emergency Preparedness **in FY 2007**, a net increase of $376 thousand over FY 2006. Funding includes $730 thousand for mandatory and price level increases, offset by non-recurring costs of $354 thousand related to Library police vacancies. The requested funding supports a total of 143 FTEs, a reduction of six police FTEs from FY 2006, who will be transferred to the United States Capitol Police (USCP) in support of the USCP's Library Division. Based upon the pending transfer, a total of 114 police FTEs will remain in OSEP.

**FY 2005 ACCOMPLISHMENTS**

**Library of Congress Strategic Goal 18:**

***Provide effective security and emergency planning for the Library's staff and visitors, collections, facilities, and other assets.***

- Revised the Employee Emergency Action Guide (EEAG), replacing a March 2003 version, and distributed it to all Library staff, contractors, and temporary employees. Continued updating of the EEAG contributed to the development of the Library's Continuity of Operations (COOP) and Business Recovery Planning efforts.

- In coordination with the Library's Office of Strategic Initiatives, developed a Library-wide emergency preparedness web site. Emergency preparedness information is currently available on this web site for the immediate retrieval by Library staff. The site is anticipated to be fully operational by January 2006.

- Procured the Computer Emergency Notification System (CENS) through the Department of Agriculture. This system is designed to notify staff of emergency situations via their workstation computers. It is anticipated CENS will become operational in early 2006.

- Conducted two Town Hall Meetings on emergency preparedness topics.

- Completed design and awarded a contract for the Library's Public Address System (PAS). The system is comparable to that in the House and Senate office buildings. The PAS will be operational in the Library's three main buildings on Capitol Hill and at the Library's Little Scholars Child Development Center.

- Coordinated the planning and construction of the Library's new Emergency Operations Center (EOC), which was built in the former police communications center in the James Madison Building. The EOC is interconnected to the Police Communications Center in the Thomas Jefferson Building, ensuring communication connectivity throughout the Capitol complex and metropolitan area. OSEP also took the lead in coordinating enhanced emergency communications between the Library and the Senate, House, USCP, Federal Emergency Management Agency, D.C. Emergency Operations Center, and others. As part of this initiative, the Library Police have received additional emergency communication devices from the USCP, and OSEP emergency staff members have been issued Blackberry wireless communication devices to enhance communication across the Capitol complex.

- Completed the installation of the Police Communications Center (PCC), a new upgraded intrusion detection and security monitoring systems. A recent enhancement provided the capability to remotely control vehicle barriers from the PCC as well as locally from the police shelters. This enhancement allows the PCC to have control of the entrances during off-duty hours and in emergency situations.

- Completed delivery and installation of police lecterns and associated security systems in the lobbies of Library buildings in early 2005. Additional security systems recently were installed in the lecterns, enhancing protective services in lobby locations.

- Executed a seamless transition with the staff of the Architect of the Capitol (AOC) in assuming control of all electronic security systems Library-wide, including their administration, repair, and maintenance. Continued attending regularly scheduled classified threat briefings, which also were attended by members of the Capitol Police Board.

- Sponsored numerous initiatives improving the physical security of Library buildings, staff, patrons, and collections on Capitol Hill. Strengthened electronic security controls protecting the new Rare Book secure storage area, Congressional Reading Room, and Sales Shop in the Thomas Jefferson Building. Upgrades have been completed or are ongoing in the James Madison and John Adams Buildings, including the James Madison Building loading dock, several special collections storage areas, secure storage facilities in the Music and Serial and Government Publications divisions, Science and Business reading room, and the John Adams Building garage. In addition, redesigned alarm systems protecting the American Top Treasures case and electronic and physical security controls protecting three temporary exhibits.

- Worked closely with senior Library staff, the AOC, and contractors preparing for the opening of the National-Audio Visual Conservation Center in Culpeper, VA (NAVCC), as well as Module 2 at Ft. Meade. Staff drafted Memoranda of Understanding (MOU) with counterpart state, county, and military officials outlining responsibilities and procedures for response to alarms and incidents. Also worked closely with senior Copyright officials, Department of Homeland Security counterparts, and contractors on the design and installation of controls protecting Copyright's temporary relocation site in Crystal City, Virginia, and planned renovations in the James Madison Building.

- Working in close collaboration with the Collections Security Oversight Committee (CSOC), facilitated the preparation and publication of the Library's Strategic Plan for Safeguarding the Collections, 2005-2008 (SPSC). Approved by the Librarian of Congress in July 2005, the plan integrates physical security, preservation, and inventory management controls protecting the Library's priceless collections of more than 130 million items. The SPSC utilizes the Library's five-tiered framework of risk as the unifying approach to collections security, identifying minimum standards and quantifiable performance measures for all three safeguarding controls. This plan supersedes the Library's Security Plan published in October 1997, which focused solely on physical security controls.

- Launched a second round of Staff Assistance Visits (SAV) to forty divisions. Two-person teams conduct the SAVs with two weeks' notice; on each SAV, a physical security expert is joined by a librarian. SAV findings are reported to the Director, OSEP and the chief of the division visited. A brief summary of findings is shared with service unit and infrastructure heads. The SAVs continue to enhance staff security practices and awareness of their critical role in protecting the collections. Division chiefs have repeatedly requested that OSEP specialists conduct roundtable discussions with staff on security-related issues, as they have seen significant advances made in terms of enhanced key control procedures, timely charging of books, and the proper display of Library identification badges.

- Continued following up on actions stemming from visits by the Chief, Protective Services to the Library's six overseas field offices in FY 2004. In addition to tracking ongoing security enhancements in coordination with the Library's field office directors and the Chief, Overseas Operations Division, Protective Services staff members have met with the directors during their visits to the Library on issues of mutual concern.

- Continued to provide the appropriate Library police security, with the minimum amount of disruption to normal Library operations, during special events for statutory protectees; elected local, state, and national officers; domestic and foreign dignitaries; and heads of state. The Library Police provided law enforcement support

for 142 special events, of which 49 were hosted by the Congressional leadership, 17 were corporate sponsored, two were for nonprofit organizations, and 74 were Library-sponsored events, including James Madison Council events, official and state visits, and exhibit openings held in the Library's buildings.

- Participated as a member of the Metropolitan Washington Council of Governments and the Federal Bureau of Investigation's Joint Terrorism Task Force, bringing together law enforcement agencies to share information (sensitive or intelligence) and encourage the same level of heightened vigilance to combat crimes and threats to our national security.

- Initiated 711 background investigations; closing 649.

- Continued conducting quality reviews of security requirements through a Library-wide survey of contractor background checks, the annual security clearance survey, and periodic reviews of suitability investigation initiations. Also presented information regarding personnel security requirements during new employee orientations as well as during administrative training sessions.

- Conducted 62 investigations:

    - Twenty-seven investigations were related to reports of suspected theft and mutilation of collection material; twenty of those inquires were closed.

    - Thirty-five investigations were related to theft of government property and violations of Library regulations; twenty-three of them were closed.

- The Office of Investigations staff initiated the following proactive projects: fraud awareness training for the Library's Contracting Officer's Technical Representatives; Workers' Compensation fraud detection; Internet crimes detection; and theft detection using Internet resources.

- Per Public Law 109-55, Sec 1307(e), transferred the Office of Investigations from OSEP to the Office of the Inspector General.

# Library of Congress
# Copyright Office, Salaries and Expenses

## Analysis of Change
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| **Appropriation, FY 2006** | 530 | $58,601 |
| **Minus: Rescission** | 0 | - 586 |
| **Adjusted Appropriation, FY 2006** | 530 | $58,015 |
| **Non-recurring Costs:** | | |
| Copyright Re-Engineering | | - 1,591 |
| Receipts/Fees (Net Decrease) | - 7 | - 250 |
| **Total, Non-recurring Costs** | - 7 | - 1,841 |
| **Mandatory Pay and Related Costs:** | | |
| Comparability pay raise 2007 | | 828 |
| Annualization of pay raise 2006 | | 452 |
| Within-grade increases | | 361 |
| **Total, Mandatory Pay and Related Costs** | 0 | 1,641 |
| **Price Level Changes** | 0 | 374 |
| **Program Increases:** | | |
| **New Projects:** | | |
| Records Preservation Project | | 1,000 |
| **Total, Program Increases** | 0 | 1,000 |
| **Net Increase/Decrease** | - 7 | $ 1,174 |
| **Total Budget** | 523 | $59,189 |
| **Total Offsetting Collections** | 0 | - 33,984 |
| **Total Appropriation** | 523 | $25,205 |

# Library of Congress
# Copyright Office, Salaries and Expenses

## Summary By Object Class

**(Dollars in Thousands)**

| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $29,469 | $31,433 | $32,556 | + $1,123 |
| 12 Personnel Benefits | 7,236 | 7,770 | 8,038 | + 268 |
| 13 Benefits for Former Personnel | 63 | 63 | 63 | 0 |
| 21 Travel | 155 | 303 | 309 | + 6 |
| 22 Transportation of Things | 2 | 40 | 42 | + 2 |
| 23 Rent, Communications and Utilities | 1,632 | 4,322 | 4,918 | + 596 |
| 24 Printing and Reproduction | 495 | 677 | 694 | + 17 |
| 25 Other Contractual Services | 3,460 | 9,769 | 10,987 | + 1,218 |
| 26 Supplies and Materials | 254 | 288 | 295 | + 7 |
| 31 Equipment | 3,331 | 3,348 | 1,285 | - 2,063 |
| 41 Grants | 0 | 0 | 0 | 0 |
| 42 Insurance Claims and Indemnities | 0 | 0 | 0 | 0 |
| 43 Interest | 0 | 2 | 2 | 0 |
| 94 Finance Transfers | 0 | 0 | 0 | 0 |
| **Total, Budget** | **$46,097** | **$58,015** | **$59,189** | **+ $1,174** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

# Library of Congress
# Copyright Office, Salaries and Expenses

## Estimated Value of Materials Transferred to the Library of Congress in FY 2005

(Dollars in Thousands)

| Category of Work | Registered Works | Non-Registered Works | Total Works Transferred | Average Unit Price | Value of Works Transferred |
|---|---|---|---|---|---|
| **Books** [1] | **196,910** | **86,846** | **283,756** | | **$14,257** |
| *Ink Print* | 178,410 | 44,460 | 222,870 | $62.35 | [13,896] |
| *Electronic Works (ProQuest)* | 15,546 | 41,791 | 57,337 | 3.94 | [ 226] |
| *Microfilm* | 2,954 | 595 | 3,549 | 38.14 | [ 135] |
| **Serials** [2] | **230,428** | **465,377** | **695,805** | | **12,604** |
| *Periodicals* | 205,431 | 421,700 | 627,131 | 32.85 | [12,361] |
| *Ink Print Newspapers* | 21,891 | 41,400 | 63,291 | 1.00 | [ 38] |
| *Microfilm Newspapers* | 3,106 | 2,277 | 5,383 | 38.14 | [ 205] |
| **Computer-related works** | **7,198** | **2,659** | **9,857** | | **2,833** |
| *Software* | 2,519 | 117 | 2,636 | 27.67 | [ 73] |
| *CD-ROMs* | 1,440 | 2,542 | 3,982 | 693.00 | [ 2,760] |
| *Printouts* | 3,239 | 0 | 3,239 | *Indeterminate value* | |
| **Motion Pictures** [3] | **10,383** | **1,768** | **12,151** | | **6,344** |
| *Videotapes* | 9,843 | 1,758 | 11,601 | 87.55 | [ 1,016] |
| *Feature Films* | 540 | 10 | 550 | 9,688.00 | [ 5,328] |
| Music | 51,838 | 2,684 | 54,522 | 51.82 | 2,825 |
| Dramatic Works, Choreography, and Pantomimes | 1,143 | 0 | 1,143 | 62.35 | 71 |
| Other Works of the Performing Arts | 119 | 0 | 119 | 51.82 | 6 |
| Sound Recordings | 30,249 | 3,195 | 33,444 | 14.22 | 476 |
| Maps | 1,661 | 59 | 1,720 | 36.00 | 62 |
| Prints, Pictures, and Works of Art | 5,903 | 0 | 5,903 | 29.10 | 172 |
| **Total** | **535,832** | **562,588** | **1,098,420** | | **$39,650** |

[1] 60 percent of "Books" are selected for the collections; 40 percent are used for the Library's exchange program.

[2] 60 percent of "Serials" are selected for the collections, except in the case of microfilm newspapers, of which 100% are selected.

[3] Includes 36 copies selected by the Library under motion picture agreements.

# Library of Congress
# Copyright Office, Salaries and Expenses

## Receipts and Obligations - FY 2002- 2007

**(Dollars in Thousands)**

| | 2002 | 2003 | 2004 | 2005 | 2006 Estimate | 2007 Estimate |
|---|---|---|---|---|---|---|
| **Receipts:** | | | | | | |
| Offsetting collections | $19,684 | $23,170 | $23,790 | $26,765 | $30,176 | $28,335 |
| Royalties credited to Licensing appropriation from Cable, Satellite and DART | 3,396 | 3,515 | 3,515 | 3,732 | 3,826 | 3,964 |
| Royalties credited to CARP appropriation from Cable, Satellite and DART | 742 | 1,468 | 1,468 | 2,172 | 297 | 301 |
| Royalties credited to CRJ appropriation from Cable, Satellite and DART | 0 | 0 | 0 | 540 | 1,287 | 1,384 |
| Estimated value of materials selected by the Library | 31,296 | 33,750 | 36,457 | 39,650 | 42,000 | 44,500 |
| **Total Receipts** | **$55,118** | **$61,903** | **$65,230** | **$72,859** | **$77,586** | **$78,484** |
| **Obligations:** | | | | | | |
| Salaries | $31,375 | $33,600 | $36,325 | $36,768 | $39,266 | $40,657 |
| Other Obligations | 6,282 | 9,972 | 7,961 | 9,329 | 18,749 | 18,532 |
| **Total Obligations** | **$37,657** | **$43,572** | **$44,286** | **$46,097** | **$58,015** | **$59,189** |
| **RATIO of Receipts to Obligations** | **146%** | **142%** | **147%** | **158%** | **134%** | **133%** |

**OVERVIEW**

The Copyright Office (CO) mission is to promote creativity by administering and sustaining an effective national copyright system. The CO administers the Copyright Act, title 17 U.S.C.; provides policy and legal assistance to the Congress, executive branch and courts; and provides copyright-related information and education to the public.

The Copyright Office has four major budgetary activity areas to achieve this mission: Basic, Licensing, Copyright Arbitration Royalty Panels (CARP), and Copyright Royalty Judges (CRJ). The functions of the activity areas include:

- Processing claims for copyright registration, documents for recordation, and works deposited under the mandatory deposit provisions of the Copyright Act; creating public records of these actions; providing copies of deposited works for the Library's collections; and carrying out regulatory activity.

- Assisting congressional committees in drafting and analyzing legislation relating to intellectual property; providing expert copyright advice to the Congress, the executive branch, and the judiciary; and providing information to government agencies, the public, and other customers on domestic and international copyright laws.

- Administering the statutory licensing provisions of title 17 by collecting royalty fees from cable television systems, importers and manufacturers of digital audio recording equipment and media, and from satellite carriers who retransmit copyrighted television broadcasts across the United States; as well as distributing these royalties to copyright owners.

- In 2004, the Congress enacted the Copyright Royalty and Distribution Reform Act of 2004 (Act), Pub. L. 108-419, 118 Stat. 2341, which transferred from the CARPs to three CRJs, the responsibility for setting rates and terms for statutory licenses and for making determinations regarding the distribution of royalty fees deposited with the Copyright Office. The Act, however, allows the Copyright Office to complete any proceeding that was initiated prior to the date of enactment. Thus, the Copyright Office has retained minimal CARP funding to resolve any open distribution or rate setting proceeding that began under the CARP system. The Copyright Office expects to phase out all pending distribution proceedings in FY 2007.

- The CRJs constitute an independent work unit in the Library, for which the Copyright Office currently provides administrative support in budget preparation and human resource management. The CRJs administer the provisions of 17

U.S.C., chapter 8 by holding CRJ proceedings to set rates and terms and to determine distributions. CRJs are the final arbiters of questions of fact, and have full independence in making determinations of royalty rates and terms and the distribution of royalty fees.

**FY 2006 PRIORITIES**

Reengineering

- Prepare off-site facilities in Crystal City and move the majority of staff to those facilities in the latter half of the fiscal year.
- Construct CO space in the James Madison Building beginning June 2006.
- Develop the new information technology infrastructure's full operating capability to support reengineered processes by the first half of FY 2007.
- Bargain impact of new organizational structure with labor organizations.
- Carry out comprehensive staff training for new processes and systems identified in the reengineering training plan, and coordinate with internal and external providers.

Public Services

- Maintain desired processing times for the CO's public services.

Policy and Legal Assistance to the Congress, Executive Branch, and Judiciary

- Complete the bulk of work on the next triennial section 1201 rulemaking.
- Complete and submit studies on statutory licensing and orphan works.
- Respond to new legislative and executive branch requests and court cases.

**FY 2007 PRIORITIES**

Reengineering

- Complete construction of CO space in the James Madison Building by May 2007.

- Move staff back to the James Madison Building from off-site Crystal City facilities in the latter half of the year.
- Implement new information technology infrastructure's full operating capability to support reengineered processes.
- Implement new organizational structure.
- Implement new processes.
- Complete comprehensive staff training for new processes and systems identified in the reengineering training plan, and coordinate with internal and external providers.

Public Services

- Maintain desired processing times for the Office's public services.
- Begin six-year digitization project to preserve and make more accessible the pre-1978 copyright records.

Policy and Legal Assistance to the Congress, Executive Branch, and Judiciary

- Issue the section 1201 regulation.
- Respond to new legislative and executive branch requests and court cases.

**FY 2007 BUDGET REQUEST**

The Library is requesting a total budget of **$59.189 million in FY 2007** for the Copyright Office. The total includes mandatory pay and price level increases of $2.015 million, $1 million in program increases, offset by $ -1.841 million in non-recurring costs. The FY 2007 budget also reflects a decrease of $-1.841 million in offsetting collections. The FY 2007 budget supports 523 FTEs, a reduction of -7 FTEs from FY 2006.

**Note:** On November 13, 1997, the Congress enacted the Technical Amendments Act, some provisions of which are now codified in section 708 of the copyright law. The law requires the Register of Copyrights, whenever appropriate, to conduct a study of costs incurred by the Office for the registration of claims, the recordation of documents and

other special services. On the basis of the study and public policy considerations, and subject to congressional review, the Register is authorized to increase statutory and related fees to recover reasonable costs adjusted for inflation. Furthermore, the new fees should be fair and equitable and give due consideration to the objectives of the copyright system.

The last time the CO raised fees was July 2002. The basic filing fee was set in 1999 and has not increased since that time. The possibility for raising fees was considered in 2001 – 2002. Because the CO had just begun its reengineering project to implement electronic registrations, and that project was to have been completed in 2006, the fee increase was postponed to coincide with the implementation of the new electronic system, eCO (electronic Copyright Office). However, the implementation date for the new electronic system is now summer 2007.

The Register has received recommendations from a fee task group and is reviewing the report. Once the review is complete, the Register will submit a proposed fee schedule change with the supporting economic analysis to the Congress for approval. The goal is to put the new fees into effect 120 days after submission of the change, with the exception of the basic registration filing fee.

The proposed time line to submit the new fee schedule to the Congress is spring 2006 with implementation of most new fees in summer 2006. In addition, the CO will implement the new basic registration filing fee in summer 2007 which will coincide with the implementation of the new electronic system. This change will most likely have an impact on CO's FY 2008 budget.

| **PROGRAM CHANGES** | **$1,000,000** |
|---|---|
| **Copyright - Basic** | **($1,000,000)** |
| Records Preservation | $1,000,000 |

To digitally image the pre-1978 public records, the CO requests $1 million to remain in the base for 6 years to support the preservation and access goals at the most basic level. The key objectives of this record digitization project are: (1) disaster preparedness preservation of pre-1978 public records, and (2) provision of online access to those public records. Starting in FY 2007, the Office would need $1 million to scan 10 million page images from film at an off-site location. The rest of the records would be scanned over the next five years. The project encompasses a total of 70 million pages of microfilm, bound records and index cards.

The following tables highlight the comparison of the CO's total budget – offsetting collections and net appropriated funding for FY 2006 – 2007:

| Change in Annual Total Copyright Office Appropriations | | | |
|---|---|---|---|
| | FY 2006 | FY 2007 | Difference |
| Total Budget | $58,014,640 | $59,189,000 | $1,174,360 |
| Offsetting Collections | $35,586,190 | $33,984,000 | $1,602,190 |
| Net Appropriation | $22,428,450 | $25,205,000 | $2,776,550 |

| | Mandatory Pay & Price Levels | BPR No-Year Funds | Decreased Renewal Receipts | Increased Fee Receipts | Records Projects | Total |
|---|---|---|---|---|---|---|
| Total Budget | $2,015,271 | -$1,590,911 | -$850,000 | $600,000 | $1,000,000 | $1,174,360 |
| Offsetting Collections | -238,721 | 1,590,911 | 850,000 | -600,000 | 0 | 1,602,190 |
| Net Appropriation | $1,776,550 | $0 | $0 | $0 | $1,000,000 | $2,776,550 |

## FY 2005 ACCOMPLISHMENTS

**Library of Congress Goal 9:**

***Carry out the statutory mission of the Copyright Office to administer copyright and related laws embodied in Title 17 to provide benefit to the nation.***

- Registered more than 532 thousand claims and transferred almost 1.1 million works, valued at more than $39.6 million, to the Library of Congress (LOC).
- Recorded more than 11 thousand documents containing 350 thousand titles.
- Collected and invested, for future distribution, $214 million in royalty fees from cable television systems, importers and manufacturers of digital audio recording equipment and media, and satellite carriers who retransmit copyrighted television broadcasts across the United States.
- Distributed close to $40 million in royalty fees to copyright owners.
- Administered five CARP proceedings: three rate adjustment proceedings and two distribution proceedings. The rate adjustment proceedings involved the rates paid by satellite carriers for the retransmission of over-the-air television

broadcast stations and adjustment of rates paid by cable television systems for the retransmission of over-the-air broadcast stations. The distribution proceedings related to distribution of royalty fees paid by importers and manufacturers of digital audio recording devices and media.

- Established the new Copyright Royalty Board to perform the functions of the CRJs; established web site and list serve; issued regulations to govern submission of claims and conduct of proceedings; and commenced rate adjustment proceedings for webcasting industry.

**Library of Congress Goal 10:**

***Formulate and provide expert advice to the Congress, executive branch agencies, courts, and international entities in the furtherance of maintaining a strong and effective national and international copyright system.***

- Provided advice and assistance to the Congress on such issues as: (1) music licensing reform; (2) protecting copyright and innovation after the Supreme Court's decision in *MGM* v. *Grokster*; (3) piracy of intellectual property; (4) legislation on replacement of Copyright Arbitration Royalty Panels with Copyright Royalty Judges; (5) making it a criminal offense to knowingly record a motion picture during its performance in a cinema; (6) preregistration of certain unpublished works that are being prepared for commercial distribution; and (7) "orphan works."

- Worked extensively on a Congressionally mandated study of section 119 of the copyright law and the harm it may cause to copyright owners whose program is retransmitted via satellite, and solicited comments and held roundtables for a study on orphan works; both studies are due to the Congress in FY 2006.

- Participated in a large number of court cases, including two before the Supreme Court: (1) *MGM* v. *Grokster*, a landmark copyright case, in which the Supreme Court held that secondary liability for copyright infringement may be established by proving that a distributor of products or services induced others to engage in copyright infringement; (2) *Illinois Tool Works v. Independent Inc.*, a Supreme Court case that raised a question under anti-trust laws regarding copyrighted works; (3) a case involving the copyrightability of settlement prices for oil and gas used to clear transactions involving future contracts; (4) litigation against decisions relating to licensing rates for webcasters and distribution of royalties; and (5) several cases to defend the constitutionality of copyright statutes or specific provisions.

- Participated in the first phase of U.S. delegations to the World Summit on the Information Society, the second phase to be held in Tunis in November 2005; and various meetings at UNESCO, including meetings on the Convention on Cultural Diversity, the Intergovernmental Committee on Copyright and Related Rights, and the Intergovernmental Committee on the Rome Convention.

- Assisted in negotiations on bilateral Free Trade Agreements (FTA) between the United States and two countries, other bilateral discussions with 13 nations as well as multi-lateral agreements, including a FTA with a group of Andean nations.

- Hosted copyright officials from various countries, including an eight-member delegation of Egyptian copyright officials and journalists.

**Library of Congress Goal 11:**

***Be an effective voice for the principles of copyright, which benefit the public, by providing information and informing the public debate on copyright issues.***

- Responded to 362 thousand in-person, telephone, and e-mail requests for information.

- Received nearly 30 million outside hits to key Copyright Office web pages, a 49% increase; made further improvements to the web site, including a section of historical documents and Really Simply Syndication (RSS) feeds.

- The Register of Copyrights and staff spoke at more than seventy symposia, conferences, and workshops on various aspects of copyright law and current challenges, most of which dealt with issues raised by digital technology.

- The Register of Copyrights gave presentations at a program of the External University of Colombia in Bogotá on "The Social Function of Copyright" and "Global Copyright Issues Resulting from New Technologies"; and gave six speeches and two press interviews in Brazil as part of the State Department Speakers Program.

- The CO, working with the Library's Office of Strategic Initiatives, completed a feasibility study for digitizing millions of Copyright Office records from the 1790 – 1977 period. The results of the study support the funding request for the digitization project in the FY 2007 budget.

***The Reengineering Program supported all three of the copyright-related goals in the Library of Congress Strategic Plan.***

- Continued, according to plan, the multi-year program to reengineer principal Copyright Office public services, including making those services available online, supported by new organization, facilities, and information technology.

- Completed most of the reorganization package and position descriptions; and began interviews for the Training Officer position.

- Began testing an OCR-able paper application form to replace several forms.

- Began pilot testing two of the new processes and information technology to be implemented in FY 2007 – the Motion Picture Pilot and the e-Deposit Pilot. The Selection Pilot provided significant learning opportunities to improve processes affecting both the Copyright Office and Library Services.

- Completed 100 percent of construction documents for two-phase construction in the Library's James Madison Building.

- Signed a memorandum and lease for temporary off-site location in Crystal City from April 2006 – June 2007. Hired a move contractor to oversee move logistics from James Madison Building to Crystal City, and back.

# Library of Congress
# Copyright Office, Salaries and Expenses
# Basic
# Analysis of Change
**(Dollars in Thousands)**

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| **Appropriation, FY 2006** | 488 | $53,136 |
| **Minus: Rescission** | 0 | - 531 |
| **Adjusted Appropriation, FY 2006** | 488 | $52,605 |
| **Non-recurring Costs:** | | |
| Copyright Re-Engineering | | - 1,591 |
| Receipts/Fees (Net Decrease) | - 5 | - 250 |
| **Total, Non-recurring Costs** | - 5 | - 1,841 |
| **Mandatory Pay and Related Costs:** | | |
| Comparability pay raise 2007 | | 732 |
| Annualization of pay raise 2006 | | 398 |
| Within-grade increases | | 319 |
| **Total, Mandatory Pay and Related Costs** | 0 | 1,449 |
| **Price Level Changes** | 0 | 327 |
| **Program Increases:** | | |
| **New Projects:** | | |
| Records Preservation Project | | 1,000 |
| **Total, Program Increases** | 0 | 1,000 |
| **Net Increase/Decrease** | - 5 | $ 935 |
| **Total Budget** | 483 | $53,540 |
| **Total Offsetting Collections** | 0 | - 28,335 |
| **Total Appropriation** | 483 | $25,205 |

# Library of Congress
# Copyright Office, Salaries and Expenses
# Basic

## Summary By Object Class

**(Dollars in Thousands)**

| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $27,308 | $28,483 | $29,454 | + $971 |
| 12 Personnel Benefits | 6,742 | 7,073 | 7,301 | + 228 |
| 13 Benefits for Former Personnel | 63 | 63 | 63 | 0 |
| 21 Travel | 150 | 285 | 291 | + 6 |
| 22 Transportation of Things | 2 | 21 | 22 | + 1 |
| 23 Rent, Communications and Utilities | 1,625 | 4,265 | 4,859 | + 594 |
| 24 Printing and Reproduction | 394 | 508 | 519 | + 11 |
| 25 Other Contractual Services | 2,313 | 8,400 | 9,584 | + 1,184 |
| 26 Supplies and Materials | 243 | 264 | 270 | + 6 |
| 31 Equipment | 3,076 | 3,242 | 1,176 | - 2,066 |
| 41 Grants | 0 | 0 | 0 | 0 |
| 42 Insurance Claims and Indemnities | 0 | 0 | 0 | 0 |
| 43 Interest | 0 | 1 | 1 | 0 |
| 94 Finance Transfers | 0 | 0 | 0 | 0 |
| **Total, Budget** | **$41,916** | **$52,605** | **$53,540** | **+ $935** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

**OVERVIEW**

The Copyright Office (CO) mission is to promote creativity by administering and sustaining an effective national copyright system. The BASIC appropriation covers administration of title 17 (with the exception of its statutory licensing provisions, which are under LICENSING, CARP and CRJ); policy and legal assistance to the Congress, the executive branch, and the courts; and provision of public information and education on copyright.

- Administration of copyright and related laws of title 17:

  *Registration of claims to copyright, mask works, or vessel hull designs* – Claimants submit works to the CO for registration, which are examined to determine the presence of copyrightable authorship and to ensure that other legal and formal requirements have been met. When a work is registered, the CO issues a certificate of registration and creates a public record of the registration.

  Copies of works submitted for registration may be selected by the Library for its collections or exchange program. Since 1870, copyright deposits have formed the core of the Library's "Americana" collections, and they continue to serve as the mint record of American creativity.

  The CO's registration records help the public to find the owners of the rights in individual works and determine the term of protection.

  *Recordation* – Documents relating to a copyright, mask work, or vessel hull design, including assignments and security interests, are submitted to the CO, which verifies that the document is recordable, issues a certificate of recordation, and creates a public record of the action. These records assist the public in tracking changes in ownership of copyrighted works and create a priority between conflicting transfers.

  *Acquisitions* – Title 17 includes a mandatory deposit provision that requires copyrighted works published in the United States to be sent to the Copyright Office within three months of publication for possible inclusion in the Library's collections. This provision ensures that the Library can acquire for its collections those works that are not submitted for registration.

  *Regulatory Activity* – To administer the copyright law, the Congress has authorized the Copyright Office to issue such regulations as may be necessary for the effective discharge of its statutory responsibilities.

- Expert policy and legal assistance to Congress, the executive branch, and the courts, and providing information and education to the public:

  *The Congress* – The CO works closely with Congress to provide objective, nonpartisan analysis and recommendations on copyright issues and intellectual property legislation, in particular regarding the complex issues raised by digital technology.

  *Executive Branch Agencies* – The CO regularly works with executive branch agencies on copyright issues, particularly international matters. The CO participates as a member of U.S. delegations in meetings of international organizations, and in multilateral and bilateral consultations and negotiations.

  *The Judiciary* – Although the CO does not enforce the provisions of title 17, it may be involved in litigation as follows: it can choose to intervene under section 411(a) in a case where registration has been refused; it may be sued under the Administrative Procedure Act; it may be asked to participate in litigation either by assisting in the preparation of an *amicus curiae* brief in support of a particular position, by assisting the Department of Justice in defending a particular action, or by bringing a suit under section 407 to compel the deposit of a work.

- Provision of public information and education on copyright.

  *Public Information* – The Copyright Office creates public records of registrations, recordations, and other copyright-related actions. The CO provides public access to the records, responds to public requests for information, and provides reports and copies from these records.

  *Education* – With new digital and communications technologies, more people have the opportunity to use, copy, and distribute copyrighted works, and thus engage in activities that implicate copyright law. This creates a need for clear, accurate information about copyright law and CO practices. The CO engages in outreach programs to inform the public of copyright issues, principles, and law.

**FY 2007 BUDGET REQUEST**

The Library of Congress is requesting a total of **$53.54 million** for Copyright-Basic. This includes mandatory pay and price level increases of $1.776 million, and a program increase of $1 million. Copyright-Basic staffing is 483 FTEs, a reduction of -5 FTEs from the FY 2006 level.

**COPYRIGHT OFFSETTING COLLECTIONS AUTHORITY**

The CO is requesting **offsetting collections authority of $28.335 million in FY 2007**, a net decrease of $-1.841 million from FY 2006. The decrease is the result of the following:

- Reengineering Project ($-1.591M)
  - Reduction due to near completion of the reengineering project. A total of $-1.591 million will be non-recurred in FY 2007.
  - FY 2007 is the last year of the reengineering project (assuming no further major delays in the construction of the new space in the James Madison Building). Additional savings will be reflected in the FY 2008 budget.
  - The following table outlines the change in no-year funds due to the reengineering project:

| Change in No-Year Fund | FY 2006 | FY 2007 |
|---|---|---|
| No-Year Beginning | $8,100,000 | $5,304,279 |
| No- Year Funds Used | $2,795,721 | $5,204,279 |
| No-Year Ending | $5,304,279 | $ 100,000 |

In FY 2007, the $5.2 million will be used to fund an additional 10 months of off-site leasing expenses ($2.5M), and a transfer to the Architect of the Capitol for construction costs ($2.7M). A reserve of $100K remains for unanticipated cost increases.

- Receipts ($-250K)
  - The CO is projecting a net decrease of $-250K in total receipts due to:
    - Reduction in renewal receipts – The CO currently receives approximately $1 million a year for renewal services that is used to fund $400 thousand of direct cost for five FTEs, and $600 thousand for overhead. In FY 2007 and in succeeding years, the CO expects to receive no more than 2500 renewal claims annually, representing fees of $150 thousand or less. As a result, the CO requests a permanent decrease of $850 thousand in its offsetting collections authority and a reduction of five FTEs in FY 2007.

- Increase in overall fees collected – The copyright receipt dollars have been gradually increasing over the past two years and now exceed the CO's normal receipt level of approximately $23 million by $600 thousand. This is due to more items received, not changes in the fee schedule. As a result, the CO requests a permanent $600 thousand increase in offsetting collections authority.

**PROGRAM CHANGES** **$1,000,000**

**Records Preservation** **($1,000,000)**

To digitally image the pre-1978 public records, the CO is requesting $1 million to remain in the base for six years to support the preservation and access goals at the most basic level. The key objectives of this record digitization project are: (1) disaster preparedness preservation of pre-1978 public records, and (2) provision of online access to those public records. FY 2007 would be the first year of the six-year, $6 million program. Over the past year, the CO conducted a study of technical approaches that will enable it to provide digital preservation, and online access for public copyright records from 1790 - 1977. The scope of the project encompasses 70 million pages of microfilm, bound records, and index-cards to be scanned and indexed. The benefits of pursuing this digitization project include mitigating the risk of loss for sole-copy public records, and providing wider public access to records that are now only available on-site. These records document the copyright status and ownership for works that must be legally protected for many decades to come, some extending into the next century.

The goals of the study were to gather technical requirements, identify logistical constraints, and assemble the budgetary estimates necessary to plan and execute this sizeable digital conversion project. The team accomplished the following milestones:

- Interviews with key CO staff familiar with the research utility of the records as well as the processes used to create the records.
- A thorough inventory of the paper records.
- Online and paper surveys of current researchers to determine use patterns.
- Market research to determine current state-of-the-art vendor capabilities in the areas of document scanning, and data indexing for electronic retrieval.

- On-site technical capability demonstrations with three vendors that scanned and indexed representative sample sets of records under site-specific constraints.

- Integration of the resultant images and data into Library test retrieval systems.

- A business alternatives analysis providing detailed strategies and recommendations for authoritatively and completely scanning and indexing the records. It also included a cost-benefit analysis for key recommendations, based on vendor-provided cost estimates and detailed inventory figures.

- Prototypes of electronic retrieval scenarios for records reflecting different levels of cost-benefit trade-offs were outlined in the business alternatives analysis.

The first critical milestone, an authoritative and complete set of digitally imaged primary public records, can be pursued over six years. Starting in FY 2007, the CO would need $1 million to scan 10 million page images from film at an off-site location. The rest of the records would be scanned over the next five years as outlined below.

- 2008 $ 1M Scan 10 million page images from film off-site
- 2009 $ 1M Scan 12.5 million catalog cards on-site
- 2010 $ 1M Scan 12.5 million catalog cards on-site
- 2011 $ 1M Scan 12.5 million catalog cards on-site
- 2012 $ 1M Scan 12.5 million catalog cards on-site
  Total cost of $ 6 million to scan 70 million page images.

Project estimates are based on the vendor estimates published in the business alternatives analysis, provided by the Copyright Records Project team in FY 2005. Item-level indexing would not be accomplished or attempted until all the records and catalog cards are imaged. In a less constrained environment, indexing could occur in parallel with scanning, but with limited budget resources, scanning all the records and cards is recommended. Also, cost estimates assume that only conversion and data integration (rudimentary indexing) activities are in scope. IT systems that host the resultant data for long-term preservation and research access exist and have the capability of growing to accommodate the new volume of data that will be generated. This Copyright Records Project Business Alternatives Analysis included capacity planning estimates for such systems, but it did not consider the incremental cost impact of increased capacity.

Public copyright records represent the proof of whether a work is still protected by copyright, and if so, when the copyright term will expire. These records also provide proof of ownership of millions of works, valued at billions of dollars, still under copyright protection. Loss of these sole-copy analog records due to a site disaster would create

a disastrous dilemma. It could have a devastating effect on vibrant and growing sectors of our economy that either depend on transparent and enforceable intellectual property rights or depend on a determination that particular works are in the public domain. This project, which will ensure the security of these records and begin a process that will lead to eventual online access, is critical. With respect to the cost of the project, postponing any labor-intensive tasks will only increase the total project cost as labor costs will increase substantially over time.

The following tables highlight the comparison of Copyright-Basic total budget, offsetting collections, and net appropriated funds for FY 2006 - 2007:

| Yearly Change in Annual Basic Appropriations | | | |
|---|---|---|---|
| | FY 2006 | FY 2007 | Difference |
| Total Budget | $52,604,640 | $53,540,000 | $935,360 |
| Offsetting Collections | 30,176,190 | 28,335,000 | -1,841,190 |
| Net Appropriations | $22,428,450 | $25,205,000 | $2,776,550 |

| FY07 Changes | Mandatory Pay & Price Levels | BPR No-Year Funds | Decreased Renewal Receipts | Increased Fee Receipts | Records Project | Total |
|---|---|---|---|---|---|---|
| Total Budget | $1,776,271 | -$1,590,911 | -$850,000 | $600,000 | $1,000,000 | $935,360 |
| Offsetting Collections | - 279 | -1,590,911 | - 850,000 | 600,000 | | -1,841,190 |
| Net Appropriations | $1,776,550 | $0 | $0 | $0 | $1,000,000 | $2,776,550 |

# Library of Congress
# Copyright Office, Salaries and Expenses
# Licensing Division
# Analysis of Change
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| **Appropriation, FY 2006** | 36 | $3,865 |
| **Minus: Rescission** | 0 | - 39 |
| **Adjusted Appropriation, FY 2006** | 36 | $3,826 |
| **Non-recurring Costs:** | | |
| FTE Reduction | - 2 | 0 |
| **Total, Non-recurring Costs** | - 2 | 0 |
| **Mandatory Pay and Related Costs:** | | |
| Comparability pay raise 2007 | | 56 |
| Annualization of pay raise 2006 | | 31 |
| Within-grade increases | | 24 |
| **Total, Mandatory Pay and Related Costs** | 0 | 111 |
| **Price Level Changes** | 0 | 27 |
| **Program Increases** | 0 | 0 |
| **Net Increase/Decrease** | - 2 | $ 138 |
| **Total Budget** | 34 | $3,964 |
| **Total Offsetting Collections** | 0 | - 3,964 |
| **Total Appropriation** | 34 | $ 0 |

## Library of Congress
## Copyright Office, Salaries and Expenses
## Licensing Division

### Summary By Object Class

(Dollars in Thousands)

| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $1,866 | $2,174 | $2,263 | + $ 89 |
| 12 Personnel Benefits | 428 | 464 | 486 | + 22 |
| 13 Benefits for Former Personnel | 0 | 0 | 0 | 0 |
| 21 Travel | 4 | 13 | 13 | 0 |
| 22 Transportation of Things | 0 | 1 | 1 | 0 |
| 23 Rent, Communications and Utilities | 7 | 30 | 31 | + 1 |
| 24 Printing and Reproduction | 11 | 49 | 50 | + 1 |
| 25 Other Contractual Services | 1,033 | 994 | 1,016 | + 22 |
| 26 Supplies and Materials | 11 | 17 | 18 | + 1 |
| 31 Equipment | 201 | 83 | 85 | + 2 |
| 41 Grants | 0 | 0 | 0 | 0 |
| 42 Insurance Claims and Indemnities | 0 | 0 | 0 | 0 |
| 43 Interest | 0 | 1 | 1 | 0 |
| 94 Finance Transfers | 0 | 0 | 0 | 0 |
| **Total, Budget** | **$3,561** | **$3,826** | **$3,964** | **+ $138** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

## OVERVIEW

The Copyright Office Licensing Division administers the statutory license provisions in the copyright law. These licenses deal with secondary transmissions of radio and television programs by cable television systems; the making of ephemeral recordings; the non-interactive digital transmission of performances of sound recordings; the making and distributing of phonorecords of nondramatic musical works; the use of published nondramatic musical, pictorial, graphic, and sculptural works and nondramatic literary works in connection with non-commercial broadcasting; secondary transmissions of superstations and network stations by satellite carriers; secondary transmissions by satellite carriers for local retransmissions; and the importation, manufacture, and distribution of digital audio recording devices or media.

The Copyright Office Licensing Division's primary clients for activities are copyright-owners and certain users of copyrighted works subject to licenses. This program engages in the following activities:

- Collects royalty fees from cable television systems, and from satellite carriers who retransmit copyrighted television broadcasts across the United States, and from importers and manufacturers of digital audio recording equipment and media.

- Examines documents submitted pursuant to a statutory license to determine that they meet the requirements of the copyright law.

- Distributes these royalties per voluntary agreements among claimants or as a result of determinations by either a Copyright Arbitration Royalty Panel or the Copyright Royalty Judges.

## FY 2007 BUDGET REQUEST

The Library is requesting **offsetting collections authority of $3.964 million** for the Copyright Office Licensing Division. This includes an increase of $138 thousand in mandatory pay and price level increases. Funding supports a total of 34 FTEs, a reduction of -2 FTEs from FY 2006.

The following tables highlight the comparison of Copyright-Licensing in total budget, offsetting collections, and net appropriation for FY 2006 - 2007:

| Change in Annual Licensing Appropriations | | | |
|---|---|---|---|
| | FY 2006 | FY 2007 | Difference |
| Total Budget | $3,826,000 | $3,964,000 | $138,000 |
| Offsetting Collections | $3,826,000 | $3,964,000 | $138,000 |
| Net Appropriation | $0 | $0 | $0 |

| | Mandatory Pay & Price Levels | Program | Difference |
|---|---|---|---|
| Total Budget | $138,000 | $0 | $138,000 |
| Offsetting Collections | $138,000 | $0 | $138,000 |
| Net Appropriation | $0 | $0 | $0 |

# Library of Congress
# Copyright Office, Salaries and Expenses
# Copyright Arbitration Royalty Panels
# Analysis of Change
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| Appropriation, FY 2006 | 0 | $300 |
| Minus: Rescission | 0 | - 3 |
| Adjusted Appropriation, FY 2006 | 0 | $297 |
| Non-recurring Costs | 0 | 0 |
| Mandatory Pay and Related Costs | 0 | 0 |
| Price Level Changes | 0 | 4 |
| Program Increases | 0 | 0 |
| Net Increase/Decrease | 0 | $ 4 |
| Total Budget | 0 | $301 |
| Total Offsetting Collections | 0 | - 301 |
| Total Appropriation | 0 | $ 0 |

## Library of Congress
## Copyright Office, Salaries and Expenses
## Copyright Arbitration Royalty Panels

### Summary By Object Class

(Dollars in Thousands)

| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $185 | $75 | $75 | 0 |
| 12 Personnel Benefits | 48 | 25 | 25 | 0 |
| 13 Benefits for Former Personnel | 0 | 0 | 0 | 0 |
| 21 Travel | 0 | 0 | 0 | 0 |
| 22 Transportation of Things | 0 | 0 | 0 | 0 |
| 23 Rent, Communications and Utilities | 0 | 0 | 0 | 0 |
| 24 Printing and Reproduction | 87 | 0 | 0 | 0 |
| 25 Other Contractual Services | 40 | 197 | 201 | + 4 |
| 26 Supplies and Materials | 0 | 0 | 0 | 0 |
| 31 Equipment | 0 | 0 | 0 | 0 |
| 41 Grants | 0 | 0 | 0 | 0 |
| 42 Insurance Claims and Indemnities | 0 | 0 | 0 | 0 |
| 43 Interest | 0 | 0 | 0 | 0 |
| 94 Finance Transfers | 0 | 0 | 0 | 0 |
| **Total, Budget** | **$360** | **$297** | **$301** | **$4** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

## OVERVIEW

The Copyright Arbitration Royalty Panels (CARP) program administers the provisions of title 17 relating to setting royalty rates and terms, and distribution of royalties (17 U.S.C., chapter 8, before passage of the Copyright Royalty and Distribution Reform Act of 2004). The Office convenes Copyright Arbitration Royalty Panels to set royalty rates and terms as well as determine distributions.

The Copyright Royalty Distribution Reform Act of 2004, P.L. 108-419, transferred these responsibilities from the CARPs to three Copyright Royalty Judges (CRJs). The Act, however, allows the Copyright Office to complete any proceeding which had been initiated before the date of enactment. The Copyright Office retained minimal CARP funding to resolve open proceedings and expects to phase out all pending proceedings in FY 2007.

The Copyright Office's primary clients for activities in the CARP fund are copyright owners who claim a portion of royalty fees paid to the Copyright Office by users covered under the statutory licenses. This program engages in the following activities:

- Conducts proceedings for:
  - Setting royalty rates and terms
  - Determining distributions
- Prepares regulations related to the CARP process.

## FY 2007 BUDGET REQUEST

The Library is requesting a total of **$301 thousand in offsetting collections authority** for Copyright Arbitration Royalty Panels, an increase of $4K over FY 2006. The requested increase supports price level increases. FY 2007 should be the last year that funding is requested for the CARP program.

The following tables highlight the comparison of CARP total budget, offsetting collections, and net appropriation for FY 2006 - 2007:

| Change in Annual CARP Appropriations | | | |
|---|---|---|---|
| | FY 2006 | FY2007 | Difference |
| Total Budget | $297,000 | $301,000 | $4,000 |
| Offsetting Collections | $297,000 | $301,000 | $4,000 |
| Net Appropriation | $0 | $0 | $0 |

| | Mandatory Pay & Price Levels | Program | Difference |
|---|---|---|---|
| Total Budget | $4,000 | $0 | $4,000 |
| Offsetting Collections | $4,000 | $0 | $4,000 |
| Net Appropriation | $0 | $0 | $0 |

# Library of Congress
# Copyright Office, Salaries and Expenses
# Copyright Royalty Judges
# Analysis of Change
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| **Appropriation, FY 2006** | 6 | $1,300 |
| **Minus: Rescission** | 0 | - 13 |
| **Adjusted Appropriation, FY 2006** | 6 | $1,287 |
| **Non-recurring Costs** | 0 | 0 |
| **Mandatory Pay and Related Costs:** | | |
| Comparability pay raise 2007 | | 40 |
| Annualization of pay raise 2006 | | 23 |
| Within-grade increases | | 18 |
| **Total, Mandatory Pay and Related Costs** | 0 | 81 |
| **Price Level Changes** | 0 | 16 |
| **Program Increases** | 0 | 0 |
| **Net Increase/Decrease** | 0 | $ 97 |
| **Total Budget** | 6 | $1,384 |
| **Total Offsetting Collections** | 0 | - 1,384 |
| **Total Appropriation** | 6 | $ 0 |

## Library of Congress
## Copyright Office, Salaries and Expenses
## Copyright Royalty Judges

### Summary By Object Class

(Dollars in Thousands)

| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $110 | $701 | $764 | + $63 |
| 12 Personnel Benefits | 18 | 208 | 226 | + 18 |
| 13 Benefits for Former Personnel | 0 | 0 | 0 | 0 |
| 21 Travel | 1 | 5 | 5 | 0 |
| 22 Transportation of Things | 0 | 18 | 19 | + 1 |
| 23 Rent, Communications and Utilities | 0 | 27 | 28 | + 1 |
| 24 Printing and Reproduction | 3 | 120 | 125 | + 5 |
| 25 Other Contractual Services | 74 | 178 | 186 | + 8 |
| 26 Supplies and Materials | 0 | 7 | 7 | 0 |
| 31 Equipment | 54 | 23 | 24 | + 1 |
| 41 Grants | 0 | 0 | 0 | 0 |
| 42 Insurance Claims and Indemnities | 0 | 0 | 0 | 0 |
| 43 Interest | 0 | 0 | 0 | 0 |
| 94 Finance Transfers | 0 | 0 | 0 | 0 |
| **Total, Budget** | **$260** | **$1,287** | **$1,384** | **+ $97** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

## OVERVIEW

The Copyright Royalty Judges (CRJ) administer the provisions of title 17 related to setting royalty rates and terms as well as distribution of royalties (17 U.S.C., chapter 8, as amended by the Copyright Royalty and Distribution Reform Act of 2004). The Copyright Royalty Judges, collectively known as the Copyright Royalty Board, also handle the notice and recordkeeping rulemaking proceedings for a number of licenses and determine whether a device is a digital audio recording device.

The Copyright Royalty Distribution Reform Act of 2004 (P.L. 108-419), transferred the responsibilities from the Copyright Arbitration Royalty Panels to three CRJs. The CRJs are the final arbiters of questions of fact and have full independence in making determinations of royalty rates and terms, and the distribution of royalty fees. They must consult with the Register of Copyrights on novel questions of copyright law and on determinations that impose a duty on the Copyright Office to perform tasks. The Register may review, for legal error, the CRJs' resolution of a material question of substantive law in accordance with the provisions of title 17.

The clients for activities of the CRJ Fund are copyright-owners who claim a portion of royalty fees paid to the Copyright Office by users covered under statutory licenses and licensees who operate under the statutory licenses.

This program engages in the following activities:

- Conducts proceedings for:
    - Determination of rates and terms
    - Determination of royalty distributions
- Prepares regulations related to the CRJ process and notice and recordkeeping.

## FY 2007 BUDGET REQUEST

The Library is requesting a total of **$1.384 million in offsetting collections authority** for the CRJ program. This includes an increase of $97 thousand for mandatory pay and price level increases. Funding supports three full-time copyright royalty judges and three staff positions, for a total of six FTEs, the same level of staffing as in FY 2006.

The following tables highlight the comparison of CRJ's total budget, offsetting collections, and net appropriation for FY 2006 - 2007:

| Change in Annual CRJ Appropriations | | | |
|---|---|---|---|
| | FY 2006 | FY 2007 | Difference |
| Total Appropriation | $1,287,000 | $1,384,000 | $97,000 |
| Offsetting Collections | $1,287,000 | $1,384,000 | $97,000 |
| Net Appropriation | $0 | $0 | $0 |

| | Mandatory Pay & Price Levels | Program | Difference |
|---|---|---|---|
| Total Appropriation | $97,000 | $0 | $97,000 |
| Offsetting Collections | $97,000 | $0 | $97,000 |
| Net Appropriation | $0 | $0 | $0 |

# Library of Congress
# Congressional Research Service
# Salaries and Expenses
# Analysis of Change
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| **Appropriation, FY 2006** | 729 | $100,916 |
| **Minus: Rescission** | 0 | - 1,009 |
| **Adjusted Appropriation, FY 2006** | 729 | $ 99,907 |
| **Non-recurring Costs:** | | |
| FTE Reduction | - 24 | 0 |
| **Total, Non-recurring Costs** | - 24 | 0 |
| **Mandatory Pay and Related Costs:** | | |
| Comparability pay raise 2007 | | 1,797 |
| Annualization of pay raise 2006 | | 978 |
| Within-grade increases | | 783 |
| Reallocations | | 207 |
| **Total, Mandatory Pay and Related Costs** | | 3,765 |
| **Price Level Changes** | | 607 |
| **Program Increases** | 0 | 0 |
| **Net Increase/Decrease** | - 24 | $ 4,372 |
| **Total Budget** | 705 | $104,279 |
| **Total Offsetting Collections** | 0 | 0 |
| **Total Appropriation** | 705 | $104,279 |

## Library of Congress
## Congressional Research Service
## Salaries and Expenses

### Summary By Object Class

(Dollars in Thousands)

| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $68,705 | $70,247 | $73,290 | + $3,043 |
| 12 Personnel Benefits | 14,971 | 17,192 | 17,878 | + 686 |
| 13 Benefits for Former Personnel | 262 | 737 | 773 | + 36 |
| 21 Travel | 234 | 275 | 281 | + 6 |
| 22 Transportation of Things | 1 | 1 | 1 | 0 |
| 23 Rent, Communications and Utilities | 605 | 464 | 474 | + 10 |
| 24 Printing and Reproduction | 113 | 135 | 138 | + 3 |
| 25 Other Contractual Services | 5,807 | 5,448 | 5,661 | + 213 |
| 26 Supplies and Materials | 3,250 | 3,758 | 4,096 | + 338 |
| 31 Equipment | 1,908 | 1,650 | 1,687 | + 37 |
| 41 Grants | 0 | 0 | 0 | 0 |
| 42 Insurance Claims and Indemnities | 0 | 0 | 0 | 0 |
| 43 Interest | 0 | 0 | 0 | 0 |
| 94 Finance Transfers | 0 | 0 | 0 | 0 |
| **Total, Budget** | **$95,856** | **$99,907** | **$104,279** | **+ $4,372** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

## OVERVIEW

The mission of the Congressional Research Service (CRS) is to work exclusively and directly for all Members and Committees of the Congress in support of their legislative and oversight functions. CRS provides high quality research and information services that are authoritative, timely, objective, nonpartisan, and confidential. The Service's expert staff support the Congressional decision making process by addressing public policy issues in a multi-disciplinary, integrative manner. CRS also works cooperatively with other congressional support agencies – the Congressional Budget Office and the General Accountability Office – and with other formal entities of the Congress.

To carry out its mission, CRS experts assist Members and their staffs as they address public policy problems by analyzing the extent of the problems, options for addressing the problems, and consequences of those options. This assistance is provided throughout the legislative process – from the development of legislative proposals through the design and content of congressional hearings; during Member deliberations in committee, on the floor, and in conference; and as policy is implemented and evaluated. CRS offers a broad range of multi-disciplinary research services directly related to the public policy deliberations of the Congress. These services are provided through a range of service delivery channels, including confidential, individual policy consultations and memoranda; analytic reports; econometric and computer-simulated modeling; risk assessments; and a secure CRS web site available only to the Congress.

## FY 2006 PRIORITIES

CRS is responding directly to Congressional direction to submit reasonable budget requests and consider the overall budget constraints placed on the entire Federal budget; to streamline by outsourcing; to leverage existing technology to enhance operational efficiency; and to look within for ways to complete agency missions. Further, the Service is responding to a federal fiscal environment that dictates the size of the organization to be about 705 full-time equivalents (FTE's).

In 2005, CRS initiated several studies to determine how best to modernize its administrative and support functions as a means to streamline and improve overall effectiveness and efficiency. Based upon the results of these in-depth studies, CRS is implementing staff changes to eliminate functions that are considered outdated, redundant in light of technology, or no longer needed. These functions are currently performed by 59 staff at an estimated cost of $4.4M. These 59 positions will be eliminated effective September 30, 2006. Using human capital flexibility tools sanctioned by the Office of Personnel Management (OPM) and the Congress, CRS will offer voluntary early retirements and up to 50 separation incentives, to encourage these

staff to leave the Service voluntarily. Any staff who remain on September 30, 2006 will be subject to a reduction-in-force (RIF). Throughout 2006, CRS is offering numerous counseling services (such as career transition, resume writing, interview techniques, etc.) to help the remaining staff seek and find alternative employment.

Many of the administrative support functions were eliminated based upon the significant advancements in technology — specifically the power and features of software tools readily available on the desktop. The information technology support functions were eliminated because of changes in technology business practices (e.g., "push" technology that allows agency-wide software upgrades to be disseminated from a single, central point as opposed to machine-by-machine via human action; wholesale monitoring of hardware and software components/usage via sophisticated software tools). The Service has determined that the information technology technical support functions are more cost effectively acquired by contracting out, because the vendors are required to provide a cadre of skilled personnel with up-to-date training and expertise. The functions traditionally performed by in-house "receptionists" are now being contracted out – a best business practice adopted by many federal agencies. The congressional demand for work by the Service's small audio-visual staff has been steadily declining. The Service's in-house demand for audio-visual support is episodic and more akin to preparing presentations and briefings. In the near term, CRS will acquire these skill sets as needed through contracts, unless workload demands change and a business case is made that confirms that in-house capacity is the more cost effective. The results of this workforce reengineering will be a streamlined administrative corps, who have modern skill sets that can be leveraged with technology to provide an even higher quality of support with fewer FTEs devoted to performing the functions. CRS is committed to ensuring that the agency can continue to accomplish its mission in the most cost-effective and efficient manner possible.

CRS also has revamped its Annual Program Performance Plan. In FY 2006, the Service developed a framework for a new outcome-based performance plan and reporting system around a mission focused singularly on providing research and analytic services to the Congress. To provide concrete frames of reference for establishing outcome-related goals, the new plan uses key performance attributes: relevance, quality, accessibility, and management initiatives. Attaining these attributes offers a high probability of success in achieving the CRS mission: contributing to an informed national legislature across all active policy areas so that the Congress can make policies through the drafting and enactment of laws that best meet the needs of the nation. The 2006 plan groups performance goals into two distinct sets: one focused on research and the other on management. The research goals provide relatively direct and obvious connections with achieving the key attributes that support the CRS mission. The management goals, by their nature, are less direct but essential to achieving agency efficiency and effectiveness in the use of resources.

The sole mission activity of CRS is the research work it undertakes on behalf of the Congress. Active policy areas the Congress faces in FY 2006 include many from the first session that are likely to carry over into the second session when Congress reconvenes to address numerous other areas that remain on its agenda. CRS is providing timely, objective, nonpartisan expertise that focuses on complex and demanding policy questions and is conveyed in confidential consultations and memoranda as needed.

Some specific policy concerns before the Congress in FY 2006, for which CRS is providing support, include issues addressed in part by a range of mandatory spending adjustments and taxation reduction measures presented in budget reconciliation bills; policy concerns embodied in reauthorizing, with modifications, such measures as the USA PATRIOT Act, the Terrorism Risk Insurance Act, the Higher Education Act, and the Temporary Assistance for Needy Families (TANF) Act, among others; policy areas encompassing U.S. relations with and special interests in specific countries and regions, such as winding down commitments in Iraq, ensuring containment of Iranian and North Korean nuclear developments, achieving productive trade relationships with China in the context of human rights considerations; assuring affordable and reliable access to energy; evolving policy approaches to address crises in retirement and health care programs projected to arise from demographic trends or trends in medical costs; providing for public health, homeland security and protection against terrorism in an international context; filling another Supreme Court vacancy and providing oversight to the court system; and appropriating funds for carrying out a large range of government missions and meeting unanticipated needs in the context of stringent budgetary constraints.

To help ensure that CRS resources and preparations remain aligned with needs of the Congress and are thereby employed efficiently and effectively, CRS has followed its research agenda for the first session of the 109th Congress and has launched an extensive review and reformulation of its research agenda to focus on policy concerns facing the second session. CRS is also systematically recording and reviewing its efforts to pool expertise from different disciplines in addressing needs in active policy areas. At the same time, CRS is instituting processes and support systems to document systematically its substantive contributions to the Congress in highly active policy areas as a part of a larger effort to develop an approach to reporting on its performance as an agency.

The research work conducted by CRS is supported by an integrated infrastructure. The Service's infrastructure sustains a technology backbone that provides a comprehensive set of tools and services to CRS staff that enable the delivery of research and analysis products to the Congress. This infrastructure also provides a strategically-focused set of business functions related to sustaining the Service's capacity (human resources),

managing its fiscal resources, and supporting the oversight, management, production, and delivery of products, services, and programs to the Congress.

**FY 2007 PRIORITIES**

In FY 2007, many of the policy areas the Congress will be required to confront will arise from prominent, longer-term trends evident in such far-reaching areas as demographics, social-economic developments, foreign relations, and technological change. Other important determinants of the congressional agenda in 2007 with greater potential for shifts over time include intergovernmental relations, the relative strengths of political parties, and general economic conditions.

CRS expertise that will meet congressional policy-making needs will be grounded in years of experience with factors underlying a broad range of major policy concerns and will be leveraged in the mentoring of newer CRS staff. The Service will continue to manage its research by formulating research agendas based on its experts' knowledge from ongoing work with the Congress. CRS will obtain congressional leadership review of its research agendas to ensure alignment with needs of the Congress. CRS will pool relevant expertise from various disciplines to ensure a comprehensive and fully integrated approach to addressing issues in each active policy area and will provide ready access to its expertise, including online access to research products updated to reflect evolving policy contexts.

Following Congressional direction to submit a responsible budget, the Service's FY 2007 request does not seek additional funds to support program growth. The Service intends to complete the reengineering of its administrative and support staff and will assess the actual impact of these actions — from both fiscal and functional perspectives — against the expected results. The Service will likely study other business functions to see if additional streamlining can be achieved and intends to continue its practice of reviewing all major contracts and contract operations biannually to ensure that the Service's fiscal resources are being used in the most cost-effective and relevant manner possible. The results of these studies and reengineering efforts are expected to provide meaningful and authoritative business information that will guide the Service's decisionmaking and frame future management initiatives.

**FY 2007 BUDGET REQUEST**

The Library is requesting a total of **$104.279 million in FY 2007** for CRS, an increase of $4.372 million over FY 2006. The increase supports mandatory pay and price level increases. Total funding supports 705 FTEs, a decrease of -24 FTEs from FY 2006. The revised FTE ceiling reflects projected funded FTE usage in FY 2007.

**FY 2005 ACCOMPLISHMENTS**

**Library of Congress Strategic Goal 12:**

***Carry out the statutory mission of the Congressional Research Service to assist the Congress as it undertakes its legislative responsibilities by providing multi-disciplinary, nonpartisan, confidential, timely, and objective analysis of public policy problems and their possible solutions.***

During this past year, as Congress faced especially challenging demands, CRS provided immediate, comprehensive and continuing expert support. The more challenging demands arose from several specific developments, each of which required the Congress to focus considerable time and attention in arriving at sensitive and significant policy decisions in unusual, and, in some cases, unprecedented circumstances. Listed below are some of the major areas of special focus that overlaid an otherwise full congressional agenda:

- Congress grappled with a broad range of homeland security, terrorism and intelligence concerns highlighted by the "9/11 Commission," beginning with its final report issued near the close of the previous fiscal year.

- For the first time in eleven years, Congress was called upon to carry out its advice and consent responsibilities in conjunction with filling Supreme Court vacancies, including the Chief Justice position.

- Congress confronted the realities of large-scale disaster in the form of the extraordinary devastation of Katrina, as well as other especially destructive hurricanes.

- For the first time in eight years, Congress undertook a formal budget reconciliation process, in this instance requiring participation of 16 authorizing committees.

In each of these major policy areas, CRS worked extensively and effectively in meeting congressional decision-making needs, and each required objectivity, nonpartisanship, and a high level of expertise across a range of disciplines and policy concerns.

- *The 9/11 Commission's Recommendations and Congressional Legislative Responses.* CRS experts assisted the Congress with complex legislative work at all stages of the process, through passage of the Intelligence Reform and Terrorism Prevention Act in December 2004 and into subsequent implementation and oversight phases as well. CRS established teams of experts

to focus on 17 broad policy problems for which the numerous commission recommendations offered solutions. Team leaders were experienced, senior researchers. In this work, CRS drew immediately upon its existing expertise and ongoing relationships with the Congress in such broad areas as intelligence, U.S. relations and concerns with specific countries, global security issues, homeland security, privacy, and immigration.

CRS facilitated congressional access to its expertise through an online experts list; online postings of CRS reports addressing the 9/11 Commission's concerns, including new reports and revisions to existing reports as they became available; and letters to each Member calling attention to these and other relevant CRS services. CRS support extended beyond direct, often in-person support for Members and staff in each policy area to include comprehensive support such as comparative analyses of multi-titled bills within and across chambers, the last of which was prepared for use in conference.

- *Supreme Court Nominations: Advice and Consent and Confirmation Processes.* Over a short period of time, Congress faced the need to confirm a Supreme Court Associate Justice appointment, but then, instead, to act on a vacancy for the Chief Justice position and subsequently an Associate Justice position. Congressional use of CRS in this setting was particularly intensive because many Members and staff who played direct roles had no direct experience with such appointments. The most recent previous Supreme Court appointment was made in 1994 (Justice Breyer). Lead CRS staff provided support aided by institutional memory they had gained from working on various aspects of judicial and other nominations over several decades.

  Through a variety of channels, including in-person briefings, CRS reports, seminars, and confidential memoranda, CRS experts informed the Congress about past practices in providing advice and consent; committee and floor rules and procedures extending to the constitutionality of filibusters in relation to judicial nominations; status and prospects for the evolution of areas of law attracting attention in relation to specific nominees; and actual congressional experiences with previous Supreme Court confirmations. CRS service relating to previous confirmations represented an extraordinary accomplishment that was aided by digital scanning operations of the Office of Strategic Initiatives in the Library of Congress. CRS provided coded (searchable) online access to congressional documentation (hearings, floor debates, floor statements and votes) for 18 successful and unsuccessful Supreme Court nominations, including all current Justices. Most of this documentation, consisting of up to 100,000 pages, had not previously been available in a digital format. In addition, CRS provided Congress access to its expertise through an online experts list and

online postings of CRS reports, including new reports and revisions to existing reports as they became available. The Service sent letters to each Senator calling attention to these and other relevant CRS services.

- *Hurricane Disasters: Congressional Support and Review of Emergency Management.* CRS support for congressional responses to Hurricane Katrina began before the Category 5 hurricane made landfall. CRS developed an experts list and identified its recent emergency management reports and promptly highlighted them on the CRS website. The Service also sent letters by messenger to delegations of Florida, Alabama, Mississippi and Louisiana calling special attention to these services and to what was correctly anticipated as a growing body of updated CRS research addressing mounting congressional needs for policy-making support in the wake of Katrina.

  CRS established teams of experts across relevant disciplines and policy areas to meet congressional needs in broad areas such as emergency management, assistance to individuals, economic effects, rebuilding challenges, and government financing. CRS experts addressed substantive concerns of the Congress about gaining and improving access to immediate assistance to individuals; ensuring command and control in emergency management; providing for unprecedented, extended assistance in the form of food, shelter, health services and general income support; and reestablishing the social and economic fabric of the region. In addressing these concerns, CRS experts assessed pre- and post-hurricane conditions relevant to policy concerns, critiqued the focus and effectiveness of existing laws and programs, and evaluated a number of proposals. Congress accessed CRS expertise through a variety of channels offered for their use, including in-person briefings, formal testimony, confidential memoranda, and online access to research reports. CRS experts prepared and maintained more than 100 CRS research products directly relevant to this policy area.

- *Budget Reconciliation: A Congressional Option for Achieving Budget Goals.* In April 2005, Congress adopted a budget resolution for FY 2006 that called for reductions in mandatory outlays over several years, in line with instructions to 16 authorizing House and Senate Committees. Although reconciliation also provided for tax reductions, this was the first budget resolution since 1997 proposing reductions in mandatory spending. In this setting, Congress turned to CRS to meet several special needs. One need was to understand the complex budget process procedures and practices, some of which Congress had not exercised for eight years. Congress also sought CRS assistance in assessing the overall financial implications of budget reconciliation measures. Finally, considerable congressional and CRS attention focused on specific options and their implications for trimming mandatory spending.

In addition to the special work CRS conducted for the Congress throughout the year, Congress encountered ongoing needs for support extending over a substantial range of significant national policy concerns. Several important factors contributed to the broad scope and the intensity of interest in the legislative agenda during FY 2005. These included mounting concerns about the long-term effects on services and finances for programs projected to be impacted substantially by the aging U.S. population; prospects for production and use of resources including most notably water and energy; and a more globalized economy including attention to China's trade practices, prospects for further large-scale trade liberalization through the Doha round, and increased attention to the economic role of and prospects for immigration.

In FY 2005, CRS provided substantial support to the Congress in many policy areas arising from the factors outlined above, but extending to other major areas of concern as well. Examples include: monitoring and protecting against avian flu, reforming the tax code, providing for pension security, reforming Social Security, limiting identity theft, revitalizing the U.S. space program, contending with agricultural and transportation impacts of a major drought, re-examining provisions relating to official conduct of Members of Congress in light of recent legal charges, and assessing the conduct of the federal election in November 2004. Other examples are providing for and monitoring civil service reform, examining the federal role in right-to-life matters, assessing a range of options affecting various aspects of higher education, re-authorizing terrorism insurance, determining future directions for the USA PATRIOT Act, and reforming personal bankruptcy law.

The examples noted above are illustrative, but readily demonstrate the breadth and depth of the FY 2005 congressional agenda for which CRS provided substantive and continuing support. These active policy areas are in addition to, but in some cases intersect with the special policy challenges outlined earlier.

A strong indicator of the level of expertise CRS provided all active policy areas during FY 2005 is found in the Current Legislative Issues (CLI) system which is available to the Congress on the CRS Web site. At the start of the 109th Congress, CRS presented congressional leadership in both chambers a list of policy areas that CRS experts, based on their daily and ongoing work with the Congress, anticipated to be active during the first session. The purpose for presenting this CRS research agenda was both to receive comments and suggestions and inform the Congress of CRS preparations and readiness to meet both current and ongoing needs of the Congress. At that time, for the 185 policy areas CRS identified, the Service provided on-line access to about 900 supporting CRS research products. At the end of FY 2005, the CRS Current Legislative Issues system focused on nearly 200 policy areas and provided ready access to about 1,400 CRS research products, which are maintained through updates and revisions to reflect evolving policy contexts.

Explicitly formulating a CRS research agenda is a research management approach CRS first implemented at the start of the 107th Congress. This approach has been instrumental in giving the Service the ability to mobilize its resources efficiently and effectively in meeting the complex needs of the Congress over a broad range of major policy problems. It helps to ensure that CRS research efforts are aligned with the needs of the Congress, that experts in relevant disciplines and policy areas are brought together and are working in concert with one another, and that CRS expertise is readily accessible, including around-the-clock online congressional access to research products in all active policy areas.

# Library of Congress
# Books for the Blind and Physically Handicapped
# Salaries and Expenses
# Analysis of Change
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| **Appropriation, FY 2006** | 128 | $54,449 |
| **Minus: Rescission** | 0 | - 544 |
| **Adjusted Appropriation, FY 2006** | 128 | $53,905 |
| **Non-recurring Costs:** | | |
| NFB NEWSLINE | | - 396 |
| **Total, Non-recurring Costs** | 0 | - 396 |
| **Mandatory Pay and Related Costs:** | | |
| Comparability pay raise 2007 | | 222 |
| Annualization of pay raise 2006 | | 121 |
| Within-grade increases | | 96 |
| **Total, Mandatory Pay and Related Costs** | 0 | 439 |
| **Price Level Changes** | 0 | 1,755 |
| **Program Increases** | 0 | 0 |
| **Net Increase/Decrease** | 0 | $ 1,798 |
| **Total Budget** | 128 | $55,703 |
| **Total Offsetting Collections** | 0 | 0 |
| **Total Appropriation** | 128 | $55,703 |

## Library of Congress
## Books for the Blind and Physically Handicapped
## Salaries and Expenses

### Summary By Object Class

(Dollars in Thousands)

| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $7,292 | $8,812 | $9,172 | + $ 360 |
| 12 Personnel Benefits | 1,542 | 1,849 | 1,928 | + 79 |
| 13 Benefits for Former Personnel | 0 | 2 | 2 | 0 |
| 21 Travel | 202 | 222 | 227 | + 5 |
| 22 Transportation of Things | 44 | 53 | 54 | + 1 |
| 23 Rent, Communications and Utilities | 1,270 | 1,681 | 2,125 | + 444 |
| 24 Printing and Reproduction | 1,109 | 1,011 | 1,033 | + 22 |
| 25 Other Contractual Services | 5,475 | 5,014 | 5,124 | + 110 |
| 26 Supplies and Materials | 2,238 | 2,052 | 2,097 | + 45 |
| 31 Equipment | 34,231 | 33,209 | 33,941 | + 732 |
| 41 Grants | 0 | 0 | 0 | 0 |
| 42 Insurance Claims and Indemnities | 0 | 0 | 0 | 0 |
| 43 Interest | 0 | 0 | 0 | 0 |
| 94 Finance Transfers | 0 | 0 | 0 | 0 |
| **Total, Budget** | **$53,403** | **$53,905** | **$55,703** | **+ $1,798** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

## OVERVIEW

The Library of Congress, as authorized by Public Law 89-522, administers a national reading program for blind and physically handicapped residents of the United States and for all U.S. citizens living abroad. Under the management of the National Library Service for the Blind and Physically Handicapped (NLS), books and magazines in braille and recorded formats, as well as specially designed playback equipment, are produced and distributed through a network of state and locally supported libraries. Program policy is to provide eligible readers with access to a broad collection of general interest reading material in adequate quantity and scope, in appropriate language and reading level, and with careful attention to quality control of all products. Advisory committees, all of which include consumer and Library representatives, provide recommendations for program additions and enhancements. In addition, research and evaluation are conducted to improve the quality of books, equipment, and service.

### Background

A free national library program of braille and recorded materials for blind and physically handicapped persons is administered by the NLS. NLS selects and produces full-length books and magazines in braille and on cassettes. Reading materials are distributed to a cooperating network of regional and subregional (local) libraries where they are circulated to eligible borrowers. Reading materials and playback machines are sent to borrowers and returned to libraries by postage-free mail. Established by an act of Congress in 1931 to serve blind adults, the program was expanded in 1952 to include children, in 1962 to provide music materials, and again in 1966 to include individuals with other physical impairments that prevent the reading of standard print. In 1996, the U.S. Copyright Law was amended to allow NLS to produce audio and braille books without the requirement to gain permission from the copyright holder. Since 1931, the NLS network expanded from 19 libraries to 57 regional and 75 subregional libraries throughout the United States. The *International Union Catalog* provides access to 423,000 titles (19 million copies), with audiobook readers borrowing an average of 30 books and magazines and braille readers borrowing an average of 20 books and magazines a year.

### Eligibility

Anyone who is unable to read or use standard printed materials as a result of temporary or permanent visual or physical limitations may receive service. A survey sponsored by NLS found that two million persons with some type of visual impairment may be eligible. Another million with physical conditions such as paralysis, missing arms or hands, lack of muscle coordination, or prolonged weakness could benefit from the use of reading materials in recorded form.

**Book Collection**

Books are selected on the basis of their appeal to an audience with a wide range of interests. Bestsellers, biographies, fiction, and how-to books are in great demand. A limited number of titles are produced in Spanish and other languages for readers whose primary language is not English. Registered borrowers learn of new books added to the collection through two bimonthly publications, *Braille Book Review* and *Talking Book Topics*. Through an online catalog every user and every network library has access to, the entire NLS book collection and to the resources of several cooperating agencies.

Magazines in audio and braille formats are offered through the program. Readers may request free subscriptions to *U.S. News and World Report*, *National Geographic*, *Consumer Reports*, *Good Housekeeping*, *Sports Illustrated*, *Sports Illustrated for Kids*, *People*, *Rolling Stone*, *PC World*, *Smart Computing*, *Bon Appétit*, *the Women's NBA schedule*, and many other popular magazines. Current issues are mailed to readers at the same time the print issues appear.

**Volunteer Services**

Free correspondence courses leading to certification in braille transcribing (literary, music, and mathematics braille) and braille proofreading are offered. Auditions and informal training are given to volunteer tape narrators affiliated with local recording groups. A directory of volunteer groups that produce books for libraries and individuals is published biennially. Volunteers may call on NLS staff for their expertise in braille transcription and recording techniques.

**Research and Development**

The NLS research program is directed toward improving the quality of reading materials and related equipment, controlling program costs, and reducing the time required to deliver services to users. Significant research activities include development of a digital talking book player and the methods for producing and distributing digital audio books and periodicals.

**FY 2006 PRIORITIES**

- Maintain appropriate production levels of books (approximately 2,000 new titles) and equipment to ensure quality patron service and facilitate the timely procurement of program contracts and service agreements. Ongoing in FY 2007.

- Conduct a comprehensive study to measure the effectiveness of the program from the perspective of the user. Ongoing in FY 2007.

- Provide and expand Web-Braille services to patrons.
- Produce approximately 1,500 new titles as digital talking books (DTBs), and convert approximately 3,000 titles from analog to DTB format to attain a total of 10,000 converted titles by FY 2008. Ongoing in FY 2007.
- Design and produce prototypes of a National Information Standards Organization-compliant DTB machine.
- Design a DTB circulation system.
- Design a DTB Web book delivery and interface pilot.
- Design DTB containers and labels.

**FY 2007 PRIORITIES**

- Produce DTB players and cartridges.
- Manufacture DTB mailing containers and labels.
- Implement a DTB Web book and magazine delivery system.
- Prepare NLS digital collection for distribution, including development of digital rights management protocols.
- Implement a DTB circulation system.
- Implement a digital asset management system.

**FY 2007 BUDGET REQUEST**

The Library is requesting a total of **$55.703 million in FY 2007**, to support the Books for the Blind and Physically Handicapped program. This reflects a net increase of $1.798 million above FY 2006, and includes $2.194 million for mandatory pay and price level increases, offset by $396 thousand in non-recurring costs of the National Federation of the Blind NEWSLINE. Funding supports 128 FTEs, the same level as FY 2006.

While no additional program funds are required in FY 2007, NLS will continue to use the $1.5 million provided in FY 2005, and maintained in the base, to develop the DTB

player and to convert NLS' current analog collections to digital format. FY 2007 is the third year of a three-year program to convert 10,000 audio titles from analog to digital format.

## FY 2005 ACCOMPLISHMENTS

**Library of Congress Strategic Goal 13:**

***Ensure a high-quality, responsive, and free national reading program is available to the nation's blind and physically handicapped people.***

- Circulated more than 23 million copies of recorded and braille books and magazines to a readership of nearly 800 thousand.
- Offered more than 7,300 titles to nearly 4,200 users on the Internet-based Web-Braille delivery system. The system was visited an average of 29 thousand times each month.
- Produced 2,109 audiobook titles and 583 braille book titles to serve an expanded readership.
- Selected a contractor to design and develop the next-generation DTB player and the flash-memory cartridges that the machine will play. Prototypes are under review.
- Launched a national outreach campaign to explain the ongoing digital transition and inform the general public about the service. Initiatives included:
    - A newsletter, *Flash*, and complementary monthly, resulting in coverage of NLS in major media outlets.
    - A national multi-media communications plan and a national toll-free information line.
    - The$10^2$ Talking-Book Club to recognize the accomplishments of the more than 1,600 people, 100 years old or older, who are active users of NLS materials.
    - Two public events focusing attention on the service: the American debut of blind Italian pianist Enrico Lisi and the presentation of the first annual Network Library of the Year Award to the Braille Institute of America.

# Library of Congress
# Reimbursable Funds

## Analysis of Change
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| Obligational Authority, FY 2006 | 5 | $1,300 |
| Minus: Rescission | 0 | - 13 |
| Adjusted Obligation Authority, FY 2006 | 5 | $1,287 |
| Non-recurring Costs | 0 | 0 |
| Mandatory Pay and Related Costs | 0 | 0 |
| Price Level Changes | 0 | 0 |
| Program/Project/Activity Increases | 0 | 13 |
| Net Increase/Decrease | 0 | $ 13 |
| Total Obligational Authority, FY 2007 | 5 | $1,300 |

## Library of Congress
## Reimbursable Funds

### Summary By Object Class
(Dollars in Thousands)

| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $123 | $152 | $152 | 0 |
| 12 Personnel Benefits | 28 | 32 | 32 | 0 |
| 13 Benefits for Former Personnel | 0 | 0 | 0 | 0 |
| 21 Travel | 3 | 9 | 9 | 0 |
| 22 Transportation of Things | 0 | 0 | 0 | 0 |
| 23 Rent, Communications and Utilities | 6 | 0 | 0 | 0 |
| 24 Printing and Reproduction | 0 | 0 | 0 | 0 |
| 25 Other Contractual Services | 167 | 1,045 | 1,058 | + 13 |
| 26 Supplies and Materials | 8 | 5 | 5 | 0 |
| 31 Equipment | 5 | 44 | 44 | 0 |
| 41 Grants | 0 | 0 | 0 | 0 |
| 42 Insurance Claims and Indemnities | 0 | 0 | 0 | 0 |
| 43 Interest | 0 | 0 | 0 | 0 |
| 44 Refunds | 43 | 0 | 0 | 0 |
| **Total, Obligational Authority** | **$383** | **$1,287** | **$1,300** | **+ $ 13** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

**OVERVIEW**

Under authority of the Economy Act (31 U.S.C. 1535-1536), the Library provides reimbursable services to organizational units within the Library and to other Federal Government agencies when it is determined by both parties that the Library can provide the service in a more economical and cost-effective manner. In each instance, the Library and the customer enter into an interagency agreement which sets forth the scope and cost of the service. Funds are transferred from the customer agency and credited to the Library's accounts to pay for all of the direct and indirect costs. Any funds transferred to the Library in excess of the actual costs are returned to the customer-agency at the end of the performance period.

In FY 2007, the Library is requesting obligational authority of **$1.3 million** for its reimbursable program. The requested authority is for the Library's interagency agreements.

The Library's interagency reimbursable customers include:

- The **Congressional Budget Office and the Office of Compliance** – for financial management, administrative support, and mainframe computer processing services from the Library's management support organizations.

- The **Open World Leadership Center Trust Fund** – for financial management, legal assistance, event planning, administrative support, and mainframe computer processing services from the Library's management support organizations.

- The **Abraham Lincoln Bicentennial Commission** – for financial management, legal assistance, event planning, administrative support, and computer processing services from the Library's management support organizations.

- The **Department of Homeland Security** – for legal research, opinions, and advisory support from the Library's Law Library.

# Library of Congress
# Revolving Funds

## Analysis of Change
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| Obligational Authority, FY 2006 | 147 | $108,643 |
| Minus: Rescission | 0 | - 1,087 |
| Adjusted Obligation Authority, FY 2006 | 147 | $107,556 |
| Non-recurring Costs | - 6 | - 1,531 |
| Mandatory Pay and Related Costs | 0 | 421 |
| Price Level Changes | 0 | 347 |
| Program/Project/Activity Increases | 0 | 2,985 |
| Net Increase/Decrease | - 6 | $ 2,222 |
| Total Obligational Authority, FY 2007 | 141 | $109,778 |

# Library of Congress
# Revolving Funds

## Summary By Object Class

(Dollars in Thousands)

| Object Class | FY 2005 Actual Obligations | FY 2006 Enacted [1] | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $8,695 | $9,987 | $10,470 | + $ 483 |
| 12 Personnel Benefits | 2,067 | 2,477 | 2,601 | + 124 |
| 13 Benefits for Former Personnel | 0 | 0 | 0 | 0 |
| 21 Travel | 204 | 203 | 248 | + 45 |
| 22 Transportation of Things | 240 | 271 | 408 | + 137 |
| 23 Rent, Communications and Utilities | 598 | 789 | 868 | + 79 |
| 24 Printing and Reproduction | 478 | 828 | 853 | + 25 |
| 25 Other Contractual Services | 39,788 | 39,987 | 40,452 | + 465 |
| 26 Supplies and Materials | 887 | 1,298 | 1,160 | - 138 |
| 31 Equipment | 31,087 | 51,639 | 52,647 | + 1,008 |
| 41 Grants | 10 | 0 | 0 | 0 |
| 42 Insurance Claims and Indemnities | 0 | 0 | 0 | 0 |
| 43 Interest | 0 | 0 | 0 | 0 |
| 44 Refunds | 664 | 77 | 71 | - 6 |
| **Total, Obligational Authority** | **$84,718** | **$107,556** | **$109,778** | **+ $2,222** |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

## OVERVIEW

The Library of Congress administers several revolving fund activities under the authority of 2 U.S.C. 160 and 2 U.S.C. 182 a-c, as amended. These activities support the acquisition of library materials, preservation and duplication of the Library's audio-visual collections, special events and programs, classification editorial work, research and analysis, and retail sales. All of these activities further the work of the Library and its services to its customers and the general public.

In **FY 2007**, total obligational authority of **$109.778 million** is requested for the Library's revolving fund programs, a net increase of $2.222 million over FY 2006. This reflects an increase of $607 thousand in pay costs and $1.615 million in non-pay costs.

Program increases reflect adjustments in the activities of the Cooperative Acquisitions Program, Duplication Services, Gift Shop Operations, Special Events and Public Programs, FEDLINK, Federal Research Program (FRP), Clapp Publication Fund, and the Decimal Classification Development programs, offset by decreases in the Document Reproduction and Microfilm Services and Traveling Exhibits. Adjustments were mainly the result of increases for planned program expansion for new services offered participants, airline travel costs for acquisitions and the development/implementation of the Cooperative Acquisitions Program System, changes transportation for shipping materials to the United States, and program expansion to offer Afghanistani material to participants, and the Library's continued efforts to streamline revolving fund operations.

## OBLIGATIONAL AUTHORITY

Obligational authority is requested as follows:

### 2 U.S.C. 160

- The **Verner Clapp Publishing Fund** sells facsimiles of historic and rare materials in the Library's collections in the form of books, pamphlets, and related items. In FY 2007, the Library is requesting obligational authority of **$390 thousand** for the publishing program.

- The **Traveling Exhibition Fund** supports the loan and display of select, major exhibitions, prepared by the Library, to municipal and private museums and cultural institutions throughout the world. In FY 2007, the Library is requesting obligational authority of **$43 thousand** for these touring exhibition activities.

- The **Cafritz Foundation Scholarly Activities Fund** covers expenses related to the publication of the Library's exhibit catalogs, posters, and related materials. In FY 2007, the Library is requesting obligational authority of **$3 thousand** for publication activities.

- The **Elizabeth Hamer Kegan Fund** promotes the activities of the American Folklife Center through publication and/or distribution of folklife-related publications, recordings, crafts and art objects. In FY 2007, the Library is requesting obligational authority of **$4 thousand** for the Center's activities.

- The **DaCapo Fund** supports publications, concerts, lectures, and other special projects, using the Music Division's collections. In FY 2007, the Library is requesting obligational authority of **$21 thousand** for Music Division activities.

2 U.S.C. 182

- The **Cooperative Acquisitions Program** secures hard-to-acquire research materials on behalf of participating U.S. research libraries. These materials are obtained by the Library's six overseas offices, which purchase additional copies of items selected for the Library's own collections based on the individual subject and language profiles supplied by the participating institutions. Each program participant pays for the cost of the publications, shipping, binding, and a surcharge that recovers the Library's administrative costs of providing this service. Materials are acquired from 68 countries on behalf of more than 100 research institutions. Some 523,000 pieces were acquired through this program in FY 2005. In FY 2007, the Library is requesting obligational authority of **$4.625 million** for the Cooperative Acquisitions Program.

2 U.S.C. 182a, as amended by PL 107–68, SEC. 207

- The **Duplication Services Revolving Fund** provides preservation and duplication services for the Library's audio-visual collections, including duplication services for motion pictures, videotapes, sound recordings, and radio and television broadcasts. This fund also provides access to copies of these collections for on-site, public-viewing purposes and preservation services to other non-profit archival institutions, for the acquisition of historically and culturally important audio-visual materials for the Library's collections. In FY 2007, the Library is requesting obligational authority of **$822 thousand** for the activities of the Duplication Services Revolving Fund.

2 U.S.C. 182b, as amended by PL 107–68, SEC. 208

- The **Decimal Classification Development Program** finances editorial work performed by the Decimal Classification Division, which produces and maintains editions of the *Dewey Decimal Classification* (*DDC*), in printed and electronic formats, and other related Dewey products, including the Abridged Edition 15. In FY 2007, the Library is requesting obligational authority of **$366 thousand** for editorial activities.

- **Gift Shop Operations** supports retail sales activities of the Library. In FY 2007, the Library is requesting obligational authority of **$1.792 million** for retail sales.

- **Document Reproduction and Microfilm Services** provides preservation microfilming services for the Library's collections. It also provides photocopy, microfilm, photographic, and digital services to other libraries, research institutions, government agencies, and individuals in the US and abroad. In FY 2007, the Library is requesting obligational authority of **$3.574 million** for these activities.

- The **Special Events and Public Programs Revolving Fund (SEPP)** supports staff expenses and other costs associated with the coordination of Congressional, outside organization, and Library-sponsored events, such as the annual National Book Festival Gala and the award ceremony and dinner for the presentation of the Kluge Prize. In FY 2007, the Library is requesting obligational authority of **$2.498 million** for Library of Congress special events and programs.

2 U. S. C. 182c

- **Federal Library and Information Network (FEDLINK)** supports more than 1,200 federal offices, providing cost-effective training and a centralized procurement process for the acquisition of books, library support services, serials, and computer-based information retrieval services. The consolidated purchasing power permits the Library to negotiate economical contracts with more than 100 vendors. In FY 2007, the Library is requesting obligational authority of **$90.821 million** for the FEDLINK program.

- **Federal Research Program (FRP)** provides customized research reports, translations, and analytical studies for entities of the Federal Government and the District of Columbia on a cost-recovery basis. The products derived from these services make the Library's vast collections available to analysts and policy makers throughout the Federal and District of Columbia governments, maximizing the utility of the collections through the language and area expertise of the FRP staff. In FY 2007, the Library is requesting obligational authority of **$4.819 million** for FRP.

## ARCHITECT OF THE CAPITOL
## LIBRARY OF CONGRESS BUILDINGS AND GROUNDS

### OVERVIEW

The Architect of the Capitol (AOC) is responsible for the structural and mechanical care and maintenance of the Library of Congress buildings and grounds, which are critical components of the Library's infrastructure.

### FY 2007 BUDGET REQUEST

In coordination with the Library of Congress, the AOC is requesting a total FY 2007 budget of **$102.238 million**, of which $62.265 million supports projects specifically requested by the Library. Included is $54.2 million to construct a 166 thousand square foot logistics warehouse at Ft. Meade, replacing and consolidating current long-term and temporary facilities leased and maintained by the Library.

The significant increase over the FY 2006 budget request level is the result of deferring maintenance and upgrades to the Library's buildings on Capitol Hill and the delays in the Ft. Meade construction plan. Deferments and delays have created longer lists of projects. The cost increase is compounded by inflationary pressures and by the steadily growing risks in health, safety, and security of the Library's staff and collections. The cost of maintenance and upgrades will increase exponentially if the Library cannot stop, or at least slow down, the rate of deterioration of its buildings, and return to its construction plan and schedule.

### LIBRARY OF CONGRESS REQUESTED PROJECTS

**Construction – Ft. Meade Logistics Warehouse** **($54,200,000)**

The Library's Logistics Warehouse currently occupies 85 thousand square feet in a warehouse facility located in Landover, MD, leased through the General Services Administration. The Logistics Warehouse functions as a distribution center, provides off-site screening for all freight shipments to the Library, and more recently serves as the facility used by the Library in its Continuity of Operations Plan (COOP).

This facility was not designed to be a warehouse, but was adapted in an attempt to meet the Library's storage needs. The Library has struggled with this facility since 1975, and 30 years later the facility still does not provide the storage capacity nor meet the environmental standards of the Library and is in constant need of extensive repairs. Emergency repairs to the facility have cost the Library an average of $86 thousand over

the last two years. In FY 2005, three water leaks alone cost the Library $12 thousand and damaged collections, some that could not be restored. Upgrades to the heating ventilation and air-conditioning system, electrical systems, and other operating systems would cost approximately $8 million and other tenant improvements another $7 million. These investments would not eliminate the Library's safety and security concerns, nor would they benefit the Library since the building is privately owned.

The Library requires improved and additional storage space for its collections and for its equipment and supplies inventory. In search of solutions to the Library's warehouse managements needs, the Library procured an independent cost benefit analysis from Leo A. Daly. The results of that study indicated that a new Logistical Warehouse located at Ft. Meade is the best value to the Library when compared to other options. These options included:

- Renovation of the current facility — too costly with no return in investment to the Library and/or the Federal Government since the building is privately owned.

- Lease new facility on a different site — no appreciable savings as facility would have to be retrofitted to meet Library environmental, safety, and security requirements. Investments in upgrades and rent would only benefit the owner of the facility, not the government.

- New construction at Ft Meade — best option cited, as discussed below.

- New construction on a new site (private property) - Would require additional funding for land.

Consolidating all of the Library's existing storage space in a new government-owned warehouse at Ft. Meade, which would be built to meet operational, functional, and environmental requirements would be the most practical and cost beneficial for the Library. Not only would this facility provide the flexibility that is essential for the Library's storage and distribution needs but it would also put the Library's off-site COOP space in a secured location.

Once the logistics warehouse is built, the Library will save approximately $3 million annually in rent and utilities, and realize efficiencies and/or future savings in operational and production procedures, transportation services, and security equipment and monitoring.

While the up-front capital cost may seem high, a large portion, approximately $21.4 million, is due to administrative requirements imposed by the local community at Ft. Meade or by the AOC and include:

| | | |
|---|---|---|
| • | Building exterior brick and glazing required by Ft. Meade Standards | $ 2.0M |
| • | Site upgrades/landscaping to block line of sight from local community | $ 6.4M |
| • | Cost of AOC oversight and administration | $ 7.0M |
| • | AOC reserve for contingencies | $ 6.0M |
| | | $21.4M |

Since this is the first new structure built separately from the book modules, some of the site infrastructure upgrades will be built into this facility cost — costs that will not be borne by future projects as the site.

The new Logistical Warehouse at Ft. Meade would allow the Library to consolidate the current 85 thousand square feet into more efficient space at Ft. Meade (approximately 73 thousand square feet), **and** consolidate 44 thousand square feet of current storage space at other off-site locations, **and** 19 thousand square feet of storage on Capitol Hill, **and** still provide 30 thousand square feet in additional space for a total of 166 thousand square feet in storage space. The facility would include state-of-the-art distribution and inventory controls — also enhanced with a new automated inventory system — along with a high level of security for the Library's employees

**Culpeper Operations & Maintenance (Facility Support)** **($2,500,000)**

The AOC was appropriated $1.9 million in FY 2006 to support contract operations at the new National Audio-Visual Conservation Center in Culpeper, VA. An increase of $600K is required for full facility operations for the completed facility. FY 2006 appropriations satisfied phase one and standup facility operational costs only. Funding is included in the AOC's operating budget.

**Ft. Meade Operations & Maintenance (Facility Support)** **( $640,000)**

The AOC was appropriated $580K in FY 2006 to support contract facility operations for full operation of Book Module 1, and three months of operation for Book Module 2. The requested increase of $60K is required to support full facility operations for both Book Modules 1 and 2. Funding is included in the AOC's operating budget.

**Painting (Public Spaces)** **( $100,000)**

With four painters covering numerous projects as well as approximately four million square feet of space, the mean time between repainting is far beyond normal facility maintenance limitations. Highly visible public spaces are simply not painted and maintained in an adequate manner. This increase will enable the AOC to out source significant areas of painting and is responsive to the Congress' directive to increase outsourcing initiatives. An increase of $100K was requested in FY 2006, but only

partially funded ($60K). The requested increase of $40K is needed to satisfy the annual funding requirement for this activity. Funding is included in the AOC's operating budget.

**LOC Space Modifications (Rooms and Partitions)** **( $650,000)**

The Space Modifications budget provides funding for routine facility projects and office moves requested by the Library service units. This budget, together with the AOC budget for minor construction, represents a primary source of funding for routine office moves and space modifications. The FY 2007 request reflects the same level as in FY 2006. Funding is needed to implement a backlog of Library expanding workload and ergonomic furniture upgrades. Funding is included in the AOC's operating budget.

**Kitchen Equipment** **( $40,000)**

The AOC requested and was appropriated $40K in FY 2004 to support repair and replacement of kitchen equipment in the Library Buildings and Grounds. Continuation of these funds is required. The AOC is required to request these funds as part of their annual operating budget. Funding is included in the AOC's operating budget.

**Design – Thomas Jefferson Building Court Yard** **( $75,000)**

The Thomas Jefferson Building exterior courtyard and landscape are in need of new plantings, repair, and general landscape maintenance. Funding is needed to improve and enhance the safety, aesthetics, and cleanliness of the space for staff, visitors and guests attending outdoor events. Funding is included in the AOC's operating budget.

**Preservation Environmental Monitoring** **( $80,000)**

The Library has requested significant upgrades to temperature and humidity monitoring in all Library Buildings. A multi-year project has been developed to make the necessary improvements and expand the current system. Work is on going in the James Madison Building and work is planned for the Thomas Jefferson and John Adams Buildings. Specific work involves the procurement and installation of specialized temperature and humidity sensors in collections storage spaces with monitoring capabilities through both AOC and Library computer systems. This initiative also involves the upgrade of the Library monitoring system platform to allow monitoring of collections at Ft. Meade and Culpeper.

Without this new funding, ongoing work in the James Madison building will stop. The AOC and the Library will be unable to effectively manage and monitor the temperature and humidity in existing collections storage spaces, a critical component of the Library's

mission. The loss of monitoring capability will result in poor temperature and humidity control leading to premature deterioration of books and collections.

**Validation of Asbestos Conditions** **( $100,000)**

New funding of $100K is necessary to validate the condition of existing asbestos containing materials within the Thomas Jefferson building. A previous survey was completed several years ago and best practices indicate that condition validation will evaluate current conditions and provide critical information regarding changed conditions, which could present potential health hazards. It is critical to identify potential health hazards and to abate them prior to possible employee exposure. If funded, the Thomas Jefferson Building will be validated in FY 2007, the John Adams Building in FY 2008, and the James Madison Building in FY 2009.

Without validation of asbestos conditions, the Library will be unable to fulfill its obligation to properly inform staff, contractors, bidders and others of the presence, location, and quantity of asbestos containing material (ACM) in accordance with the requirements of 29 CFR 1910.1001(j) and 1926.1101(k).

Funding is included in the $5.7 million requested by the AOC for Study, Design, and Condition Assessment.

**AOC Minor Construction** **($ 990,000)**

The AOC minor construction budget provides a contingency for unforeseen capital improvements and repairs that are the responsibility of the Architect, as well as funding for facility projects and routine office moves requested by Library service units. This budget, together with the AOC budget for space modifications, represents a primary source of funding for routine office moves and space modifications.

**Construction – Deck A Thomas Jefferson Building** **($2,890,000)**

The new HVAC equipment designed to serve Decks A and B is significantly larger and heavier than the unit being replaced. Installation of the new unit requires modification of the existing structure (steel trusses) to support the new equipment in compliance with the latest structural codes and practices. Today, the design work is 99 percent complete and the AOC plans to request funding for construction in FY 2007. Based on the work plan and availability of funding, Library occupancy of Deck A will probably occur in FY 2008.

Problems: Existing floor contains asbestos and requires abatement; water damage caused flooring to buckle, worsening the situation and creating additional hazards; lead

paint needs to be abated; and aisles and passageways are obstructed and in disrepair, resulting in fire safety hazards violating OSHA Regulation 29 CFR 1910.22(b).

**AOC REQUESTED PROJECTS**

All other projects and related funding, included in the Library of Congress Buildings and Grounds FY 2007 budget request, are included by the AOC and are needed to address life and safety issues and deferred maintenance and upgrades. These projects are outlined and justified in the AOC's budget submission.

The following two tables highlight the AOC's Library Building and Grounds budget. The first table provides a detailed listing of projects for FY 2005 - 2007. Projects requested by the Library of Congress are noted in red. The second table is summary of the FY 2006 actual, FY 2007 requested, and FY 2008 - 2011 projected multi-year design and construction capital improvement projects for the Library. As shown, capital improvements costs will begin to decline in FY 2008.

## Architect of the Capitol
## Library Buildings and Grounds
## FY 2005 - 2007

### *OPERATING BUDGET*

| Program Groups | FY 2005 Enacted* | FY 2005 Obligation | FY 2006 Enacted* | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Payroll (PR) | $10,890,000 | $9,959,105 | $11,274,000 | **$12,031,000** | $757,000 |
| Facilities Maintenance (FM) | 5,133,000 | 5,672,281 | 7,717,000 | **8,817,000** | 1,100,000 |
| General Facilities (GF) | 812,000 | 755,768 | 400,000 | **400,000** | 0 |
| Grounds Maintenance (GM) | 65,000 | 81,268 | 65,000 | **65,000** | 0 |
| Jurisdiction Centralized Activities (JR) | 300,000 | 294,965 | 300,000 | **450,000** | 150,000 |
| Miscellaneous Improvements (MI) | 176,000 | 168,700 | 176,000 | **176,000** | 0 |
| **Total** [1] | $17,376,000 | $16,932,086 | $19,932,000 | **$21,939,000** | $2,007,000 |
| [1] **Includes the following Library requested funding:** | | | | | |
| *Culpeper O & M* | | | *($1,900,000)* | *($2,500,000)* | *($600,000)* |
| *Ft. Meade O & M* | | | *(580,000)* | *(640,000)* | *(60,000)* |
| *Painting (Public Spaces)* | | | *(60,000)* | *(100,000)* | *(40,000)* |
| *LOC Space Modifications* | | | *(650,000)* | *(650,000)* | *0* |
| *Kitchen Equipment* | | | *(40,000)* | *(40,000)* | *0* |
| *Design - Court Yard Renovation, TJB* | | | *(75,000)* | *(75,000)* | *0* |
| | | | *($3,305,000)* | *($4,005,000)* | *($700,000)* |

### *PROJECT BUDGET - ANNUAL*

| Activity | FY 2005 Enacted* | FY 2005 Obligation | FY 2006 Enacted* | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Copyright Office Move/Reconfiguration | | | $5,445,000 | **$0** | -$5,445,000 |
| Fire Safety Project Management | | | 0 | **250,000** | 250,000 |
| Repair Life Safety Deficiencies | | | 386,000 | **386,000** | 0 |
| Backflow Prevention Upgrades | | | 0 | **250,000** | 250,000 |
| Painting TJB Arches | | | 237,000 | **237,000** | 0 |
| Photo-Duplication Asbestos Abatement | | | 0 | **725,000** | 725,000 |
| Preservation Environmental Monitoring | | | 0 | **80,000** | 80,000 |
| Replace Partition Supports | | | 0 | **250,000** | 250,000 |
| Replace Sidewalks, JAB & TJB | | | 0 | **100,000** | 100,000 |
| Electrical Vault Repairs | | | 0 | **200,000** | 200,000 |
| **Total** | **$1,066,000** | **$3,791,372** | **$6,068,000** | **$2,478,000** | **-$3,590,000** |

### *PROJECT BUDGET - MULTI-YEAR*

| Project | FY 2005 Enacted* | FY 2005 Obligation | FY 2006 Enacted* | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Study, Design, and Condition Assessment [2] | | | $792,000 | **$5,790,000** | $4,998,000 |
| Minor Construction | | | 990,000 | **990,000** | 0 |
| Book Storage Modules 3 & 4 | | | 40,293,000 | **0** | -40,293,000 |
| High Voltage Switchgear Replacement, TJB | | | 0 | **1,420,000** | 1,420,000 |
| Sprinkler System Replacement, West Main Pavilion, TJB | | | 0 | **4,370,000** | 4,370,000 |
| Smoke Detector Upgrades, JMMB | | | 0 | **4,260,000** | 4,260,000 |
| Firefighter Telephones, TJB | | | 0 | **910,000** | 910,000 |
| Logistics Warehouse, Ft. Meade, LOC | | | 0 | **54,200,000** | 54,200,000 |
| Air Handling Unit Replacement, Decks A & B, JMMB | | | 0 | **2,890,000** | 2,890,000 |
| Elevator Modernization, TJB-1 & 2, JMMB D-1, D-2, D-3 & D-4, and ESC 1&2 | | | 0 | **2,560,000** | 2,560,000 |
| Egress Improvements, Phase II, JAB | | | 0 | **430,000** | 430,000 |
| **Total** [2] | **$21,334,000** | **$8,259,562** | **$42,075,000** | **$77,820,000** | **$35,745,000** |
| [2] **Includes the following Library requested funding:** | | | | | |
| *Validation of Asbestos Conditions* | | | *$100,000* | *$100,000* | *$0* |

### *TOTAL ANNUAL & MULTI-YEAR REQUEST*

| | FY 2005 Enacted* | FY 2005 Obligation | FY 2006 Enacted* | FY 2007 Request | FY 2006/2007 Difference |
|---|---|---|---|---|---|
| Total Operating Budget | $17,376,000 | $16,932,086 | $19,932,000 | **$21,939,000** | $2,007,000 |
| Total Project Budget - Annual | 1,066,000 | 3,791,372 | 6,068,000 | **2,478,000** | -3,590,000 |
| Total Annual Budget | 18,442,000 | 20,723,458 | 26,000,000 | **24,417,000** | -1,583,000 |
| Total Project Budget - Multi-Year | 21,334,000 | 8,259,562 | 42,075,000 | **77,820,000** | 35,745,000 |
| **Total Annual & Multi-Year Request** | **$39,776,000** | **$28,983,020** | **$68,075,000** | **$102,237,000** | **$34,162,000** |
| **Full Time Equivalent (FTE)** | **153** | | **187** | | |

* Reflects enacted level, less rescission.

**LIBRARY OF CONGRESS**
**REQUESTED MULTI-YEAR DESIGN AND CONSTRUCTION CAPITAL IMPROVEMENTS PROJECTS**
**FY 2006 - 2011**

| PROPOSED SCHEDULE and SPENDING PLAN | FY 2006 [1] | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 |
|---|---|---|---|---|---|---|
| Minor Construction | $990,000 | $990,000 | $990,000 | $990,000 | $990,000 | $990,000 |
| Design/Construction - Ft. Meade Copyright Deposit Facility | 792,000 | | 45,000,000 | | | |
| Construction - Copyright Re-Engineering Project | 5,445,000 | | | | | |
| Construction - Ft. Meade Logistics Warehouse | | $54,200,000 | | | | |
| Construction - Deck A - TJB | | 2,890,000 | | | | |
| Design/Construction - Court Yard TJB | | 75,000 | | $811,900 | | |
| Construction - Ft. Meade Module 3 & 4 | 40,293,000 | | | | | |
| Design/Construction - Deck Upgrade (Life Safety) - TJB | | | 1,000,000 | | $10,000,000 | |
| Construction - HVAC Secure Storage Facility (Room) Phase III | | | 2,600,000 | | | |
| Construction - Ft. Meade Module 5 | | | | 11,765,100 | | |
| Construction - Off-Site Storage Facility (Treasures) | | | | 2,125,000 | | |
| Design/Construction - Ft. Meade Module 6 | | | | 1,000,000 | | $11,783,500 |
| Design/Construction - Ft. Meade Module 7 | | | | | 1,000,000 | |
| Design Ft. Meade Module 8 | | | | | | 1,000,000 |
| Design - Madison Building Atrium Infill | | | | 2,000,000 | | 20,000,000 |
| Total, Multi-Year Design and Construction Capital Improvement Projects | $47,520,000 | $58,155,000 | $49,590,000 | $18,692,000 | $11,990,000 | $33,773,500 |

[1] Reflects the FY 2006 Enacted level, less the 1% rescission.

## Library of Congress
## Library of Congress, Salaries and Expenses
## FY 2005 - FY 2007 Resource Summary
(Dollars in Thousands)

| Appropriation/PPA | FY 2005 Enacted FTE | FY 2005 Enacted $ | FY 2005 Actual FTE | FY 2005 Actual $ | FY 2006 Operating Plan FTE | FY 2006 Operating Plan $ | FY 2007 Estimate FTE | FY 2007 Estimate $ | FY 2006/2007 Net Change FTE | FY 2006/2007 Net Change $ |
|---|---|---|---|---|---|---|---|---|---|---|
| **Library of Congress, S&E** | | | | | | | | | | |
| National Library: | | | | | | | | | | |
| National Library - Basic | 1,861.5 | $197,537 | 1,720 | $189,703 | 1,876 | $197,348 | 1,873 | $206,357 | - 3 | + $ 9,009 |
| Purchase of Library Materials | 0.0 | 12,381 | 0 | 12,156 | 0 | 13,832 | 0 | 16,509 | 0 | + 2,677 |
| Office of Strategic Initiatives | 350.0 | 75,945 | 302 | 80,406 | 355 | 82,439 | 351 | 83,679 | - 4 | + 1,240 |
| Cataloging Distribution Service | 40.0 | 4,498 | 30 | 4,498 | 40 | 6,633 | 40 | 6,000 | 0 | - 633 |
| Law Library | 101.0 | 13,222 | 89 | 13,200 | 101 | 13,551 | 101 | 14,026 | 0 | + 475 |
| Management Support Services: | | | | | | | | | | |
| Office of the Librarian | 179.0 | 21,338 | 156 | 21,124 | 181 | 22,376 | 181 | 24,682 | 0 | + 2,306 |
| Human Resources Services | 60.0 | 8,001 | 51 | 7,987 | 60 | 7,675 | 60 | 8,265 | 0 | + 590 |
| Integrated Support Services | 150.5 | 24,526 | 131 | 24,488 | 153 | 27,071 | 153 | 28,529 | 0 | + 1,458 |
| Security and Emergency Preparedness | 162.0 | 21,153 | 143 | 21,103 | 149 | 20,871 | 143 | 21,247 | - 6 | + 376 |
| **Total, LC, S&E, Budget** | **2,904.0** | **$378,601** | **2,622** | **$374,665** | **2,915** | **$391,796** | **2,902** | **$409,294** | **- 13** | **+ $17,498** |
| CDS and Law Library Offsetting Collections | | -- | | -- | | - 6,286 | | - 6,350 | | - 64 |
| **Total, LC, S&E, Appropriation** | **2,904.0** | **$378,601** | **2,622** | **$374,665** | **2,915** | **$385,510** | **2,902** | **$402,944** | **-13** | **+ $17,434** |
| ***Projects and Initiatives:*** | | | | | | | | | | |
| National Audio-Visual Conservation Center (NAVCC) - Culpeper, VA | [ 16] | [$15,624] | [ 3] | [$ 6,270] | [ 47] | [$15,046] | [ 41] | [$13,840] | [- 6] | [- $1,206] |
| Deacidification Program (DEZ) | [ 2] | [$ 5,462] | [ 2] | [$ 5,445] | [ 2] | [$ 4,888] | [ 2] | [$ 5,094] | [ 0] | [+ $ 206] |
| DOS Capital Security Cost-Sharing | [ --] | [$ 1,200] | [ --] | [$ 1,200] | [ --] | [$ 2,401] | [ --] | [$ 4,572] | [ --] | [+ $2,171] |
| Lincoln Bicentennial Exhibition | [ --] | [ ----] | [ --] | [ ----] | [ --] | [ ----] | [ --] | [$ 150] | [ --] | [+ $ 150] |
| Purchase of Library Materials | [ --] | [$12,381] | [ --] | [$12,156] | [ --] | [$13,832] | [ --] | [$16,509] | [ --] | [+ $2,677] |
| National Digital Information Infrastructure and Preservation Program (NDIIPP) | [ 25] | [ ----] | [ --] | [$ 4,896] | [ 25] | [ ----] | [ 25] | [ ----] | [ 0] | [ ----] |
| National Digital Library | [116] | [$20,692] | [105] | [$20,619] | [116] | [$21,283] | [116] | [$21,967] | [ 0] | [+ $ 684] |
| Alternate Computer Facility | [ 2] | [$ 2,753] | [ 2] | [$ 2,040] | [ 2] | [$ 2,759] | [ 2] | [$ 2,886] | [ 0] | [+ $ 127] |
| Momentum Financial System | [ --] | [$ 2,070] | [ --] | [$ 2,965] | [ --] | [$ 3,070] | [ --] | [$ 3,123] | [ --] | [+ $ 53] |
| Digital Collections and Educational Curricula Initiative (AAM) | [ --] | [$ 2,232] | [ --] | [$ 2,232] | [ --] | [$ 5,801] | [ --] | [$ 5,801] | [ --] | [ 0] |
| Cataloging Distribution Service | [ 40] | [$ 4,498] | [ 30] | [$ 4,498] | [ 40] | [$ 6,633] | [ 40] | [$ 6,000] | [ 0] | [- $ 633] |
| Global Legal Information Network (GLIN) | [ 8] | [$ 3,064] | [ 8] | [$ 3,231] | [ 8] | [$ 3,266] | [ 8] | [$ 3,355] | [ 0] | [+ $ 89] |
| Library Workforce Transformation Project | [ 38] | [$ 4,015] | [ 31] | [$ 3,986] | [ 38] | [$ 3,946] | [ 38] | [$ 4,882] | [ 0] | [+ $ 936] |

**Library of Congress**
**Library of Congress, Salaries and Expenses**
**National Library - Basic**
**FY 2005 - FY 2007 Resource Summary**
**(Dollars in Thousands)**

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Appropriation/PPA | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| **National Library - Basic:** | | | | | | | | | | |
| Assoc Librarian for Library Services and Adminstrative Services (ALLS) | 41.7 | $6,402 | 34 | $6,315 | 18 | $6,216 | 18 | $5,425 | 0 | - $ 791 |
| ALLS - American Folklife Center | 23.0 | 2,356 | 22 | 2,286 | 22 | 2,847 | 22 | 2,949 | 0 | + 102 |
| ALLS - Veterans History Project | 19.0 | 2,087 | 23 | 2,014 | 29 | 3,005 | 29 | 3,117 | 0 | + 112 |
| Acquisitions and Bibliographic Access | 807.0 | 76,768 | 760 | 76,084 | 767 | 76,531 | 767 | 82,642 | 0 | + 6,111 |
| Collections and Services (CS) | 684.4 | 57,349 | 643 | 57,450 | 730 | 60,480 | 730 | 62,865 | 0 | + 2,385 |
| CS - NAVCC - Culpeper | 0.0 | 0 | 0 | 0 | 1 | 3,866 | 1 | 2,582 | 0 | - 1,284 |
| CS - Fort Meade Storage Facility | 22.0 | 1,030 | 17 | 968 | 17 | 1,054 | 17 | 1,092 | 0 | + 38 |
| CS - Natl Film Preservation Board | 1.0 | 500 | 1 | 495 | 1 | 680 | 1 | 685 | 0 | + 5 |
| CS - Natl Recording Preservation Board | 1.0 | 220 | 0 | 190 | 1 | 250 | 1 | 250 | 0 | 0 |
| Partnership and Outreach Programs | 67.6 | 5,844 | 63 | 5,815 | 58 | 5,886 | 57 | 5,891 | - 1 | + 5 |
| Preservation of Library Materials (PRES) | 121.0 | 20,769 | 106 | 20,618 | 124 | 18,794 | 124 | 19,359 | 0 | + 565 |
| PRES - Audio-Visual & NAVCC-Culpeper | 17.5 | 17,482 | 6 | 10,829 | 45 | 9,349 | 43 | 10,790 | - 2 | + 1,441 |
| Technology Policy Office | 56.3 | 6,730 | 45 | 6,639 | 63 | 8,390 | 63 | 8,710 | 0 | + 320 |
| **Total, National Library - Basic** | **1,861.5** | **$197,537** | **1,720** | **$189,703** | **1,876** | **$197,348** | **1,873** | **$206,357** | **- 3** | **+ $9,009** |

**Library of Congress**
**Library of Congress, Salaries and Expenses**
**Office of Strategic Initiatives**
**FY 2005 - FY 2007 Resource Summary**
**(Dollars in Thousands)**

| Appropriation/PPA | FY 2005 Enacted FTE | FY 2005 Enacted $ | FY 2005 Actual FTE | FY 2005 Actual $ | FY 2006 Operating Plan FTE | FY 2006 Operating Plan $ | FY 2007 Estimate FTE | FY 2007 Estimate $ | FY 2006/2007 Net Change FTE | FY 2006/2007 Net Change $ |
|---|---|---|---|---|---|---|---|---|---|---|
| **Office of Strategic Initiatives:** | | | | | | | | | | |
| OSI - Basic (NDL) | 116 | $20,692 | 105 | $20,619 | 116 | $21,283 | 116 | $21,967 | 0 | + $ 684 |
| Information Technology Services (ITS) | 209 | 52,876 | 197 | 52,514 | 214 | 55,355 | 210 | 55,911 | - 4 | + 556 |
| Digital Collections and Educational Curricula | 0 | 2,377 | 0 | 2,377 | 0 | 5,801 | 0 | 5,801 | 0 | 0 |
| National Digital Information Infrastructure and Preservation Program (NDIIPP) | 25 | 0 | 0 | 4,896 | 25 | 0 | 25 | 0 | 0 | 0 |
| **Total, Office of Strategic Initiatives** | **350** | **$75,945** | **302** | **$80,406** | **355** | **$82,439** | **351** | **$83,679** | **- 4** | **+ $1,240** |

**Library of Congress**
**Library of Congress, Salaries and Expenses**
**National Audio-Visual Conservation Center**
**Executive Summary**

**Description of Program:** The National Audio-Visual Conservation Center (NAVCC) in Culpeper, Virginia will be a world-class, state-of-the-art conservation center that will consolidate and integrate the Motion Picture, Broadcasting and Recorded Sound (MBRS) Division administrative, acquisitions, processing, storage, preservation, laboratory transfer and reformatting activities in one central facility, while also greatly increasing preservation capabilities and efficiencies.

**FY 2006 Planned Accomplishments:** Continue developing the technical and facilities infrastructure for the NAVCC. Begin to move the non-nitrate collections.

**Explanation of Changes:** Total requested FY 2007 funding of $13.9 million and 41 FTEs reflects a net decrease of $-1.206 million and -6 FTEs from FY 2006. Reductions are due to one-time non-recurring costs, expiring NTE FTEs, and reduced program costs.

The following tables show total and office no-year and annual base funding, by object class.

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Activity/Office | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| Library Services | 10.5 | $12,639 | 2 | $6,059 | 41 | 12,239 | 39 | 12,368 | - 2 | + $ 129 |
| ITS | 4.0 | 2,836 | 1 | 167 | 4 | 2,104 | 0 | 750 | - 4 | - 1,354 |
| ISS | 1.5 | 149 | 0 | 44 | 2 | 703 | 2 | 722 | 0 | + 19 |
| **Total, NAVCC** | **16.0** | **$15,624** | **3** | **$6,270** | **47** | **$15,046** | **41** | **$13,840** | **- 6** | **- $1,206** |

## Library of Congress - Total Culpeper Implementation Costs (LS, ITS, ISS)

| BOC | Description | FY 06 Oper Plan FTE | FY 06 Oper Plan $ | FY 07 Estimate FTE | FY 07 Estimate $ | Difference FTE | Difference $ |
|---|---|---|---|---|---|---|---|
| | **No-Year Funding** | | | | | | |
| 1110 | Salaries and Compensation | 44 | $2,012,074 | 38 | $2,422,293 | -6 | $410,219 |
| | **11 Personnel Compensation** | **44** | **$2,012,074** | **38** | **$2,422,293** | **-6** | **$410,219** |
| 1210 | Personnel Benefits | | 560,489 | | 686,292 | | 125,803 |
| 1291 | Subsistence Temp Quarters | | 88,900 | | 0 | | -88,900 |
| 1292 | Real Estate/Leases | | 1,524,700 | | 0 | | -1,524,700 |
| 1293 | Miscellaneous Moving Expenses | | 614,600 | | 0 | | -614,600 |
| 1295 | Transit Subsidy | | 5,175 | | 1,415 | | -3,760 |
| | **12 Personnel Benefits** | | **$2,793,864** | | **$687,707** | | **-$2,106,157** |
| | **Subtotal, Pay** | **44** | **$4,805,938** | **38** | **$3,110,000** | **-6** | **-$1,695,938** |
| 2101 | Regular Travel | | 20,800 | | 0 | | -20,800 |
| | **21 Travel** | | **$20,800** | | **$0** | | **-$20,800** |
| 2202 | Transportation of Household Effects | | 351,000 | | 0 | | -351,000 |
| | **22 Transportation of Things** | | **$351,000** | | **$0** | | **-$351,000** |
| 2330 | Rental of Equipment | | 60,000 | | 50,000 | | -10,000 |
| | **23 Rent, Communications, Utilities** | | **$60,000** | | **$50,000** | | **-$10,000** |
| 2501 | Other Services, Miscellaneous | | 2,322,113 | | 643,588 | | -1,678,525 |
| 2519 | Graphic and Design Services | | 35,000 | | 0 | | -35,000 |
| 2541 | Health Services | | 10,000 | | 0 | | -10,000 |
| 2560 | Maintenance and Repair to Equipment | | 901,000 | | 1,490,000 | | 589,000 |
| 2569 | Custodial Services | | 482,625 | | 493,412 | | 10,787 |
| | **25 Other Contractual Services** | | **$3,750,738** | | **$2,627,000** | | **-$1,123,738** |
| 3114 | Computer Software | | 0 | | 300,000 | | 300,000 |
| 3146 | Automation Equipment | | 0 | | 3,750,000 | | 3,750,000 |
| 3161 | Equipment - Audio-Visual | | 1,000,000 | | 0 | | -1,000,000 |
| 3170 | Broadcast & Film Preservation Equipment | | 0 | | 1,200,000 | | 1,200,000 |
| 3188 | Telecommunications Cabling | | 978,744 | | 0 | | -978,744 |
| | **31 Equipment** | | **$1,978,744** | | **$5,250,000** | | **$3,271,256** |
| | **Subtotal, Non-Pay** | | **$6,161,282** | | **$7,927,000** | | **$1,765,718** |
| | **Total No-Year Base** | **44** | **$10,967,220** | **38** | **$11,037,000** | **-6** | **$69,780** |
| | **Annual (Base) Funding** | | | | | | |
| 1110 | Salaries and Compensation | 3 | $242,376 | 3 | $252,292 | 0 | $9,916 |
| 1150 | Overtime | | 531 | | 553 | | 22 |
| | **11 Personnel Compensation** | **3** | **$242,907** | **3** | **$252,845** | **0** | **$9,938** |
| 1210 | Personnel Benefits | | 66,699 | | 69,102 | | 2,403 |
| | **12 Personnel Benefits** | | **$66,699** | | **$69,102** | | **$2,403** |
| | **Subtotal, Pay** | **3.0** | **$309,606** | **3** | **$321,947** | **0** | **$12,341** |
| 2501 | Other Services, Miscellaneous | | 0 | | 75,000 | | 75,000 |
| 2515 | Services of Other Agencies | | 0 | | 35,000 | | 35,000 |
| 2550 | Non-Pers Tech/Prof Serv Multi | | 894,782 | | 0 | | -894,782 |
| | **25 Other Contractual Services** | | **$894,782** | | **$110,000** | | **-$784,782** |
| 3170 | Broadcast & Film Preservation Equipment | | 2,874,074 | | 2,371,000 | | -503,074 |
| | **31 Equipment** | | **$2,874,074** | | **$2,371,000** | | **-$503,074** |
| | **Subtotal, Non-Pay** | | **$3,768,856** | | **$2,481,000** | | **-$1,287,856** |
| | **Total Annual Base** | **3** | **$4,078,462** | **3** | **$2,802,947** | **0** | **-$1,275,515** |
| | **NAVCC Total Funding (No-Year & Annual)** | **47** | **$15,045,682** | **41** | **$13,839,947** | **-6** | **-$1,205,735** |

**Library of Congress - Culpeper Implementation Costs - Library Services**

| BOC | Description | FY 06 Oper Plan FTE | FY 06 Oper Plan $ | FY 07 Estimate FTE | FY 07 Estimate $ | Difference FTE | Difference $ |
|---|---|---|---|---|---|---|---|
| | **No-Year Funding** | | | | | | |
| 1110 | Salaries and Compensation | 40 | $1,719,200 | 38 | $2,422,293 | -2 | $703,093 |
| | **11 Personnel Compensation** | **40** | **$1,719,200** | **38** | **$2,422,293** | **-2** | **$703,093** |
| 1210 | Personnel Benefits | | 479,047 | | 686,292 | | 207,245 |
| 1291 | Subsistence Temp Quarters | | 88,900 | | 0 | | -88,900 |
| 1292 | Real Estate/Leases | | 1,524,700 | | 0 | | -1,524,700 |
| 1293 | Miscellaneous Moving Expenses | | 614,600 | | 0 | | -614,600 |
| 1295 | Transit Subsidy | | 3,935 | | 1,415 | | -2,520 |
| | **12 Personnel Benefits** | | **$2,711,182** | | **$687,707** | | **-$2,023,475** |
| | **Subtotal, Pay** | **40** | **$4,430,382** | **38** | **$3,110,000** | **-2** | **-$1,320,382** |
| 2101 | Regular Travel | | 20,800 | | 0 | | -20,800 |
| | **21 Travel** | | **$20,800** | | **$0** | | **-$20,800** |
| 2202 | Transportation of Household Effects | | 351,000 | | 0 | | -351,000 |
| | **22 Transportation of Things** | | **$351,000** | | **$0** | | **-$351,000** |
| 2330 | Rental of Equipment | | 60,000 | | 50,000 | | -10,000 |
| | **23 Rent, Communications, Utilities** | | **$60,000** | | **$50,000** | | **-$10,000** |
| 2501 | Other Services, Miscellaneous | | 2,314,688 | | 636,000 | | -1,678,688 |
| 2519 | Graphic and Design Services | | 35,000 | | 0 | | -35,000 |
| 2541 | Health Services | | 10,000 | | 0 | | -10,000 |
| 2560 | Maintenance and Repair to Equipment | | 151,000 | | 740,000 | | 589,000 |
| 2569 | Custodial Services | | 0 | | 0 | | 0 |
| | **25 Other Contractual Services** | | **$2,510,688** | | **$1,376,000** | | **-$1,134,688** |
| 3114 | Computer Software | | 0 | | 300,000 | | 300,000 |
| 3146 | Automation Equipment | | 0 | | 3,750,000 | | 3,750,000 |
| 3161 | Equipment - Audio-Visual | | 1,000,000 | | 0 | | -1,000,000 |
| 3170 | Broadcast & Film Preservation Equipment | | 0 | | 1,200,000 | | 1,200,000 |
| 3188 | Telecommunications Cabling | | 0 | | 0 | | 0 |
| | **31 Equipment** | | **$1,000,000** | | **$5,250,000** | | **$4,250,000** |
| | **Subtotal, Non-Pay** | | **$3,942,488** | | **$6,676,000** | | **$2,733,512** |
| | **Total No-Year Base** | **40** | **$8,372,870** | **38** | **$9,786,000** | **- 2** | **$1,413,130** |
| | **Annual (Base) Funding** | | | | | | |
| 1110 | Salaries and Compensation | 1 | $75,521 | 1 | $78,611 | 0 | $3,090 |
| 1150 | Overtime | | 0 | | 0 | | 0 |
| | **11 Personnel Compensation** | **1** | **$75,521** | **1** | **$78,611** | **0** | **$3,090** |
| 1210 | Personnel Benefits | | 21,655 | | 22,402 | | 747 |
| | **12 Personnel Benefits** | | **$21,655** | | **$22,402** | | **$747** |
| | **Subtotal, Pay** | **1** | **$97,176** | **1** | **$101,013** | **0** | **$3,837** |
| 2501 | Other Services, Miscellaneous | | 0 | | 75,000 | | 75,000 |
| 2515 | Services of Other Agencies | | 0 | | 35,000 | | 35,000 |
| 2550 | Non-Pers Tech/Prof Serv Multi | | 894,782 | | 0 | | -894,782 |
| | **25 Other Contractual Services** | | **$894,782** | | **$110,000** | | **-$784,782** |
| 3170 | Broadcast & Film Preservation Equipment | | 2,874,074 | | 2,371,000 | | -503,074 |
| | **31 Equipment** | | **$2,874,074** | | **$2,371,000** | | **-$503,074** |
| | **Subtotal, Non-Pay** | | **$3,768,856** | | **$2,481,000** | | **-$1,287,856** |
| | **Total Annual Base** | **1** | **$3,866,032** | **1** | **$2,582,013** | **0** | **-$1,284,019** |
| | **NAVCC Total Funding (No-Year & Annual)** | **41** | **$12,238,902** | **39** | **$12,368,013** | **-2** | **$129,111** |

**Library of Congress - Culpeper Implementation Costs - Information Technology Services**

| BOC | Description | FY 06 Oper Plan FTE | FY 06 Oper Plan $ | FY 07 Estimate FTE | FY 07 Estimate $ | Difference FTE | Difference $ |
|---|---|---|---|---|---|---|---|
| | **No-Year Funding** | | | | | | |
| 1110 | Salaries and Compensation | 4 | $292,874 | 0 | $0 | -4 | -$292,874 |
| | **11 Personnel Compensation** | **4** | **$292,874** | **0** | **$0** | **-4** | **-$292,874** |
| 1210 | Personnel Benefits | | 81,442 | | 0 | | -81,442 |
| 1291 | Subsistence Temp Quarters | | 0 | | 0 | | 0 |
| 1292 | Real Estate/Leases | | 0 | | 0 | | 0 |
| 1293 | Miscellaneous Moving Expenses | | 0 | | 0 | | 0 |
| 1295 | Transit Subsidy | | 1,240 | | 0 | | -1,240 |
| | **12 Personnel Benefits** | | **$82,682** | | **$0** | | **-$82,682** |
| | **Subtotal, Pay** | **4** | **$375,556** | **0** | **$0** | **-4** | **-$375,556** |
| 2101 | Regular Travel | | 0 | | 0 | | 0 |
| | **21 Travel** | | **$0** | | **$0** | | **$0** |
| 2202 | Transportation of Household Effects | | 0 | | 0 | | 0 |
| | **22 Transportation of Things** | | **$0** | | **$0** | | **$0** |
| 2330 | Rental of Equipment | | 0 | | 0 | | 0 |
| | **23 Rent, Communications, Utilities** | | **$0** | | **$0** | | **$0** |
| 2501 | Other Services, Miscellaneous | | 0 | | 0 | | 0 |
| 2519 | Graphic and Design Services | | 0 | | 0 | | 0 |
| 2541 | Health Services | | 0 | | 0 | | 0 |
| 2560 | Maintenance and Repair to Equipment | | 750,000 | | 750,000 | | 0 |
| 2569 | Custodial Services | | 0 | | 0 | | 0 |
| | **25 Other Contractual Services** | | **$750,000** | | **$750,000** | | **$0** |
| 3114 | Computer Software | | 0 | | 0 | | 0 |
| 3146 | Automation Equipment | | 0 | | 0 | | 0 |
| 3161 | Equipment - Audio-Visual | | 0 | | 0 | | 0 |
| 3170 | Broadcast & Film Preservation Equipment | | 0 | | 0 | | 0 |
| 3188 | Telecommunications Cabling | | 978,744 | | 0 | | -978,744 |
| | **31 Equipment** | | **$978,744** | | **$0** | | **-$978,744** |
| | **Subtotal, Non-Pay** | | **$1,728,744** | | **$750,000** | | **-$978,744** |
| | **Total No-Year Base** | **4** | **$2,104,300** | **0** | **$750,000** | **- 4** | **- $1,354,300** |
| | **Annual (Base) Funding** | | | | | | |
| 1110 | Salaries and Compensation | 0 | $0 | 0 | $0 | 0 | $0 |
| 1150 | Overtime | | 0 | | 0 | | 0 |
| | **11 Personnel Compensation** | **0** | **$0** | **0** | **$0** | **0** | **$0** |
| 1210 | Personnel Benefits | | 0 | | 0 | | 0 |
| | **12 Personnel Benefits** | | **$0** | | **$0** | | **$0** |
| | **Subtotal, Pay** | **0** | **$0** | **0** | **$0** | **0** | **$0** |
| 2501 | Other Services, Miscellaneous | | 0 | | 0 | | 0 |
| 2550 | Non-Pers Tech/Prof Serv Multi | | 0 | | 0 | | 0 |
| | **25 Other Contractual Services** | | **$0** | | **$0** | | **$0** |
| 3170 | Broadcast & Film Preservation Equipment | | 0 | | 0 | | 0 |
| | **31 Equipment** | | **$0** | | **$0** | | **$0** |
| | **Subtotal, Non-Pay** | | **$0** | | **$0** | | **$0** |
| | **Total Annual Base** | **0** | **$0** | **0** | **$0** | **0** | **$0** |
| | **NAVCC Total Funding (No-Year & Annual)** | **4** | **$2,104,300** | **0** | **$750,000** | **-4** | **-$1,354,300** |

**Library of Congress - Culpeper Implementation Costs - Integrated Support Services**

| BOC | Description | FY 06 Oper Plan FTE | FY 06 Oper Plan $ | FY 07 Estimate FTE | FY 07 Estimate $ | Difference FTE | Difference $ |
|---|---|---|---|---|---|---|---|
| | **No-Year Funding** | | | | | | |
| 1110 | Salaries and Compensation | 0 | $0 | 0 | $0 | 0 | $0 |
| | **11 Personnel Compensation** | **0** | **$0** | **0** | **$0** | **0** | **$0** |
| 1210 | Personnel Benefits | | 0 | | 0 | | 0 |
| 1291 | Subsistence Temp Quarters | | 0 | | 0 | | 0 |
| 1292 | Real Estate/Leases | | 0 | | 0 | | 0 |
| 1293 | Miscellaneous Moving Expenses | | 0 | | 0 | | 0 |
| 1295 | Transit Subsidy | | 0 | | 0 | | 0 |
| | **12 Personnel Benefits** | | **$0** | | **$0** | | **$0** |
| | **Subtotal, Pay** | **0** | **$0** | **0** | **$0** | **0** | **$0** |
| 2101 | Regular Travel | | 0 | | 0 | | 0 |
| | **21 Travel** | | **$0** | | **$0** | | **$0** |
| 2202 | Transportation of Household Effects | | 0 | | 0 | | 0 |
| | **22 Transportation of Things** | | **$0** | | **$0** | | **$0** |
| 2330 | Rental of Equipment | | 0 | | 0 | | 0 |
| | **23 Rent, Communications, Utilities** | | **$0** | | **$0** | | **$0** |
| 2501 | Other Services, Miscellaneous | | 7,425 | | 7,588 | | 163 |
| 2519 | Graphic and Design Services | | 0 | | 0 | | 0 |
| 2541 | Health Services | | 0 | | 0 | | 0 |
| 2560 | Maintenance and Repair to Equipment | | 0 | | 0 | | 0 |
| 2569 | Custodial Services | | 482,625 | | 493,412 | | 10,787 |
| | **25 Other Contractual Services** | | **$490,050** | | **$501,000** | | **$10,950** |
| 3114 | Computer Software | | 0 | | 0 | | 0 |
| 3146 | Automation Equipment | | 0 | | 0 | | 0 |
| 3161 | Equipment - Audio-Visual | | 0 | | 0 | | 0 |
| 3170 | Broadcast & Film Preservation Equipment | | 0 | | 0 | | 0 |
| 3188 | Telecommunications Cabling | | 0 | | 0 | | 0 |
| | **31 Equipment** | | **$0** | | **$0** | | **$0** |
| | **Subtotal, Non-Pay** | | **$490,050** | | **$501,000** | | **$10,950** |
| | **Total No-Year Base** | **0** | **$490,050** | **0** | **$501,000** | **0** | **$10,950** |
| | **Annual (Base) Funding** | | | | | | |
| 1110 | Salaries and Compensation | 2 | $166,855 | 2 | $173,681 | 0 | $6,826 |
| 1150 | Overtime | | 531 | | 553 | | 22 |
| | **11 Personnel Compensation** | **2** | **$167,386** | **2** | **$174,234** | **0** | **$6,848** |
| 1210 | Personnel Benefits | | 45,044 | | 46,700 | | 1,656 |
| 1295 | Transit Subsidy | | 0 | | 0 | | 0 |
| | **12 Personnel Benefits** | | **$45,044** | | **$46,700** | | **$1,656** |
| | **Subtotal, Pay** | **2** | **$212,430** | **2** | **$220,934** | **0** | **$8,504** |
| 2501 | Other Services, Miscellaneous | | 0 | | 0 | | 0 |
| 2550 | Non-Pers Tech/Prof Serv Multi | | 0 | | 0 | | 0 |
| | **25 Other Contractual Services** | | **$0** | | **$0** | | **$0** |
| 3170 | Broadcast & Film Preservation Equipment | | 0 | | 0 | | 0 |
| | **31 Equipment** | | **$0** | | **$0** | | **$0** |
| | **Subtotal, Non-Pay** | | **$0** | | **$0** | | **$0** |
| | **Total Annual Base** | **2** | **$212,430** | **2** | **$220,934** | **0** | **$8,504** |
| | **NAVCC Total Funding (No-Year & Annual)** | **2** | **$702,480** | **2** | **$721,934** | **0** | **$19,454** |

**Library of Congress**
**Library of Congress, Salaries and Expenses**
**Deacidification Program**
**Executive Summary**

**Description of Program:** The Mass Deacidification Program greatly increases the life of paper-based materials by combating the serious problem of acidity in the Library of Congress collections. Since 1995, the Library has extended the life of 1.4 million books and 2.9 million manuscript pages using a liquid-based mass deacidification technology. The Mass Deacidification Program also provides leadership in the development and evaluation of mass deacidification processes and other emerging preservation technologies and their application to valuable book collections and other paper-based items.

**FY 2006 Planned Accomplishments:** Deacidification treatment of a minimum of one million manuscript pages and 250 thousand books.

**Explanation of Changes:** The budget reflects only mandatory and price level increases.

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Activity | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| Deacidification (LS) | 2 | $5,462 | 2 | $5,445 | 2 | $4,888 | 2 | $5,094 | 0 | + $206 |

**Library of Congress**
**Library of Congress, Salaries and Expenses**
**DOS Capital Security Cost-Sharing Program**
**Executive Summary**

**Description of Program:** The Capital Security Cost-Sharing Program was established in the Department of State (DOS) under the authority of the Secure Embassy Construction and Counterterrorism Act of 1999 as amended by the FY 2005 Consolidated Appropriations Act. The program is designed to have all U.S. Government agencies with overseas presence pay a portion of the DOS new building program, based on number of employees overseas (vs. actual space required or services provided in each embassy). The building program proposes to build approximately 150 new embassy compounds over a 14-year period for a total of approximately $17.5 billion. Each agency, including the Library of Congress, is required to request funding in its yearly budget submission to support this program.

**FY 2006 Planned Accomplishments:** The Library's only role in this project is to pay its assessed fee.

**Explanation of Changes:** The program began in FY 2005 and requires increasing contributions each year which will top out at a total annual cost of $1.4 billion to all agencies for FY 2009 - 2018. The Library's yearly assessment was $1.2 million in FY 2005 and $2.4 million in FY 2006. The proposed bill for FY 2007 is $4.572 million, an increase of $2.171 million.

While the Library has maintained the FY 2006 administrative provision limiting DOS assessment to the equal or less than the unreimbursed value of the services provided to the Library on State Department diplomatic facilities, the Library feels it must still request full funding of $4.572 million to protect itself, until the assessment methodology is fully resolved – probably in FY 2006. The Library will alert the Committees if DOS agrees to any downward adjustments of their assessment.

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Activity | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| DOS - Cost-Share (LS) | 0 | $1,200 | 0 | $1,200 | 0 | $2,401 | 0 | $4,572 | 0 | + $2,171 |

**Library of Congress**
**Library of Congress, Salaries and Expenses**
**Lincoln Bicentennial Exhibition**
**Executive Summary**

**Description of Program:** The Library of Congress Abraham Lincoln exhibition will be a centerpiece of the nationwide celebration to mark the bicentennial of Lincoln's birth. The Lincoln Bicentennial Exhibition will capitalize on the strengths of the Library's unparalleled Lincoln materials, and focus on Lincoln's rise to national prominence and the thinking and writing that underlie his career. The exhibition will feature bedrock documents in U.S. history including: Lincoln's first inaugural address, the Emancipation Proclamation, the Gettysburg Address, and his second inaugural address.

**FY 2006 Planned Accomplishments:** Begin developing the exhibition.

**Explanation of Changes:** A total of $1.442 million will be needed for this project, of which $150 thousand is requested in FY 2007. The balance of $1.292 million will be requested in FY 2008. Multi-year (3-year) funding authority is requested for the FY 2007 funding. Funding will be used for contract support ($135 thousand) to help design the exhibition, and for travel ($15 thousand) to meet with other venues that will host the Library's exhibition and/or for visits to other institutions that will be lending materials to the Library's exhibition.

| Activity | FY 2005 Enacted | | FY 2005 Actual | | FY 2006 Operating Plan | | FY 2007 Estimate | | FY 2006/2007 Net Change | |
|---|---|---|---|---|---|---|---|---|---|---|
| | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| Lincoln Bicentennial Exhibit (LS) | 0 | $0 | 0 | $0 | 0 | $0 | 0 | $150 | 0 | + $150 |

**Library of Congress**
**Library of Congress, Salaries and Expenses**
**Purchase of Library Materials**
**Executive Summary**

**Description of Program:** The Purchase of Library Materials program provides for the acquisition of necessary research materials for the Library of Congress collections. The program is administered by the Office of the Associate Librarian for Library Services in conjunction with the Law Library. The Library purchases materials that are not available through copyright deposit, exchange, gift or federal transfer. Most of these materials are foreign publications that the Library acquires with the assistance of the overseas offices and through arrangements with book dealers, agents, or publishers. These techniques ensure that the Library will acquire current foreign publications of research value for the Congress and the scholarly community.

**FY 2006 Planned Accomplishments:** Acquire books, serials, maps and other material documenting the American experience, published during the last five years, including electronic subscriptions and acquisitions. Acquire research quality materials published in languages other than English or from other countries. This material complements and extends materials published in the United States, including electronic subscriptions and acquisitions.

**Explanation of Changes:** The FY 2007 budget reflects a total increase of $2.677 million, $677 thousand for price level increases and $2 million in program changes. The requested program increase is consistent with Library's FY 2005-2006 budget requests for a multi-year, $4.2 million base increase to the GENPAC budget. The Library is requesting the next incremental adjustment of $2 million, which will bring the total base adjustment up to $3.3 million. Funding is needed to help keep pace with the greatly increased cost of serial and electronic materials that risks seriously eroding the foundation of the many services provided by the Library to the Congress and the nation. The remaining balance of $906 thousand will be requested in FY 2008.

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Activity | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| Purchase of Library Materials | 0 | $12,381 | 0 | $12,156 | 0 | $13,832 | 0 | $16,509 | 0 | + $2,677 |

**Library of Congress**
**Library of Congress, Salaries & Expenses**
**National Digital Information Infrastructure and Preservation Program**
**Executive Summary**

**Description of Program:** In FY 2001, the Congress directed the Library of Congress to lead and coordinate a national effort between federal and non-federal entities for the collection, storage and preservation of digital content, seeking national solutions for the continuing collection, selection and organization of historically significant cultural materials despite evolving formats, ensuring the long-term storage, preservation and authenticity of those collections, and working toward persistent, rights-protected access for the public to the digital heritage of the American people.

**FY 2006 Planned Accomplishments:** Continue to move forward with collaborative partnership building and other activities designed to address technical infrastructure and intellectual property policy issues associated with a national preservation network by:

- Maintaining and expanding the Digital Formats Web Site (best editions in the digital age). The site is intended to support digital formats planning internally and externally, providing an inventory of information about evolving digital content formats, including the identification and description of formats that are promising for long-term sustainability.
- Maintaining and expanding the NDIIPP Web site for the public and the Library's NDIIPP partners.
- Continuing to establish broader institutional support for and participation in capturing at-risk digital content under the NDIIPP program, including best practices for content identification, selection, and archiving within a reliable technical environment.
- Defining and beginning a general-purpose repository system implementation to enable definition, creation, management, and preservation of repositories instances implemented as either a distributed or federated system.

**Explanation of Changes:**

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Activity | FTE | $ [1] | FTE | $ | FTE | $ [1] | FTE | $ [1] | FTE | $ |
| NDIIPP (OSI) | 25 | $0 | 0 | $4,896 | 25 | $0 | 25 | $0 | 0 | $0 |

[1] Source of funding is FY 2001 appropriation; no new funds provided in FY 2005 - 2007. Total funds available at the beginning of FY 2006 were $70.495 million.

**Library of Congress**
**Library of Congress, Salaries & Expenses**
**National Digital Library**
**Executive Summary**

**Description of Program:** The National Digital Library (NDL) strategy focuses on formulating a viable long term collaborative national strategy for the life-cycle management of digital materials as part of the universal collection of the nation. This strategy includes ensuring that the Library of Congress operating environment and the associated technology and digital infrastructure can be scaled yet function integrally to support and sustain the broader national digital content network.

**FY 2006 Planned Accomplishments:** Continue to refine, improve, and expand the Library's public web presence to include upgrades to the THOMAS Web site, expansions in features to the NDL American Memory Web site, Global Gateway, Learning Page, America's Library, and the Wise Guide by:

- Developing the National Digital Newspapers Program (NDNP) repository for eventual online access to digitized newspapers belonging to the Library and its partners in the NDNP program.
- Begin developing systems functionality to enable eventual online access to the Library harvested Web content by the Library's users.
- Continuing educator workshops and presentations on the use of the Library's online primary source materials at more then 40 venues nationwide, reaching approximately 7,500 educators and thousands more conference attendees.
- Continuing to work with the International Internet Preservation Consortium to develop common Web capture tools, processes, and practices that will allow national libraries to share digital content.
- With Los Alamos National Laboratories, supporting research and development of tools that will help address complex problems related to collecting, storing, and accessing digital journals.
- With University of California, San Diego Supercomputing Center, conducting a potential pilot project to demonstrate the feasibility and performance of a production digital Data Center to host selected Library digital content to include both collected Web content and scanned digital images.

**Explanation of Changes:** Reflects mandatory pay and price level changes only.

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Activity | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| NDL (OSI - Basic) | 116 | $20,692 | 105 | $20,619 | 116 | $21,283 | 116 | $21,967 | 0 | + $684 |

**Library of Congress**
**Library of Congress, Salaries & Expenses**
**Alternate Computer Facility**
**Executive Summary**

**Description of Program:** The OSI Information Technology Services (ITS), working closely with information technology specialists across the Legislative Branch, developed an architecture and assembled all the components to provide an alternate computing facility (ACF) for the Library of Congress. With no increase in staffing levels, and only a minimum of expert consulting services, systems engineering staff designed and constructed this secure computing facility. All of the Library's high priority applications are mirrored in a remote location in case of disaster in the Library's James Madison Building data center. All primary servers, storage, and backup systems have been replicated at the ACF. Combined with the remote storage of all the Library's enterprise-level digital data in backup tape format, the ACF will provide a rapid return to service, with entirely up-to-date data.

**FY 2006 Planned Accomplishments:**

- Enhance ACF telecommunications architecture for maximum availability, scalability, security, and manageability. Explore implementation of disaster T1 ties between remote sites and ACF.

- Continue to improve the overall performance and reliability of the Library's Wide Area Network (WAN) by implementing recommendations included in a network study completed in FY 2005. Of particular importance are the WAN connections between the ACF, Landover (the current Continuity of Operations site for the Library), and Ft. Meade. Create and maintain a CAPNET communications backbone for the organizations sharing the ACF.

**Explanation of Changes:** Reflects mandatory pay and price level changes only.

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Activity/Office | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| ITS | 2 | $2,753 | 2 | $2,040 | 2 | $2,759 | 2 | $2,886 | 0 | + $127 |
| CRS | | 243 | | 243 | | 243 | | 243 | | 0 |
| **Total, ACF** | **2** | **$2,996** | **2** | **$2,283** | **2** | **$3,002** | **2** | **$3,129** | **0** | **+ $127** |

**Library of Congress**
**Library of Congress, Salaries & Expenses**
**Momentum Financial System**
**Executive Summary**

**Description of Program:** Momentum, the Library of Congress' new central financial management system became operational for the Library and its cross-serviced agencies in FY 2005. The system is web-based, providing real-time financial data to all users.

**FY 2006 Accomplishments:** Continue to implement new modules available within the Momentum system.

**Explanation of Changes:** Reflects price level increases only.

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Activity/Office | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| ITS | 0 | $1,820 | 0 | $4,715 | 0 | $2,820 | 0 | $2,873 | 0 | + $53 |
| Librarian-OCFO | 0 | 5 | 0 | 5 | 0 | 0 | 0 | 0 | 0 | 0 |
| **Total, Momentum** | **0** | **$1,825** | **0** | **$4,720** | **0** | **$2,820** | **0** | **$2,873** | **0** | **+ $53** |

**Library of Congress**
**Library of Congress, Salaries & Expenses**
**Digital Collections and Educational Curricula Initiative (Previously AAM)**
**Executive Summary**

**Description of Program:** The Library of Congress Adventure of the American Mind (AAM) national program is designed to train in-service and pre-service classroom teachers and college teacher education faculty to access, use, and produce curriculum using the Internet and the digitized primary source materials from the collections of the Library. This program is currently active in Colorado, Illinois, Indiana, Pennsylvania, Virginia, North Carolina and South Carolina and has 23 funded partners. The Congress created the AAM program and directed the Library to implement the program with the Educational and Research Consortium (ERC) of the Western Carolinas.

In FY 2005, Congress passed the Library of Congress Digital Collections and Educational Curricula Act of 2005. Beginning in FY 2006, the Act moved administrative and programmatic ownership of the AAM program from the ERC to the Library. The ERC will continue to have oversight of the previously appropriated funding for the 26 active partners until all funds are expended.

**FY 2006 Planned Accomplishments:** Build a national online educators program expanding AAM to additional states across the country by using a train-the-trainer model to create a network of partners with members in every corner of the country. These partners will help the Library establish standards-based, field-tested lessons and curricula to be vetted by an independent organization to assure their quality. Continue to add new partners through a congressional-selection process that draws on universities within each of the 10 Department of Education's regional education centers. This method will ensure the greatest amount of diversity – urban, suburban, and rural – from the broadest number of states.

**Explanation of Changes:** While no additional no-year funding is requested in FY 2007, the Library is reallocating the FY 2006 funds of $5.801 million (all earmarked for grants) to support both administrative ($1.791 million) and grant awards ($4.01 million). (Note: Does not include small base of funds used to support the current program.)

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Activity | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| AAM (OSI) | 0 | $2,232 | 0 | $2,232 | 0 | $5,801 | 0 | $5,801 | 0 | 0 |

**Library of Congress**
**Library of Congress, Salaries & Expenses**
**Cataloging Distribution Service**
**Executive Summary**

**Description of Program:** The Cataloging Distribution Service (CDS) is the distribution arm for the Library of Congress bibliographic data and related technical publications. For more than 100 years, libraries throughout the United States and around the world have depended upon the Library cataloging records and standards to process their materials. The use of Library cataloging data and standards promotes consistency and sharing of data that helps libraries avoid expensive duplication of cataloging efforts.

**FY 2006 Planned Accomplishments:** Continue the collaborative development and distribution of cataloging and metadata training materials in support of the Library's leadership role in the emerging digital environment. Explore additional alternative approaches for implementing a web-based business and customer information management system for improved customer service. Continue the enhancement of Cataloger's Desktop and Classification Web to meet customer needs and to incorporate advances in technology. Implement recommendations resulting from a cataloging documentation survey conducted in FY 2005. Publish new editions of the Library Classification schedules and Subject Headings. Pursue further planning for an XML-based authoring and editing system for the publication of cataloging documentation.

**Explanation of Changes:** Requesting $6 million in FY 2007, a net reduction of $633 thousand, to be funded with offsetting collections earned through the sale of CDS products and other services to both internal and external customers. FY 2007 is the first year CDS' budget will be funded, in total, with offsetting collections, consistent with its authorizing language. Appropriated funds of $693 thousand, provided to CDS in FY 2006 to cover the cost of products and services for internal Library customers has been reallocated to National Library-Basic, the office which manages the internal Library orders from CDS.

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Activity | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| CDS | 40 | $4,498 | 30 | $4,498 | 40 | $6,633 | 40 | $6,000 | 0 | $-633 |

**Library of Congress**
**Library of Congress, Salaries & Expenses**
**Global Legal Information Network (GLIN)**
**Executive Summary**

**Description of Program:** GLIN is a multi-lingual, electronic, legal information system that plays a pivotal role in facilitating the international exchange of laws and legal principles in an increasingly global environment. GLIN is leading the way in making available authoritative, searchable, digitized sources of laws from a growing number of nations for the use and support of the Congress, the federal judiciary, and other government agencies. The continued development of a global legal information network serves the needs of Congress to support the rule of law globally; expands membership to at least 40 countries in Africa, Asia, Europe and the Americas; and ensures the source and content integrity of each legal instrument.

**FY 2006 Planned Accomplishments:**

- Continue assessment/recruitment missions to countries of interest to the Congress.
- Complete incorporation of approximately 70 thousand laws for 13 Latin American countries for the period of 1950 - 1975.
- Add at least 1,200 selected retrospective U.S. public laws, and five terms of retrospective Supreme Court decisions.
- Complete next phase of GLIN system upgrade to include nine additional multi-lingual interfaces, the ability to exchange data with foreign regional level legal information systems, and distance learning capabilities.

**Explanation of Changes:** The only changes in funding from FY 2006 are mandatory pay and price level increases. Continued funding ensures that GLIN will serve as an invaluable, primary research source for the Law Library of Congress, serving the American Congress and government and partner governments of the world.

| Activity | FY 2005 Enacted | | FY 2005 Actual | | FY 2006 Operating Plan | | FY 2007 Estimate | | FY 2006/2007 Net Change | |
|---|---|---|---|---|---|---|---|---|---|---|
| | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| Base Funding | 2 | $177 | 2 | $344 | 2 | $357 | 2 | $371 | 0 | + $14 |
| 5-Year: Recurring | 6 | 603 | 6 | 603 | 6 | 625 | 6 | 650 | 0 | + 25 |
| 5-Year: Non-recurring | 0 | 2,284 | 0 | 2,284 | 0 | 2,284 | 0 | 2,334 | 0 | + 50 |
| **Total, GLIN (Law Lib)** | **8** | **$3,064** | **8** | **$3,231** | **8** | **$3,266** | **8** | **$3,355** | **0** | **+ $89** |

**Library of Congress**
**Library of Congress, Salaries & Expenses**
**Library Workforce Transformation Project**
**Executive Summary**

**Description of Program:** Renewal and development of the Library of Congress workforce is essential to retrain staff with the necessary skills necessary for the digital age, and to capture for the future the vast knowledge of large numbers of experienced staff who are near retirement. In FY 2007, the Library will begin a program to enhance digital competencies, leadership skills, career development, recruitment, and other workforce counseling and services. These activities are particularly important for sustaining the Library's commitment to a diverse workforce.

**FY 2006 Planned Accomplishments:** During FY 2006, the Offices of Management & Training (OMT) and Workforce Diversity (OWD) will plan, design and implement a Library Workforce Transformation Project to ensure staff skills match current and future Library organizational and programmatic needs and requirements.

**Explanation of Changes:** In addition to mandatory pay and price level increases, funding of $781 thousand is requested for the OMT and OWD, and will support initiatives to:

- Define and develop digital competencies ($100 thousand)
- Build and aspiring leaders programs for GS 5-9 ($225 thousand)
- Enhance Library-wide training through the Center for Learning and Development ($98 thousand)
- Create a summer intern recruitment program and a talented pool for permanent employment ($231 thousand)
- Expand interpreter services ($127 thousand)

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | Mandatory & Price Level | Program | FY 2006/2007 Net Change | |
| Office | FTE | $ | FTE | $ | FTE | $ | FTE | $ | $ | $ | FTE | $ |
| OMT | 14 | $1,276 | 10 | $1,258 | 14 | $1,322 | 14 | $1,797 | + $ 52 | **+ $423** | 0 | + $475 |
| OWD | 24 | 2,739 | 21 | 2,728 | 24 | 2,624 | 24 | 3,085 | + 103 | **+ 358** | 0 | + 358 |
| **Total** | **38** | **$4,015** | **31** | **$3,986** | **38** | **$3,946** | **38** | **$4,882** | **+ $155** | **+$781** | **0** | **+ $936** |

**Library of Congress**
**Copyright Office, Salaries and Expenses**
**FY 2005 - FY 2007 Resource Summary**
**(Dollars in Thousands)**

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Appropriation/PPA | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| Basic | 492 | $42,301 | 467 | $41,916 | 488 | $52,605 | 483 | $53,540 | - 5 | + $ 935 |
| Licensing Division | 32 | 3,580 | 31 | 3,561 | 36 | 3,826 | 34 | 3,964 | - 2 | + 138 |
| Copyright Arbitration Royalty Panels | 3 | 385 | 2 | 360 | 0 | 297 | 0 | 301 | 0 | + 4 |
| Copyright Royalty Judges | 3 | 286 | 1 | 260 | 6 | 1,287 | 6 | 1,384 | 0 | + 97 |
| **Total, Copyright, S&E, Budget** | **530** | **$46,552** | **501** | **$46,097** | **530** | **$58,015** | **523** | **$59,189** | **- 7** | **+ $1,174** |
| Basic Offsetting Collections | | --- | | --- | | - 30,176 | | - 28,335 | | + 1,841 |
| Licensing, CARP, CRJ Offsetting Collections | | --- | | --- | | - 5,410 | | - 5,649 | | - 239 |
| **Total, CO, S&E, Appropriation** | **530** | **$46,552** | **501** | **$46,097** | **530** | **$22,429** | **523** | **$25,205** | **- 7** | **+ $2,776** |

**Library of Congress**
**Copyright Office, Salaries & Expenses**
**Basic**
**Executive Summary**

**Description of Program:** Administer the provisions of the copyright law and related laws in title 17 U.S.C. Provide assistance to the Congress, the executive branch, and the courts.

**FY 2006 Planned Accomplishments:** Register 540 thousand claims and transfer works valued at approximately $42 million; provide advice and assistance to the Congress including testimonies and studies; and continue the multi-year program to reengineer principal Copyright Office public services.

**Explanation of Changes:** Changes reflect reductions in the reengineering project, and a projected decrease in receipts in FY 2007; mandatory pay and price level increases needed to maintain Copyright Basic's current level of operations; and a program increase for the first $1 million installment of a six-year, $6 million initiative to image digitally 70 million pages of pre-1978 public records that are deteriorating, jeopardizing mandatory preservation of, and access to, these records. A reduction of -5 FTEs reflects projected FTE usage in FY 2007.

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Activity | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| Copyright - Basic | 492 | $42,301 | 467 | $41,916 | 488 | $52,605 | 483 | $53,540 | - 5 | + $935 |

**Library of Congress**
**Copyright Office, Salaries & Expenses**
**Licensing**
**Executive Summary**

**Description of Program:** The Copyright Office (CO) administers the statutory licensing provisions of title 17 U.S.C. The CO collects royalty fees from cable television systems, importers and manufacturers of digital audio recording equipment and media, and from satellite carriers who retransmit copyrighted television broadcasts across the United States; and it distributes these royalties to copyright owners.

**FY 2006 Planned Accomplishments:** Collect and invest, for future distribution, millions of dollars in royalty fees from industries covered by statutory licenses; distribute, as determined by the remaining Copyright Arbitration Royalty Panels, or by the Copyright Royalty Judges, millions of dollars in royalty fees to copyright owners; and complete additional pilots and preparations for online filing of statutory licensing statements of account.

**Explanation of Changes:** Requested increase covers mandatory pay and price level increases needed to maintain Licensing's current level of operations. The entire program is funded through offsetting collections, not appropriated funds.

The FY 2007 budget reflects a decrease of -2 FTEs from FY 2006. The reduction reflects projected FTE usage in FY 2007.

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Activity | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| Copyright - Licensing | 32 | $3,580 | 31 | $3,561 | 36 | $3,826 | 34 | $3,964 | - 2 | + $138 |

**Library of Congress**
**Copyright Office, Salaries & Expenses**
**Copyright Arbitration Royalty Panels**
**Executive Summary**

**Description of Program:** The Copyright Office (CO) administers statutory licensing provisions of title 17 U.S.C., facilitating the use of copyrighted works by the cable TV, satellite TV, and other industries by convening Copyright Arbitration Royalty Panels to set royalty rates and terms as well as to determine distributions.

The Copyright Royalty Distribution Reform Act of 2004, P. L. 108– 419, transferred these responsibilities from the CARPs to three Copyright Royalty Judges (CRJs). The Act allows the CO to complete any proceeding which had been initiated before the date of enactment. Minimal CARP funding has been retained to resolve these open CARP proceedings, and the Office expects to phase out all pending distribution proceedings in FY 2007.

**FY 2006 Planned Accomplishments:** Resolve and phase out most of the ongoing CARP proceedings.

**Explanation of Changes:** The increase supports price level increases. The entire CARP program is funded through offsetting collections, not appropriated funds. Funding is required in FY 2007 to resolve all ongoing CARP proceedings. Once the proceedings are resolved and settled, all CARP funding will be rescinded in the Copyright Office budget, currently projected for FY 2008.

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Activity | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| Copyright - CARP | 3 | $385 | 2 | $360 | 0 | $297 | 0 | $301 | 0 | + $4 |

**Library of Congress**
**Copyright Office, Salaries & Expenses**
**Copyright Royalty Judges**
**Executive Summary**

**Description of Program:** The Copyright Royalty Board (CRB) administers statutory licensing provisions of title 17 U.S.C., facilitating the use of copyrighted works by the cable TV, satellite TV, and other industries by adjusting royalty rates and terms and by determining distributions; and conducts notice and recordkeeping rulemaking proceedings for a number of licenses.

**FY 2006 Planned Accomplishments:** Complete transfer of most functions from the Copyright Arbitration Royalty Panels to the Copyright Royalty Judges; issue appropriate regulations to govern submission of claims and conduct of proceedings; commence proceedings as required.

**Explanation of Changes:** The budget reflects an increase of $97 thousand for mandatory pay and price level increases. The entire program is funded through offsetting collections, not appropriated funds.

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Activity | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| Copyright Royalty Judges | 3 | $286 | 1 | $260 | 6 | $1,287 | 6 | $1,384 | 0 | + $97 |

## Library of Congress
## Congressional Research Service, Salaries and Expenses
## FY 2005 - FY 2007 Resource Summary
(Dollars in Thousands)

| Object Class | FY 2005 Enacted FTE | FY 2005 Enacted $ | FY 2005 Actual FTE | FY 2005 Actual $ | FY 2006 Operating Plan FTE | FY 2006 Operating Plan $ | FY 2007 Estimate FTE | FY 2007 Estimate $ | FY 2006/2007 Net Change FTE | FY 2006/2007 Net Change $ |
|---|---|---|---|---|---|---|---|---|---|---|
| 11 Personnel Compensation | 729 | $68,874 | 700 | $68,705 | 729 | $70,247 | 705 | $73,290 | - 24 | + $3,043 |
| 12 Personnel Benefits | | 15,015 | | 14,971 | | 17,192 | | 17,878 | + | 686 |
| 13 Benefits for Former Personnel | | 262 | | 262 | | 737 | | 773 | + | 36 |
| 21 Travel | | 267 | | 234 | | 275 | | 281 | + | 6 |
| 22 Transportation of Things | | 2 | | 1 | | 1 | | 1 | | 0 |
| 23 Rent, Communications and Utilities | | 605 | | 605 | | 464 | | 474 | + | 10 |
| 24 Printing and Reproduction | | 124 | | 113 | | 135 | | 138 | + | 3 |
| 25 Other Contractual Services | | 5,809 | | 5,807 | | 5,448 | | 5,661 | + | 213 |
| 26 Supplies and Materials | | 3,250 | | 3,250 | | 3,758 | | 4,096 | + | 338 |
| 31 Equipment | | 1,908 | | 1,908 | | 1,650 | | 1,687 | + | 37 |
| 41 Grants | | 0 | | 0 | | 0 | | 0 | | 0 |
| 42 Insurance Claims and Indemnities | | 0 | | 0 | | 0 | | 0 | | 0 |
| 43 Interest | | 2 | | 0 | | 0 | | 0 | | 0 |
| 94 Finance Transfers | | 0 | | 0 | | 0 | | 0 | | 0 |
| **Grand Total** | **729** | **$96,118** | **700** | **$95,856** | **729** | **$99,907** | **705** | **$104,279** | **- 24** | **+ $4,372** |

## Library of Congress
## Congressional Research Service, Salaries and Expenses
## Executive Summary

**Description of Program:** The Congressional Research Service (CRS) works exclusively and directly for all Members and Committees of the Congress in support of their legislative and oversight functions. CRS provides high quality research and information services that are authoritative, timely, objective, nonpartisan, and confidential. CRS experts assist Members and their staffs by analyzing the extent of the problems, options for addressing the problems, and consequences of those options. This assistance is provided throughout the legislative process – from the development of legislative proposals; through the design and content of congressional hearings; during Member deliberations in committee, on the floor, and in conference; and as policy is implemented and evaluated. CRS offers a broad range of multi-disciplinary research services directly related to the public policy deliberations of the Congress. These services are provided though a range of service delivery, including confidential, individual policy consultations and memoranda; analytic reports; econometric and computer-simulated modeling; risk assessments; and a secure CRS web site available only to the Congress.

**FY 2006 Planned Accomplishments:** The sole activity of CRS is the research it undertakes on behalf of the Congress. Active policy areas facing the Congress in 2006 are expected to include: mandatory spending adjustments and taxation reduction measures presented in budget reconciliation bills; re-authorizing, with modifications, such measures as the USA PATRIOT Act, the Terrorism Risk Insurance Act, the Higher Education Act, and the Temporary Assistance for Needy Families (TANF) Act; U.S. relations with and special interests in specific countries and regions such as winding down commitments in Iraq, ensuring containment of Iranian and North Korean nuclear developments, achieving productive trade relationships with China in the context of human rights considerations; assuring affordable and reliable access to energy; retirement and health care program concerns projected to arise from demographic trends or trends in medical costs; providing for public health, homeland security and protection against terrorism in an international context; filling another Supreme Court vacancy and providing oversight to the court system; and appropriating funds for carrying out a large range of government missions and meeting unanticipated needs in the context of stringent budgetary constraints.

**Explanation of Change:** Reflects increases for mandatory pay and price level increases only, needed to maintain CRS current level of operations.

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Activity | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| CRS | 729 | $96,118 | 700 | $95,856 | 729 | $99,907 | 705 | $104,279 | - 24 | + $4,372 |

**Library of Congress**
**Books for the Blind and Physically Handicapped, Salaries and Expenses**
**FY 2005 - FY 2007 Resource Summary**
**(Dollars in Thousands)**

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Object Class | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| 11 Personnel Compensation | 128 | $7,465 | 114 | $7,292 | 128 | $8,812 | 128 | $9,172 | 0 | + $360 |
| 12 Personnel Benefits | | 1,685 | | 1,542 | | 1,849 | | 1,928 | | + 79 |
| 13 Benefits for Former Personnel | | 2 | | 0 | | 2 | | 2 | | 0 |
| 21 Travel | | 212 | | 202 | | 222 | | 227 | | + 5 |
| 22 Transportation of Things | | 53 | | 44 | | 53 | | 54 | | + 1 |
| 23 Rent, Communications and Utilities | | 1,349 | | 1,270 | | 1,681 | | 2,125 | | + 444 |
| 24 Printing and Reproduction | | 1,132 | | 1,109 | | 1,011 | | 1,033 | | + 22 |
| 25 Other Contractual Services | | 5,497 | | 5,475 | | 5,014 | | 5,124 | | + 110 |
| 26 Supplies and Materials | | 2,238 | | 2,238 | | 2,052 | | 2,097 | | + 45 |
| 31 Equipment | | 34,344 | | 34,231 | | 33,209 | | 33,941 | | + 732 |
| 41 Grants | | 0 | | 0 | | 0 | | 0 | | 0 |
| 42 Insurance Claims and Indemnities | | 0 | | 0 | | 0 | | 0 | | 0 |
| 43 Interest | | 0 | | 0 | | 0 | | 0 | | 0 |
| 94 Finance Transfers | | 0 | | 0 | | 0 | | 0 | | 0 |
| **Grand Total** | **128** | **$53,977** | **114** | **$53,403** | **128** | **$53,905** | **128** | **$55,703** | **0** | **+ $1,798** |
| ***Projects and Initiatives:*** | | | | | | | | | | |
| Digital Talking Book Program | [ 5.5] | [$ 8,162] | [ 5.5] | [$ 8,162] | [ 6] | [$ 8,175] | [ 6] | [$ 8,355] | [ 0] | [+ $ 180] |
| Procurement of Machines | [ 1.0] | [$12,100] | [ 1.0] | [$11,760] | [ 1] | [$12,500] | [ 1] | [$12,775] | [ 0] | [+ $ 275] |
| All Other | [121.5] | [$33,715] | [107.5] | [$33,481] | [121] | [$33,230] | [121] | [$34,573] | [ 0] | [+ $1,343] |
| **Total, BBPH** | **[128.0]** | **[$53,977]** | **[114.0]** | **[$53,403]** | **[128]** | **[$53,905]** | **[128]** | **[$55,703]** | **[ 0]** | **[+ $1,798]** |

**Library of Congress**
**Books for the Blind and Physically Handicapped, Salaries & Expenses**
**Digital Talking Book Program**
**Executive Summary**

**Description of Program:** Development of digital system to replace current analog cassette system for audio books and magazines. Includes design of new playback equipment, recording and duplication techniques, and distribution systems, and production of new and converted digital talking books for collection.

**FY 2006 Planned Accomplishments:**

- Produce approximately 1,500 new titles as digital talking books (DTBs) and convert approximately 3,000 titles from analog to DTB format, to aggregate to 10,000 converted titles by 2008.
- Design and produce prototypes of a NISO compliant DTB machine.
- Design a DTB circulation system
- Design DTB web book delivery and interface pilot.
- Design DTB container and labels.

**Explanation of Changes:** The only changes in funding from FY 2006 are mandatory pay and price level increases.

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Activity | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| Digital Talking Books | 5.5 | $8,162 | 5.5 | $8,162 | 6 | $8,175 | 6 | $8,355 | 0 | + $180 |

**Library of Congress**
**Books for the Blind and Physically Handicapped, Salaries & Expenses**
**Procurement of Machines**
**Executive Summary**

**Description of Program:** Manufacture sufficient audio playback machines to fully serve current and future talking book readers.

**FY 2006 Planned Accomplishments:**

- Contract for the production of 42 thousand C-1 cassette players.

**Explanation of Changes:** The only changes in funding from FY 2006 are mandatory pay and price level increases.

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Activity | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| Procurement of Machines | 1 | $12,100 | 1 | $11,760 | 1 | $12,500 | 1 | $12,775 | 0 | + $275 |

**Library of Congress**
**Books for the Blind and Physically Handicapped, Salaries & Expenses**
**All Other**
**Executive Summary**

**Description of Program:** Select and produce audio and braille books, magazines, and music materials. Provide high-quality library service to program users through a network of 132 cooperating libraries. Train volunteer braille transcribers and proofreaders.

**FY 2006 Planned Accomplishments:**

- Maintain appropriate production levels of books (approx. 2,000 new titles) to ensure quality patron service.
- Facilitate timely procurement of program contracts and service agreements.
- Through program policies continue to support and encourage training, professional development, diversity and recruitment efforts that ensure a competent, skilled, and knowledgeable workforce.
- Continue to manage activities and policies with network libraries that ensure quality service to patrons.
- Conduct a comprehensive study to measure the effectiveness of the program from the user's perspective.

**Explanation of Changes:** The only changes in funding from FY 2006 are mandatory pay and price level increases.

| | FY 2005 | | | | FY 2006 | | FY 2007 | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted | | Actual | | Operating Plan | | Estimate | | FY 2006/2007 Net Change | |
| Activity | FTE | $ | FTE | $ | FTE | $ | FTE | $ | FTE | $ |
| Other Programs (BBPH) | 121.5 | $33,715 | 107.5 | $33,481 | 121 | $33,230 | 121 | $34,573 | 0 | + $1,343 |



U.S. GOVERNMENT PRINTING OFFICE
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# BUDGET JUSTIFICATION

Fiscal Year 2007

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GPO U.S. GOVERNMENT PRINTING OFFICE
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OFFICE OF THE PUBLIC PRINTER

January 17, 2006

The Honorable Jerry Lewis
Chairman
House Committee on Appropriations
H-147, The Capitol
Washington, DC 20515

The Honorable Wayne Allard
Chairman
Subcommittee on Legislative Branch Appropriations
Senate Committee on Appropriations
S-128, The Capitol
Washington, DC 20510

Dear Chairman Lewis and Chairman Allard:

I am pleased to transmit herewith the appropriations request of the U.S. Government Printing Office (GPO) for FY 2007. The request totals $151,516,000. As GPO continues its transformation into a 21st century digital information processing facility, our appropriations request is designed to provide for the:

- Continuation of our congressional printing and binding operations and information dissemination services at required levels;
- Investment in projects to improve the cataloging, preservation, authentication, and provision of public access to electronic Federal Government information;
- Investment in information technology infrastructure to improve the efficiency and effectiveness of GPO's operations, and completion of the program we have begun to retrain GPO's workforce to meet changing technology demands.

For the Congressional Printing and Binding Appropriation, which covers printing and related services for Congress, we are requesting $100,285,000. This is an increase of $13,076,000 over the level provided for FY 2006. As you know, the funding level provided for this appropriation in FY 2006 is equal to FY 2005, minus the one percent rescission. The increase is needed to cover mandatory pay and price level changes and projected changes in specific congressional printing categories, and is partially offset by ongoing improvements in productivity. Mandatory items include funding for the production of the 2006 Edition of the U.S. Code, which by law is required to be fully updated and issued every six years, as well as required support capabilities residing at the alternative computing facility. Our request also provides funding for investment in a new generation of publishing systems for congressional publications.

For the Salaries and Expenses Appropriation of the Superintendent of Documents, we are requesting $43,000,000, an increase of $9,996,000 over the level provided for FY 2006. This appropriation provides for the cataloging, indexing, and distribution of Government publications to Federal Depository and International Exchange libraries and other recipients designated by law. The increase is necessary for mandatory pay and price level changes, increased information technology support costs, and distribution of the 2006 edition of the U.S. Code to depository

libraries and other recipients as required by law. Equally as important, our request includes funding for investments to meet the changing needs of the Federal Depository Library Program in the digital era. These include data-tagging and processing of digital content for public access, authentication and cataloging of Web-harvested documents, digital conversion of GPO's pre-1976 cataloging records, essential training for depository librarians, and targeted capital investment for authentication and other technologies supporting *GPO Access*.

For GPO's revolving fund, we are requesting an appropriation of $8,231,000, an increase of $6,251,000 over the level provided for FY 2006. Our request will provide funds to acquire essential information technology infrastructure and systems development, including risk reduction and security enhancements. Our request will also be used to complete the training program we have initiated with FY 2006 funds to define GPO's workforce needs, assess the skills of current employees, identify the gaps, and design and deliver targeted, just-in-time training to close those gaps. A well-trained workforce and modernized information technology architecture are prerequisites to implementing our vision of GPO's digital future.

Since my appointment as Public Printer, we have been transforming GPO into a 21st century digital platform capable of addressing ongoing technological changes in how information is processed and disseminated. Our goal is to provide Government information in the form and formats our customers want and need in this burgeoning digital era, and to ensure that the abiding mission of the GPO – Keeping America Informed – continues to be carried out for generations to come.

A primary order of business has been restoring and maintaining GPO's financial health. I am pleased to report that net income from consolidated operations for FY 2005 improved to $6.1 million from $1.3 million the previous year, reversing the pattern of losses from the last decade. We also recorded another reduction to our long-term liability for the Federal workers compensation program.

Our financial turnaround has been aided significantly by efforts to rightsize GPO's workforce through voluntary separation incentive programs authorized by Congress. Between the end of FY 2002 and 2005, we reduced GPO's workforce by 542 positions, resulting in a savings in personnel compensation and benefits costs of about $38 million annually. During the current year, another incentive program, which has just recently concluded, is expected to result in a further reduction of approximately 90 positions and additional annual savings of approximately $8.0 million.

FY 2005 marked a turning point in our transformation efforts with the release early in the year of our *Strategic Vision for the 21st Century*, which was transmitted to Congress and distributed to GPO's stakeholders in both the public and private sectors. This document provides a framework for how our transformation goals – development of a digital content system to anchor all future operations, reorganization of the agency into new product- and service-oriented business lines along with investment in the necessary technologies, adoption of management best practices agency-wide including retraining to provide needed skills, and relocation of the GPO to facilities that are sized and equipped to meet our future needs—will be carried out and funded. During the year we made significant progress in each of these directions.

The core of our future operations will revolve around a digital content system, called FDSys, which is being designed to organize, manage, and output authenticated content for any use or purpose. With your invaluable support for transferring the unexpended balances of prior year appropriations to GPO's revolving fund, we secured the majority of the funds we will need for this project. We are engaged in reaching out to key elements of our customer community on our plan, and at year end we conducted an Industry Day event to solicit advice and information on vendor capabilities to help develop the system.

We created a new business line for Security and Intelligent Documents that consolidates our longstanding expertise in security documents and offers a broad range of consultative services

to Federal agencies attempting to respond to new standards and statutory requirements in this area. An early product of the unit was the security printing requested by the Joint Congressional Committee on the Inauguration to support the first Presidential inaugural ceremonies since 9/11. We also created a new Digital Media Services business line to provide essential retraining in digital production skills and eventually generate content from legacy documents for ingest to FDSys.

We endowed other business lines with new capabilities. To improve plant production efficiency and broaden the range of product and service options for Congress and Federal agencies, we invested in a variety of new color and digital production technologies. We augmented our expert printing procurement services for Federal agencies by awarding an innovative new convenience duplicating and printing contract. We also significantly increased the dollar limit on popular simplified purchase agreements, expanding the ability of Federal agencies to procure products and services directly from lists of pre-qualified vendors without first going through GPO.

In our Information Dissemination area, we developed a plan to partner with a private sector sales and distribution provider who will expand Government publications sales offerings to the public while returning a portion of the revenues the GPO. We also engaged the depository library community in a dialog to define the future of the Federal Depository Library Program while continuing to move the Program toward a predominately electronic basis as required by Congress. The total number of titles we now make available on GPO Access increased to more than 300,000, with an average of 35 million retrieved every month.

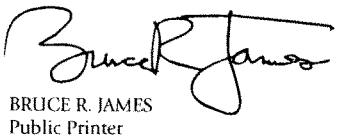
Our Oracle enterprise system will replace a number of labor intensive accounting and inventory functions with IT solutions, reducing cost and speeding work throughput. Expanded employee training opportunities were also made available, ranging from new offerings on the shop floor to "transformational leadership" seminars for all supervisors and managers. Our Digital Conversion System will provide new retraining opportunities.

Although the GPO is not subject to the Government Performance and Results Act (GPRA), we take the spirit and intent of its provisions seriously, particularly its emphasis on performance measurement. During the year we worked to design systems to provide quantitative measurement in evaluating the progress of our strategic and management initiatives.

Progress toward our goal to relocate the GPO to new facilities moved ahead in FY 2005 with the delivery of a formal plan for this project by our expert real estate advisory consultant. The plan, along with draft legislative language to authorize the project, was submitted to our oversight and appropriations committees accompanied by legislative briefings. We also began work on a plan to establish an ancillary production site for passports and other essential Government documents.

Chairman Lewis and Chairman Allard, I am deeply grateful to you and the Members and staffs of the House Appropriations Committee and the Senate Subcommittee on Legislative Branch Appropriations for the support you have shown during the FY 2006 appropriations process and for our continuing program of transforming GPO to meet the demands of the 21st century. I look forward to working with you and the Appropriations Committees in your review and consideration of our request.

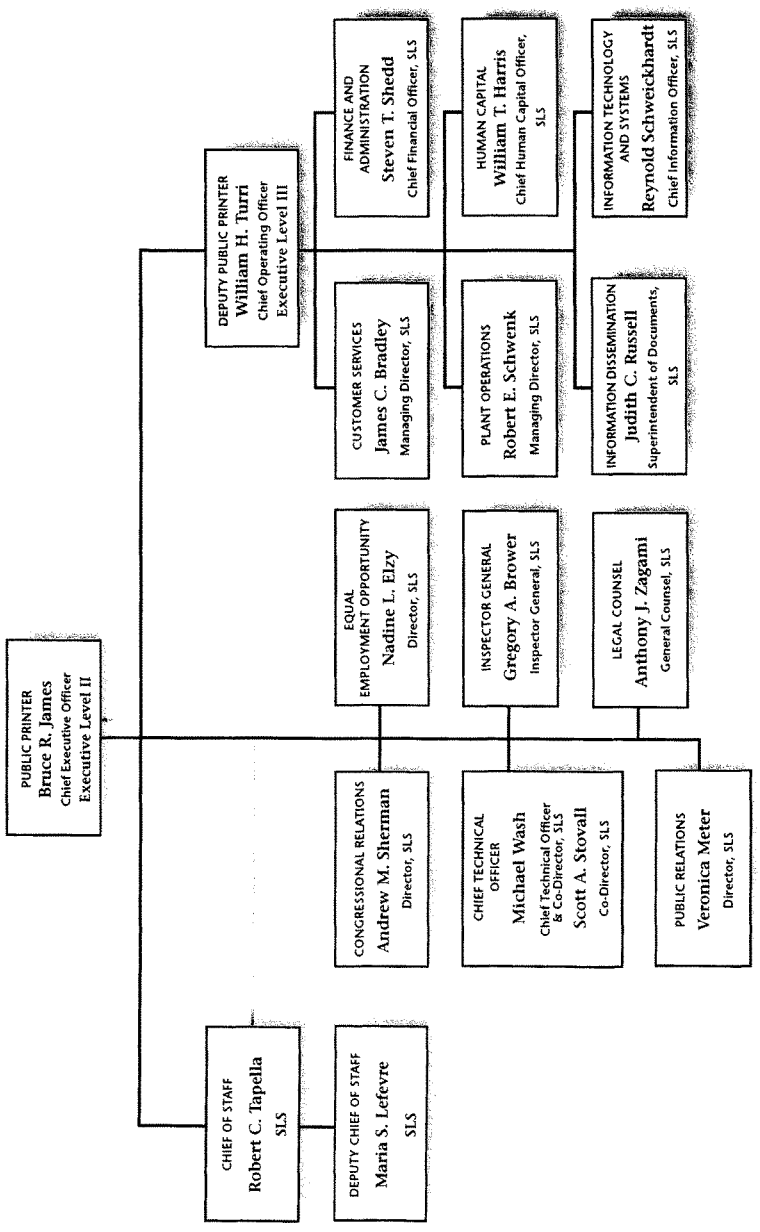
Sincerely,



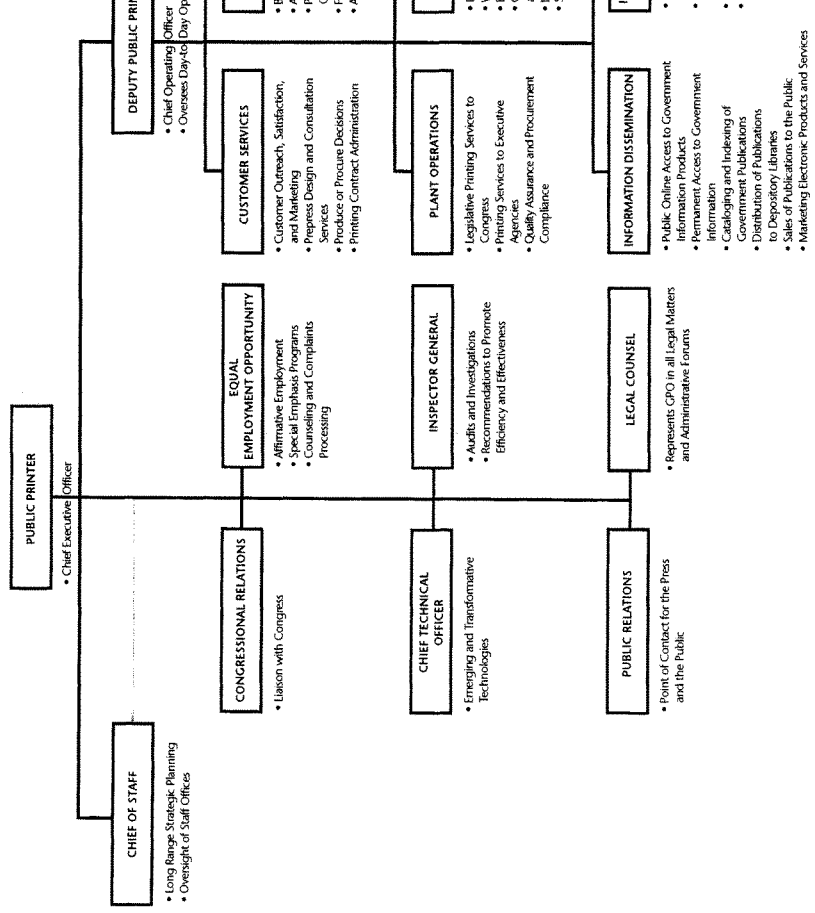
BRUCE R. JAMES
Public Printer

Enclosure

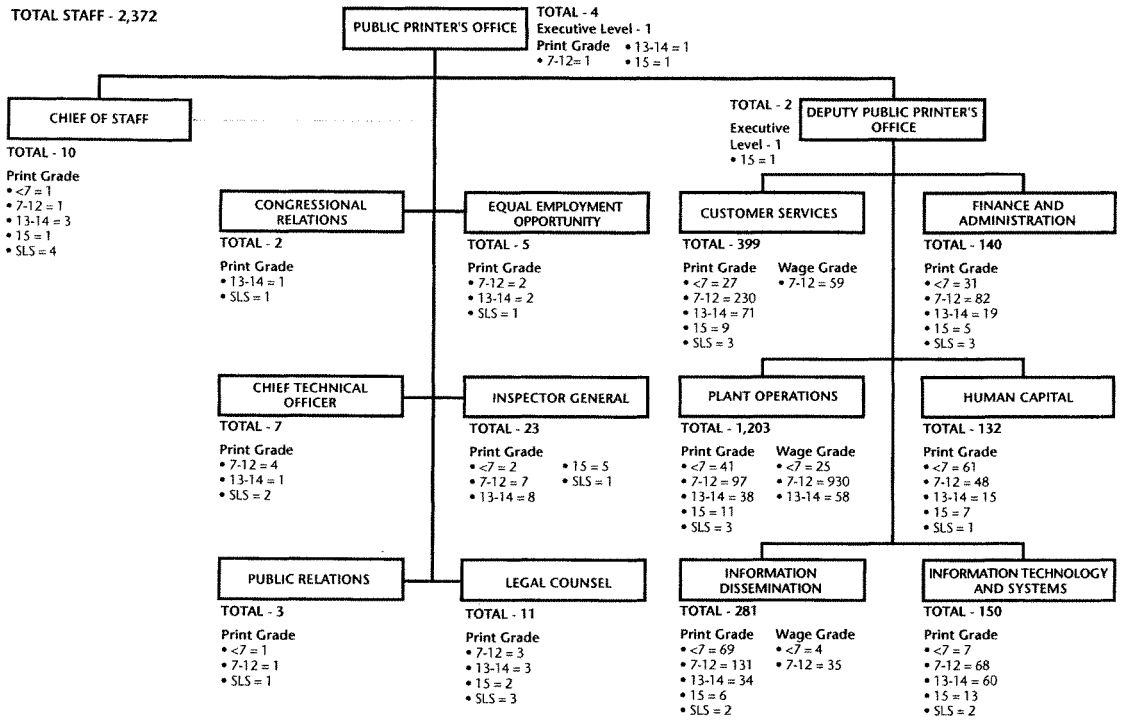
# Organizational Chart



# GPO Functions By Organization



# GPO Staffing Information




Note: This information outlines the number of employees within the agency's organizational structure. The breakout is by plan and grade range or salary equivalent, as of September 30, 2005. GPO's Senior Level Service (SLS) is similar to the Senior Executive Service.

U.S. Government Printing Office
Summary of Appropriation Estimates
(Dollars in Thousands)

| Appropriation Title | FY 2005 Actual | FY 2006 Enacted | FY 2007 Request | Change |
|---|---|---|---|---|
| Congressional Printing and Binding | | | | |
| Total Appropriation | $ 88,800 | 88,090 | $ 100,285 | $ 12,195 |
| Less Rescission | (710) | (881) | - | 881 |
| Net | 88,090 | 87,209 | 100,285 | 13,076 |
| Superintendent of Documents Salaries and Expenses | | | | |
| By Law Distribution | 313 | 173 | 273 | 100 |
| Cataloging and Indexing | 4,490 | 6,969 | 8,897 | 1,928 |
| Federal Depository Library | 25,921 | 25,617 | 33,077 | 7,460 |
| International Exchange | 1,229 | 578 | 753 | 175 |
| Total Appropriation | 31,953 | 33,337 | 43,000 | 9,663 |
| Less Rescission | (256) | (333) | - | 333 |
| Net | 31,697 | 33,004 | 43,000 | 9,996 |
| Revolving Fund | | | | |
| Total Appropriation | - | 2,000 | 8,231 | 6,231 |
| Less Rescission | - | (20) | - | 20 |
| Net | - | 1,980 | 8,231 | 6,251 |
| Total | | | | |
| Appropriations | 120,753 | 123,427 | 151,516 | 28,089 |
| Rescissions | (966) | (1,234) | - | 1,234 |
| Net | $ 119,787 | $ 122,193 | $ 151,516 | $ 29,323 |

**U.S. Government Printing Office**
**Staffing Summary - FTE's**

| Appropriation Title | FY 2005 Actual | FY 2006 Enacted | FY 2007 Request |
|---|---|---|---|
| Congressional Printing and Binding | - | - | - |
| Superintendent of Documents | | | |
| By Law Distribution | 1 | 1 | 1 |
| Cataloging and Indexing | 37 | 37 | 37 |
| Federal Depository Library | 91 | 73 | 83 |
| International Exchange | 3 | 3 | 3 |
| | 132 | 114 | 124 |
| Revolving Fund | | | |
| Printing and Binding | 2,059 | 2,095 | 2,125 |
| Sales of Publications | 124 | 102 | 92 |
| Agency Distribution Services | 38 | 39 | 39 |
| | 2,221 | 2,236 | 2,256 |
| Total Agency | 2,353 | 2,350 | 2,380 |

## MISSION

By law and tradition, GPO has three essential missions:

- To provide the agencies and organizations which make up the three branches of the Federal government with expert publishing and printing services, on a cost recovery basis, in order to avoid duplication and waste of government resources.

- To provide, in partnership with Federal Depository libraries, for nationwide community facilities for the perpetual, free and ready public access to the printed and electronic documents, and other information products, of the Federal government.

- To distribute, on a cost recovery basis, copies of printed and electronic documents and other government information products to the general public.

Throughout its history, GPO has been organized to carry out its mission in a traditional printing craft setting with its emphasis on extensive capital investments in heavy metal equipment operated in a large factory environment. While GPO's mission will remain essentially the same in the future, the introduction of digital technology has changed the ways its products and services will be created and how they will look and function to meet the ever changing needs of the Federal government and the way public users of Government information now prefer it.

## VISION

To deliver Federal information products and services from a flexible digital platform.

## GOALS

**A. Develop a flexible digital information content system for Federal documents.**

**Objectives:**

- To have a single authoritative resource to authenticate digital Federal documents.

- To have a responsible digital repository for all Federal documents – past, present and future – that are within the scope of the Federal Depository Library Program (FDLP) of permanent preservation for public access.

- To have a single authoritative source from which masters can be made to create printed or digital copies of documents to meet government, library and public needs.

- To have the flexibility to expand beyond text to include other future formats such as full motion video and sound.

**B. Prepare and equip GPO to provide the future services and products required by its Federal customers.**

**Objectives:**

■ To have an organizational structure that focuses on customer service and dissemination at every level and which is designed to guide customers in the development of information products and services to meet their needs.

■ To build and equip a next generation "digital information factory" and back it up with a remote facility that both protects the Government's information assets and provides additional and emergency production capabilities.

■ To train GPO employees who have the interest and aptitude in the digital information skills that will be needed in the future.

■ To supplement the skills of existing GPO employees as required by recruiting new employees with specialized education in physics, mathematics, electrical and computer engineering, nanotechnology, chemistry, computer chip design and fabrication and computer security, as examples.

**C. Develop a new model for the Federal Depository Library Program which increases partner flexibility.**

**Objectives:**

■ To provide FDLP members access to all past, present and future Federal documents in a digital format that can be searched, downloaded and printed over the Internet at no charge.

■ To provide specialized Web search tools and training to depository librarians to enable them to better serve their clients in locating and using Federal information.

■ To continue to offer FDLP members the option of receiving print versions of key Federal documents (when made available by the authoring agency), or to substitute available electronic documents for printed documents.

■ To allow the existing 53 regional depository libraries to combine their tangible collections in a manner that will continue to offer acceptable public access to documents at reduced operating costs to participating libraries.

■ To develop two collections, one in the East and one in the West, which will hold all known tangible and electronic FDLP documents in a safe and secure archival environment, with documents withdrawn on a controlled basis as a last resort when no circulating copy is available.

■ To revise document holding period requirements for selective depositories to better meet their needs and the public's requirements in consideration of the availability of digital documents.

**D. To serve the public's needs by increasing the access to, and the usefulness of, Federal information.**

**Objectives:**

■ To digitize and authenticate all known Federal documents, beginning with the Federalist Papers, to allow the entire collection to be searched on the Web and viewed over the Internet from a home, office, school or library.

■ To employ on-demand printing technology to enable single copy printing of documents which were either born digital or are no longer in warehouse stock.

■ To offer unique versions of digital information to meet the special needs of individuals and businesses.

**E. To increase the percentage of Federal documents procured by GPO pursuant to Title 44 of the U.S. Code and ensure that all pertinent documents enter the FDLP.**

**Objectives:**

■ To streamline GPO's printing procurement system to make it easier and less expensive for agencies to use its services in accordance with the agreements in the GPO/OMB Compact.

■ To organize GPO's printing procurement operations around Federal department and agency structures to enable GPO personnel to become experts in the missions of customers and their corresponding information needs.

■ To be proactive in customer communications to make certain that customers understand their responsibilities under the law and the wide variety of products and services that GPO has, or which it can develop, to meet their needs including electronic documents and information within the scope of the FDLP.

■ To help agencies which maintain their own internal printing operations to determine if their needs could be better served, and costs reduced, by either shutting their plants and contracting the printing to the private sector or by contracting the operation of their facilities to the private sector.

**F. Develop a modern, integrated enterprise approach to managing GPO's business, operational and financial systems.**

**Objectives:**

■ To improve operations by enabling managers to have more timely and accurate information for decision making.

■ To reduce costs associated with the operation and maintenance of several stand alone, legacy computer systems.

■ To improve customer satisfaction with more accurate and timely job and billing information.

■ To improve employee satisfaction with timely and integrated personnel information.

**G. Provide the financial resources required to accomplish our Strategic Vision using GPO's own operations and assets as well as normal appropriations, with the exception of a one-time infusion of workforce development and training funds.**

**Objectives:**

■ To maintain the appropriation for Congressional Printing & Binding at existing levels, adjusting only for volume and any increase in direct costs, through fiscal year 2008, thereafter reducing the appropriation by approximately 30% to reflect the operating efficiencies of a new plant and equipment.

■ To maintain the appropriation for the Federal Depository Library Program at existing levels, adjusting only for increases in direct costs, through fiscal year 2008, after which we expect cash generated from operating efficiencies to be used to supplement the existing appropriation level to cover the operating costs of the new digital content system.

■ For Congress to allow GPO to reprogram in fiscal year 2005 existing appropriated funds from prior years that will not be needed, to help pay the onetime costs associated with the development of the digital content system.

# CONGRESSIONAL PRINTING AND BINDING
# BASE BUDGET REVIEW
# FISCAL YEAR 2007

Description of Program

The estimates for Congressional Printing and Binding are to provide funds with which to pay for the cost of printing and binding required for the use of Congress; and for printing, binding, and distribution of Government publications authorized by law to be distributed without charge to the recipient.

FY 2006 Accomplishments

A. Four Color Press. A new four color press was purchased in 2006 that will enhance GPO's capabilities in producing Congressional documents.

B. Public Key Infrastructure. The continued implementation of Public Key Infrastructure (PKI) which allows GPO to deploy security services for trusted transactions based on encryption, assuring confidentiality, integrity and authentication of electronic information made available through *GPO Access*. GPO also plans to use this technology to provide PKI services to Congress to secure the transmission of information to GPO from the Senate and House.

C. MicroComp Replacement. GPO is currently in the process of replacing MicroComp. MicroComp is the composition program developed by GPO to produce the majority of congressional publications. MicroComp uses a markup language that is no longer being used by Congress. Congress is now drafting legislation using XML (eXtensive Markup Language) through LEXA (the Legislative Editing in XML application).

D. Congressional Billings. GPO is in the process of improving and simplifying the billing of Congressional products.

Explanations of Changes

The appropriation requested for Congressional Printing and Binding for fiscal year 2007 is $100,285,000. The requirements for the Congressional Printing and Binding Appropriation for fiscal year 2007 are described below by category.

A. Congressional Record Program. The proceedings of the Senate and House of Representatives are printed in the Congressional Record. Approximately 5,360 copies are printed daily. About 3,602 copies are charged to the Congressional Printing and Binding Appropriation, including about 1,277 copies distributed without charge to recipients designated by Senators. The copies that are not charged to the Congressional Printing and Binding Appropriation are delivered and charged to Government departments on requisitions and to the Superintendent of Documents for sale to subscribers. On-line access to an electronic Congressional Record database was initiated in 1994. Access to this database is also made available to the public and depository libraries in accordance with the provisions of The Government Printing Office Electronic Information Access Enhancement Act of 1993. After the close of each session, the daily proceedings are consolidated, indexed, and about 364 sets

are printed as the bound edition of the Record. About 110 of these sets are for Congressional use and charged to the Congressional Printing and Binding Appropriation. The remaining 254 sets are for public sale, charged to departments on requisition, or distributed to regional depository libraries. An estimated 28,000 pages will be required in fiscal year 2007 and the cost will be approximately $22,993,000.

B. Miscellaneous publications. This item includes printed matter such as the Congressional Directory, Senate and House Journals, memorial addresses of Members, nominations, serial sets, and publications not carrying a document or report number, such as laws, treaties, and similar publications. An estimated $3,866,000 will be required in fiscal year 2007 for approximately 29,000 pages.

C. United States Code & supplements. The 2006 edition of The United States Code and supplements is a set of case bound books containing the general and permanent laws of the United States. It is prepared and published every six years under authority of Title 2, U.S. Code, Section 285b by the Office of the Law Revision Counsel of the House of Representatives. An estimated 53,000 pages will be required and the cost will be approximately $4,705,000.

D. Miscellaneous printing and binding. This item includes letterheads, envelopes, blank paper, wall calendars, miscellaneous services, blank forms, PKI (Public Key Infrastructure), Congressional Visitors Center, Indexing for the Library of Congress, and binding for both Houses. The estimate for fiscal year 2007 is $21,654,000 for about 153 million units.

E. Details to Congress. This item includes the cost for GPO employees detailed to Congress. The estimated cost for fiscal year 2007 is $2,881,000 for 67,000 hours. The GPO is reimbursed from House Committee funds for employees detailed to House Committees.

F. IT Projects. This item includes the Micro Comp Replacement and the Alternate Computing Facility at an approximate cost of $1,960,000 and $420,000 respectively.

G. Document envelopes and document franks. Document envelopes are furnished to Senators and Representatives for the mailing of speeches and documents. Franks are printed individually or in sheets with perforations and are furnished to Members for the mailing of documents. An estimated $957,000 will be needed in fiscal year 2007 for approximately 13 million envelopes at a cost of $943,000 and .2 million franks at a cost of $14,000.

H. Business and committee calendars. This heading covers the printing of all House and Senate business and committee calendars, which list the actions on pending and completed legislation. An estimated $4,785,000 will be required in fiscal year 2007 for approximately 28,500 pages.

I. Bills, resolutions, and amendments. This heading covers the printing of bills, resolutions, and amendments in all forms, including the prints as introduced, referred, reported, and finally passed. The estimate for fiscal year 2007 is $9,268,000 for approximately 120,500 pages.

J. Committee reports. This item covers printed reports of congressional committees on pending legislation which carry a congressional number. An estimated $3,461,000 will be needed for about 37,000 pages in fiscal year 2007.

K. Documents. This heading includes all classes of Senate and House documents ordered printed by Congress which carry a Congressional number, such as annual reports, engineers' reports, special reports made by Government departments in response to resolutions, supplemental and deficiency estimates of appropriations, etc. The estimate for fiscal year 2007 is $2,572,000 for about 35,700 pages.

L. Hearings. This item covers all hearings before Congressional committees. The estimate for fiscal year 2007 is $18,857,000 for approximately 273,600 pages.

M. Committee prints. This item includes publications printed for the internal use of committees on pending legislation. The estimate for fiscal year 2007 is $1,905,000 for 46,000 pages.

CONGRESSIONAL PRINTING AND BINDING APPROPRIATION
BASE BUDGET REVIEW (Detail by Activity)
(In thousands)

| Category | 2005 Actual | 2006 Estimate | 2007 Estimate | Change |
|---|---|---|---|---|
| A. Congressional Record Publications: | | | | |
| Daily Record: | | | | |
| Data Preparation | 13,259 | 13,640 | 13,500 | (140) |
| Printing | 6,249 | 6,428 | 6,361 | (67) |
| Subtotal | 19,508 | 20,068 | 19,861 | (207) |
| Record Index | 1,733 | 1,655 | 1,696 | 41 |
| Record Indexers | 1,251 | 1,385 | 1,436 | 51 |
| Subtotal | 22,492 | 23,108 | 22,993 | (115) |
| B. Miscellaneous publications | 3,328 | 3,382 | 3,866 | 484 |
| C. U. S. Code & Supplements | | | 4,705 | 4,705 |
| D. Miscellaneous printing and binding | 20,905 | 19,560 | 21,654 | 2,094 |
| E. Details to Congress | 2,749 | 2,881 | 2,881 | 0 |
| F. IT Projects | | | 2,380 | 2,380 |
| G. Document envelopes & franks | 626 | 918 | 957 | 39 |
| H. Business and committee calendars | 2,738 | 4,746 | 4,785 | 39 |
| I. Bills, resolutions, and amendments | 10,182 | 8,396 | 9,269 | 873 |
| J. Committee reports | 3,500 | 3,464 | 3,461 | (3) |
| K. Documents | 2,281 | 2,037 | 2,572 | 535 |
| L. Hearings | 17,938 | 17,869 | 18,857 | 988 |
| M. Committee prints | 1,351 | 848 | 1,905 | 1,057 |
| Total Appropriation | 88,090 | 87,209 | 100,285 | 13,076 |

Table 2 Congressional Printing And Binding Appropriation
Detailed Analysis Of Change

| | CALCULATION OF BASE | |
|---|---|---|
| | STAFF | AMOUNT (000) |
| Base, 2006 | - | 87,209 |
| I. Adjustments To Base | 2007 REQUEST | |
| A. Price Level Changes | - | 2,250 |
| 1. Daily Congressional Record: | | |
| 1a. Data Preparation | - | 330 |
| 1b. Printing | - | 155 |
| Subtotal | - | 485 |
| 2. Congressional Record Index | - | 42 |
| 3. Congressional Record Indexers | - | 51 |
| 4. Miscellaneous Publications | - | 94 |
| 5. Miscellaneous Printing and Binding | - | 519 |
| 7. Documents Envelops & Doc. Franks | - | 24 |
| 8. Business & Committee Calendars | - | 121 |
| 9. Bills, Res., & Amdts. | - | 235 |
| 10. Committee Reports | - | 88 |
| 11. Documents | - | 65 |
| 12. Hearings | - | 478 |
| 13. Committee Prints | - | 48 |

Table 2 Congressional Printing And Binding Appropriation
Detailed Analysis Of Change

| | CALCULATION OF BASE | |
|---|---|---|
| | STAFF | AMOUNT (000) |
| B. Program Type Changes | | |
| 1. Activity | - | 10,826 |
| a. Daily Congressional Record: | | |
| 1. Data Preparation | - | (470) |
| 2. Printing | - | (222) |
| Subtotal | - | (692) |
| b. Miscellaneous Printing & Binding | - | 390 |
| c. U. S. Code & Supplements | - | 4,705 |
| d. Miscellaneous Printing & Binding | - | 1,575 |
| e. IT Projects | | 2,380 |
| f. Document Envelopes & Franks | - | 14 |
| g. Calendars | - | (82) |
| h. Bill, Resolutions & Amendments | - | 637 |
| i. Committee Reports | - | (91) |
| j. Documents | - | 470 |
| k. Hearings | - | 511 |
| l. Committee Prints | - | 1,009 |
| II. Net Increase Requested | - | 13,076 |
| III. Appropriation 2007 | - | 100,285 |

| CONGRESSIONAL PRINTING AND BINDING<br>EXPLANATION OF CHANGES SHOWN ON TABLE 2 | | |
|---|---|---|
| | Staff | Amount (000) |
| A. PRICE LEVEL CHANGES | | |
| The average 2.6 percent increase is due to increases in printing costs. | - | 2,250 |
| B. PROGRAM TYPE CHANGES | | |
| 1. Activity (Volume) | | 10,826 |
| a. Daily Record<br>This 3.4-percent decrease is computed based on historical data. | - | (692) |
| b. Miscellaneous Publications<br>This 11.5-percent increase is computed based on historical data which indicates a increase for the Congressional first session year. | - | 390 |
| c. U S Code & Supplements<br>2006 edition, produced every six years. | - | 4,705 |
| d. Miscellaneous Printing & Binding<br>This 8.1-percent increase is computed based on historical data. | - | 1,575 |
| e. IT Projects<br>Microcomp Replacement $1,960,000<br>Alternative Computing Facility $420,000 | - | 2,380 |
| f. Documents Envelopes and Franks<br>This 1.5-percent increase is computed based on historical data. | - | 14 |
| g. Business and Committee Calendars<br>This 1.7-percent decrease is computed based on historical data for the Congressional first session year. The information is cumulative. | - | (82) |
| h. Bills, Resolutions & Amendments<br>This 7.6-percent increase is computed based on historical data. | - | 637 |

| CONGRESSIONAL PRINTING AND BINDING<br>EXPLANATION OF CHANGES SHOWN ON TABLE 2 | | |
|---|---|---|
| C. PROGRAM TYPE CHANGES | Staff | Amount |
| 1. Activity (Volume) | | |
| i. Committee Reports<br>This 2.6-percent decrease is computed based on historical data for the Congressional first session year. | - | (91) |
| j. Documents<br>This is computed based on historical data. | - | 470 |
| k. Hearings<br>This 2.9-percent increase is computed based on historical data for the Congressional first session year. | - | 511 |
| l. Committee Prints<br>This is computed based on historical data. | - | 1,009 |

By Object Class
(In thousands)

| Object Class | 2005 Actual | 2006 Actual | 2007 Estimate | Net Change 2006/2007 |
|---|---|---|---|---|
| 24 Printing & Reproduction | $88,090 | $87,209 | $100,285 | $13,076 |

Congressional Printing And Binding Appropriation
Analysis Of Change to Budget Base
(In thousands)

| Object Class | Price Level Changes | Program Type Changes | Total Changes |
|---|---|---|---|
| 24 Printing & Reproduction | $2,250 | $10,826 | $13,076 |

CONGRESSIONAL PRINTING AND BINDING APPROPRIATION
ESTIMATED COST PER UNIT BY CATEGORY

| Category | Unit 1/ | 2005 | 2006 | 2007 |
|---|---|---|---|---|
| A. Congressional Record Program: | | | | |
| Daily Record: | | | | |
| Data Preparation | Page | 465 | 470 | 482 |
| Printing | Page | 219 | 222 | 227 |
| Subtotal | Page | 684 | 692 | 709 |
| Record Index | Page | 347 | 352 | 361 |
| Record Indexers | Hours | 78 | 81 | 84 |
| B. Miscellaneous publications | Page | 128 | 130 | 133 |
| C. U. S. Code & Supplements | Page | | | 89 |
| D. Misc. printing and binding | 1,000 items | 136 | 138 | 141 |
| E. Details to Congress | Hours | 41 | 43 | 43 |
| F. Document envelopes and franks | 1,000 items | 70 | 71 | 72 |
| G. Business and comm. calendars | Page | 161 | 164 | 168 |
| H. Bills, resolutions, & amdts | Page | 74 | 75 | 77 |
| I. Committee reports | Page | 90 | 91 | 94 |
| J. Documents | Page | 69 | 70 | 72 |
| K. Hearings | Page | 66 | 67 | 69 |
| L. Committee prints | Page | 40 | 40 | 41 |

1/ The unit cost per page is the number of original pages and the cost includes all Congressional copies of each category of work. For example, the per page cost for data preparation for the Daily Congressional Record includes all composition (including file up-date and maintenance for the permanent edition) and prepress costs per original page. The cost for printing includes binding and mailing all of the copies charged to Congress. Based on an average press run of 5,360 copies, the total production cost is 9.5 cents per copypage, including copies ordered by agencies, depository libraries, and for sale to the public. The rider rate for printing additional copies is 0.90 of a cent per copypage.

CONGRESSIONAL PRINTING AND BINDING APPROPRIATION - VOLUME INCREASE OR DECREASE

| Category | Unit | 2005 Total | Increase/(Decrease) Quantity | Increase/(Decrease) Percent | 2006 Total | Increase/(Decrease) Quantity | Increase/(Decrease) Percent | 2007 Total |
|---|---|---|---|---|---|---|---|---|
| A. Congressional Record Program: | | | | | | | | |
| Daily Record: | | | | | | | | |
| Data Preparation | Page | 28,500 | 500 | 1.8 | 29,000 | (1,000) | (3.4) | 28,000 |
| Printing | Page | 28,500 | 500 | 1.8 | 29,000 | (1,000) | (3.4) | 28,000 |
| Record Index | Page | 5,000 | (300) | (6.0) | 4,700 | 0 | 0.0 | 4,700 |
| Record Indexers | Hours | 16,000 | 1,000 | 6.3 | 17,000 | 0 | 0.0 | 17,000 |
| B. Miscellaneous publications | Page | 26,000 | 0 | 0.0 | 26,000 | 3,000 | 11.5 | 29,000 |
| C. U. S. Code & Supplements | Page | | | | | | | 53,000 |
| D. Misc. printing and binding | 1,000 items | 154,000 | (12,177) | (7.9) | 141,823 | 11,419 | 8.1 | 153,242 |
| E. Details to Congress | Hours | 67,000 | 0 | 0.0 | 67,000 | 0 | 0.0 | 67,000 |
| F. Document envelopes and franks | 1,000 items | 9,000 | 4,000 | 44.4 | 13,000 | 200 | 1.5 | 13,200 |
| G. Business and comm. calendars | Page | 17,000 | 12,000 | 70.6 | 29,000 | (500) | (1.7) | 28,500 |
| H. Bills, resolutions, & amdts | Page | 138,000 | (25,997) | (18.8) | 112,003 | 8,497 | 7.6 | 120,500 |
| I. Committee reports | Page | 39,000 | (1,000) | (2.6) | 38,000 | (1,000) | (2.6) | 37,000 |
| J. Documents | Page | 33,000 | (4,000) | (12.1) | 29,000 | 6,700 | 23.1 | 35,700 |
| K. Hearings | Page | 271,300 | (5,300) | (2.0) | 266,000 | 7,600 | 2.9 | 273,600 |
| L. Committee prints | Page | 34,000 | (13,000) | (38.2) | 21,000 | 25,000 | 119.0 | 46,000 |

SUMMARY OF PUBLICATIONS BOUND FOR THE SENATE AND HOUSE
FISCAL YEAR 2003, 2004 and 2005

| | Number of Volumes Bound | | | Amount Billed to Congressional Printing and Binding Appropriation | | |
|---|---|---|---|---|---|---|
| | 2003 | 2004 | 2005 | 2003 | 2004 | 2005 |
| Senate Committees | | | | | | |
| Appropriations | 0 | 95 | 145 | 0 | 34,078 | 70,315 |
| Armed Services | 2 | 12 | 0 | 1,941 | 7,682 | 0 |
| Banking, Housing and Urban Affairs | 9 | 209 | 0 | 5,956 | 54,202 | 0 |
| Commerce, Science, & Transportation | 0 | 19 | 1 | 0 | 18,224 | 850 |
| Committee on Agriculture, Nutrition | 37 | 25 | 0 | 14,786 | 12,050 | 0 |
| Committee on Environment & Public Works | 0 | 13 | 0 | 0 | 12,564 | 0 |
| Committee on Finance | 0 | 0 | 0 | 0 | 0 | 0 |
| Committee on Rules & Administration | 0 | 0 | 0 | 0 | 0 | 0 |
| Democratic Policy | 0 | 0 | 0 | 0 | 0 | 0 |
| Energy & Natural Resources | 11 | 4 | 12 | 16,254 | 1,844 | 13,917 |
| Foreign Relations | 0 | 4 | 0 | 0 | 3,619 | 0 |
| Joint Committee on Taxation | 0 | 0 | 0 | 0 | 0 | 0 |
| Joint Economic Committee | 0 | 0 | 0 | 0 | 0 | 0 |
| Judiciary | 0 | 0 | 34 | 0 | 0 | 19,107 |
| Labor & Human Resources | 12 | 27 | 0 | 5,834 | 10,365 | 0 |
| Legal Counsel | 9 | 0 | 0 | 7,780 | 0 | 0 |
| Republican Policy | 2 | 42 | 12 | 1,311 | 30,830 | 8,993 |
| Secretary of the Senate | 494 | 731 | 401 | 203,080 | 300,815 | 164,628 |
| Select Committee on Indian Affairs | 0 | 11 | 0 | 0 | 8,752 | 0 |
| Small Business | 0 | 0 | 0 | 0 | 0 | 0 |
| Special Committee on Aging | 16 | 0 | 0 | 6,534 | 0 | 0 |
| Total for Senate Committees | 592 | 1,192 | 605 | 263,476 | 495,025 | 277,810 |
| United States Senate | 0 | 56 | 0 | 0 | 10,260 | 0 |
| Total Senate | 592 | 1,248 | 605 | 263,476 | 505,285 | 277,810 |

SUMMARY OF PUBLICATIONS BOUND FOR THE SENATE AND HOUSE
FISCAL YEAR 2003, 2004 and 2005

| | Number of Volumes Bound | | | Amount Billed to Congressional Printing and Binding Appropriation | | |
|---|---|---|---|---|---|---|
| | 2003 | 2004 | 2005 | 2003 | 2004 | 2005 |
| House Committees | | | | | | |
| Agriculture | 16 | 8 | 20 | 6,546 | 3,758 | 8,006 |
| Appropriations | 137 | 158 | 48 | 50,115 | 74,677 | 16,341 |
| Banking and Financial Services | 0 | 0 | 0 | 0 | 0 | 0 |
| Budget | 20 | 0 | 16 | 5,406 | 0 | 5,195 |
| Clerk of the House | 484 | 290 | 714 | 185,329 | 78,673 | 275,223 |
| Economic & Educational Opportunities | 81 | 0 | 0 | 15,456 | 0 | 0 |
| Energy & Commerce | 42 | 0 | 0 | 21,569 | 0 | 0 |
| House Administration | 0 | 188 | 0 | 0 | 62,362 | 0 |
| Government Reform | 13 | 82 | 28 | 7,246 | 38,836 | 12,775 |
| International Relations | 0 | 0 | 32 | 0 | 0 | 12,048 |
| Judiciary | 0 | 25 | 0 | 0 | 12,976 | 0 |
| National Security | 2 | 0 | 0 | 2,082 | 0 | 0 |
| Resources | 0 | 61 | 70 | 0 | 28,651 | 36,025 |
| Rules | 0 | 8 | 0 | 0 | 7,283 | 0 |
| Science | 0 | 59 | 0 | 0 | 24,781 | 0 |
| Small Business | 0 | 0 | 0 | 0 | 0 | 0 |
| Transportation & Infrastructure | 28 | 0 | 20 | 23,559 | 0 | 13,970 |
| U.S. House of Representatives | 0 | 0 | 0 | 0 | 0 | 0 |
| Ways & Means | 0 | 0 | 32 | 0 | 0 | 26,918 |
| Homeland Security | 48 | 128 | 3 | 29,537 | 70,530 | 2,537 |
| Total for House Committees | 871 | 1,007 | 983 | 346,845 | 402,527 | 409,038 |
| Total House Members | 0 | 0 | 2 | 923 | 0 | 554 |
| Total House of Representatives | 871 | 1,007 | 985 | 347,768 | 402,527 | 409,592 |
| By Law | | 120 | | | 21,400 | |
| Congressional Executive Commission | | 1 | | | 548 | |
| TOTAL, CONGRESS | 1,463 | 2,376 | 1,590 | 611,244 | 929,760 | 687,402 |

Congressional Billings For Committees By Category
FY 2005, as of September 30, 2005

| House Committee | Daily Cong. Rec. | Record Index | Record Indexers | Misc. Pubs. | Misc. P&B | Details | Doc. Env. | Doc. Franks | Calendars | Bills | Reports | Documents | Hearings | Committee Prints | TOTALS |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1101 House | 10,015,930 | 775,063 | | 2,156 | 67,627 | 82,730 | | | | | | 9,405 | | | 10,952,911 |
| 1102 Clerk of House | | | | 230,733 | 1,524,910 | 32,068 | | | 3,320,439 | | 35,754 | 395 | 1,348 | | 5,145,647 |
| 1103 House Members | | | | 4,396 | 1,331,814 | | 297,596 | 277,987 | | | | 37,616 | 3,123 | | 1,952,532 |
| 1104 H. Agriculture | | | | | 8,904 | | | | 17,539 | | | | 255,763 | 6,694 | 288,900 |
| 1105 H. Appropriations | | | | 23,841 | 18,812 | | | | | 125,021 | 204,569 | | 5,424,932 | 271,329 | 6,068,504 |
| 1106 H. Armed Services | | | | | 7,873 | | | | | | | | 267,771 | 19,568 | 295,212 |
| 1107 H. Banking | | | | | 3,275 | | | | | | | | 469,976 | 1,502 | 474,753 |
| 1109 H. Economic & Ed. | | | | | | | | | 28,772 | | | | 165,825 | 1,685 | 196,282 |
| 1110 H. International Rel. | | | | | 12,567 | | | | | | | | 267,157 | 2,271 | 281,995 |
| 1111 H. Gov't. Reform | | | | 357 | 283,461 | | | | 25,273 | | 25 | | 1,636,761 | 32,562 | 1,978,439 |
| 1112 H. Administration | | | | 20,200 | 19,375 | | | | | | | | 45,167 | | 84,742 |
| 1113 H. Resources | | | | | 36,705 | | | | 39,559 | | | | 148,481 | 2,171 | 226,916 |
| 1114 H. Commerce | | | | 6,469 | 4,214 | | | | | | | | 806,710 | 22,941 | 840,334 |
| 1115 H. Judiciary | | | | 913 | | | | | 114,685 | | | | 483,423 | 25,559 | 624,580 |
| 1118 H. Transportation | | | | 360 | 15,679 | | | | 21,440 | 8,584 | | | 487,433 | 17,393 | 550,889 |
| 1119 H. Rules | | | | 544 | | | | | 7,164 | 39,488 | | | 7,415 | 1,962 | 56,573 |
| 1120 H. Science | | | | 1,265 | | | | | 7,466 | | | | 213,615 | 1,131 | 223,477 |
| 1122 H. Veteran's Affairs | | | | | 1,687 | | | | 8,486 | | | | 368,837 | 707 | 379,717 |
| 1123 H. Ways & Means | | | | 250 | 208,287 | | | | 64,876 | | | 2,140 | 118,284 | 57,087 | 450,924 |
| 1124 H. Small Business | | | | | 980 | | | | | | | | 153,233 | | 154,213 |
| 1125 H. Security & Coop. | | | | 2,564 | 10,467 | 37,596 | | | | | | | 25,100 | | 75,727 |
| 1126 H. Official Conduct | | | | 76,489 | | 68,370 | | | | | | | | | 144,859 |
| 1127 H. Admin. Officer | | | | 186,318 | 29,075 | | | | | 14,215 | | 40,727 | | | 270,335 |
| 1130 H. Mailing Standards | | | | | | | | | | | | | | | 0 |
| 1131 H. Budget | | | | 700 | 6,715 | | | | | | | 5,986 | 54,794 | 14,331 | 82,526 |
| 1133 H. Legislative Counsel | | | | | 2,564 | 298,592 | | | | | | | | | 301,156 |
| 1134 H. Homeland Security | | | | | 27,786 | 7,052 | | | 3,748 | | | | 232,894 | 2,761 | 274,241 |
| 1135 H. Intelligence | | | | | 2,642 | | | | | | | | | | 2,642 |
| 1137 H. US China Security | | | | 148,362 | 44,360 | | | | | | | | 35,457 | 8 | 228,187 |
| Total Hc | 10,015,930 | 775,063 | 0 | 705,917 | 3,669,779 | 526,408 | 297,596 | 277,987 | 3,659,447 | 187,308 | 240,348 | 96,269 | 11,673,499 | 481,662 | 32,607,213 |

Congressional Billings For Committees By Category
FY 2005, as of September 30, 2005

| Senate Committee | Daily Cong. Rec. | Record Index | Record Indexers | Misc. Pubs. | Misc. P&B | Details | Doc. Env. | Doc. Franks | Calendars | Bills | Reports | Documents | Hearings | Committee Prints | TOTALS |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1141 Senate | 8,754,500 | 720,326 | | 60,204 | 717,012 | | | | 1,770,212 | | 202,234 | 10,836 | | | 12,235,324 |
| 1142 Secretary of Senate | | | | 484,753 | 502,947 | 96,828 | | | | | | 57,704 | 25 | 8,022 | 1,150,279 |
| 1143 Senate Members | | | | 93,321 | 1,459,225 | | | | | | | | | | 1,552,546 |
| 1144 Secy of Sen-Sargeant at Arms | | | | | | 1,069,246 | | | | | | | | | 1,069,246 |
| 1145 S. Agriculture | | | | | 1,333 | 74,906 | | | 9,062 | | | | 71,286 | | 156,587 |
| 1146 S. Appropriations | | | | 1,674 | 116,157 | 259,586 | | | | 15,765 | 28,380 | 2,610 | 462,131 | 26,390 | 912,693 |
| 1147 S. Armed Services | | | | | 12,747 | | | | | | | | 302,233 | 326 | 315,306 |
| 1148 S. Banking | | | | | 7,766 | 178,136 | | | | | | | 269,294 | 2,102 | 457,298 |
| 1149 S. Commerce | | | | | 9,391 | 194,446 | | | 12,449 | | | | 338,780 | 3,033 | 558,099 |
| 1151 S. Finance | | | | | 41,279 | 69,144 | | | | | 15,817 | | 224,688 | 84,158 | 435,086 |
| 1152 S. Foreign Relations | | | | | 24,624 | 135,794 | | | | | | | 196,186 | 2,971 | 359,575 |
| 1153 S. Gov't Affairs | | | | | 5,472 | 72,197 | | | 4,884 | | | | 696,708 | 21,445 | 800,706 |
| 1154 S. Energy | | | | | 27,926 | 77,658 | | | | | | | 173,562 | 2,168 | 281,314 |
| 1155 S. Judiciary | | | | 2,638 | 59,028 | 172,241 | | | 10,280 | | | | 542,475 | | 786,662 |
| 1156 S. Health, Educ., Labor | | | | | 5,483 | 2,752 | | | | | | | 104,872 | 2,026 | 115,133 |
| 1157 S. Capitol Guide Service | | | | | 92,120 | | | | | | | | | | 92,120 |
| 1158 S. Environment | | | | | 12,147 | 77,396 | | | | | | | 204,501 | 48,165 | 342,209 |
| 1159 S. Rules | | | | 10,824 | 6,732 | | | | | | | | | 791 | 18,347 |
| 1160 S. Democratic Policy | | | | | 4,575 | | | | | | | | | 77,015 | 81,590 |
| 1161 S. Republican Policy | | | | 49,706 | 22,987 | 110,370 | | | | | | | | | 183,063 |
| 1162 S. Small Business | | | | | 2,733 | | | | | | | | 79,227 | | 81,960 |
| 1163 S. Aging | | | | | 3,177 | 71,208 | | | | | | | 139,070 | 1,680 | 215,135 |
| 1164 S. Ethics | | | | 13,904 | 1,483 | | | | | | | | | 20,294 | 35,681 |
| 1167 S. Veterans Affairs | | | | | 891 | | | | 26,589 | | | | 68,411 | | 95,891 |
| 1168 S. Legislative Counsel | | | | | 101,307 | 316,196 | | | | | | | | | 417,503 |
| 1169 S. Sergeant at Arms | | | | 85,022 | 236,046 | | | | | | | | | | 321,068 |
| 1170 S. Budget | | | | | 413 | 73,140 | | | | | | 6,414 | 42,293 | 57,199 | 179,459 |
| 1171 S. Legal Counsel | | | | | 2,904 | | | | | | | 4,425 | | | 7,329 |
| 1172 S. Intelligence | | | | | | | | | 7,254 | | | | 224,647 | 8,569 | 240,470 |
| 1174 S. Indian Affairs | | | | | 17,792 | 99,940 | | | | | | | 206,165 | | 323,897 |
| 1176 Office of Compliance | | | | | 4,047 | | | | | | | | | | 4,047 |
| Total Se | 8,754,500 | 720,326 | 0 | 802,046 | 3,499,744 | 3,151,184 | 0 | 0 | 1,840,730 | 15,765 | 246,431 | 81,989 | 4,346,554 | 366,354 | 23,825,623 |

Congressional Billings For Committees By Category
FY 2005, as of September 30, 2005

| Joint Committees | Daily Cong. Rec. | Record Index | Record Indexers | Misc. Pubs. | Misc. P&B | Details | Doc. Env. | Doc. Franks | Calendars | Bills | Reports | Documents | Hearings | Committee Prints | TOTALS |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1183 Joint Committee On Printing | | | | | 310 | | | | | | | | | | 310 |
| 1185 Joint Economic | | | | 562 | 3,562 | | | | | | | 3,420 | 95,012 | 25 | 102,581 |
| 1187 Joint Taxation | | | | 500 | 414 | | | | | | | 4,276 | 13,721 | 147,532 | 166,443 |
| 1191 Joint Committee On The Library | | | | | | | | | | | | | | | 0 |
| 1192 Joint Committee on Inaugural Ceremonies | | | | 27,843 | 1,203,840 | | | | | | | | | | 1,231,683 |
| Total Joint Committees | 0 | 0 | 0 | 28,905 | 1,208,126 | 0 | 0 | 0 | 0 | 0 | 0 | 7,696 | 108,733 | 147,557 | 1,501,017 |
| Miscellaneous | | Microfiche Record | | | | | | | | | | | | | |
| 1181 Bylaw | 3,595,000 | | 1,187,609 | 2,234,998 | 11,215,241 | 77,094 | | | | 9,674,649 | 1,372,894 | 1,410,007 | 5,995 | 6,703 | 30,780,190 |
| 1182 Architect of the Capitol | | | | 89,940 | 141,569 | | | | | 780,642 | | 182 | | | 1,012,333 |
| 1193 Cong.-Exec. Commiss. On China | | | | 12,642 | 2,905 | 66,994 | | | | | | | 18,541 | 3,529 | 104,611 |
| 1196 Senate Caucus On International | | | | | | | | | | | | | 10,077 | | 10,077 |
| Total Miscellaneous | 3,595,000 | 0 | 1,187,609 | 2,337,580 | 11,359,715 | 144,088 | 0 | 0 | 0 | 10,455,291 | 1,372,894 | 1,410,189 | 34,613 | 10,232 | 31,907,211 |
| TOTALS | 22,365,430 | 1,495,389 | 1,187,609 | 3,874,448 | 19,737,364 | 3,821,680 | 297,596 | 277,987 | 5,500,177 | 10,658,364 | 1,859,673 | 1,596,143 | 16,163,399 | 1,005,805 | 89,841,064 |

DETAILS TO CONGRESS AS OF SEPTEMBER 30, 2004 and 2005

| | 2004 | 2005 |
|---|---|---|
| **SENATE COMMITTEES** | | |
| Agriculture, Nutrition, & Forestry | 1 | 1 |
| Appropriations | 3 | 3 |
| Banking, Housing, & Urban Affairs | 2 | 3 |
| Budget | 1 | 1 |
| Commerce, Science, & Transportation | 3 | 2 |
| Energy | 1 | 1 |
| Finance | 1 | 1 |
| Foreign Relations | 2 | 2 |
| Governmental Affairs | 1 | 1 |
| Health, Education, Labor, & Pensions | 0 | 0 |
| Indian Affairs | 1 | 1 |
| Judiciary | 2 | 2 |
| Republican Policy | 1 | 1 |
| Special Committee on Aging | 1 | 1 |
| Environment | 1 | 1 |
| Total Senate Committees | 21 | 21 |
| **HOUSE COMMITTEES** | | |
| Financial Services | 1 | 1 |
| Government Reform | 1 | 1 |
| Commission on Security & Cooperation in Europe | 1 | 1 |
| Select Committee on Homeland Security | 1 | 1 |
| China Commission | 1 | 2 |
| Total House Committees | 5 | 6 |
| **MISCELLANEOUS** | | |
| House Law Revision Counsel | 1 | 1 |
| House Legislative Counsel | 4 | 4 |
| Congressional Service Center (CRS) | 1 | 1 |
| Senate Enrolling Clerk | 0 | 1 |
| Senate Legislative Counsel | 5 | 4 |
| Senate Official Reporters | 0 | 1 |
| Senate Service Department | 3 | 4 |
| Total Miscellaneous | 14 | 16 |
| **SUMMARY** | | |
| Senate Committees | 21 | 21 |
| House Committees | 5 | 6 |
| Miscellaneous | 14 | 16 |
| | 40 | 43 |

# SALARIES AND EXPENSES
# BASE BUDGET REVIEW
# FISCAL YEAR 2007

**Description of Programs**. GPO is responsible for the current and future access to published U.S. Government information, and partially operates under an appropriation which provides funds for: (1) the Federal Depository Library Program; (2) cataloging and indexing Government publications; (3) distribution of Government publications to the International Exchange Service; (4) distribution of certain Government publications to Members of Congress and other Government agencies, as mandated by law. A total of $43,000,000 is requested for FY 2007. A description of the four functions follows:

**Explanation of Changes: Federal Depository Library Program**. The Federal Depository Library Program (FDLP) continues to provide the public with access to U.S. Government publications in tangible collections maintained by designated Federal depository libraries and with direct online access and locator services through GPO Access at <http://www.gpoaccess.gov>.

Electronic information dissemination and access have greatly expanded the number of publications offered to the Federal depository libraries as well as increasing public use of the FDLP content. While the number of new titles distributed in tangible form is decreasing, the number of online titles made available to the Federal depository libraries is increasing. In FY 2005 a total of 25,663 new titles were made accessible via *GPO Access*. During this same time period, GPO distributed 10,303 tangible titles to depository libraries. In FY 1996, 5% of new publications disseminated through the FDLP were online. By the end of FY 2005, electronic information dissemination of new titles increased to 92%. This figure represents new online publications, whether or not tangible versions are also distributed. Certain titles, such as the *Congressional Record*, *Congressional Directory*, and *U.S. Government Manual*, continue to be offered in tangible form even when an electronic copy is also available.

As the FDLP continues its transition to a primarily electronic program, the costs of the program are increasingly related to identifying, acquiring, cataloging, linking to, authenticating, and providing permanent public access to electronic Government information. The Future Digital System, GPO's the new platform for managing these services, will be introduced in FY 2007, providing new tools and new search engines as well as other capabilities. This new environment requires GPO to provide specialized training to depository library staff. Funding is requested to develop web-based instruction modules and consultant services for depository librarians to enable them to better serve their clients in locating and using online Federal information and to provide expanded user support during the transition to a new system.

GPO is also working to provide the public with broader access to the historical legacy collection of tangible U.S. Government publications currently found in Federal depository libraries. These materials will be digitized to ensure they remain in the public

domain and permanently accessible. To facilitate this effort, in collaboration with Federal depository libraries and others in the information community, GPO completed an implementation plan, which establishes digitization priorities. Additional funding is sought for fiscal year 2007 to allow GPO to preserve and provide access to recently digitized files, including data tagging to improve the utility of the information.

GPO is working to ensure the reliability and authenticity of online Government information made available through the FDLP. Public Key Infrastructure (PKI) and digital signature technologies will be used to achieve this. In fiscal year 2006 GPO awarded a bulk-signing contract that will automate the application of digital signatures on PDF files, which is more timely, efficient, and cost effective than manual signing methods. Additional funding is requested to apply digital signatures to new publications acquired through automated harvesting of born digital publications from agency web sites and retrospective content acquired through digitization.

In fiscal year 2007, GPO will continue to invest in improvements to *GPO Access*, including modernizing our persistent identifiers for electronic documents, replacing the current outdated Persistent URL (PURL) technology.

In addition, in fiscal year 2007, the new edition of the U.S. Code will be printed. This new edition occurs every sixth year and results in a substantial increase in our printing and binding costs. This is an essential title for the FDLP. Essential titles contain information which is vital to the democratic process and critical to an informed electorate. They support the public's right to know about the essential activities of their Government. Maintaining these titles in paper format, whether or not they are available electronically, is essential to the purpose of the FDLP.

**Explanation of Changes: Cataloging and Indexing Program**. GPO is charged with cataloging and indexing all publications issued by the Federal Government that are not confidential in character. This National Bibliography of U.S. Government Publications serves libraries and the public nationwide and enables people to locate desired Government publications in all formats. Additional funding is requested for contractual cataloging services to process the increasing workload.

In fiscal year 2006, GPO will make available its new Online Public Access Catalog (OPAC), which takes the place of the *Catalog of Government Publications* database on *GPO Access*. This will expand the coverage by providing records back to 1976 when GPO began creating electronic cataloging records. In FY 2007 contractual services will be used for the conversion of GPO's pre-1976 cataloging records for inclusion in the OPAC. These records will serve as an essential part of the metadata for digitized publications and be included in GPO's online public access catalog. This conversion will greatly assist depository libraries in the cataloging and management of their historical collections, and thereby increase public awareness of, and access to, historical publications held by Federal depository libraries.

In fiscal year 2006, GPO is conducting a harvesting pilot project in cooperation with the Environmental Protection Agency. In fiscal year 2007, GPO will expand web discovery

and harvesting to all Government sponsored web sites. Contractual services will be used to catalog web harvested publications and other online Government information.

**Explanation of Changes: International Exchange Service**. Under the direction of the Library of Congress (LC), GPO distributes tangible Government publications to foreign governments that agree to send to the United States similar publications of their governments for the LC collections. GPO and LC are exploring electronic distribution as an alternative means to serve the libraries participating in the IES program. Currently, distribution is primarily in microfiche.

**By-Law Distribution for other Government agencies and Members of Congress.** GPO administers the dissemination of certain tangible publications as specified by public law.

U.S. Government Printing Office
Superintendent of Documents
Salaries and Expenses
Analysis of Change 2006 to 2007
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| Appropriation, FY 2006 | 114 | $ 33,337 |
| Plus/Minus: Supplementals, Rescissions | - | (333) |
| Adjusted Appropriation, FY 2006 | 114 | 33,004 |
| Mandatory pay and Related Costs | | |
| Comparability pay raise FY 2006 | - | 168 |
| Annualization of pay raise FY 2005 | - | 69 |
| Within-grade increases FY 2006 | - | 76 |
| Total Mandatory Pay and Related Costs | - | 313 |
| Price Level Changes | - | 523 |
| Mandatory Legal Obligations | | |
| US Code edition, printed every 6 years | | 2,000 |
| Increase in overhead expenses due to investment in IT and the future digital system | | 1,250 |
| Total Mandatory Legal Obligations | | 3,250 |
| Program/Project/Activity Increases | | |
| Data tagging and processing new digitized content for access | | 2,000 |
| FDLP training and user support of the future digital system | 10 | 1,327 |
| Cataloging of pre-1976 digitized content | | 800 |
| Cataloging of web-harvested documents | | 628 |
| Authentication of web-harvested and digitized documents | | 450 |
| Capital expenses associated with authentication and access | | 705 |
| Total Program/Project/Activity Increases | 10 | 5,910 |
| Total Increase Over 2006 | 10 | 9,996 |
| Total Offsetting Collections | | |
| Total 2007 Appropriation | 124 | $ 43,000 |

U.S. Government Printing Office
Superintendent of Documents
Salaries and Expenses
Summary By Object Class
(Dollars in Thousands)

| Object Class | FY 2005 Actual (1) | FY 2006 Enacted | FY 2007 Requested | FY 2006/2007 Net Change | |
|---|---|---|---|---|---|
| Breakdown by Program | | | | | |
| By-Law Distribution | $ 221 | $ 173 | $ 273 | $ 100 | (2) |
| Cataloging and Indexing | 3,644 | 6,969 | 8,897 | 1,928 | (3) |
| Federal Depository Library | 26,998 | 25,294 | 33,077 | 7,783 | (4) |
| International Exchange | 834 | 568 | 753 | 185 | (2) |
| Total Budget | $ 31,697 | $ 33,004 | $ 43,000 | $ 9,996 | |
| Breakdown by Object Class | | | | | |
| 11 Personnel Compensation | $ 8,442 | $ 7,123 | $ 8,355 | $ 1,232 | (5) |
| 12 Personnel Benefits | 2,506 | 2,423 | 2,618 | 195 | (6) |
| 21 Travel | 251 | 103 | 267 | 164 | (7) |
| 22 Transportation of Things | 76 | 1,500 | 1,530 | 30 | (8) |
| 23 Rents Communications and Util | 214 | 257 | 262 | 5 | (8) |
| 24 Printing and Reproduction | 10,117 | 8,817 | 9,006 | 189 | (8) |
| 25 Other Services | 9,709 | 12,528 | 19,982 | 7,454 | (9) |
| 26 Supplies and Materials | 382 | 253 | 275 | 22 | (8) |
| 31 Equipment | - | - | 705 | 705 | (10) |
| Total Budget | $ 31,697 | $ 33,004 | $ 43,000 | $ 9,996 | |

(1) Actual and obligated expenditures against the 2005 S&E Appropriation through 09/30/05.

(2) Increase reflects salary, price level, and overhead expense increases.

(3) In addition to the salary, price level, and overhead expense increases, includes funds for cataloging of web-harvested documents and pre-1976 digitized content.

(4) In addition to the salary, price level, and overhead expense increases, includes funds for the US Code edition, capital and operating expenses related to authentication of web-harvested documents, the data tagging and processing of new digitized content, and FDLP training and user support of the future digital

(5) Reflects merit and within-grade increases as well as salaries related to new or expanded programs such as the FDLP training and user support of the future digital system.

(6) Reflects anticipated benefit expenditures based on Personnel Compensation figure.

(7) Increase due to travel related to annual Library meetings as well as FDLP training.

(8) Price level increases.

(9) Includes most new requested miscellaneous expenses, including those identified in footnotes 3 and 4 above.

(10) Capital expenses related to document authentication and digitization.

**US Government Printing Office**
**S&E Appropriation**
**FY2005 - FY2007 Resource Summary**

| | FY05 Enacted | FY05 Actual | FY06 Estimate | FY07 Estimate | Change FY06 to FY07 |
|---|---|---|---|---|---|
| **Operations** | | | | | |
| By-Law Distribution | 313 | 221 | 173 | 273 | 100 |
| Cataloging & Indexing | 4,586 | 3,644 | 6,969 | 8,897 | 1,928 |
| Federal Depository Library | 25,575 | 26,998 | 25,294 | 33,077 | 7,783 |
| International Exchange | 1,223 | 834 | 568 | 753 | 185 |
| **Subtotal Operations** | 31,697 | 31,697 | 33,004 | 43,000 | 9,996 |
| **New Projects & Initiatives (1)** | | | | | |
| Authentication | | 464 | 491 | 553 | 62 |
| Cataloging Contracts and Pre-1976 Catalog Conversion | | | 245 | 1,428 | 1,183 |
| Data Tagging & Processing New Digitized Content | | | | 2,000 | 2,000 |
| FDLP Training & User Support of FDSYS Implementation | | | | 1,327 | 1,327 |
| GPO Access Storage (2) | | | | 602 | 602 |
| **Total Projects & Initiatives** | 0 | 464 | 736 | 5,910 | 5,174 |

(1) The GPO has not tracked expenditures by individual projects and initiatives in the past. Figures shown are estimates.

(2) GPO Access Storage is a capital expense, and is necessary to accommodate the web-harvested and digitized content that will be added.

## REVOLVING FUND

The GPO revolving fund finances the printing, printing procurement, and sales of government publications. Over 70 percent of GPO's printing revenue is from agencies for work procured by the GPO to the private sector printing industry through the Printing Procurement Program. The majority of the Government's printing needs are effectively satisfied through this procurement activity because the highly competitive process provides access to the vast resources, expertise, and specialization within the commercial sector. The Program competitively acquires products and services from the private sector through various types of procurement vehicles tailored to the specific needs of customers. It competitively buys products and services from nearly 2,300 private sector firms in all 50 States. It is one of the Government's most successful procurement programs, assuring the most cost-effective use of the taxpayers' printing dollar. For our customers in Federal agencies, we will continue to provide traditional printed products and services through private sector vendors using GPO's experience and buying power to create the best value for taxpayers. We will offer customers more flexibility in choosing and working directly with vendors.

The GPO's plant facility provides electronic information systems and production technologies to support the information product needs of Congress and Federal agencies. GPO produces the *Congressional Record* overnight when Congress is in session, and bills, hearings, documents, reports, and committee prints in time to support Congress' legislative needs. Also produced in the plant are the *Federal Register*, the *Code of Federal Regulations*, passports, postal cards, and other key Government documents, such as the annual *U.S. Budget*. Paper used by GPO and its contractors meets Federal recycled paper requirements and all GPO printing inks utilize vegetable oil.

GPO offers Government publications for sale to the public. Thousands of titles are available for sale at any given time, including books, CD-ROMs, and other electronic formats. This provides the public with a wide variety of low cost consumer-oriented publications as well as Congressional documents, and Executive and Judicial publications. Documents can also be ordered through GPO's secure Online Bookstore site at http://bookstore.gpo.gov. Free low-cost publications are distributed through the Federal Citizen Information Center in Pueblo, CO. GPO also provides distribution services to Federal agencies.

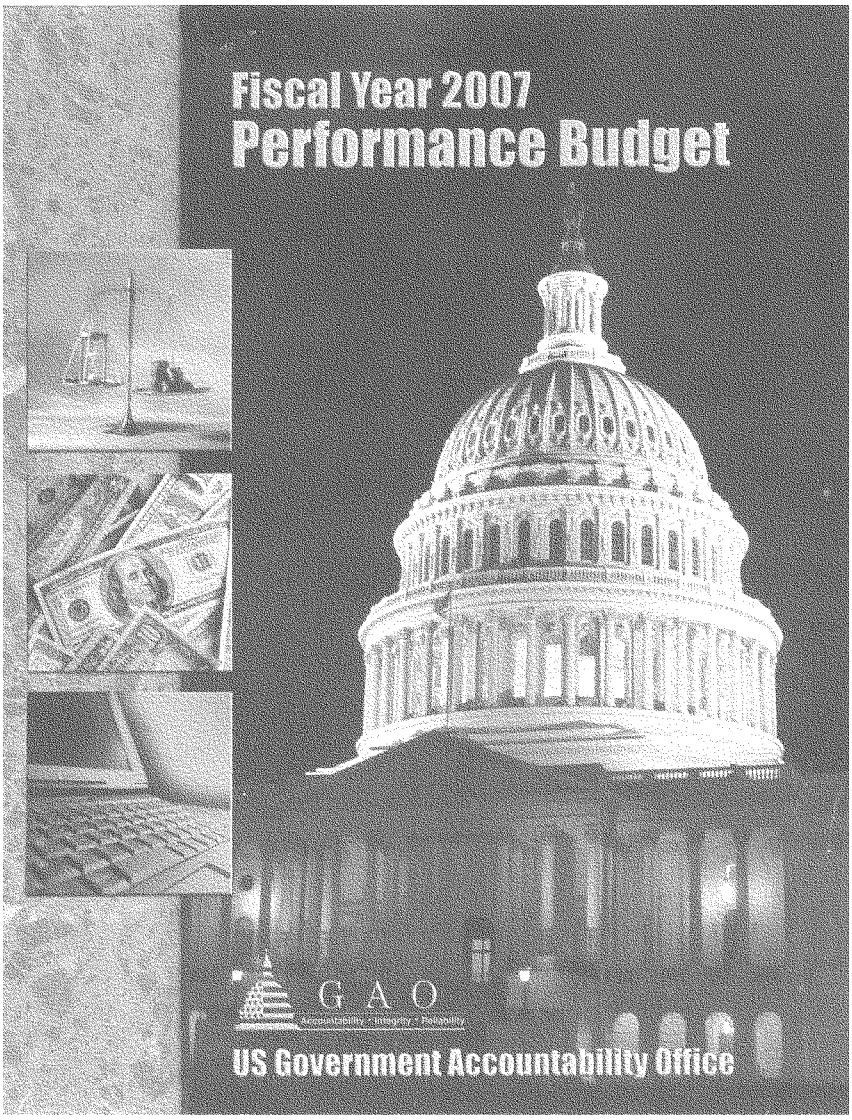
The core of our future operations will revolve around the GPO developed Digital Content System designed to organize, manage and output authenticated content for any purpose and to preserve the content independent of specific hardware or software so that it can be migrated forward and preserved for the benefit of future generations. To meet the continuing needs of Congress and agency customers and provide for a modern information processing environment, we must relocate to new facilities sized and equipped for our future requirements. The GPO's current buildings are both too large and too antiquated and continue to drain the organization of vital resources needed for investment in new technology.

U.S. Government Printing Office
Revolving Fund
Analysis of Change
(Dollars in Thousands)

| | FY 2007 Agency Request | |
|---|---|---|
| | FTE | Amount |
| Obligational Authority, FY 2006 | 2,236 | $ 768,880 |
| Non-recurring Costs | | |
| Equipment to be obligated in FY 06 | - | (8,000) |
| Workforce Retraining in FY 06 | - | (1,980) |
| Total Non-recurring Costs | - | (9,980) |
| Mandatory Pay and Related Costs | | |
| Comparability pay raise 2007 | - | 3,966 |
| Annualization of pay raise 2006 | - | 1,497 |
| Within Grade increases | - | 2,020 |
| Total Mandatory Pay and Related Costs | - | 7,483 |
| Price Level Changes | - | 12,409 |
| Program Increases (Decreases) | | |
| Personnel Compensation and Benefits - | | |
| (1) The increase is due to the additional Production support needed to produce the new electronic passports. | 30 | 1,889 |
| (2) There will be a reduction attributable to attrition within the sales program. | (10) | (775) |
| Supplies and Materials - The increase is attributable to the added cost of the electronic chips to be put into the new passports | - | 80,058 |
| New equipment, infrastructure | - | 4,769 |
| Other Services - Public Key Infrastructure (PKI) | - | 115 |
| To Be Funded by an Appropriation | | |
| (1) Other Services - Workforce Retraining | - | 3,000 |
| (2) Equipment - IT Capital Projects | - | 5,231 |
| Total program increases | 20 | 94,287 |
| Net Increase | 20 | 104,199 |
| Total Budget | 2,256 | 873,079 |
| Total Offsetting Collections | - | 864,848 |
| Total Appropriation | | $ 8,231 |

U.S. Government Printing Office
Revolving Fund
Summary By Object Class
(Dollars in Thousands)

| Object Class | FY 2005 Actual | FY 2006 Enacted | FY 2007 Request | FY 2006/2007 Net Change |
|---|---|---|---|---|
| 11 Personnel Compensation | $ 145,170 | $ 153,007 | $ 159,782 | $ 6,775 |
| 12 Personnel Benefits | 39,729 | 43,903 | 45,725 | 1,822 |
| 21 Travel | 1,212 | 1,193 | 1,220 | 27 |
| 22 Transportation of Things | 9,540 | 10,024 | 10,245 | 221 |
| 23 Rents Communications and Util | 11,749 | 13,767 | 14,069 | 302 |
| 24 Printing and Reproduction | 423,344 | 442,569 | 452,306 | 9,737 |
| 25 Other Services | 5,446 | 18,739 | 20,287 | 1,548 |
| 26 Supplies and Materials | 31,500 | 77,678 | 159,445 | 81,767 |
| 31 Equipment | 8,000 | 8,000 | 10,000 | 2,000 |
| Total Budget | $ 675,690 | $ 768,880 | $ 873,079 | $ 104,199 |


Fiscal Year 2007
Performance Budget
GAO
Accountability · Integrity · Reliability
US Government Accountability Office

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## SUMMARY OF BUDGETARY RESOURCES NEEDED FOR FY 2007

GAO is requesting budget authority of $509.4 million to support a full-time equivalent (FTE) staff level of 3,267 FTEs to achieve our fiscal year 2007 performance goals to support the Congress as outlined in our strategic plan for fiscal years 2004 through 2009. To achieve our strategic goals and objectives, we must have the human capital, fiscal, and other resources to carry out our responsibilities. During fiscal year 2007, we plan to sustain our investment to maximize the productivity of our workforce and "lead by example" within the federal government in these and other critical management areas. We expect to maintain the progress we have achieved in addressing our three major management challenges: human capital, information security, and physical security.

Our fiscal year 2007 budget request represents a modest increase of about $25 million (or 5 percent) over our fiscal year 2006 revised funding level—primarily to cover uncontrollable mandatory pay and price level increases. This request reflects a reduction of nearly $5.4 million in nonrecurring fiscal year 2006 costs. The request also includes about $7 million in one-time fiscal year 2007 costs, which will not recur in fiscal year 2008, to upgrade our business systems and processes.

Our fiscal year 2007 budget request includes approximately $502 million in direct appropriations and authority to use about $7 million in estimated revenue from rental income and reimbursable audit work as illustrated in table 1.

**Table 1: Fiscal Year 2005-2007 Summary of Budgetary Resources**
(Dollars in thousands)

| | FY 2005 Actual | | FY 2006 Revised | | FY 2007 Estimate | | Change FY 2006 to 2007 | |
|---|---|---|---|---|---|---|---|---|
| **Funding source** | **FTEs** | **Amount** | **FTEs** | **Amount** | **FTEs** | **Amount** | **FTEs** | **Amount** |
| Appropriation | | $466,695 | | $477,571 | | $502,370 | | $24,799 |
| Rental income | | 4,880 | | 5,053 | | 4,980 | | (73) |
| Audit reimbursement | | 2,480 | | 2,040 | | 2,005 | | (35) |
| **Total budgetary resources** | **3,189** | **$474,055** | **3,217** | **$484,644** | **3,267** | **$509,355** | **50** | **$24,691** |

In fiscal year 2007, we are requesting authority to use about $5 million in rental income, primarily from the U.S. Army Corps of Engineers' rental of space in the GAO headquarters building. We are also requesting authority to use $2 million in anticipated reimbursements from the Federal Deposit Insurance Corporation (FDIC), including $1.7 million as reimbursement for an audit of the FDIC's fiscal year 2006 financial statements and about $305,000 collected from FDIC in prior years. The funds collected in prior years exceeded our requested budget authority for those years.

A summary of the requested change in our budget authority is shown in table 2 and explained in further detail below. Also, Schedule C, Detail Analysis of Changes, provides additional information on these changes (see the Summary Budgetary Schedules section).

**Table 2: Fiscal Year 2007 Summary of Requested Changes**
(Dollars in thousands)

| Budget category | FTEs | Amount | Cumulative percent of change |
|---|---|---|---|
| **FY 2006 enacted budget authority** | **3,217** | **$489,560** | |
| **Less: rescission** | | (4,896) | |
| **FY 2006 revised budget authority** | | **$484,664** | |
| **FY 2007 requested changes** | | | |
| Nonrecurring FY 2006 costs | | ($5,380) | (1%) |
| Mandatory pay costs | | 18,469 | 3% |
| Price level costs | | 4,073 | 4% |
| Relatively controllable costs | 50 | 7,528 | |
| Adjustment due to rounding | | 1 | |
| **Subtotal – requested changes** | **50** | **$24,691** | **5%** |
| **FY 2007 budget authority** | **3,267** | **$509,355** | |

**Nonrecurring Fiscal Year 2006 Costs**

Our fiscal year 2007 budget request reflects a reduction of approximately $5.4 million in nonrecurring fiscal year 2006 costs. This amount also reflects savings from program changes to streamline and reduce costs. Table 3 summarizes estimated nonrecurring costs. Additional details are provided in the following sections.

**Table 3: Nonrecurring Fiscal Year 2006 Costs**
(Dollars in thousands)

| Program | Amount |
|---|---|
| Other compensation – reflects nonrecurring payments to separating staff for unused annual leave balances. See page A-13. | ($300) |
| Training and development – reflects completion of curriculum development. See page A-15. | (261) |
| Information technology – reflects nonrecurring software and hardware purchases, and operations and system development costs. See page A-23. | (3,077) |
| Building management – reflects completion of building maintenance and repair projects, such as upgrades to the fire sprinkler and telephone systems and the relocation of the San Francisco field office. See page A-27. | (1,380) |
| Knowledge services – reflects savings from reductions in printed materials due to increased issuance of reports in electronic format. See page A-31. | (30) |

| Program | Amount |
|---|---|
| Human capital operations – reflects reductions in activities and completion of initiatives, such as compensation surveys, position classification updates, reference checks, retirement counseling, and recruiting. See page A-33. | (303) |
| Support services – reflects nonrecurring audit support services. See page A-34. | (30) |
| Adjustment due to rounding | 1 |
| **Total nonrecurring costs** | **($5,380)** |

**Mandatory Pay Costs**

Our fiscal year 2007 budget requests almost $18.5 million to fund mandatory pay costs as summarized in the following table. Additional details are provided in the following sections.

**Table 4: Mandatory Pay Costs**
(Dollars in thousands)

| Program | Amount |
|---|---|
| Cost to maintain the workforce at fiscal year 2006 levels. See page A-12. | $8,384 |
| Civilian pay raise scheduled for January 2007 estimated at 2.7 percent. See page A-12. | 5,140 |
| Increase in employer benefits costs due to higher salary rates, and changes in rates for health insurance and other benefits plans. See page A-12. | 2,454 |
| Performance-based merit increases. See page A-12. | 2,446 |
| Increased cost of workers' compensation claims from the Department of Labor (DOL). See page A-13. | 37 |
| Anticipated January 2007 cost of living adjustment for annuity of retired Comptroller Generals. See page A-13. | 8 |
| **Total mandatory pay costs** | **$18,469** |

**Price Level Costs**

We have estimated the cost to maintain purchasing power and sustain current operating levels due to projected inflationary cost increases in common carrier transportation costs, travel per diem rates, contract services, training, supplies and materials, and other essential mission support services. Where appropriate, rates are based on negotiated contracts, vendor

notification, or historical trend data. For example, labor contract costs, including union wage adjustments, typically increase about 5 percent annually. In fiscal year 2006, travel and transportation costs increased between 10 to 15 percent for our top travel destinations and are expected to increase further due to rising fuel costs and other factors. We have also considered guidance from the Congressional Budget Office and OMB. Some anticipated cost increases have been offset through program cost reductions. We are requesting about $4.1 million to cover remaining estimated costs (See table 5).

**Table 5: Price Level Costs**
(Dollars in thousands)

| Program | Amount |
|---|---|
| Training and development course delivery costs. See page A-15. | $75 |
| Rewards and recognition program – recognize cost of inflation and estimated price increases for plaques, frames, and tokens of appreciation. See page A-17. | 68 |
| Travel per diem and transportation costs. See page A-19. | 933 |
| Information technology contract rate increases. See page A-23. | 1,230 |
| Building management utilities, space, and contract rate increases. See page A-27. | 1,043 |
| Knowledge services publications and information resources contract rate increases. See page A-31. | 613 |
| Human capital contract rate increases. See page A-33. | 90 |
| Support services contract rate increases. See page A-34. | 22 |
| Adjustment due to rounding | (1) |
| **Total price level costs** | **$4,073** |

**Relatively Controllable Costs**

Our fiscal year 2007 budget requests about $7.5 million to cover relatively controllable costs as outlined in the following table. Additional details are provided in the following sections.

**Table 6: Relatively Controllable Costs**
(Dollars in thousands)

| Program | Amount |
|---|---|
| Salaries and benefits – reflects costs to recruit permanent staff to meet succession planning needs, fill critical vacancies, and meet workload demands offset by nonrecurring salaries of departing staff. See page A-12. | ($3,082) |

| Program | Amount |
|---|---|
| Training and development – provides funds to enhance leadership and executive development programs, conduct mandatory curricula for analysts that will be developed in fiscal year 2006, and provide additional courses to staff needed to ensure certification. See page A-15. | 258 |
| Transit subsidy – provides funds for projected increase in staffing levels. See page A-18. | 30 |
| Student loan repayment program – provides increased funds for recruitment and retention incentives due to increase in the number of eligible staff and to increase the repayment amount consistent with recently enacted legislation. See page A-18. | 500 |
| Contract services – provides funds to obtain contract assistance to support congressional engagements and address supply and demand imbalances impacting our ability to respond to congressional interest in areas, such as health care, disaster assistance, homeland security, the global "war on terrorism", and forensic auditing. See page A-21. | 500 |
| Overseas support – provides funds to establish a presence in the Middle East to provide more timely responsive information. See page A-22. | 261 |
| Information technology – provides funds to replace GAO's financial management system, enhance our legacy business systems, and improve IT security, LAN services, and network operations. See page A-23. | 3,894 |
| Building management – provides funds to conduct cyclical building maintenance, upgrade the air conditioning system, increase security for incoming mail and packages, extend the physical access system to field office locations, and enhance security facilities in the field. See page A-27. | 3,819 |
| Knowledge services – provides funds to develop an on-line resources training tool, digitize legislative history material, and upgrade video equipment. See page A-31. | 382 |
| Human capital – provides funds to outsource administrative human capital activities. See page A-33. | 658 |
| Support services – provides funds to outsource event coordination activities and administrative support services. See page A-34. | 309 |
| Adjustment due to rounding | (1) |
| **Total – relatively controllable costs** | **$7,528** |

**Resources by Program**

Our fiscal year 2007 budget request supports three broad program areas: Human Capital, Engagement Support, and Infrastructure Operations. Consistent with goal 4 of our strategic plan—to be a model agency—we have undertaken a number of initiatives to implement performance-based, market-oriented compensation systems; adopt best practices; benchmark service levels and costs; streamline our operations; cross-service and outsource activities; and leverage technology to increase efficiency, productivity, and results.

**Human Capital**

- Salaries and Benefits
- Other Compensation
- Training and Development
- Rewards and Recognition
- Transit Subsidy
- Student Loan Repayments

The Human Capital Program provides the resources needed to support a diverse, highly educated, knowledge-based workforce comprising individuals with a broad array of technical and program skills and institutional memory. This workforce represents GAO's human capital—its greatest asset—and is critical to the agency's success in serving the Congress and the nation. In fiscal year 2007, we plan to achieve a staffing level of 3,267 FTEs in accordance with our Human Capital Strategic Plan and our annual workforce plan. Human Capital Program costs represent nearly 80 percent of our requested budget authority.

**Engagement Support**

- Travel
- Contract Services
- Overseas Support

To further ensure our ability to meet congressional needs, we plan to allocate approximately $17 million for Engagement Support to:

- conduct travel, a critical tool to accomplish our mission of following the federal dollar across the country and throughout the world, and to ensure the quality of our work;
- contract for expert advice and assistance when needed to meet congressional timeframes for a particular audit or engagement; and
- establish a presence in the Middle East to provide more timely, responsive information on U.S. activities in the area.

**Infrastructure Operations**

- Information Technology
- Building Management
- Knowledge Services
- Human Capital Operations
- Support Services

In addition, we plan to allocate about $91 million—or about 18 percent of our total request—for Infrastructure Operations Programs and initiatives to provide the critical infrastructure to support our work. Each of these activities are discussed in detail below:

- Information Technology, including maintenance and operation of software, hardware, and systems and IT services;

- Building Management, including maintenance and operation of GAO facilities, security and safety services, and asset management services;
- Knowledge Services, including information assets and services, electronic media, publications and dissemination, Shared Services Centers, and mail and messenger services;
- Human Capital Operations, including employee recruitment, retention, and counseling; position management and classification, and payroll operations; and
- Support Services, including administrative support, financial management operations, and special studies.

Table 7 summarizes program costs and requirements for fiscal years 2005 through 2007.

**Table 7: Summary of GAO's Budgetary Resource Requirements by Program**
(dollars in thousands)

| Program | FY 2005 operating plan | FY 2005 actual | FY 2006 revised | FY 2007 estimate | Change FY 2006 to 2007 |
|---|---|---|---|---|---|
| **Human Capital** | | | | | |
| FTEs | 3,200 | 3,189 | 3,217 | 3,267 | 50 |
| Salaries and benefits | $365,638 | $365,096 | $369,822 | $385,164 | $15,342 |
| Other compensation | 4,300 | 4,538 | 4,960 | 4,705 | (255) |
| Training and development | 3,700 | 3,502 | 3,886 | 3,958 | 72 |
| Rewards and recognition | 2,400 | 2,267 | 2,600 | 2,668 | 68 |
| Transit subsidy | 1,850 | 1,897 | 1,915 | 1,945 | 30 |
| Student loan repayments | 1,150 | 1,154 | 1,625 | 2,125 | 500 |
| Adjustment due to rounding | | (1) | (1) | (1) | (1) |
| **Subtotal – human capital** | **$379,038** | **$378,453** | **$384,807** | **$400,564** | **$15,756** |
| **Engagement Support** | | | | | |
| Travel | $11,550 | $11,942 | $12,311 | $13,244 | $933 |
| Contract services | 2,526 | 1,926 | 3,000 | 3,500 | 500 |
| Overseas support | | | 440 | 701 | 261 |
| **Subtotal – engagement support** | **$14,076** | **$13,868** | **$15,751** | **$17,445** | **$1,694** |
| **Infrastructure Operations** | | | | | |
| Information technology | $48,224 | $46,287 | $46,452 | $45,511 | ($941) |
| Building management | 23,773 | 20,598 | 23,025 | 25,955 | 2,930 |
| Knowledge services | 6,740 | 6,666 | 6,987 | 7,605 | 618 |
| Human capital operations | 1,477 | 2,044 | 1,368 | 1,813 | 445 |
| Support services | 1,237 | 1,154 | 1,177 | 1,478 | 301 |
| Adjustment due to rounding | | | 1 | 1 | |
| **Subtotal – infrastructure operations** | **$81,451** | **$76,749** | **$79,010** | **$82,363** | **$3,353** |

| Program | FY 2005 operating plan | FY 2005 actual | FY 2006 revised | FY 2007 estimate | Change FY 2006 to 2007 |
|---|---|---|---|---|---|
| **Initiatives** [a] | | | | | |
| Information technology | | $2,054 | $3,459 | $6,448 | $2,989 |
| Building management | | 2,931 | 1,632 | 2,184 | 552 |
| Knowledge services | | | 4 | 351 | 347 |
| **Subtotal – initiatives** | | **$4,985** | **$5,095** | **$8,983** | **$3,888** |
| **Total budget authority** | **$474,565** | **$474,055** | **$484,664** | **$509,355** | **$24,691** |
| **Percentage of change** | | | | | |

[a] The cost of initiatives included in the fiscal year 2005 operating plan is not available.

### Human Capital Program

> **"The entire federal government faces a growing human capital crisis, and eventually every department and agency will have to consider the types of changes GAO has undertaken."**
>
> **David M. Walker, Comptroller General of the United States**

*The Human Capital Challenge:* GAO supports the Congress in meeting its constitutional responsibilities and helps improve the performance and ensure the accountability of the federal government for the benefit of the American people. Given our role as a key provider of professional and objective information and analyses to the Congress, maintaining the right mix of technical knowledge and expertise as well as general analytical skills is vital to achieving our mission. We spend about 80 percent of our resources on our people, but without excellent human capital policies and management practices, we could run the risk of being unable to lead by example and meet the expectations of the Congress and the American people.

In striving to be a role model for other federal agencies, GAO manages human capital by aligning its staff with organizational needs and goals, attracting and retaining a diverse workforce, being regarded as an employer of choice, and motivating and rewarding high-performing staff by maintaining a work environment that is conducive to performance excellence. The implementation of GAO's Human Capital Strategic Plan for fiscal years 2004-2006 continues to be a key step toward building a highly effective, performance-based organization with the capacity to attract, retain, and motivate a high-performing workforce, while being fiscally responsible.

> **One of the best places to work as recognized by**
>
> - **the Partnership for Public Service, and**
> - **the *Washingtonian* magazine.**

In fiscal year 2005, we continued to enhance our performance management and compensation systems through new and enhanced policies and processes. To improve our Performance-Based Compensation System, with the help of a well-regarded consulting firm, we revised the process for determining performance-based compensation that more directly links individuals' performance with his or her compensation. We worked with the same consulting firm to perform a market-based compensation study in an effort to design a competitive, fair, and equitable

compensation program aligned with competitive labor markets in which we compete for talent. Based on the results of the market-based compensation survey, we have invested significantly in restructuring our analyst and analyst-related specialist Band II pay band into two pay levels to better align individual staff with their actual roles and responsibilities and related market compensation levels. We expect many of these compensation system changes to be implemented in fiscal year 2006.

In addition, we continued providing our staff with courses and opportunities to develop their knowledge and expertise, build their competency, and strengthen their leadership skills. We designed and delivered new competency-building courses and implemented an adjunct faculty program to increase the number of our subject matter experts available to develop content for new courses, expand the range of courses available, and provide training throughout the year. We realigned course delivery among three learning hubs rather than centralizing course delivery in headquarters in an effort to deliver required core courses to Band I analyst staff in the field offices. We estimate that this realignment will result in substantial cost avoidance and other benefits, such as networking among and across teams, a sustained focus on learning, larger classes that make more effective use of adjunct faculty time, and the opportunity to strengthen matrixed work relationships through shared learning experiences.

**"Piece by piece, GAO has built a modern human capital system that is credible, equitable, affordable, and linked to the agency's strategic plan. "**

**David M. Walker, Comptroller General of the United States**

*Fiscal Year 2005—2007 Workforce Plan:* To recruit, reward, and retain a highly qualified, high-performing, and diverse workforce remains one of our most important challenges. In fiscal year 2005, we employed a number of strategies to improve our recruitment efforts to support our workforce plan, including increasing the use of short-term and time-limited appointments and direct-hire authorities, as well as, implementing a pilot program for undergraduate cooperative education program participants. In fiscal year 2005, GAO utilized 3,189 FTEs—slightly less than one percent reduction from our revised operating plan level of 3,200 FTEs. This shortfall is primarily due to increased competition in the job market in certain technical fields, such as financial auditing. As a result, we experienced unprecedented difficulty in attaining highly-qualified candidates for these positions. In addition, the uncertainty of the magnitude of the then pending rescission caused us to move cautiously in hiring staff and contributed to a lower FTE usage. While continuing efforts to aggressively fill these positions, we have also taken a number of other actions to improve our recruiting posture.

We have revised our fiscal year 2006 workforce plan to better support the agency's strategic plan, align GAO's workforce to meet mission needs and correct some skill imbalances. Our recruitment strategy includes enhancements or expansions of existing programs, such as offering internships throughout the year; fully implementing a cooperative education program; implementing governmentwide flexibility for noncompetitive appointments into the Professional Development Program—our system for developing and exposing new, entry-level staff during their first 2 years of employment; and using special teams to employ targeted recruiting for unique skill sets, hard-to-fill positions, and diversity recruiting. We have also increased the number of planned fiscal year 2006 hires by 125 to almost 500 staff. This represents an aggressive hiring posture and the maximum number of staff we could absorb during fiscal year 2006.

In fiscal year 2006, GAO will also offer employees a voluntary early retirement opportunity (VERA). This offer is designed to support our strategic plan and help us absorb the recently announced one percent budget rescission for fiscal year 2006. This VERA offer will also help us to better align GAO's workforce to meet mission needs, correct selected skill imbalances, and reduce high-grade supervisory and managerial positions, while meeting the desires of selected GAO personnel who want to retire early. In addition, we will continue to rely on external experts and advisors in areas where expert advice or assistance is needed within compressed timeframes or is not readily available within GAO. We expect these actions will position GAO to achieve full utilization of our requested level of 3,217 FTEs in fiscal year 2006, enabling us to address supply and demand imbalances impacting our ability to respond to congressional interest in areas such as health care, disaster assistance, homeland security, the global "war on terrorism", and forensic auditing.

In fiscal year 2007, we are requesting budget authority to support an FTE level of 3,267, an increase of about 50 FTEs. In fiscal year 2006, we tempered our budget request and managed to lower FTE levels. However, we believe that 3,267 FTEs, a level achieved in earlier years, is a more optimal staff level for GAO and would allow GAO to more successfully meet the needs of the Congress and better respond to the increasing number of demands being placed on GAO, including a dramatic increase in health care mandates, and broad congressional interest areas such as national preparedness and homeland security.

While we have made progress in addressing the human capital challenge, more work remains to be done. In fiscal year 2006, we plan to:

- Implement the market-based compensation ranges for our analyst and analyst-related staff,
- Implement the market-based compensation ranges for our administrative professional and support staff,
- Implement changes necessary to restructure our analyst Band II staff,
- Continue to strengthen our recruiting processes to better meet the needs of the agency and support our strategic goals, and
- Obtaining a better understanding of the retention factors affecting GAO.

*Transformation Effort:* We continued to strengthen our strategic human capital management by realigning our Human Capital Office during fiscal year 2005 to better meet the needs of our internal customers. By consolidating our services under four centers of excellence, we will improve our customer focus, clarify lines of delegated authorities, standardize guidance across the Human Capital Office, and dedicate more of our resources to direct customer support. These centers of excellence are the Talent Acquisition and Human Capital Consulting Center, the Strategic and Operations Center, the Performance Compensation and Management Center, and the Learning Center.

The Human Capital Office uses a balanced set of performance measures to monitor and measure success related to the transformation efforts and strategies designed to achieve the GAO vision and mission. GAO monitors and measures customer service, resource management, business processes, and employee learning and growth. Ongoing activities monitored and measured through the Chief Administrative Office's balanced score card also include customer satisfaction; implementation of a pilot electronic customer comment card; enhancement of online learning through innovations in the Learning Center, enabling staff to enhance skills and stay abreast of leading edge changes in their work via Web-based learning; managing recruitment and talent acquisition by reducing the time to make employment offers; and implementing performance-based compensation. GAO continues to explore greater efficiencies through business process modernization of the human resource information system.

In fiscal years 2006 and 2007, GAO's Human Capital Office will build upon the successful efforts that began in 2005 to transform from a support oriented, transaction-based entity to one that is strategic and consultative. We will also update our Human Capital Strategic Plan.

The Human Capital Centers for Excellence ensure that human capital policies, systems, and strategies are realized in a cost efficient, effective, and customer-centric manner. In fiscal years 2006 and 2007, the centers will focus on adding value to services provided within GAO and on increasing the consultative and decision-making support component of its operations. Each center provides the structure and leadership required to achieve GAO's vision of being a model federal agency and world-class professional services organization.

GAO's human capital costs include a number of components, each of which is discussed below.

Salaries and Benefits

The Salaries and Benefits Program provides funds for our proposed staffing level of 3,267 FTEs in accordance with our Human Capital Strategic Plan and annual workforce plan. In fiscal year 2007, we plan to increase our FTE level from 3,217 to 3,267—a level achieved in previous years. The increase in FTEs is needed to allow GAO to begin to address the supply and demand imbalances impacting our ability to respond to congressional interest, primarily in the areas of health care, disaster assistance, homeland security, and the global "war on terrorism". We are able to offset the estimated cost of new hires by recruiting entry-level staff at lower salary levels than the salary of departing staff.

The Salaries and Benefits Program costs include base salaries, locality payments, and other payments that are part of employees' personal compensation. This program also provides funds for employer contributions to employee benefit plans, including health benefits and life insurance, the Civil Service Retirement System (CSRS), the Federal Employees' Retirement System (FERS) Thrift Savings Plan, the Social Security trust fund, and recruitment and retention incentive payments. Salary and benefits costs have been developed consistent with the appropriations committee guidance for estimating these costs.

**Table 8: Summary of Budgetary Resources and Requested Changes – Salaries and Benefits** (Dollars in thousands)

| | |
|---|---|
| **FY 2005 operating plan** | **$365,638** |
| **FY 2005 actual** | **$365,096** |
| **FY 2006 revised** | **$369,822** |
| **FY 2007 requested changes** | |
| Mandatory pay costs | |
| Cost to maintain the workforce | 8,384 |
| Civilian pay raise | 5,140 |
| Benefits | 2,454 |
| Performance-based merit increases | 2,446 |
| Subtotal – mandatory pay costs | **$18,424** |
| Relatively controllable costs | |
| Changes to the workforce | (3,082) |
| **Subtotal – requested changes** | **$15,342** |
| **FY 2007 budget authority** | **$385,164** |

*Cost to maintain the workforce:* The estimated cost of about $8.4 million represents funds needed to maintain our workforce in fiscal year 2007 to cover the full-year annualization costs associated with pay increases provided in fiscal year 2006. It represents the amount needed to cover fiscal year 2006 salaries in fiscal year 2007 assuming no other staff changes—the difference between the estimated full-year cost and costs to be paid in fiscal year 2006 for the January 2006 annual pay raise, merit increases, promotions, and staff salaries. Estimated costs are offset by expected savings from leave-without-pay and part-time schedules. Also included are costs to maintain our student intern program and continue to obtain expertise through the knowledge transfer program. The intern program has been an effective recruitment tool for permanent hires, especially in our specialized areas of accounting and financial management. The knowledge transfer program is a vital tool in our succession planning strategy helping to ensure continuity of operations.

*Civilian pay raise:* The fiscal year 2007 estimate includes about $5.1 million to fund the anticipated January 2007 pay raise at 2.7 percent. The percentage increase is based on guidance from the Appropriations Committee and the Legislative Branch Financial Managers Council, and assumes that pay parity between the military and civilian work forces will be maintained.

*Benefits:* The fiscal year 2007 estimate includes an increase of just under $2.5 million to cover anticipated increases in employer contributions to employee benefits plans due to anticipated health benefits rate increases; increases in the Social Security taxable wage base; changes in the proportion of staff for whom full payments are made to CSRS, FERS Thrift Savings Plan,

and the Social Security trust funds; and increased staffing levels. The increasing number of staff covered by FERS—from 45 percent of the total workforce in 1998 to 71 percent in 2006—has had a significant impact on employer benefits costs. On average, our benefits rate is about 15 percent of salary for CSRS staff, compared with 29 percent for FERS staff.

*Performance-based merit increases:* The fiscal year 2007 estimate includes about $2.5 million to fund performance-based merit increases in lieu of within-grade increases for analysts, legal staff, and APSS covered under the banded pay systems, and noncareer-ladder promotions for staff competitively promoted to positions of more responsibility. Our estimate is based on historical data on the number of staff pay increases and the percentage of change in pay.

*Changes to the workforce:* In fiscal year 2006, we anticipate a reduction in GAO's average annual salary cost due to (1) departing staff at salary ranges higher than newly hired staff, and (2) changes in the proportion of merit increases provided to staff as adjustments to basic salary versus lump sum payments. This reduction, along with savings from estimated staff departures in fiscal year 2007, provides funds needed to recruit replacement staff to meet succession planning needs, fill critical vacancies, and address workload imbalances.

- *Attrition:* We estimate salary savings of about $14.4 million in fiscal year 2007 from retirement or attrition of about 300 staff.

- *Recruiting:* The fiscal year 2007 estimate includes about $11.3 million to implement our workforce plan to recruit permanent staff to fill vacancies resulting from anticipated retirements and attritions, and increase our staffing level from 3,217 to 3,267 FTEs. Our estimate is based on planned hires at varying position levels—primarily the entry level—needed to sustain our workload demands, address the supply and demand imbalances impacting our ability to respond to congressional interest in areas, such as health care, disaster assistance, homeland security, the global "war on terrorism", and forensic auditing, achieve the goals and objectives outlined in our strategic plan, meet succession planning needs, remain within our planned FTE level, and maintain the proper mix of skills and experience levels.

Other Compensation

**Table 9: Summary of Budgetary Resources – Other Compensation**
(Dollars in thousands)

| | |
|---|---|
| **FY 2005 operating plan** | **$4,300** |
| **FY 2005 actual** | **$4,538** |
| **FY 2006 revised** | **$4,960** |
| **FY 2007 requested changes** | |
| Mandatory costs | 45 |
| Nonrecurring FY 2006 costs | (300) |
| **Subtotal – requested changes** | **($255)** |
| **FY 2007 budget authority** | **$4,705** |

**Table 10: Other Compensation – Program Summary**
(Dollars in thousands)

| Program | FY 2005 operating plan | FY 2005 actual | FY 2006 revised | FY 2007 estimate | Change FY 2006 to 2007 |
|---|---|---|---|---|---|
| Separation payments | $2,924 | $3,234 | $3,535 | $3,235 | ($300) |
| Workers' Compensation | 831 | 831 | 863 | 900 | 37 |
| Annuity of retired Comptroller Generals | 284 | 284 | 292 | 300 | 8 |
| Relocation benefits | 175 | 94 | 175 | 175 | |
| Differential pay | 86 | 95 | 95 | 95 | |
| **Total** | **$4,300** | **$4,538** | **$4,960** | **$4,705** | **($255)** |

*Separation Payments:* This program provides funds (1) to reimburse the DOL for unemployment compensation paid to former employees, and (2) for payments to separating employees who leave the federal service or transfer to a noncompatible leave system (in the judicial or legislative branches) for unused compensatory time, annual leave, and credit hours. In fiscal year 2005, the actual number of staff separations was slightly higher than estimated in our operating plan. Our fiscal years 2006 and 2007 estimates assume an increase in the value of earned leave resulting primarily from the January pay adjustments. In fiscal year 2006 we anticipate an increase in the number of staff separations as a result of the planned voluntary early retirement opportunity. As of March 2006, about 505 staff will be eligible to retire under early retirement provisions. In fiscal year 2007, we expect separations to return to the fiscal year 2005 level. By the end of fiscal year 2007, 19 percent of all staff, including 38 percent of SES staff, will be eligible to retire.

*Workers' Compensation:* Provides funds to reimburse DOL for payments to employees injured in the workplace and their survivors. The requested increase is based on estimated costs from DOL.

*Annuity of Retired Comptroller Generals:* Provides funds to cover the annuity of two retired Comptroller Generals. The requested increase covers the anticipated January 2007 cost of living allowance.

*Relocation Benefits:* Provides funds to cover the cost of relocating employees between duty stations.

*Differential Pay:* Provides funds to cover the cost of differential pay to employees who (1) work more than 80 hours per pay period, (2) are entitled to night differential pay, or (3) earn premium pay for duty in hazardous locations.

Training and Development

**Table 11: Summary of Budgetary Resources – Training and Development**
(Dollars in thousands)

| | |
|---|---|
| **FY 2005 operating plan** | **$3,700** |
| **FY 2005 actual** | **$3,502** |
| **FY 2006 revised** | **$3,886** |
| **FY 2007 requested changes** | |
| Nonrecurring FY 2006 costs | (261) |
| Price level costs | 75 |
| Relatively controllable costs | 258 |
| **Subtotal – requested changes** | **$72** |
| **FY 2007 budget authority** | **$3,958** |

Enabling staff to hone technical skills, expand substantive expertise, and develop professionally is a cornerstone of GAO's efforts to be seen as an employer of choice. GAO's Learning Center provides basic and advanced skills training that reduces the time needed to achieve high performance for staff at each stage of their careers. GAO curricula include new hire orientation, core analytic skills, leadership and executive development, computer skills, and professional development topics. Our delivery strategy is a blend of instructor-led classes, desktop access to Web-based courses, simulations and job aids, and facilitated discussions within teams and communities of practice. For leadership and executive development programs, GAO provides a continuum of development programs that address critical competencies in achieving results; leading change; developing others; and resource management for analysts; APSS, and Senior Executive Service (SES) employees. Drawing on volunteer Adjunct Faculty from across GAO, we provide an average of 165 hours of mandatory training for Band I, 146 hours for Band II, and 102 hours for Band III, as well as over 1,900 elective programs for all analysts and APSS. The Learning Center is responsible for assuring that all analyst and related staff complete GAO mandated training and 80 continuing professional education (CPE) credits in each two-year cycle as required by the Generally Accepted Government Auditing Standards (GAGAS).

In fiscal year 2005, we expanded our mandatory analyst curricula to 78 courses, added 55 certified adjunct faculty, and began developing 13 new mandatory courses to debut in fiscal year 2006. We streamlined the process for partnering with subject matter experts and developed design templates for both instructor-led and Web-based programs. We also streamlined our process for approving CPE credit for team-led learning initiatives, redesigned our web site to make it a one-stop learning resource, and reengineered our Training Information System to allow staff to self-certify completion of training. In addition, we launched an Adjunct Faculty Community of Practice to engage instructors in improving teaching practices and hired instructional designers to build in-house design capacity that will lessen our reliance on outsourced design services in fiscal years 2006 and 2007. We piloted a new, bundled approach to delivering Band I training at three learning hubs in the field, which promises to more effectively ensure 100 percent of Band I professional development program staff complete mandatory training in a timely and cost-effective fashion. If successful, we may expand this approach to scheduling learning delivery in headquarters.

We will complete development and delivery of the entire mandatory analyst curricula for Bands I, II, and III with new courses in fiscal year 2006. Once we acquire Web-based development tools, we will augment instructor-led programs with job aids and performance support tools. Where appropriate, we will convert instructor-led training to Web-based delivery and incorporate standardized proficiency testing.

In addition to our programs for analysts, we will be enhancing the training and development programs for APSS staff. We plan to hire an APSS learning coordinator to develop a curricula that blends (1) on-demand professional development programs, (2) instructor led and Web-based programs focusing on GAO-specific procedures, practices, and policy, and (3) recommended technical development programs based on staff roles, responsibilities, and assignments. As we develop these curricula, we will identify, recruit, certify, and deploy adjunct faculty among the APSS staff.

Our process improvement goals for fiscal years 2006 and 2007 are to create an in-house cadre of certified GAO facilitators to support engagements as well as organizational initiatives; to streamline our external training registration and invoice reconciliation processes; and to improve information flow between human resource data sources and point-of-use in planning, scheduling, and managing training programs.

*Training Goals/Requirements for fiscal years 2006 and 2007*

- Ensure analyst staff acquire 176,000 learning hours to attain CPE requirements and enable staff to conduct audits and attestations per GAGAS.
- Ensure new analyst hires complete 165 hours of mandatory courses.
- Ensure interns complete GAO orientation.
- Ensure Band II and Band III staff complete mandatory course training totaling 146 and 102 hours, respectively.
- Ensure Executive Candidates and lateral SES hires have resources to complete media, testimony, and leadership development programs.
- Sustain a trained and certified adjunct faculty cadre to deliver mandatory core analyst and leadership programs.
- Provide all staff the opportunity to learn "on-demand" via Web-delivered courses, simulations, references, and job aids.
- Ensure GAO-specific and general leadership programs are available to expand and strengthen skills in supervision, leadership, coaching, team building, performance counseling, delegation, program management, and employee development.
- Help teams and functional units to design, develop, and deliver new learning products as GAO procedures and practices evolve and our workforce needs shift and change.

The increase in funding between fiscal years 2005 and 2006 reflects estimated inflation increases and the costs to continue course development. In fiscal year 2007, costs to implement training delivery are offset by reductions in curriculum development costs.

Rewards and Recognition

**Table 12: Summary of Budgetary Resources – Rewards and Recognition**
(Dollars in thousands)

| | |
|---|---|
| **FY 2005 operating plan** | **$2,400** |
| **FY 2005 actual** | **$2,267** |
| **FY 2006 revised** | **$2,600** |
| FY 2007 price level increase | 68 |
| **FY 2007 budget authority** | **$2,668** |

The Rewards and Recognition Program is integral to GAO's framework for strategic human capital management. Through this program, staff are rewarded and recognized for contributions to GAO's core mission of supporting the Congress and improving the performance of the federal government for the benefit of the American people.

GAO's Rewards and Recognition Program aligns with best practices in the public and private sectors. Individuals and teams are recognized for noteworthy achievements above and beyond what is normally expected and recognized through the performance-based system. These achievements are noted through honorary recognition, cash, gifts, paid time-off, written expressions of appreciation, and plaques.

The fiscal year 2006 funding level provides increased funds to maintain purchasing power and recognize "matrixed teams" for significant contributions and accomplishments. The requested increase for fiscal year 2007 funds anticipated inflationary costs to provide plaques, frames, and tokens of appreciation.

> **"Government faces stiff competition for the talent it needs. Prospective hires want opportunities to do meaningful work that is recognized and rewarded."**
>
> **David M. Walker, Comptroller General of the United States**

Transit Subsidy

**Table 13: Summary of Budgetary Resources – Transit Subsidy**
(Dollar in thousands)

| | |
|---|---|
| **FY 2005 operating plan** | **$1,850** |
| **FY 2005 actual** | **$1,897** |
| **FY 2006 revised** | **$1,915** |
| FY 2007 relatively controllable cost increase | 30 |
| **FY 2007 budget authority** | **$1,945** |

The Transit Subsidy Program provides funds to be paid to eligible employees. We have provided this benefit to employees since fiscal year 2002. House Report 109-139, accompanying the fiscal year 2006 Legislative Branch Appropriations Bill, includes a maximum subsidy of $105 monthly per eligible employee for the Federal Mass Transit Benefit Program, and encourages other legislative branch entities to support employee participation in this program. The program provides tax-free benefits to employees who use eligible public transportation to encourage them to use public transportation. In March 2005, GAO increased the maximum monthly benefit from $100 to $105. GAO, through an interagency agreement with the Department of Transportation, provides transit subsidies to about 1,850 employees in our headquarters and field offices. We anticipate that our fiscal year 2006 and 2007 costs will be slightly higher due to planned increases in our staffing level.

Student Loan Repayments

> **"Federal managers need to identify their own workforce needs and do a better job of recruiting, developing, empowering, and rewarding the kinds of employees who will be needed to meet current and emerging 21st century challenges."**
>
> **David M. Walker, Comptroller General of the United States**

**Table 14: Summary of Budgetary Resources – Student Loan Repayments**
(Dollars in thousands)

| | |
|---|---|
| **FY 2005 operating plan** | **$1,150** |
| **FY 2005 actual** | **$1,154** |
| **FY 2006 revised** | **$1,625** |
| FY 2007 relatively controllable cost increase | 500 |
| **FY 2007 budget authority** | **$2,125** |

The Student Loan Repayment Program, authorized by 5 U.S.C. 5379, is an important tool in the competition to recruit and retain talent in the federal government. For critical occupations, specific positions requiring specialized skills are targeted, including analysts, Ph.D. economists, computer engineers, computers specialists, accountants, financial auditors, social science analysts, and attorneys.

In prior years, repayments, not exceeding $6,000 annually, were offered to staff and potential recruits in exchange for a 3-year commitment to work at GAO. Employees could receive up to a total of $40,000 in loan repayments. To ensure that we can maintain our competitiveness in the labor markets where GAO staff are located, beginning in fiscal year 2006 GAO will increase the annual repayment amount provided as reimbursement. In fiscal year 2004, the Federal Employee Student Loan Assistance Act increased the annual and aggregate limits on student loan repayments by federal agencies to $10,000 and $60,000, respectively. During fiscal year 2005, GAO paid lending institutions an average of $5,000 for 217 employees. In fiscal year 2006, we estimate repayments will be issued for about 230 staff and expect the eligible population to increase in fiscal year 2007 commensurate with an increase in our staffing level.

**Engagement Support Program**

Engagement support programs provide funds to allow GAO staff to conduct on-site interviews, analyses, and evaluations and to obtain necessary engagement support through contract services. GAO's analyses and recommendations are based on original research—the ability of GAO staff to say, "I was there," greatly improves the quality of our reports and the credibility of our testimony at congressional committee hearings. Likewise, at times, a lack of in-house expertise or compressed timeframes necessitates that GAO contract with external sources. As with site visits, our reports and sworn testimony are greatly enhanced by our ability to augment agency staff with expert sources. Because of the nature of our work and the unique circumstances and requirements of each engagement, it is essential that GAO maintain a sufficient level of funding to support engagement programs.

Travel

**Table 15: Summary of Budgetary Resources – Travel**
(Dollars in thousands)

| | |
|---|---|
| **FY 2005 operating plan** | **$11,550** |
| **FY 2005 actual** | **$11,942** |
| **FY 2006 revised** | **$12,311** |
| FY 2007 price level increase | 933 |
| **FY 2007 budget authority** | **$13,244** |

Both domestic and international travel are critical to accomplishing our mission. One of the most fundamental ways GAO distinctively delivers value to the Congress and the American people is by basing analysis and recommendations on original research. Because our analyses and recommendations are based on original research, it is essential that our auditors and evaluators conduct on-site visits to obtain or validate information. Our reports and testimonies to congressional committees can have profound and far-reaching implications on national

policy. As such, it is essential for the quality and credibility of our work that auditors and investigators "kick the tires" at each audited agency. To ensure our audit work is accurate and conforms to a high level of objectivity, we require that more than one GAO staff member attend agency site visits and interviews with agency officials. This approach is also critical in ensuring that our conclusions and recommendations are based on research that is sufficiently representative in scope and in number.

Our credibility is enhanced by what we learn on agency site visits. These visits enable staff to (1) obtain evidence (e.g. access to internal agency data bases) that we cannot obtain electronically, and (2) interview agency staff and obtain information about data reliability. In addition, we often find that the agency officials we encounter during fieldwork are more forthcoming with information than their headquarters counterparts.

While travel is critical to GAO's mission, we recognize the need to control costs. GAO has implemented new policies, technologies, and controls, while maintaining the same level of service to Congress and the American people. We are committed to gaining as much as possible from our travel dollar and weigh many factors before approving trips. Typically, about 90 percent of our travel costs relate to on-site visits to conduct interviews, review source materials, or share information with agency officials, congressional requesters, or other interested parties. Our staff is expected to be as knowledgeable as possible on the issues before conducting fieldwork. We also consider the cost of staff time as well as direct travel costs before undertaking travel.

In recent years, we have completed several efforts to streamline travel processing and reduce costs. In fiscal year 2004, we implemented a Web-based travel management system, which streamlined and expedited transaction processing and reduced administrative processing requirements. In fiscal year 2003, we awarded a 5-year travel agent services contract to Sato Travel. We expect to save about $1 million dollars over the term of Sato Travel's 5-year contract through reduced transaction fees. In fiscal year 2006, we plan to implement a change pilot for post-auditing travel vouchers tested in 2005; the process will centralize the audit of all travel vouchers with field administrative staff. This change will result in more effective use of GAO's field office administrative staff and allow us to reduce the staff needed for this task in headquarters. In fiscal year 2005, GAO developed guidelines to ensure a uniform, corporate approach to managing travel funds. The guidelines include cost saving measures, promote the use of technology as an alternative to travel, and promote matrixed teams. In fiscal year 2006, an internal team will examine how to better coordinate overseas travel and improve oversight of international travel costs.

In fiscal years 2005 and 2006, travel costs increased dramatically. The General Services Administration (GSA) increased the mileage reimbursement rate effective September 2005, by almost 10 percent to compensate for rising gasoline prices. GSA also published the fiscal year 2006 contract air fare rates. Air fare rates between our top travel locations and GAO office locations increased about 5 percent. Travel per diem and lodging costs for our 15 top fiscal year 2005 travel destinations increased almost 11 percent, and costs for travel to Washington, D.C., increased about 15 percent. These destinations represent over 80 percent of our annual trips. In order to maintain purchasing power in fiscal year 2007 and ensure our continued ability to conduct essential on-site visits to support congressional engagements, we are requesting a 10 percent increase in travel funds.

Contract Services

**Table 16: Summary of Budgetary Resources – Contract Services**
(Dollars in thousands)

| | |
|---|---|
| **FY 2005 operating plan** | **$2,526** |
| **FY 2005 actual** | **$1,926** |
| **FY 2006 revised** | **$3,000** |
| FY 2007 relatively controllable cost increase | 500 |
| **FY 2007 budget authority** | **$3,500** |

Contract services support congressional engagements by providing specialized, expert advice and assistance not readily available from GAO staff. Contract services are also used when certain kinds of expertise are needed within a compressed time-frame to meet congressional needs for particular engagements, projects, or audits, and when GAO staff are not available.

Examples of contract services obtained in fiscal year 2005 range from expert advice on economic cost analyses to analyses of private sector health savings accounts to reviews of water contamination. In fiscal year 2005, we also obtained data-gathering services, such as surveys of participants in HUD's fair housing enforcement process, small business costs, ambulance service providers, and gasoline pricing. In addition, we obtained information and technical expertise through focus groups and expert panels on a variety of engagements. We also used contractors to support work at the U.S. Capitol Power Plant and the Capitol Visitors' Center at the request of the appropriations committees. Our costs in fiscal year 2005 were less than anticipated when our operating plan was prepared.

We have found that contracts—such as with the National Academies—provide an efficient, flexible vehicle to obtain technical assistance and expertise in highly specialized areas. We have used the expertise of the National Academies in such areas as: information on trends in printing and dissemination, technologies to protect structures from wildfires, environmental indicators, and air traffic control modernization and privatization. We also, periodically contract for broad-based studies supporting our audit work.

Based on our current assessment of trends in engagements and audits, we anticipate increasing demand in fiscal years 2006 and 2007 for technical expertise obtained through the Contract Services Program. We expect to continue to rely on external experts and advisors in disciplines related to our work in physical infrastructure, education, pension simulations, health care, natural resources, economic analyses, and survey assistance. We also plan to use contract assistance to help address the supply and demand imbalances impacting our ability to respond to congressional interests in areas such as health care, disaster assistance, homeland security, the global "war on terrorism", and forensic auditing. GAO's estimate for contract services is based on our assessment of engagements, projects, and audits requiring contract support and on past experience with various procured services.

Overseas Support

**Table 17: Summary of Budgetary Resources – Overseas Support**
(Dollars in thousands)

| | |
|---|---|
| **FY 2005 operating plan** | |
| **FY 2005 actual** | |
| **FY 2006 revised** | **$440** |
| FY 2007 relatively controllable cost increase | 261 |
| **FY 2007 budget authority** | **$701** |

Beginning in fiscal year 2006, we propose to enhance our ability to conduct oversight of programs and activity in Iraq, and elsewhere in the Middle East, by assigning several staff on an extended temporary duty basis to the International Zone in Baghdad to support several engagement teams who will have more regular travel into Iraq and the region. We are working with the Departments of State and Defense to assess security and cost considerations for extended TDY assignment in the IZ and travel in Iraq and the region. As U.S. involvement in the region has increased, so has our work. For instance, GAO is engagements will report on Iraqi security stabilization efforts and linkages to US military drawdown, military and police security transition plan, improved war-fighter support and readiness, reconstruction contract management, political and military integration of effort, and the use of private security providers in Iraq. GAO staff posted Baghdad will conduct on-the-ground data collection, and provide audit and logistical support for numerous GAO engagement teams that will travel to various locations in the Middle East, including Iraq. The assigned staff would be responsible for (1) keeping abreast of developments in Iraq and elsewhere in the region and supporting GAO's overall work planning process, (2) making contacts and assessing developments, (3) advising and assisting GAO staff in arranging short-term field work on individual engagements, (4) obtaining data on individual engagements, (5) augmenting visiting GAO teams on individual engagements, and (6) assessing the feasibility of a continued GAO presence in the region. By establishing a presence in the Middle East, we will enhance the ability of analysts to conduct original research that is the distinctive basis for GAO's analyses and recommendations.

Based on the experience of federal agencies already in the region—and leveraging their presence on the ground—GAO expects to spend about $1.1 million in fiscal years 2006 and 2007 for travel and infrastructure support.

**Infrastructure Operations Program**

To ensure that staff have the appropriate resources to conduct their work, it is essential that we maintain an adequate support structure. Infrastructure operations include information technology, building management, knowledge services, human capital operations, and support services.

We have undertaken a number of initiatives to increase the efficiency and effectiveness of agency operations, including streamlining processes and increased use of technology as discussed below.

Information Technology

**Table 18: Summary of Budgetary Resources – Information Technology**
(Dollars in thousands)

| | |
|---|---|
| **FY 2005 operating plan** | **$48,224** |
| **FY 2005 actual** | **$48,341** |
| **FY 2006 revised** | **$49,911** |
| **FY 2007 requested changes** | |
| Nonrecurring FY 2006 costs | (3,077) |
| Price level costs | 1,230 |
| Relatively controllable costs | 3,894 |
| Adjustment due to rounding | 1 |
| **Subtotal – requested changes** | **($2,048)** |
| **FY 2007 budget authority** | **$51,959** |

| Program | FY 2005 operating plan | FY 2005 actual | FY 2006 revised | FY 2007 estimate |
|---|---|---|---|---|
| Operations [a] | $48,224 | $46,287 | $46,452 | $45,511 |
| Initiatives | | 2,054 | 3,459 | 6,448 |
| **Total** | **$48,224** | **$48,341** | **$49,911** | **$51,959** |

[a] The cost of initiatives included in the fiscal year 2005 operating plan is not available.

Modern, reliable, and secure technology drives GAO to be more productive and responsive to the Congress and to set the standard for efficient and effective operations as a model agency and world-class professional services organization. GAO's IT workload is driven by the goals set forth in the GAO Strategic Plan and the guiding principles and objectives reflected in the current IT plan for fiscal years 2004–2007.

While GAO's IT plan focuses on ensuring the agency's technology remains current, reliable, and stable in all areas, increased funding and new initiatives for fiscal years 2006 and 2007 will be for the following:

- developing an enterprise-wide information sharing portal, beginning with our Hurricane Central portal;
- making improvements to our engagement management processes;
- completing the installation of the Security Internet Protocol Router Network (SIPRNet) in 10 of our 11 field offices;
- installing a new telephone system in headquarters and new voice mail systems in headquarters and the field offices;
- implementing the Electronic Records Management System (ERMS);
- selecting and transitioning to a financial management system replacement; and
- continuing to enhance our IT security efforts.

Our systems development workload has increased significantly as we modernize outdated management information systems and develop new client-focused systems concentrating on providing analysts with improved tools to better serve the Congress. As we have developed or updated systems such as the Consolidated Financial Audit System and our Acquisition and Sourcing Management team's Weapons System Database, and implemented new features to the Human Resource Information System (through the Department of Agriculture (USDA)), we continually identify other opportunities to affect economies and efficiencies in our work.

**GAO's IT is recognized as the best in its class:**
- at 4 percent less cost and with 2 percent fewer staff than the top 25th percentile private sector peers;
- IT Innovations Contest winner for the Electronic Assistance Guide for Leading Engagements; and
- consistently higher scores on customer satisfaction surveys than the average database.

To continually provide best-in-class service, GAO relies on contract labor for IT services and support. Working under GAO direction and alongside agency staff, contractors provide network operations and desktop support, systems development, Web services, electronic distribution, IT security, and telecommunications support. By maintaining this labor support base, we can augment or shift resources as new requirements arise to meet critical time-frames.

In addition to outsourcing many of our critical IT functions to the private sector, GAO has taken advantage of cross-servicing arrangements to satisfy key information processing requirements. The National Finance Center processes GAO's payroll, awards, position management, and other personnel processing requirements. The Austin Automation Center processes our financial management system information and also hosts mainframe analytical support for our audit work. GAO currently uses the legislative branch's long-distance telephone contract, which has resulted in continual reductions in long-distance rates. In selecting a new financial management system to replace the outdated system, our plan is to use a government off-the-shelf (GOTS) package provided by a government cross-servicing agency.

Federal IT security management, policy, and procedures continue to evolve, and we have focused on integrating those evolving policies and practices into our IT processes. During fiscal year 2005, we undertook a large number of projects that have significantly improved our information security program. These projects fall into three broad categories—policies and procedures; intrusion detection and prevention; and systems/applications security. The projects included implementation of

- a vulnerability assessment process,
- a wireless network protocol,
- an enterprise tool to help us meet Federal Information Security Management Act (FISMA) compliance,
- a formalized Security Program Plan,
- a Disaster Recovery Program/Continuity of Operations vision,
- an emergency text notification system on the network,
- a robust security awareness program,
- upgrades to classified processing,
- a certification and accreditation methodology,
- certification and accreditation for the General Support System and major applications, and
- an increase in the number of applications supported at our alternative computing facility.

In an effort to ensure that GAO applies best practices and leads by example, GAO uses third-party reviews of its practices for managing IT systems, services, and investments. In recent years, these external audits have shown that we score well in the areas of total cost of ownership, and customer service.

- Total Cost of Ownership (TCO): The TCO has shown steady improvement in our cost performance relative to private sector professional services peers over the last several years. The latest TCO analysis conducted using fiscal year 2005 data showed that with 2 percent less staff we perform the same workload as our peers but spend 4 percent less than the top 25th percentile (i.e., the most efficient) of our peers.

- Customer Satisfaction Survey: Of the seven IT services included in the customer satisfaction survey, four scored above 4.0 (out of a possible 5) and three scored from 3.5 to 3.95. These services were: Internet access (4.53), voice communications (4.38), IT customer support (4.25), Web administration (4.05), workplace IT (3.95), remote access (3.76), and workplace collaboration (3.51).

**Table 19: Information Technology – Program Summary**
(Dollars in thousands)

| Program | FY 2005 actual | FY 2006 revised | FY 2007 estimate | Change FY 2006 to 2007 |
|---|---|---|---|---|
| Business Systems/Enterprise Architecture | $12,282 | $15,301 | $16,548 | $1,247 |
| Customer Relations/Operations and Planning | 3,317 | 3,513 | 3,702 | 189 |
| Information Systems Security | 1,591 | 1,607 | 2,159 | 552 |
| LAN/Web Services | 17,786 | 16,895 | 17,475 | 580 |
| Telecommunication Services | 11,708 | 10,864 | 10,260 | (604) |
| Miscellaneous | 1,657 | 1,731 | 1,815 | 84 |
| **Total** | **$48,341** | **$49,911** | **$51,959** | **$2,048** |

The Business Systems and Enterprise Architecture program designs, develops, maintains, operates, and enhances GAO-wide business and administrative systems and develops and maintains GAO's enterprise architecture, ensuring an agencywide perspective in IT systems. In fiscal year 2005, we continued work on four major efforts—the Consolidated Financial Statement Audit System, Electronic Records Management System, Staffing Information System, and the Financial Management Replacement System. We enhanced the Human Resources Information System (HRIS), acquired in fiscal year 2004, by automating the awards process and plan to implement additional functionality in fiscal years 2006 and 2007. In fiscal year 2006, we will deploy the Consolidated Financial Statement Audit System and Engagement Contact/Interview System and fully implement the Staffing Information System. The redesign of the Engagement Management System and Job Information Systems will be major efforts in fiscal years 2006 and 2007. With the integration of existing systems such as the Congressional Contact System and Staffing Information System into the Engagement Management System, the new system will provide one information source and access point for planning, staffing, and management of GAO's evaluation work. The replacement of the Financial Management System will also be a priority effort over the next 2 years. The definition of business requirements began in fiscal year 2005 and will continue into early fiscal year 2006. Selection of a government cross-service provider will be completed in fiscal year 2006 and implementation will begin in

fiscal year 2007. This new system will provide integrated budgeting, purchasing, and accounting functionality while also enhancing the information available to managers of GAO's centralized services programs such as IT, facilities, and training.

Customer Relations and Operations and Planning provide customer service and overall IT leadership for IT business units and the agency as a whole. Key leadership and support functions include defining customer requirements, providing end-user help desk and technical support, and providing key support functions including budgeting, IT portfolio management, procurement, project planning, IT strategic planning, and IT performance management metrics. In addition to providing IT technical support to GAO staff, they have been instrumental in identifying IT requirements for the agency's appropriation requests and financial plans. Funding requirements provide for highly qualified IT contractor staff, as well as IT research and measurement services.

Information Systems Security establishes policy and guidance on IT security to ensure compliance; monitors IT security risks, controls, and effectiveness; and fosters agencywide security awareness. Based on the results of a third-party independent annual assessment conducted to ensure that agency systems and networks meet industry security standards, GAO created an action plan with milestones to remediate vulnerabilities and bring GAO into compliance with FISMA requirements. This ensures that risk assessments, system security plans, information security program assessments, and operator authorizations are in place for all systems as required, and that we have completed system test and evaluation reviews, as well as certifications, and accreditations. We also installed personal firewall software that prevents the download of viruses while staff are on travel or working from home, and other software that helps identify and eliminate malicious programs. In fiscal year 2006, GAO will relocate its Information Systems Security Group to a new alternate computing facility shared with other legislative branch agencies. Focus will continue in fiscal years 2006 and 2007 on enhancing our ability to identify and stop potential hackers and improve the overall security of the agency's information and technology assets.

The LAN, Network Operations, and Web Services maintain GAO's public Web site; plan, develop, implement, and maintain GAO's network hardware and software infrastructure; and provide end-user applications, field office services, and hardware logistics and maintenance. Funding for these programs and services provides for desktop and network hardware, software licenses, contractor support, and various operational costs to maintain our technology infrastructure. In fiscal year 2005, we replaced existing copiers, multifunction machines, and laser printers with modern, more reliable units that will reduce downtime for customers and standardize our laser printing hardware platforms. We also increased the number of machines to better meet staff needs, and replaced notebooks and desktop workstations. In fiscal year 2005, we began renovating the LAN Operations Center to upgrade outdated and limited space and provide sufficient equipment and physical infrastructure—electrical power, air conditioning, and network cabling—to support the network for the foreseeable future. We expect to complete the renovation in fiscal year 2006. There are several major efforts planned for fiscal year 2007. GAO will initiate the transition to Internet Protocol version 6 (IPv6) to comply with federal guidance and policy regarding the transition to (and implementation of) IPv6 by fiscal year 2008. With the completion of installing SIPRNet—DOD's Internet for sharing data classified up to the secret level—in the field offices, our efforts will shift to installing access to DOD's Nonclassified Internet Protocol Router Network system, NIPRNet, in fiscal year 2007. Lastly, we will build upon our design of the Hurricane Central Portal to create portals that will provide a single access point to enterprise information resources, tools, and common applications within the GAO network. The initial focus will be a portal for the core business and analyst communities.

Telecommunications Services determines wide-area voice, data, and video-conferencing requirements and installs, manages, and supports these communications systems to satisfy GAO business unit needs. Services include local and long distance telephone services; pagers and cell phones; voice mail; audio and video conferencing; wide-area network; Internet access; and IPTV cable television distribution, which delivers live and pre-recorded programs to our staff at their desktops. In fiscal year 2005, GAO completed a number of major upgrades, including the replacement of outdated phone systems or instruments in our Chicago, Denver, Los Angeles, Seattle, and Dallas field offices. Funding for fiscal years 2006 and 2007 will provide for ongoing operations. We will realize some offsetting savings with the replacement of our 12-year-old headquarters telephone system and supporting equipment. The new system, which will be implemented in fiscal year 2006, will also enable headquarters telecommunications staff to manage field office telephone services. This capability—along with a reduction in line and other structural costs—will result in significant savings over the lifetime of the new system.

Miscellaneous costs cover ongoing unit-specific IT operations and initiatives for GAO's mission teams and staff offices. Fiscal year 2005 through 2007 operations expenditures include funding for the e*Security Lab (which conducts technical control assessments of federal IT computing systems), support for GAO's external Web site, support of Web-based surveys for GAO teams, publishing and graphics applications and support, and various job or unit specific software investments.

Overall, GAO's information technology funding is expected to be relatively stable through fiscal year 2007. Within that overall total, however, are funding shifts from completed projects to other projects. These changes include funding to continue developing an engagement management system that will improve the efficiency of our studies and to replace GAO's aging financial management system.

Building Management

**Table 20: Summary of Budgetary Resources – Building Management**
(Dollars in thousands)

| | |
|---|---|
| **FY 2005 operating plan** | **$23,773** |
| **FY 2005 actual** | **$23,529** |
| **FY 2006 revised** | **$24,657** |
| **FY 2007 requested changes** | |
| Nonrecurring FY 2006 costs | (1,380) |
| Price level costs | 1,043 |
| Relatively controllable costs | 3,819 |
| **Subtotal - requested changes** | **$3,482** |
| **FY 2007 budget authority** | **$28,139** |

| Program | FY 2005 operating plan | FY 2005 actual | FY 2006 revised | FY 2007 Estimate |
|---|---|---|---|---|
| Operations [a] | $23,773 | $20,598 | $23,025 | $25,955 |
| Initiatives | | 2,931 | 1,632 | 2,184 |
| **Total** | **$23,773** | **$23,529** | **$24,657** | **$28,139** |

[a] The cost of initiatives included in the fiscal year 2005 operating plan is not available.

**Table 21: Building Management – Program Summary**
(Dollars in thousands)

| Program | FY 2005 operating plan | FY 2005 actual | FY 2006 revised | FY 2007 estimate | Change FY 2006 to 2007 |
|---|---|---|---|---|---|
| Facilities Management | $17,497 | $16,780 | $17,052 | $18,250 | $1,198 |
| Security and Safety | 4,423 | 4,908 | 5,692 | 7,939 | 2,247 |
| Asset Management | 1,853 | 1,841 | 1,913 | 1,950 | 37 |
| **Total** | **$23,773** | **$23,529** | **$24,657** | **$28,139** | **$3,482** |

**GAO's Costs below GSA and Industry Median**

Facilities management – 8 percent below
Electrical costs – 25 percent below

*Facilities Management:* The Facilities Management Program operates and maintains the GAO headquarters building and our 11 field office locations. The GAO building, named to the National Register of Historic Places in 1995, has been home to GAO headquarters since the building opened in 1951. The building provides work space for approximately 4,000 employees of GAO and the U.S. Army Corps of Engineers, which since fiscal year 2000 has leased space in the building. In 1988, Congress gave the Comptroller General exclusive custody and control over the GAO building (5 U.S.C. 781). This authority requires GAO to fulfill capital asset management responsibilities in addition to the standard operational responsibilities delegated to executive branch agencies by the General Services Administration (GSA). In addition, the statute authorizes GAO to lease space in the GAO building and retain the fees collected to offset the costs of operating and maintaining the building. Beginning in fiscal year 2003, with the completion of the asbestos removal program and the first full year of rental income from the U.S. Army Corps of Engineers we were able to fully offset the base cost of operating the GAO building from rental income and audit fees designated for use on building operations and maintenance.

GAO outsourced its facilities management operation for the GAO headquarters building in 1989. The headquarters facilities management operation includes maintenance and operations, custodial services, building equipment and structural services, pest control, and grounds maintenance. In order to ensure that we are providing the most efficient, effective, and economical facilities management services, GAO periodically "benchmarks" its operations against GSA and private facilities management companies. In recent years, our facilities management costs have been about 8 percent less than GSA's median cost and in some areas (e.g., electrical costs) we are operating as much as 25 percent below GSA's median costs.

In fiscal year 2005, we completed several building maintenance and improvement projects, including the designing an expansion of the day care facility to accommodate a growing waiting list, installing a perimeter security system, and relocating the emergency operations center to a more secure location. Field office improvements included renovation of our Dayton, Ohio office, and construction of secure communication rooms in several field offices to house equipment required to access DOD systems and data, eliminating the need for travel to DOD locations.

In fiscal years 2006 and 2007, we plan to undertake several maintenance and repair projects identified in our 2005 Building Condition Assessment report, including elevator repairs, cooling tower replacements, and upgrades to our heating, ventilation, and air-conditioning systems. Also, we will assess the need for structural enhancements to our mail and package receiving facilities to minimize potential damage to the GAO building in the event of a bomb blast or receipt of hazardous materials. In addition, we plan to assess the physical layout of our library facility to determine the extent to which we can reconfigure space to improve work collaboration as we reduce our physical collection and migrate to greater use of electronic resources. For our field offices, we plan to relocate the San Francisco office at the end of the lease period to a more user-friendly, condensed space at a cost savings. We also plan to assess secure space to determine whether changes are needed to examine tax returns and other sensitive information in some field offices. Finally, we plan to complete the expansion of the day care facility, support implementation of the integrated electronic security system at headquarters and in the field, support implementation of the headquarters telephone system upgrade, and provide other operational support as needed.

GAO's estimates are based on usage, past pricing history, and vendor notice for costs such as utilities. The estimates for facilities management services, leased space, and other system costs are based on negotiated contract rates. Repair and maintenance projects are estimated by qualified architects or engineers according to industry practices.

The change in the facilities management program estimate from fiscal years 2006 to 2007 comes from the elimination of nonrecurring fiscal year 2006 costs, price level increases to maintain purchasing power, and the addition of upgrades and replacements.

*Security and Safety:* The Security and Safety Program protects against unauthorized disclosure of sensitive information, conducts background checks, issues security clearances, controls access to (and protection of) GAO property, and helps to ensure a safe working environment. GAO utilizes contractors to provide security force protection, background investigations, industrial hygiene services, fire alarm system maintenance, administrative security services, locksmith services, and audio countermeasures services.

In fiscal year 2005, we implemented various measures to enhance the protection of GAO personnel and other tenants in GAO facilities, as well as the protection of GAO property and information. We installed perimeter security barriers around the GAO headquarters building, pop-up barriers at vehicle entrances, and an under vehicle surveillance system to check vehicles for explosive devices prior to entering the GAO building. We restructured the contract for the security force to (1) upgrade the qualifications for the security force to Special Police Officers, gradually replacing GSA guards; and (2) move administrative security services to a company that specializes in administrative services. The restructuring will help ensure a more professional, secure environment. In fiscal year 2005, our security force was staffed at 90 percent of our estimated need. In fiscal year 2006, we expect to attain full staffing. Our cost estimates for contract services are based on negotiated rates for tasks.

We began replacing security container locks to provide enhanced security in accordance with DOD's lock replacement efforts. In addition, we purchased additional escape hoods to accommodate new field office employees and the planned expansion of the daycare center at the GAO headquarters building. We continued to conduct security clearances for selected staff and background checks on contractors and interns to ensure that staff receive the appropriate clearances and access to facilities and information. Estimated costs for background investigations are based on GAO's annual workforce plan estimates of planned hires, the number of employees whose security clearances are due for reinvestigation, and estimated new contract staff based on historical data.

During fiscal years 2006 and 2007, we will continue efforts to protect GAO personnel and assets. We plan to implement an integrated electronic security system (IESS) at GAO headquarters in fiscal year 2006 and expand the system to the field offices in fiscal year 2007. The IESS will allow GAO to integrate the field office access control, surveillance, and alarm systems into headquarters, and provide the ability to monitor field activity from a console in the headquarters Command Control Center. We also anticipate some savings will result from integrating the field offices and headquarters control systems and less reliance on the Federal Protective Service in the field. GAO will be in compliance with Homeland Security Presidential Directive 12 (HSPD 12) which sets forth requirements for using government-issued identification to permit access to federal agencies. In conjunction with the IESS, we plan to issue new access cards and credential cases bearing GAO's new name. Beginning in fiscal year 2006, we will start conducting higher level investigations on contractors and interns to meet the requirements of HSPD 12 for the issuance of government identification to allow access to federal facilities.

*Asset Management:* Our Asset Management Program provides funds for supplies, materials, and for furniture and non-IT equipment. We minimize inventory levels by purchasing supplies and materials as needed—"just in time"—to maximize vendor offers, save shelf space, and recognize the changing nature of requirements. GAO provides supplies and materials to staff at the best possible price for the least possible cost. As required by law, GAO purchases recycled paper and toner cartridges for printers and copy machines, and purchases items available from the National Industries for the Blind and National Industries for the Severely Handicapped as required by the Javits-Wagner-O'Day Program. To get the best possible price, we also take advantage of GSA schedules when purchasing supplies.

We maintain a supply inventory system that provides information on usage and stock reorder levels; we also maintain an account of these resources to facilitate our ability to effectively manage the procurement and utilization of supply items. During fiscal year 2005, we successfully managed the supply program, ensuring that staff had the supplies needed to accomplish their work while ensuring that we received the best value when purchasing those supplies. During fiscal years 2006 and 2007, we will continue to review usage data from the supply inventory system to detect anomalies and pricing data to ensure we receive the best value. Based on results of these reviews we will modify the program's policies, procedures, or procurement strategy, as necessary.

In addition, during fiscal year 2005, we replaced approximately three-quarters of the existing keyboard trays with ergonomic keyboard trays to reduce the potential health hazard to staff. We plan to replace the remaining keyboard trays in fiscal year 2006.

We will also continue to monitor the condition of our furniture inventory and will keep abreast of any changes in industry standards.

Knowledge Services

**Table 22: Summary of Budgetary Resources – Knowledge Services**
(Dollars in thousands)

| | |
|---|---|
| **FY 2005 operating plan** | **$6,740** |
| **FY 2005 actual** | **$6,666** |
| **FY 2006 revised** | **$6,991** |
| **FY 2007 requested changes** | |
| Nonrecurring FY 2006 costs | (30) |
| Price level costs | 613 |
| Relatively controllable costs | 382 |
| **Subtotal – requested changes** | **$965** |
| **FY 2007 budget authority** | **$7,956** |

| Program | FY 2005 operating plan | FY 2005 actual | FY 2006 revised | FY 2007 estimate |
|---|---|---|---|---|
| Operations [a] | $6,740 | $6,666 | $6,987 | $7,605 |
| Initiatives | | | 4 | 351 |
| **Total** | **$6,740** | **$6,666** | **$6,991** | **$7,956** |

[a] The cost of initiatives included in the fiscal year 2005 operating plan is not available.

*Ongoing Operations:* The Knowledge Services (KS) Program plans, develops, implements, and manages agencywide knowledge and information assets, services, and policies; it also prepares, publishes, and disseminates the results of GAO's work. KS offers services to GAO and external customers in five areas:

- *GAO Publications Support* provides production, publication and distribution support for all of GAO's audit reports and other published products, such as GAO's Performance and Accountability Report, GAO Strategic Plan, and High-Risk Series.
- *Information Services* provides GAO staff access to a wide variety of virtual and printed information resources essential to support GAO's audit and program evaluation engagements. Desktop access to information resources—along with in-depth research services provided by skilled information services specialists—is a critical part of this program.
- *Records Management Operations* ensures GAO's compliance with the Federal Records Act and supports the identification and accessibility of critical GAO knowledge collections.
- *Shared Services Centers/Mail* provides GAO staff administrative services and technical support, such as self-service and center-supported assistance with convenience copying, copy machine maintenance, facsimile transmission, scanning, mail and supply services, and special projects. The Mail Center processes all incoming and outgoing United States Postal Service mail to GAO headquarters and field offices; picks up and delivers miscellaneous mail and packages throughout the Washington, D.C., metropolitan area; and provides mail service to GAO's 11 field office locations.

- *Web Content/Electronic Media Services* designs, develops, implements, and evaluates policies and practices that enhance the usability and effectiveness of GAO's internal and external Web sites (Web content), and provides GAO's video, photography, and multimedia services.

Publication of GAO products has remained constant and fairly predictable. It follows the cycles of our primary client, the Congress. We experience peak periods but, with increased electronic dissemination of GAO products, we are able to facilitate access to our publications for congressional clients and the general public.

**Publication *About GAO receives the* American Graphic Design award for excellence in communication and design.**

In fiscal year 2005, GAO closed its in-house printing operation and began contracting out all of its printing requirements. This change resulted in cost savings for GAO; however, we continue to identify and assess publication and dissemination process improvements that may reduce the demand for printed publications, simplify and standardize operations, maximize resources, and migrate GAO's product line to an electronic format.

Working with GAO's Information and Technology Services (ISTS), KS successfully piloted the GAO Electronic Records Management System (ERMS) which is integrated with GAO's Document Management (DM) System for electronic capture of GAO's workpapers, reports, testimonies, etc. This is the foundation for GAO's vision of an agency-wide knowledge management system. Also, in collaboration with GAO's Information Systems and Technology Services, KS established a process to continuously improve GAO's public Web site (http://www.gao.gov) and improve customer satisfaction with the site as measured by the American Customer Satisfaction Index.

**EAGLE, the Electronic Assistance Guide for Leading Engagements, receives the E-Gov Institute's Pioneer Award which recognizes government organizations that have illustrated results-oriented government.**

KS also successfully outsourced GAO's domestic and international mail processing. By doing so, one vendor provides GAO with more expeditious and cost-effective mail processing and handling which will result in a savings of 30-35 percent in postage costs.

In addition, KS developed a Web-based just-in-time training program for its online resources. Since there are over 200 database resources available on everyone's desktop, this is a long term project with current just-in-time training offerings developed for Oceana's Treaties database and for the Leadership Directories online database. This training enables every GAO employee who needs assistance in using these databases to get the help they need when they need it while they are using the database, thereby reducing training costs.

Further, KS realigned the Product Assistance Groups and the printing and graphics procurement process to improve the efficiency of the report production process and enhance customer service. KS also increased the issuance of GAO reports exclusively in portable document format (PDF), which eliminated the need for reports to be printed on a 24-hour schedule to meet issue dates. This accomplishment resulted in significant cost savings and provided additional time in the printing cycle to produce higher-quality reports. In addition, we have set the default number of printed copies (at 200), resulting in additional printing cost savings.

In fiscal year 2005, KS completed a pilot project to digitize 108 legislative histories. With the success of this pilot, work will continue on digitizing the remainder of the collection. Since GAO's nationally recognized collection of legislative histories total more than 21,000 public laws, this will be a long-term project. Costs will be leveraged over several years and digitizing will proceed as resources permit.

In fiscal year 2005, a study of GAO's technical library collection determined efficiencies could be obtained as a result of the wide range of information sources available online. Beginning in fiscal year 2006, the physical collection will be reduced by 75 percent. GAO will rely on cross-service arrangements with the Library of Congress to meet some of our needs, including inter-library loans and the purchase of subscriptions and commercial online research databases.

Fiscal year 2007 will see cost pressures increasing as a result of the current contract that provides library maintenance and records management support being recompeted in fiscal year 2006. The labor rates for our library and records management support contract are based on current contract rates. For fiscal year 2007, our estimates are based on the fiscal year 2006 rates; however, with the recompetition of this contract to be completed in fiscal year 2006, we anticipate increased labor rates with the new contract award.

The cost of access to virtual and print resource databases is growing at a rate of approximately 15 to 20 percent. We are hoping to maximize flat-rate contracts for online access services and to take full advantage of interagency agreements with the Library of Congress in order to minimize cost increases.

Since fiscal year 2004, KS made great progress with our long-range plan to transition GAO's video services function from an analog to a fully digital environment. In fiscal year 2007 we will purchase the last of three professional-grade digital video recorders, a professional-grade color monitor and a time base corrector with synchronizer which should complete the material portion of the transition plan, with standard maintenance and upgrades continuing in the future years.

Human Capital Operations

**Table 23: Summary of Budgetary Resources – Human Capital Operations**
(Dollars in thousands)

| | |
|---|---|
| **FY 2005 operating plan** | **$1,477** |
| **FY 2005 actual** | **$2,044** |
| **FY 2006 revised** | **$1,368** |
| **FY 2007 requested changes** | |
| Nonrecurring FY 2006 costs | (303) |
| Price level costs | 90 |
| Relatively controllable costs | 658 |
| **Subtotal – requested changes** | **$445** |
| **FY 2007 budget authority** | **$1,813** |

Funding for Human Capital Operations during fiscal year 2007 is designated for transactional and routine human capital tasks, allowing the professional staff to focus on continuing transformation efforts. While these efforts are applicable to GAO staff, they are intended to be scalable, becoming best practices for other public sector agencies.

The Human Capital Operations Program funds, via contractual vehicles, transactional and tactical operations—including career transition services for individuals nearing retirement or seeking other career opportunities within (and outside) of GAO. This program provides contract support to employee health and wellness programs in headquarters and field locations. Also, contract support provides assistance with recruiting activities and position classification. Recently, we engaged a leading international consulting firm to research and recommend competitive salary ranges in order to move GAO toward a market-based compensation system.

Human capital reforms are an integral part of a broad strategy of transformation, change management, and performance improvement. Human Capital Operations allows the Human Capital Office to focus on continued transformation efforts including people, policies, and practices.

Support Services

**Table 24: Summary of Budgetary Resources – Support Services**
(Dollars in thousands)

| | |
|---|---|
| **FY 2005 operating plan** | **$1,237** |
| **FY 2005 actual** | **$1,154** |
| **FY 2006 revised** | **$1,177** |
| **FY 2007 requested changes** | |
| Nonrecurring FY 2006 costs | (30) |
| Price level costs | 22 |
| Relatively controllable costs | 309 |
| **Subtotal – requested changes** | **$301** |
| **FY 2007 budget authority** | **$1,478** |

The Support Services Program provides funds for miscellaneous support services, such as transcribing, translating materials, administrative support services, the cost of our financial statement audit, audit services obtained from the Defense Contract Audit Agency to review cost proposals from vendors, claims for damages from vendors and staff, and special studies.

The requested increase in fiscal year 2007 provides funds to cover expected rate increases, outsource event coordination activities in the event of staff retirement, expand our financial statement audit, and to obtain contract support to assess our business product line.

Schedule A

U.S. GOVERNMENT ACCOUNTABILITY OFFICE
Summary by Object Classification
(Dollars in thousands)

| | FY 2005 [a] Actual | | FY 2006 [b] Revised | | FY 2007 Estimate | | Net Change (2006 to 2007) | |
|---|---|---|---|---|---|---|---|---|
| | FTEs | Amount | FTEs | Amount | FTEs | Amount | FTEs | Amount |
| 11.1 Full-time Permanent | 3,189 | $288,182 | 3,217 | $290,134 | 3,267 | $299,838 | 50 | $9,704 |
| 11.3 Other Than Full-time Permanent | | 12,279 | | 12,718 | | 13,260 | | 542 |
| 11.5 Other Personnel Compensation | | 2,343 | | 2,703 | | 2,774 | | 71 |
| 12.1 Civilian Personnel Benefits | | 71,807 | | 75,007 | | 80,369 | | 5,362 |
| 13.0 Benefits for Former Personnel | | 318 | | 327 | | 335 | | 8 |
| 21.0 Travel and Transportation of Persons | | 12,010 | | 12,604 | | 13,686 | | 1,082 |
| 22.0 Transportation of Things | | 16 | | 32 | | 32 | | |
| 23.1 Rental Payments to GSA | | 7,833 | | 7,781 | | 8,024 | | 243 |
| 23.2 Rental Payments to Others | | 69 | | 90 | | 95 | | 5 |
| 23.3 Comm., Utilities, and Misc. Charges | | 8,331 | | 8,550 | | 8,609 | | 59 |
| 24.0 Printing and Reproduction | | 1,644 | | 1,645 | | 1,652 | | 7 |
| 25.1 Advisory and Assistance Services | | 4,153 | | 4,350 | | 4,457 | | 107 |
| 25.2 Other Services | | 10,981 | | 11,926 | | 14,722 | | 2,796 |
| 25.3 Goods and Services from Gov't Accts. | | 745 | | 758 | | 974 | | 216 |
| 25.4 Operation and Maint. of Facilities | | 4,699 | | 3,248 | | 3,206 | | (42) |
| 25.7 Operation and Maintenance of Equip. | | 33,528 | | 37,249 | | 40,136 | | 2,887 |
| 26.0 Supplies and Materials | | 1,746 | | 1,788 | | 1,902 | | 114 |
| 31.0 Equipment | | 12,319 | | 10,683 | | 9,995 | | (688) |
| 32.0 Land and Structures | | 976 | | 2,871 | | 5,089 | | 2,218 |
| 42.0 Insurance Claims and Indemnities | | 76 | | 200 | | 200 | | |
| Budget Authority | | $474,055 | | $484,664 | | $509,355 | | $24,691 |
| Less: Offsetting Collections | | (7,360) | | (7,093) | | (6,985) | | 108 |
| Total Appropriation | 3,189 | $466,695 | 3,217 | $477,571 | 3,267 | $502,370 | 50 | $24,799 |

[a] Includes rescission of $3.827 million.

[b] Includes rescission of $4.896 million.

Schedule C

U.S. GOVERNMENT ACCOUNTABILITY OFFICE
Detail Analysis of Changes - FY 2006 to 2007
(Dollars in thousands)

| | FTEs | Amount | |
|---|---|---|---|
| Total FY 2006 Budget Authority | 3,217 | $484,664 | [a] |
| Adjustments to Base | | | |
| A. Nonrecurring Costs | | | |
| 1. Full-time Permanent | | ($300) | |
| 2. Comm., Utilities, and Misc. Charges | | (81) | |
| 3. Printing and Reproduction | | (30) | |
| 4. Advisory and Assistance Services | | (269) | |
| 5. Other Services | | (367) | |
| 6. Operation and Maintenance of Facilities | | (47) | |
| 7. Operation and Maintenance of Equipment | | (1,290) | |
| 8. Equipment | | (1,858) | |
| 9. Land and Structures | | (1,138) | |
| | | (5,380) | |
| B. Mandatory Pay Costs | | | |
| 1. Full-time Permanent | | $15,428 | |
| 2. Other Than Full-time Permanent | | 542 | |
| 3. Civilian Personnel Benefits | | 2,491 | |
| 4. Benefits for Former Personnel | | 8 | |
| | | 18,469 | |
| C. Price Level Costs | | | |
| 1. Other Personnel Compensation | | $68 | |
| 2. Travel and Transportation of Persons | | 939 | |
| 3. Rental Payments to GSA | | 243 | |
| 4. Rental Payments to Others | | 5 | |
| 5. Comm., Utilities, and Misc. Charges | | 90 | |
| 6. Printing and Reproduction | | 37 | |
| 7. Advisory and Assistance Services | | 86 | |
| 8. Other Services | | 520 | |
| 9. Goods and Services from Gov't Accounts | | 19 | |
| 10. Operation and Maintenance of Facilities | | 5 | |
| 11. Operation and Maintenance of Equipment | | 1,260 | |
| 12. Supplies and Materials | | 92 | |
| 13. Equipment | | 243 | |
| 14. Land and Structures | | 466 | |
| | | 4,073 | |
| D. Relatively Controllable Costs | | | |
| 1. Full-time Permanent | 50 | ($5,424) | |
| 2. Other Personnel Compensation | | 3 | |
| 3. Civilian Personnel Benefits | | 2,871 | |
| 4. Travel and Transportation of Persons | | 143 | |
| 5. Comm., Utilities, and Misc. Charges | | 50 | |
| 6. Advisory and Assistance Services | | 290 | |
| 7. Other Services | | 2,643 | |
| 8. Goods and Services from Gov't Accounts | | 197 | |
| 9. Operation and Maintenance of Equipment | | 2,916 | |
| 10. Supplies and Materials | | 22 | |
| 11. Equipment | | 927 | |
| 12. Land and Structures | | 2,890 | |
| | | 7,528 | |
| Net Increase (Decrease) | 50 | 24,691 | |
| FY 2007 Budget Authority | 3,267 | $509,355 | [b] |

[a] The enacted level includes rescission of $4.896 million and offsetting collections of $7.1 million.

[b] Includes offsetting collections of $7 million.

## HIGHLIGHTS OF GAO'S PERFORMANCE AND PLANS

### About GAO

GAO is an independent, nonpartisan, professional services agency in the legislative branch of the federal government. Commonly known as the "audit and investigative arm of the Congress" or the "congressional watchdog," we examine how taxpayer dollars are spent and advise lawmakers and agency heads on ways to make government work better. As a legislative branch agency, we are exempt from many laws that apply to the executive branch agencies. However, we generally hold ourselves to the spirit of many of the laws, including 31 U.S.C. 3512 (commonly referred to as the Federal Managers' Financial Integrity Act), the Government Performance and Results Act of 1993, and the Federal Financial Management Improvement Act of 1996.[1]

**GAO's History**

**The Budget and Accounting Act of 1921 required the President to issue an annual federal budget and established GAO as an independent agency to investigate how federal dollars are spent. In the early years, we mainly audited vouchers, but after World War II we started to perform more comprehensive financial audits that examined the economy and efficiency of government operations. By the 1960s, GAO had begun to perform the type of work we are noted for today—program evaluation—which examines whether government programs are meeting their objectives. Our new name, the U.S. Government Accountability Office, reflects our people, our work, and our reputation.**

### GAO's Mission

Our mission is to support the Congress in meeting its constitutional responsibilities and to help improve the performance and ensure the accountability of the federal government for the benefit of the American people. We accomplish our mission by providing reliable information and informed analysis to the Congress, to federal agencies, and to the public; and we recommend improvements, when appropriate, on a wide variety of issues. Three core values—accountability, integrity, and reliability—form the basis for all of our work, regardless of its origin.

### How GAO Supports the Congress and Serves the American People

Our efforts to support the Congress and inform the general public include

- engaging in a range of oversight, insight, and foresight activities that span the full breadth and scope of federal programs, policies, operations, and performance;
- overseeing government operations through financial and other performance audits to determine whether public funds are being spent efficiently and effectively;
- providing legal opinions to determine whether agencies are in compliance with applicable laws and regulations;

[1] The Federal Managers' Financial Integrity Act requires ongoing evaluations and annual reports on the adequacy of the systems of internal accounting and administrative control of each agency. The Government Performance and Results Act seeks to improve public confidence in federal agency performance by requiring that federally funded agencies develop and implement an accountability system based on performance measurement, including setting goals and objectives and measuring progress toward achieving them. The Federal Financial Management Improvement Act emphasizes the need to improve federal financial management by requiring that federal agencies implement and maintain financial management systems that comply with federal financial management systems requirements, applicable federal accounting standards, and the *U.S. Government Standard General Ledger* at the transaction level.

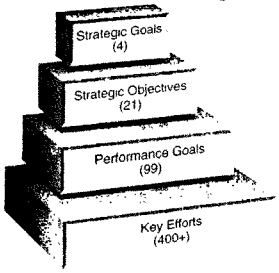
- investigating whether illegal or improper activities are occurring;
- analyzing the financing for government activities;
- conducting a range of constructive engagements in which we work proactively with agencies, when appropriate, to help guide their efforts toward achieving positive results;
- studying national and international trends and challenges to anticipate their implications for public policy;
- conducting policy analyses to assess needed actions and the implications of proposed actions;
- publishing thousands of reports and other documents annually; and
- testifying before the Congress.

**Strategic Planning and Management Process**

To accomplish our mission, we use a strategic planning and management process that is based on a hierarchy of four elements (see fig. 1), beginning at the highest level with the following four strategic goals:

- Strategic Goal 1: Provide Timely, Quality Service to the Congress and the Federal Government to Address Current and Emerging Challenges to the Well-Being and Financial Security of the American People.
- Strategic Goal 2: Provide Timely, Quality Service to the Congress and the Federal Government to Respond to Changing Security Threats and the Challenges of Global Interdependence.
- Strategic Goal 3: Help Transform the Federal Government's Role and How It Does Business to Meet 21st Century Challenges.
- Strategic Goal 4: Maximize the Value of GAO by Being a Model Federal Agency and a World-Class Professional Services Organization.

**Figure 1: GAO's Strategic Planning Hierarchy**




Source: GAO.

Our work is primarily aligned under the first three strategic goals, which span issues that are both domestic and international, affect the lives of all Americans, and influence the extent to which the federal government serves the nation's current and future interests. The fourth goal is our only internal one and is aimed at maximizing our productivity through such efforts as investing steadily in information technology (IT) to support our work; ensuring the safety and security of our people, information, and assets; pursuing human capital transformation; and leveraging our knowledge and experience. Table 25 lists by goal some examples of our work during fiscal year 2005; this work relates to a variety of specific strategic objectives. We revisit the focus and appropriateness of these four strategic goals each time that we update our strategic plan. The next update will be completed during fiscal year 2007.

**Table 25: Examples of How GAO Assisted the Nation in Fiscal Year 2005**

| Goal | Description | GAO provided information that helped to.... |
|---|---|---|
| 1 | Provide timely, quality service to the Congress and the federal government to address current and emerging challenges to the well-being and financial security of the American people. | • Improve the transition from active duty to civilian status for veterans with serious war-related injuries<br>• Address long-term health care financing pressures on state and local government budgets<br>• Identify challenges associated with transferring the Medicare appeals process from the Social Security Administration and HHS<br>• Improve patient safety at Department of Veterans' Affairs hospitals<br>• Improve the security of Social Security numbers<br>• Address the challenges of pension reform<br>• Strengthen the security screening process for passengers and checked baggage at the nation's airports<br>• Improve the oversight of Federal Housing Administration single-family and multifamily lenders<br>• Improve the oversight of electricity markets by the Federal Energy Regulatory Commission<br>• Identify challenges associated with the DOE's nuclear facility designs<br>• Monitor the growth in the digital television market<br>• Analyze issues contributing to the declining financial condition of the airline industry |
| 2 | Provide timely, quality service to the Congress and the federal government to respond to changing security threats and the challenges of global interdependence. | • Improve the management of funds for the Global War on Terrorism<br>• Increase the security of cargo containers to prevent terrorist activity<br>• Alert the Congress to issues affecting the DOD's major weapon system<br>• Analyze funding options for a new federal foreign assistance program—the Millennium Challenge Account<br>• Promote government efforts to address threats to the security of the nation's information systems<br>• Strengthen the visa process as an antiterrorism tool<br>• Improve management of the U.S. Coast Guard's Deepwater program<br>• Shape the debate on improving military pay and benefits<br>• Strengthen the U.S. strategic export control system<br>• Identify improvements needed to secure the telecommunications and information systems used by U.S. financial markets |
| 3 | Help transform the federal government's role and how it does business to meet 21st century challenges. | • Increase the public's understanding of the federal government's long-term fiscal challenges<br>• Implement governmentwide civil service reforms<br>• Oversee federal tax policy<br>• Increase debts collected from criminals<br>• Decrease improper payments made by the USDA Food Stamp Program and other federal agencies<br>• Manage multibillion dollar IT modernizations and investments at the Department of Homeland Security (DHS) and Office of Personnel Management<br>• Improve agencies' strategic purchasing practices<br>• Examine changes in key areas of federal activity that could affect the federal government's fiscal future<br>• Enhance the knowledge base on comprehensive national indicators |

| Goal | Description | GAO provided information that helped to.... |
|---|---|---|
| 4 | Maximize the value of GAO by being a model federal agency and a world-class professional services organization. | • Foster among other federal agencies GAO's innovative human capital practices, such as broad pay bands; performance-based compensation; and workforce planning and staffing strategies, policies, and processes<br>• Share GAO's model business and management processes and other transformation-related information with counterpart organizations in the United States and abroad |

Source: GAO

The four strategic goals are supported by strategic objectives that are in turn supported by and achieved through numerous performance goals and key efforts. Our strategic planning framework for serving the Congress, which lists the strategic objectives under each goal, is depicted in figure 2. This framework not only shows the relationship between our strategic goals and strategic objectives, but also shows major themes that could potentially affect our work.

**An Example of Our Strategic Planning Elements**

**Strategic Goal 1: Provide Timely, Quality Service to the Congress and the Federal Government to Address Current and Emerging Challenges to the Well-Being and Financial Security of the American People.**

**Strategic Objective: A Secure Retirement for Older Americans**

**Performance Goal: Identify Opportunities to Improve the Ability of Government Agencies to Administer and Protect Workers' Retirement Benefits.**

**Key Efforts:**

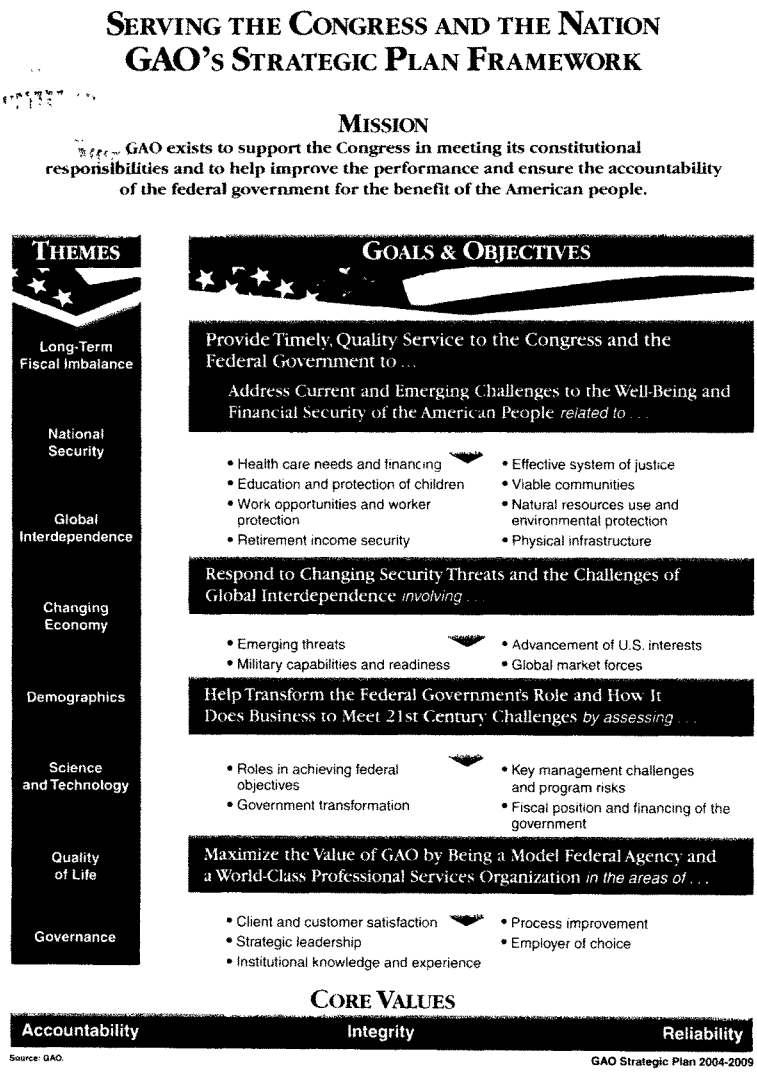
- **Evaluate pension insurance and tax oversight programs to determine whether workers' private pension retirement benefits are effectively protected.**
- **Evaluate the Social Security Administration's (SSA) service-delivery systems and program operations to determine whether they are being implemented fairly, effectively, efficiently, and securely.**
- **Assess the adequacy and management of public service retirement systems, including the federal, state, and local government employee systems, in serving participants and in protecting and providing benefits.**

Complete descriptions of the steps in our strategic planning and management process are included in our strategic plan for fiscal years 2004 through 2009, which is available on our Web site at http://www.gao.gov. This site also provides access to our annual performance plans since fiscal year 1999 and our performance and accountability reports since fiscal year 2001.

To ensure that we are well positioned to meet the Congress's current and future needs, we update our 6-year strategic plan every 3 years, consulting extensively during the update with our clients on Capitol Hill and with other experts (see our complete strategic plan on our Web site at http://www.gao.gov/sp/d04534sp.pdf). Using the plan as a blueprint, we lay out the areas in which we expect to conduct research, audits, analyses, and evaluations to meet our clients' needs, and we allocate the resources we receive from the Congress accordingly. Given the increasingly fast pace with which crucial issues emerge and evolve, we design a certain amount of flexibility into our plans and staffing structure so that we can respond readily to the Congress's changing priorities. When we revise our plans or our allocation of resources, we disclose those changes in subsequent documents such as our annual performance plans and performance accountability reports, which are posted—like our strategic plan—on the Web for public inspection (http://www.gao.gov/sp.html). For example, we issued our performance plan for fiscal year 2006 in June 2005.

Each year, we hold ourselves accountable to the Congress and to the American people for our performance, primarily through our annual performance and accountability report. However, we include some information about future plans in that report to provide as cohesive a view as possible of what we have done, what we are doing, and what we expect to do to support the Congress and to serve the nation. In 2005, the Association of Government Accountants awarded us, for the fourth consecutive year, its Certificate of Excellence in Accountability Reporting for our fiscal year 2004 performance and accountability report. According to the association, this certificate means that we produced an interesting and informative performance and accountability report that achieved the goal of complete and fair reporting.

**Figure 2: GAO's Strategic Planning Framework**



**Strategies for Achieving Our Goals**

The Government Performance and Results Act directs agencies to articulate not just goals, but also strategies for achieving those goals. As detailed in the following sections, our strategies primarily emphasize providing information from our work to the Congress and the public in a variety of forms and continuing and strengthening our internal operations. For all four strategic goals, the multiyear, qualitative performance goals included in our current strategic plan describe specific areas of work that we planned to complete by the end of fiscal year 2005.

Our strategies also emphasize the importance of two overarching approaches: (1) working with other organizations on crosscutting issues and (2) effectively addressing the challenges to achieving our agency's goals and recognizing the internal and external factors that could impair our performance. Through these strategies, which have proven successful for us for a number of years, we plan to achieve the level of performance that is needed to meet our annual performance measures and our multiyear performance goals and that in turn will allow us to achieve our strategic goals.

Attaining our three external strategic goals (goals 1, 2, and 3) and their related objectives rests, for the most part, on providing professional, objective, fact-based, nonpartisan, nonideological, fair, and balanced information to support the Congress in carrying out its constitutional responsibilities. To implement the performance goals and key efforts related to these three goals, we develop and present information in a number of ways, including

- evaluating federal policies, programs, and the performance of agencies;
- overseeing government operations through financial and other management audits to determine whether public funds are spent efficiently, effectively, and in accordance with applicable laws;
- investigating whether illegal or improper activities are occurring;
- analyzing the financing for government activities;
- conducting various constructive engagements in which we work proactively with agencies, when appropriate, to provide advice that may assist their efforts toward positive results;
- providing legal opinions that determine whether agencies are in compliance with applicable laws and regulations;
- conducting policy analyses to assess needed actions and the implications of proposed actions; and
- providing additional assistance to the Congress in support of its oversight and decision-making responsibilities.

We conduct specific engagements as a result of requests from congressional committees and mandates written into legislation, resolutions, and committee reports. In fiscal year 2005, we devoted 87 percent of our engagement resources to work requested or mandated by the Congress. We initiated the remaining 13 percent of the engagement work under the Comptroller General's authority; much of this work was related to government pro-grams and operations that we have identified as high risk for fraud, abuse, and mismanagement; reviews of agencies' budget requests; and various emerging challenges that are of broad-based interest to the Congress, such as the cost of the Global War on Terrorism and the status of the reconstruction efforts in Iraq. By making recommendations to improve the accountability, operations, and services of government agencies, we contribute to increasing the effectiveness of federal spending and enhancing the taxpayers' trust and confidence in their government.

Our staff are responsible for gathering all the relevant data and follow high standards for documenting and supporting the information we collect and analyze. This information is, more often than not, documented in a product that is made available to the public. In some cases, we develop

products that contain classified or sensitive information that cannot be made available publicly. We generally issue around 1,200 to 1,300 products each year, either electronically or in printed format. Our products include the following:

- letter reports and chapter reports that, respectively, appear in letter or chapter format and, when printed, are issued with our traditional blue cover;
- correspondence, which is a written letter that does not have a blue cover;
- testimonies and statements for the record, where the former are delivered orally by one or more of our senior executives at a hearing and the latter are provided for inclusion in the congressional record; and
- oral briefings, which are usually given directly to congressional staff members.

We also produce special publications on specific issues of general interest to all Americans, such as our primer on motor fuels that we prepared to help improve public understanding of the major factors that influence the U.S. price of gasoline and our guide on Social Security that answers concisely some basic questions about how the program works and why it needs to be reformed. Collectively, our products always contain information and often conclusions and recommendations that allow us to achieve our external strategic goals.

Another means of ensuring that we are achieving our goals is to examine the impact of our past work and use that information to shape our future work. Consequently, we evaluate actions taken by federal agencies and the Congress in response to our past recommendations. The results of these evaluations are reported in terms of the financial benefits and other benefits that reflect the value of our work. We actively monitor the status of our open recommendations—those that remain valid but have not yet been implemented—and report our findings annually to the Congress and the public (http://www.gao.gov/openrecs.html).

Similarly, we will use our biennial high-risk report, most recently issued in January 2005, to provide a status report on major government operations that we consider high risk because they are vulnerable to waste, fraud, abuse, and mismanagement or are in need of broad-based transformation. And we will use our report on 21st century challenges, which was issued in February 2005, to alert the nation's leaders to current and emerging issues facing the nation, including the long-range budget challenge, the human capital crisis, postal reforms, and the federal government's financial management efforts. These reports are valuable planning tools because they help us to identify those areas where our continued efforts are needed to maintain the focus on important policy and management issues that the nation faces.

To attain our fourth strategic goal—an internal goal—and the five related objectives, we conduct surveys of our congressional clients and internal customers to obtain feedback on our products, processes, and services, and perform studies and evaluations to identify ways in which to improve them. Because achieving our strategic goals and objectives also requires strategies for coordinating with other organizations with similar or complementary missions, we

- use advisory panels and other bodies to inform our strategic and annual work planning and
- initiate and support collaborative national and international audit, technical assistance, and other knowledge-sharing efforts.

These two types of strategic working relationships allow us to extend our institutional knowledge and experience; to leverage our resources; and in turn, improve our service to the Congress and the American people. Our Strategic Planning and External Liaison office takes the lead and provides strategic focus for the work with external partner organizations, while our research, audit, and evaluation teams lead the work with most of the issue-specific organizations.

**Strategic and Annual Work Planning**

Through a series of forums, advisory boards, and panels; periodic environmental scans, and our speakers' series, we gather information and perspectives for our strategic and annual planning efforts. In fiscal year 2005, the Comptroller General convened various experts from the public, private, and nonprofit sectors in a series of forums and panels intended to enhance our understanding of emerging issues and to identify opportunities for action.

- In December 2004, we hosted a forum on long-term fiscal challenges and issued a report summarizing the discussion in February 2005.
- In February 2005, we convened a forum on defined benefits pension plans, the results of which were reported in June 2005.
- In March, we convened a roundtable involving the accountability community on long-term fiscal challenges, the results of which were summarized and shared with the participants.
- Throughout 2005, we held five sessions of our speakers' series Conversations on 21st Century Challenges, wherein prominent leaders discuss emerging themes and their implications for public policy. In 2005, we also initiated the Auditors General Speakers' Series that provides unique international perspectives in support of our work; speakers included the auditors general of China, Ireland, South Korea, and Saudi Arabia.

Advisory boards and panels also support our strategic and annual work planning for alerting us to issues, trends, and lessons learned across the national and international audit community that we should factor into our work. These groups include the Comptroller General's Advisory Board whose 40 members from the public and private sectors have broad expertise in areas related to our strategic objectives. Through the National Intergovernmental Audit Forum, chaired by the Comptroller General, and 10 regional intergovernmental audit forums, we consult regularly with federal inspectors general and state and local auditors. In addition, through the Domestic Working Group, the Comptroller General and the heads of 18 federal, state, and local audit organizations exchange information and seek opportunities to collaborate.

We also work with a number of issue-specific and technical panels to improve our strategic and annual work planning, including the following:

- The Advisory Council on Government Auditing Standards provides us guidance on promulgating auditing standards. These standards articulate auditors' responsibilities when examining government organizations; programs; activities; functions; and government assistance received by contractors, nonprofits, and other nongovernmental organizations. The council's work ensured that the revised standards would be generally accepted and feasible.
- The Accountability Advisory Council, made up of experts in the financial management community, advises us on audits of the U.S. government's consolidated financial statements and emerging issues involving financial management and accountability reporting.
- The Executive Council on Information Management and Technology, whose 19 members are experts from the public and private sectors and representatives of related professional organizations, help us to identify high-risk and emerging issues in the IT arena.
- The Comptroller General's Educators' Advisory Panel, composed of deans, professors, and other academics from prominent universities across the United States, advises us on recruiting, retaining, and developing staff and on strategic planning matters.

Internationally, we participate in INTOSAI—the professional organization of the national audit offices of 186 countries. During the fall of 2004, the INTOSAI Congress unanimously adopted a 5-year strategic plan—the first in INTOSAI's 50-year history—that was developed by a 10 nation task force

chaired by the Comptroller General. This plan has provided the foundation for the Governing Board to engage member institutions in advancing professional audit standards and promoting knowledge sharing.

**Collaborating With Others**

By collaborating with others, we have strengthened professional standards, provided technical assistance, leveraged resources, and developed best practices. In our work with INTOSAI, we chair the accounting and reporting committee and we are an active member of INTOSAI's auditing standards, internal control and accounting standards, and other technical committees. We publish INTOSAI's quarterly *International Journal of Government Auditing* in five languages to foster global understanding of standards, best practices, and technical issues. To help ensure that the public sector perspectives are reflected in the International Federation of Accountants Standards Development project, we are working as a member of INTOSAI's Professional Standards Committee as it collaborates closely with the International Auditing Assurance Standards Board and the World Bank to develop international auditing standards.

To build capacity in the national audit offices around the world, we conduct an international audit fellows program for mid- to senior-level staff from other countries. In 2005, 20 audit fellows from Asia, Africa, Europe, Latin America, and the Middle East spent about 4 months at GAO learning how we are organized to do our work, how we plan our work, and what methodologies we use, particularly for performance audits. As part of our strategy to promote continuous learning and sustainability once the fellows return to their countries, we are working with major donors—such as the World Bank and the U.S. Agency for International Development—to identify or support relevant capacity-building projects in fellows' institutions. Six current and seven former auditor generals as well as several deputy auditor generals, including the current chair of INTOSAI, are graduates of this program.

Other collaborative activities undertaken by our staff during 2005 included the following:

- Conferring with the Partnership for Public Service, a nonprofit, nonpartisan, public service organization committed to making the government an employer of choice for talented, dedicated Americans through educational outreach, research, legislative advocacy, and hands-on partnerships with agencies on workforce management issues. In late 2004, the Partnership merged with the Private Sector Council, another external partner organization dedicated to helping the federal government improve its efficiency, management, and productivity through the cooperative sharing of knowledge. During 2005, the Partnership has collaborated with us on a human capital symposium focused on performance management best practices and assisted us on a number of engagements.
- Actively participating in four other Domestic Working Group collaborative efforts of federal, state, and local audit officials to address issues regarding access to records, grants management, long-term fiscal challenges, and governance. Collaborative efforts with the Domestic Working Group and the National Association of State Auditors, Comptrollers, and Treasurers facilitated our work involving the states by fostering a cooperative working relationship with the state auditors on over a dozen engagements.
- Implementing the National Intergovernmental Audit Forum (Forum) strategic plan that was adopted in December 2004. This plan was developed by a task force composed of federal, state, and local auditors and an independent public accountant. The newly established committees have begun organizing to implement the plan, which seeks to help maximize the Forum's effectiveness in promoting good government and accountability at all levels of government. In addition, 21 regional Forum meetings were held, which brought together auditors at all government levels.

**Using Our Internal Experts**

We coordinate extensively within our own organization on our strategic and annual performance planning efforts, as well as on the preparation of our performance and accountability reports. Our efforts are completed under the overall direction of the Comptroller General and the Chief Operating Officer. We rely on our CAO/Chief Financial Officer and her staff to provide key information, such as the financial information that is included in our performance and accountability report. Her staff also coordinates with others throughout the agency to provide the information on goal 4's results and provides input on other efforts dealing with issues that include financial management, budgetary resources, training, and security. We obtain input on all aspects of our strategic and annual performance planning and reporting efforts from each of our engagement teams and organizational units through their respective managing directors, as well as other staff responsible for planning or engagement activities in the teams. Staff from the Quality and Continuous Improvement office prepare our performance and accountability report, ensuring, among other things, that the report is responsive to comments and suggestions received from the Association of Government Accountants and other reviewers. In short, we involve virtually every part of GAO and use our internal expertise in our planning and reporting efforts.

**Mitigating External Factors That Could Affect Our Performance**

Several external factors could affect the achievement of our performance goals, including the amount of resources we receive, shifts in the content and volume of our work, and national and international developments. Limitations imposed on our work by other organizations or limitations on the ability of other federal agencies to make the improvements we recommend are additional factors that could affect the achievement of our goals.

As the Congress focuses on unpredictable events—such as the global threat posed by sophisticated terrorist networks, natural disasters, or international financial crises—the mix of work we are asked to undertake may change, diverting our resources from some strategic objectives and performance goals. We can and do mitigate the impact of these events on the achievement of our goals in various ways. For example in fiscal year 2005, we

- stayed abreast of current events (such as the airline industry's financial crisis and gasoline prices) and communicated frequently with our congressional clients in order to be alert to possibilities that could shift the Congress's priorities or trigger new priorities;
- quickly redirected our resources when appropriate (i.e., on the cost and recovery efforts related to Hurricane Katrina) so that we could deal with major changes as they occur;
- maintained broad-based staff expertise (i.e., in our social security, health care financing, and homeland security areas) so that we could readily address emerging needs; and
- initiated research under the Comptroller General's authority on a limited number of selected topics, such as U.S. tsunami detection and preparedness efforts, the status of Iraq's reconstruction, and our 21st century challenges and high-risk work.

We are experiencing heavy demand from the Congress for work in a number of subject areas, especially in the disaster recovery and preparedness areas in the aftermath of Hurricane Katrina and in the health care area. Our ability to effectively manage this demand could have an impact on our ability to meet our performance targets. We will continue to manage these requests in order to minimize any negative impact they may have on our ability to meet the needs of the Congress and the American people. Given large current federal budget deficits and the nation's long-range fiscal imbalance, the Congress is likely to place increasing emphasis on fiscal constraint. While it is unclear how we will ultimately be affected, it is reasonable to assume that any attempt to exercise additional budgetary discipline in the legislative branch will include our agency. As a result, while we

believe that we submit reasonable and responsible budget requests and we know that the return on investment that we generate is unparalleled, we must plan and prepare for the possibility of significant and recurring constraints on the resources made available to the agency. In addition, because almost 80 percent of our budget is composed of people-related costs, any serious budget situation will have an impact on our human capital policies and practices. This, in turn, will have an impact on our ability to serve the Congress and meet our performance targets. While, as noted above, the nature and extent of any such budget constraints cannot be determined at the present time, our executive team is engaged in a range of related planning activities. It is both appropriate and prudent for us to engage in such planning. At the same time, we are hopeful that the Congress will recognize that performance-based budgeting concepts would support providing additional resources to entities with prudent budget requests and proven performance results. If the Congress employs such an approach, we should be in a good position to continue to provide a high rate of return on the resources invested in the agency.

A growing area for us involves our work on bid protests. As required by law, our General Counsel's office prepares Comptroller General procurement law decisions that resolve protests filed by disappointed bidders. These bidders challenge the way individual federal procurements are being conducted or how the contracts were awarded. In recent years, we have experienced an increase in the number of bid protests that have been filed. A further increase in our workload is likely if federal employees or their representatives are granted the right to appeal outsourcing decisions. We will continue to monitor our workload in this area to ensure that we meet our statutory responsibilities with minimal negative impact on our other work. Another external factor is the extent to which we can obtain access to certain types of information. With concerns about operational security being unusually high at home and abroad, we may have more difficulty obtaining information and reporting on sensitive issues. Historically, our auditing and information gathering have been limited whenever the intelligence community is involved. In addition, we have not had the authority to access or inspect records or other materials held by other countries or, generally, by the multinational institutions that the United States works with to protect its interests. Consequently, our ability to fully assess the progress being made in addressing national and homeland security issues may be hampered. Also, we anticipate that more of our reports may be subject to classification reviews than in the past, which means that the public dissemination of these products may be limited. We plan to work with the Congress to identify both legislative and non-legislative opportunities for strengthening our access authority as necessary and appropriate.

**Program Evaluation**

To assess our progress toward our first three strategic goals and their objectives and to update them for our strategic plan, we evaluate actions taken by federal agencies and the Congress in response to our recommendations. The results of these evaluations are conveyed in this performance and accountability report as financial benefits and other benefits that reflect the value of our work. In addition, we actively monitor the status of our open recommendations—those that remain valid but have not yet been implemented—and report our findings annually to the Congress and the public (http://www.gao.gov/openrecs.html). We use the results of that analysis to determine the need for further work in particular areas. For example, if an agency has not implemented a recommended action that we consider to be worthwhile, we may decide to pursue further action with agency officials or congressional committees, or we may decide to undertake additional work on the matter.

We also use our biennial high-risk series to provide a status report on those major government operations considered high risk because of their vulnerabilities to waste, fraud, abuse, and mismanagement or the need for broad-based transformation. The series is a valuable evaluation and planning tool because it helps us to identify those areas where our continued efforts are needed to maintain the focus on important policy and management issues that the nation faces.

To help ensure the quality of our work supporting strategic goals 1, 2, and 3, an external peer review was completed of the processes and practices we use to perform many of our engagements, specifically, performance audits. The review—conducted by an international team of auditors that was led by the Office of the Auditor General of Canada—assessed whether our quality assurance policies and procedures were suitably designed and operating effectively. The peer review team examined the design of our engagement quality control system and the audit documentation for a sample of our products. The reviewers found that we have designed and implemented an effective system of quality controls for our performance audits to ensure reasonable compliance with generally accepted government auditing standards. The review team issued its final report in April 2005. In addition, a team of external auditors reviewed our process and procedures for performing our financial audits of other agencies. In the comment letter accompanying the clean opinion report that resulted from the financial audit peer review, the auditor included a suggestion for clarifying our quality control policies and procedures. We have begun to implement this suggestion.

In addition, a team of independent auditors with KPMG also completed a review of our financial management and assurance procedures, which we contract for every 3 years. The auditors concluded that our system of quality control for the accounting and auditing practice was designed to meet applicable quality control standards and that we complied with this system for the period reviewed. Thus, the auditors were reasonably assured that our financial audits conformed with professional standards and gave us a clean opinion.

To help ensure the quality of our internal processes and systems supporting strategic goal 4, we conducted an evaluation that supported our strategic objectives under goal 4, in response to a mandate in the House report on the fiscal year 2005 legislative branch appropriation (H. R. Rep. No. 108-577). This mandate asked that we identify opportunities to reduce costs, outsource, and streamline our internal operations. As a result of our review this year, we streamlined the travel document audit process of our travel function and have selected a service provider to provide accounts payable transaction processing services. Both of these actions will result in measurable cost savings in the future.

In addition, Watson Wyatt, an organizational and performance consulting firm, examined our three-tier pay band system for our analysts and other professional staff and compared the compensation we provide these two groups with the compensation received by employees performing comparable work in the U.S. marketplace. Based on the results of this study, we reassessed the roles and responsibilities of our midlevel (Band II) analysts and adjusted compensation levels for other professional staff. As a result of this study, we are restructuring our Analyst and Analyst-related Specialist pay bands to better align compensation and responsibilities and adjust compensation levels for other professional staff.

We also completed a number of other studies and evaluations related to goal 4's strategic objectives. These studies resulted in internal products or briefings in fiscal year 2005 that are not available publicly.

- The status of our financial management. We conducted internal reviews of our compliance with requirements set forth in 31 U.S.C. 3512 (commonly referred to as the Federal Managers' Financial Integrity Act) and OMB Circular A-127, Financial Management Systems. The A-127 review covered consistency with the standard general ledger, adequacy of integration, reporting requirements, general ledger maintenance, and travel manager. The Financial Integrity Act review covered payroll testing; FMS functions including reporting; capitalized assets; budget administration controls; GAO mission and assignment tracking system; and internal controls purchases, payments, and employee reimbursements. These reviews uncovered no problems and showed that we have the proper controls in place and that they are being followed.

- Observations on the performance assessment cycle. The Executive Committee reviewed our 2004 annual performance management assessment data and requested that the Office of Opportunity and Inclusiveness (OOI) make recommendations for improvements in the areas of staff feedback, communication, and training. OOI provided draft recommendations to the managing directors, the Employee Advisory Council, Blacks in Government, the Hispanic Liaison Group, the Gay and Lesbian Employee Association, the Asian-American Liaison Group, and an agency representative for veterans, and forwarded their comments to the Executive Committee.
- Training for field office staff. We studied how best to deliver core training courses to our Band I staff in our field offices and determined that the most cost-effective way was to use a "hub" approach. Specifically, we identified San Francisco, Denver, and Atlanta as our three learning hubs where staff from these and nearby offices will complete groups of courses in five sets of 1-week sessions. The study concluded that among other things, this approach would be significantly less costly than bringing all Band I staff to GAO headquarters and result in a cost avoidance of $500,000 in travel and per diem expenditures.
- Electronic records management. In fiscal year 2005 we began pilot testing an electronic records management system that will store all of our workpapers, reports, and testimonies and make them available to all of our staff. We plan to conclude this pilot in fiscal year 2006.
- Customer satisfaction with internal operations and services. We conducted our second customer satisfaction survey to measure customer satisfaction with internal operational services, determine the impact of our improvement efforts launched as a result of our first survey, refine our targets, and make necessary adjustments to improve services and reduce the gaps between what our customers expect and the services available to them. We also used the information from this survey to refine our internal balanced scorecard.
- IT Security Program assessment. We contracted for an audit of our security practices and controls based upon Federal Information Security Management Act and National Institute of Standards and Technology guidance. This assessment was designed to analyze the effectiveness of our IT Security Program and assist management in determining how to best utilize resources to protect our information and information systems. It is a critical on-site examination and analysis of the program to ascertain the present program status, to identify deficiencies or excesses, to determine the protection needed, and to make recommendations for improvement.

**Providing Information That Improves Federal Programs Now and in the Future**

In fiscal year 2005, the Congress focused its attention on a broad array of challenging issues affecting the safety, health, and well-being of Americans here and abroad, and we were able to provide the objective, fact-based information these decision makers needed to stimulate debate, change laws, and improve federal programs for the betterment of the nation. For example, as the war in Iraq continued, we examined how DOD supplied vehicles, body armor, and other materiel to the troops in the field; contributed to the debate on military compensation; and highlighted the need to improve health, vocational rehabilitation, and employment services for seriously injured soldiers transitioning from the battlefield to civilian life. We kept pace with the Congress's information needs about ways to better protect America from terrorism by issuing products and delivering testimonies that addressed issues such as security gaps in the nation's passport operations that threaten public safety and federal efforts needed to improve the security of checked baggage at airports and cargo containers coming through U.S. ports. We also explored the financial crisis that weakened the airline industry and the impact of this situation on the traveling public and airline employees' pensions.

In addition, we helped to focus the attention of the Congress and the public on issues affecting the fiscal security and economic stability of the nation in the long term. In the second quarter of fiscal year 2005, we issued two products that will assist the Congress as it addresses future challenges.

Our report entitled *21st Century Challenges: Reexamining the Base of the Federal Government* provides a series of illustrative questions related to 12 areas of federal activity as well as our perspective on various strategies and approaches that should be considered as a possible means to address the issues and questions raised in the report. Drawing on our institutional knowledge and extensive program evaluation and performance assessment work for the Congress, we presented over 200 specific 21st century questions illustrating the types of hard choices our nation needs to face as it reexamines what the federal government does and how it does it. We also issued our *High-Risk Series: An Update*, which identifies federal areas and programs at risk of fraud, waste, abuse, and mismanagement and those in need of broad-based transformations. The issues affecting many areas and programs discussed in these two products may take years to address, and these reports will serve as a useful guide for the Congress's future programmatic deliberations and oversight activities. We performed all this work and more in accordance with our strategic plan, guided by our core values, and consistent with our professional standards (see our Strategic Plan Framework in figure 2).

As we assisted the Congress in fiscal year 2005, we monitored our performance using 14 annual performance measures that capture the results of our work; the assistance we provided to our client—the Congress; and our ability to attract, retain, develop, and lead a highly professional workforce (see Table 26). These measures indicate that we had an impressive year—we met or exceeded our performance targets for 10 of our 14 measures. Two of our results measures—financial benefits and other benefits—illustrate the outcomes of our work and our value to the nation because they track federal dollars saved or better used and programmatic improvements implemented as a result of our work. Two additional results measures track recommendations implemented and new products with recommendations that help us to achieve financial and other benefits. Our client measures—testimonies and timeliness—indicate how well we, as an information provider, serve the Congress, and our people measures reflect how well we manage our staff to achieve the results that we do.[2]

**Table 26: Agencywide Summary of Annual Measures and Targets**

| Performance measures | 2001 Actual | 2002 Actual | 2003 Actual | 2004 Actual | 2005 Target | 2005 Actual | Met/ Not met | 2006 Target | 2007 Target |
|---|---|---|---|---|---|---|---|---|---|
| **Results** | | | | | | | | | |
| Financial benefits (Dollars in billions) | $26.4 | $37.7 | $35.4 | $44.0 | $37.5 | **$39.6** | Met | $39.0 | $40.0 |
| Other benefits | 799 | 906 | 1,043 | 1,197 | 1,000 | **1,409** | Met | 1,050 | 1,100 |
| Past recommendations implemented | 79% | 79% | 82% | 83% | 80% | **85%** | Met | 80% | 80% |
| New products with recommendations | 44% | 53% | 55% | 63% | 55% | **63%** | Met | 60% | 60% |
| **Client** | | | | | | | | | |
| Testimonies | 151 | 216 | 189 | 217 | 185 | **179** | Not met | 210 | 185 |
| Timeliness | 95% | 96% | 97% | 97% | 98% | **97%** | Not met | 98% | 98% |
| **People** | | | | | | | | | |
| New hire rate | N/A | 96% | 98% | 98% | 97% | **94%** | Not met | 97% | 97% |
| Acceptance rate | N/A | 81% | 72% | 72% | 75% | **71%** | Not met | 75% | 75% |
| Retention rate with retirements | 91% | 91% | 92% | 90% | 90% | **90%** | Met | 90% | 91% |

[2] The specific sources of the data for our annual performance measures and multiyear qualitative performance goals, procedures for independently verifying and validating these data, and the limitations of these data are described in the data verification and validation table that begins on page 83 of our performance and accountability report (GAO-06-1SP).

| Performance measures | 2001 Actual | 2002 Actual | 2003 Actual | 2004 Actual | 2005 Target | 2005 Actual | Met/ Not met | 2006 Target | 2007 Target |
|---|---|---|---|---|---|---|---|---|---|
| Retention rate without retirements | 95% | 97% | 96% | 95% | 94% | **94%** | Met | 94% | 95% |
| Staff development | N/A | 71% | 67% | 70% | 72% | **72%** | Met | 74% | 75% |
| Staff utilization | N/A | 67% | 71% | 72% | 74% | **75%** | Met | 75% | 78% |
| Leadership | N/A | 75% | 78% | 79% | 80% | **80%** | Met | 80% | 80% |
| Organizational climate | N/A | 67% | 71% | 74% | 75% | **76%** | Met | 75% | 76% |
| **Internal operations** | | | | | | | | | |
| Help get job done | N/A | N/A | 3.98 | 4.01 | N/A | N/A | N/A | 4.0 | 4.0 |
| Quality of work life | N/A | N/A | 3.96 | 3.96 | N/A | N/A | N/A | 4.0 | 4.0 |

Source: GAO

Note: N/A indicates the information is not available or the target is not applicable.

In fiscal year 2005, we accomplished real results for the nation, surpassing our financial benefits target for the year and exceeding our annual target and all-time record for other (nonfinancial) benefits. Our financial benefits of $39.6 billion represents an $83 return on every dollar invested in us, and the more than 1,400 other benefits resulting from our work helped to improve the efficiency and effectiveness of government programs that serve the public. In addition, we exceeded our targets for the percentages of past recommendations implemented and new products with recommendations by 5 percentage points and 8 percentage points, respectively.

We did not achieve the targets we set for testimonies and timeliness. Several testimonies we had scheduled were postponed or canceled during the last months of the fiscal year so that the Congress could turn its attention to Hurricane Katrina and its aftermath. However, we believe we served the Congress very well during fiscal year 2005. Based on feedback through an electronic survey completed by a sample of our congressional clients who requested our testimonies and significant products, 96 percent of the responses concerning their overall satisfaction with our products were favorable. These respondents were pleased with various aspects of our written products and testimony statements, such as the professional manner in which we conducted our work and responded orally to questions at congressional hearings, respectively.

Concerning our eight people measures, which we began to hold managers accountable for in fiscal year 2005, we are happy to report that we met or exceeded our annual targets for all but two of them—new hire rate and acceptance rate. Our performance in this area indicates that we did a very good job developing, productively using, and managing our staff, but need to improve our recruiting and hiring processes, which we have taken steps to do.

Beginning with fiscal year 2006, we will add internal operations measures to the list of measures on which we report. Our mission and people are supported by our internal administrative services, including information management, building management, knowledge services, human capital, and financial management services. Through an internal customer satisfaction survey, we gather information on how well our internal operations help employees get their jobs done or improve employees' quality of work life. Examples of surveyed services include providing secure Internet access and voice communication systems, performance management, and benefits information and assistance.

### Plans and Performance by Strategic Goal

In the following sections, we discuss how each of our four strategic goals contributed to our fiscal year 2005 performance results. Specifically, for goals 1, 2, and 3—our external goals—we present performance results for the three annual measures that we assess at the goal level. Most teams and units also contributed toward meeting the targets for the agencywide measures that were previously discussed. In addition, for all four strategic goals, we assess our progress on our qualitative, multiyear performance goals.

Table 27 provides an overview of how our human capital resources (shown as full-time equivalent (FTE) positions) and budgetary resources are allocated among GAO's strategic goals for fiscal years 2005 through 2007.

**Table 27: Resources by Strategic Goal, Fiscal Years 2005 through 2007**
(Dollars in millions)

| Strategic goal | FY 2005 Actual[a] | | FY 2006 Estimated | | FY 2007 Proposed | |
|---|---|---|---|---|---|---|
| | FTEs | Amount | FTEs | Amount | FTEs | Amount |
| **Goal 1** Provide timely, quality service to the Congress and the federal government to address current and emerging challenges to the well-being and financial security of the American people. | 1,275 | $188 | 1,286 | $192 | 1,307 | $201 |
| **Goal 2** Provide timely, quality service to the Congress and the federal government to respond to changing threats and the challenges of global interdependence. | 933 | 137 | 941 | 140 | 955 | 147 |
| **Goal 3** Help transform the federal government's role and how it does business to meet 21st century challenges. | 843 | 124 | 850 | 127 | 863 | 134 |
| **Goal 4** Maximize the value of GAO by being a model federal agency and a world-class professional services organization. | 138 | 25 | 140 | 26 | 142 | 27 |
| **Total** | **3,189** | **$474** | **3,217** | **$485** | **3,267** | **$509** |

Source: GAO
[a]These numbers have been updated from last year's budget submission to reflect actual resources.

### Goal 1 Strategic Objectives

Our first strategic goal upholds our mission to support the Congress in carrying out its constitutional responsibilities by focusing on work that helps address the current and emerging challenges affecting the well-being and financial security of the American people and American communities. Our multiyear (fiscal years 2004-2009) strategic objectives under this goal are to provide information that will help address

- the health needs of an aging and diverse population;
- the education and protection of the nation's children;
- the promotion of work opportunities and the protection of workers;
- a secure retirement for older Americans;
- an effective system of justice;

- the promotion of viable communities;
- responsible stewardship of natural resources and the environment; and
- a safe, secure, and effective national physical infrastructure.

These objectives, along with the performance goals and key efforts that support them, are discussed fully in our strategic plan, which is available on our Web site at http://www.gao.gov. The work supporting these objectives was performed primarily by headquarters and field staff in the following teams: Education, Workforce, and Income Security; Financial Markets and Community Investment; Health Care; Homeland Security and Justice; Natural Resources and Environment; and Physical Infrastructure.

**Goal 1 Fiscal Year 2005 Accomplishments**

To accomplish our work under these strategic objectives, we conducted engagements, audits, analyses, and evaluations of programs at major federal agencies and developed reports and testimonies on the efficacy and soundness of those programs. Much of our work was initiated in response to congressional responses and mandates. For example, work under this goal provided information that helped to

- improve security at drinking water and wastewater plants,
- improve the oversight and monitoring of Head Start grantees,
- address challenges of pension reform, and
- assess the effects of changing the definition of rural on USDA's Rural Housing Service.

As shown in Table 28, we did not meet our fiscal year 2005 performance target for financial benefits for goal 1, but we exceeded our targets for other benefits and testimonies.

**Table 28: Strategic Goal 1's Selected Annual Performance Results and Targets**

| Performance measures | 2001 Actual | 2002 Actual | 2003 Actual | 2004 Actual | 2005 Target | 2005 Actual | Met/ Not met | 2006 Target | 2007 Target |
|---|---|---|---|---|---|---|---|---|---|
| Financial benefits (dollars in billions) | $8.9 | $24.1 | $23.6 | $26.6 | $19.6 | **$15.6** | Not met | $18.7 | $20.2 |
| Other benefits | 210 | 226 | 217 | 252 | 240 | **277** | Met | 242 | 256 |
| Testimonies | 73 | 111 | 80 | 85 | 78 | **88** | Met | 89 | 78 |

Source: GAO

The financial benefits reported for this goal in fiscal year 2005 totaled $15.6 billion, falling short of the target of $19.6 billion. This shortfall resulted, in part, because our work focused on nonfinancial rather than financial benefits. The largest of the financial benefits for this goal arose from our recommendation that DOE take actions to avoid costs associated with a nuclear waste disposal process. Other financial benefits resulting from our work under goal 1 stemmed from the Department of Housing and Urban Development (HUD) recapturing funds not being used by public housing authorities, HHS avoiding costs in the Medicare program, and the National Park Service increasing revenues.

Because financial benefits often result from work completed in prior years, we set our fiscal year 2006 target on the basis of our assessment of the progress agencies are making in implementing our past recommendations. Our analysis indicates that financial benefits in the future for goal 1 are likely to decline. We therefore have set the target for fiscal year 2006 at $18.7 billion, which is higher than that we achieved this year.

Other tangible, nonfinancial benefits reported for goal 1 in fiscal year 2005 included 254 actions taken by federal agencies to improve their services and operations in response to our work and another 23 in which information we provided to the Congress resulted in statutory or regulatory changes. This total of 277 other benefits exceeded our target of 240. Among some of our significant achievements were:

- paying properly for power wheelchairs for Medicare beneficiaries,
- monitoring states' inventories of childhood vaccines, and
- estimating tobacco retailer violation rates.

For fiscal year 2006, we have set a target of 242. While this target is lower than that we achieved this year, it is about the same as the 4-year average for the goal and is consistent with our recognition that we are more likely to achieve these benefits under goals 2 and 3 in the next few years.

Our witnesses testified at 88 congressional hearings related to this strategic goal, which exceeded the fiscal year 2004 target of 78 testimonies. Among the testimonies given were ones on

- student loan programs,
- Social Security reform,
- Medicare spending,
- defense health care,
- farm program payments, and
- transportation security.

On the basis of our assessment of the potential need to testify on issues under this goal, we have set a target of presenting testimony at 89 hearings during fiscal year 2006.

**Goal 1 Multiyear Performance Goals**

At the close of fiscal year 2005, we had met 39 of the 40 performance goals for this strategic goal. We did not meet the goal of assessing the administrative efficiency and effectiveness of the federal court and prison systems because we did not receive requests to perform work in this area and could not undertake self-initiated work because we needed resources for work requested by the Congress in other areas. For fiscal year 2006, we are replacing this performance goal with one on improving the administration of the nation's election system, a goal that better reflects the interests of our congressional clients.

**Goal 2 Strategic Objectives**

The federal government is working to promote foreign policy goals, sound trade polices, and other strategies to advance the interests of the United States and its allies while also seeking to anticipate and address emerging threats to the nation's security and economy. Given the importance of these efforts, our second strategic goal focuses on helping the Congress and the federal government respond to changing security threats and the challenges of global interdependence. Our multiyear (fiscal years 2004-2009) strategic objectives under this goal are to support the congressional and federal efforts to

- respond to emerging threats to security,
- ensure military capabilities and readiness,
- advance and protect U.S. international interests, and
- respond to the impact of global market forces on U.S. economic and security interests.

These objectives, along with the performance goals and key efforts that support them, are discussed fully in our strategic plan, which is available on our Web site at http://www.gao.gov. The work supporting these objectives is performed primarily by headquarters and field staff in the following teams: Acquisition and Sourcing Management, Defense Capabilities and Management, and International Affairs and Trade. In addition, the work supporting some performance goals and key efforts is performed by headquarters and field staff from the Information Technology, Homeland Security and Justice, Financial Markets and Community Investment, and Natural Resources and Environment teams.

**Goal 2 Fiscal Year 2005 Accomplishments**

To accomplish our work under these strategic objectives, we conducted engagements and audits that involved fieldwork related to federal programs that took us across multiple continents, including Australia, Europe, Africa, Asia, South America, and North America. As in the past, we developed reports, testimonies, and briefings on our work. As shown in Table 29, we exceeded our fiscal year 2005 performance targets for financial and other benefits, but did not meet the target for testimonies for this goal.

**Table 29: Strategic Goal 2's Selected Annual Performance Results and Targets**

| Performance measures | 2001 Actual | 2002 Actual | 2003 Actual | 2004 Actual | 2005 Target | 2005 Actual | Met/ Not met | 2006 Target | 2007 Target |
|---|---|---|---|---|---|---|---|---|---|
| Financial benefits (dollars in billions) | $10.5 | $8.4 | $7.1 | $9.7 | $9.4 | **$13.0** | Met | $10.5 | $9.8 |
| Other benefits | 188 | 218 | 273 | 369 | 300 | **365** | Met | 282 | 290 |
| Testimonies | 34 | 38 | 48 | 70 | 52 | **42** | Not met | 58 | 52 |

Source: GAO

The financial benefits reported for this goal in fiscal year 2005 totaled $13 billion, exceeding the target of $9.4 billion. These accomplishments stemmed from engagements that recommended scaling back a defense program until the required technology is mature, increasing efficiencies in the Army's force structure, reducing funding for the Millennium Challenge Account—an account established to support development in countries around the world—and for DOD's operations and maintenance, and avoiding costs associated with the return of excess Army materiel from Iraq.

Given the large portion of the U.S. budget that defense spending consumes, we expect our work under this goal to continue to produce economies and efficiencies that yield billions of dollars in financial benefits for the American people each year. We set goal 2's fiscal year 2006 target at $10.5 billion based on its fiscal year 2005, 4-year rolling average of $9.5 billion and our assessment of the progress agencies are making in implementing our past recommendations that might yield financial benefits.

The other tangible benefits reported for goal 2 in fiscal year 2005 included 341 actions taken by federal agencies to improve their services and operations in response to our work and another 24 in which information we provided to the Congress resulted in statutory or regulatory changes. This total of 365 other benefits exceeded our target of 300. Our success in this area arose from our

increased emphasis on follow-up efforts and increased monitoring of our progress toward the targets throughout the year. Among some of our significant achievements were:

- improving controls on technology exports and
- strengthening the visa process as an antiterrorism tool.

Looking ahead, our assessments of the executive branch's current efforts to implement our recommendations made under this goal led us to set our fiscal year 2006 target at 282. This target is lower than our fiscal year 2005 actual performance and 4-year average for this measure because we want to encourage staff to identify significant and meaningful other benefits rather than numerous, narrowly focused ones that would easily ensure that we meet a higher target.

Our witnesses testified at 42 congressional hearings related to this strategic goal, missing our target of presenting testimony at 52 hearings. Among other things, we testified on

- U.S. passport fraud,
- DOD security clearances,
- the Oil for Food program,
- mutual funds,
- unmanned aerial vehicles,
- protecting U.S. officials oversees from terrorist attacks, and
- transportation security issues.

We have set our target for presenting testimony at hearings at 58 for fiscal year 2006. This should be a challenge for us since it is above both our fiscal year 2005 performance and 4-year average for this goal.

**Goal 2 Multiyear Performance Goals**

At the close of fiscal year 2004, we had met 22 of our 23 performance goals for this strategic goal. We did not meet the performance goal of identifying opportunities to embed homeland security concepts in ongoing national initiatives because our homeland security resources were needed for other work requested by the Congress and we did not have resources in the homeland security area to undertake self-initiated work related to this performance goal. For fiscal year 2006, we plan to drop this performance goal and concentrate our resources on the remaining homeland security efforts.

**Goal 3 Strategic Objectives**

Our third strategic goal focuses on the collaborative and integrated elements needed for the federal government to achieve results. The work under this goal highlights the intergovernmental relationships that are necessary to achieve national goals. Our multiyear (fiscal years 2004-2009) strategic objectives under this goal are to

- reexamine the federal government's role in achieving evolving national objectives;
- support the transformation to results-oriented, high-performing government;
- support congressional oversight of key management challenges and program risks to improve federal operations and ensure accountability; and
- analyze the government's fiscal position and strengthen approaches for addressing the current and projected fiscal gap.

These objectives, along with the performance goals and key efforts that support them, are discussed fully in our strategic plan, which is available on our Web site at http://www.gao.gov. The work supporting these objectives is performed primarily by headquarters and field staff from the Applied Research and Methods, Financial Management and Assurance, Information Technology, and Strategic Issues teams. In addition, the work supporting some performance goals and key efforts is performed by headquarters and field staff from the Acquisition and Sourcing Management and Natural Resources and Environment teams. This goal also includes our bid protest and appropriations law work, which is performed by staff in General Counsel, and our fraud investigations, which are conducted by staff from the Financial Management and Assurance team.

**Goal 3 Fiscal Year 2005 Accomplishments**

To accomplish our work under these four objectives, we plan to conduct audits, evaluations, and analyses in response to congressional requests and to carry out work initiatives under the Comptroller General's authority. As in the past, we will develop reports, testimonies, and briefings on our work. As shown in Table 30, we exceeded our fiscal year 2005 performance targets for financial and other benefits for this goal, but did not meet the target for testimonies at the goal level.

**Table 30: Strategic Goal 3's Selected Annual Performance Results and Targets**

| Performance measures | 2001 Actual | 2002 Actual | 2003 Actual | 2004 Actual | 2005 Target | 2005 Actual | Met/ Not met | 2006 Target | 2007 Target |
|---|---|---|---|---|---|---|---|---|---|
| Financial benefits (Dollars in billions) | $7.0 | $5.2 | $4.7 | $7.6 | $8.5 | **$11.0** | Met | $9.8 | $10.0 |
| Other benefits | 401 | 462 | 553 | 576 | 460 | **767** | Met | 526 | 554 |
| Testimonies | 42 | 65 | 56 | 60 | 55 | **47** | Not met | 63 | 55 |

Source: GAO

The financial benefits reported for this goal in fiscal 2005 totaled $11 billion, exceeding our target of $8.5 billion. These efforts included increasing revenues from IRS collections, avoiding costs by using streamlined federal acquisition strategies, reducing funding as a result of improved cash management processes in the Air Force's working capital fund and to postponement of the National Aeronautics and Space Administration (NASA) Prometheus 1 project, and reducing costs associated with the 2010 Census.

Under goal 3, we typically work on core government business processes and governmentwide management reforms. Our assessments of the executive branch's current efforts to implement the recommendations we made in our work under this goal indicate that financial benefits related to this goal are likely to be in line with our 4-year average; consequently, we set the target for financial benefits at $9.8 billion for fiscal 2006.

The other tangible benefits reported for goal 3 in fiscal year 2005 included 739 instances in which agencies' core business processes were improved or governmentwide management reforms were advanced because of our work. In addition, there were 28 instances in which information we provided to the Congress resulted in statutory or regulatory changes. This total of 767 other benefits exceeded our target of 460. The larger number of other benefits occurred mainly in our financial management and information technology areas, where we tend to make multiple, specific recommendations for change to more than one entity. Among some of our significant achievements were

- adding rigor to the Coast Guard's oversight of deepwater program contractors,
- preventing improper sales of sensitive clothing and textile items,
- improving accountability at DOL, and
- improving NASA's cost-estimating process.

Looking ahead, our assessments of the executive branch's current efforts to implement our recommendations made under this goal led us to set a fiscal year 2006 target of 526 other benefits for goal 3. We recognize that this target is lower than our fiscal year 2005 actual performance, but we set it at this level because we want to encourage staff to identify significant and meaningful other benefits rather than numerous, narrowly focused ones that would easily ensure that we meet a higher target.

Our witnesses testified at 47 congressional hearings related to this strategic goal, falling short of the target of 55. Among the testimonies presented were ones on

- Army Reserve and Army National Guard pay,
- tax system abuse by DOD contractors,
- diploma mills,
- federal purchase and travel cards,
- NASA's shuttle program, and
- DOD contract management.

For fiscal year 2006, we have set a target of presenting testimony at 63 hearings because we expect the level of hearings to be higher than it was in fiscal year 2005; the anticipated increase stems from our work on bid protests and on contracting activities resulting from federal Hurricane Katrina cleanup and recovery efforts.

**Goal 3 Multiyear Performance Goals**

At the close of fiscal year 2005, we had met all of the 19 performance goals for this strategic goal.

**Goal 4 Strategic Objectives**

The focus of our fourth strategic goal is to make GAO a model organization. For us, this means that our work is driven by our external clients and internal customers. This also means that our managers exhibit the characteristics of leadership and management excellence, our employees are devoted to ensuring quality in our work process and products through continuous improvement, and our agency is regarded by current and potential employees as an excellent place to work. Our multiyear (fiscal years 2004-2009) strategic objectives under this goal are to

- continuously improve client and customer satisfaction and stakeholder relationships,
- lead strategically to achieve enhanced results,
- leverage GAO's institutional knowledge and experience,
- continuously enhance GAO's business and management processes, and
- become a professional services employer of choice.

These objectives, along with the performance goals and key efforts that support them, are discussed fully in our strategic plan, which is available on our Web site at http://www.gao.gov. The work supporting these objectives is performed under the direction of the Chief Administration Officer (CAO) with assistance on specific key efforts being provided by staff from the Applied Research and Methods team and from offices such as Strategic Planning and External Liaison, Congressional Relations, Opportunity and Inclusiveness, Quality and Continuous Improvement, and Public Affairs.

To accomplish our work under these five objectives, we plan to perform internal studies and complete projects that further the strategic goal.

**Goal 4 Fiscal Year 2005 Accomplishments**

The key quantitative measures of GAO's annual performance used to assess our performance under the external strategic goals are not applicable under Goal 4, but the multiyear qualitative performance goals do apply.

**Goal 4 Multiyear Performance Goals**

At the close of fiscal year 2005, we met 16 of the 17 performance goals for this strategic goal. We did not meet our performance goal of maximizing the collection, use, and retention of essential organizational knowledge. While we have done a substantial amount of work for this performance goal, we will not complete this work until after fiscal year 2005. Specifically, our work has been slower than we anticipated because funding was rescinded in fiscal year 2004 and some essential steps—such as developing prototypes and conducting pilot tests—have taken longer than we initially anticipated. We now plan to complete efforts under this performance goal during fiscal year 2006.

## ORGANIZATIONAL STRUCTURE

As the Comptroller General of the United States, David M. Walker is the head of GAO and is serving a 15-year term that began in November 1998. Three other executives join Comptroller General Walker to form GAO's Executive Committee, which is the top policy-making body within GAO. These executives are Chief Operating Officer Gene L. Dodaro, Chief Administrative Officer/Chief Financial Officer Sallyanne Harper, and General Counsel Anthony H. Gamboa.

To achieve our strategic objectives, we maintain a workforce of highly trained professionals with degrees in many academic disciplines, including accounting, law, engineering, public and business administration, economics, and the social and physical sciences. About three-quarters of our approximately 3,200 employees are based at our headquarters in Washington, D.C.; the rest are deployed in 11 field offices across the country. These staff are arrayed in 13 research, audit, and evaluation teams. The teams are supported by mission offices, such as General Counsel and Congressional Relations, and staff offices, such as the Chief Administrative Office.

**GAO Field Locations**

Atlanta, GA
Boston, MA
Chicago, IL
Dallas, TX
Dayton, OH
Denver, CO
Huntsville, AL
Los Angeles, CA
Norfolk, VA
San Francisco, CA
Seattle, WA

The following charts provide a summary of GAO's organizational structure:

- GAO's Organizational Chart (page D-2) displays each team and office, including the name of the SES unit manager.
- Organizational Chart by Mission (pages D-3 to D-6) provides a brief statement that describes what each unit does and how it contributes to GAO's overall mission.
- FTE Staffing Allocation Chart (page D-7) provides the proposed fiscal year 2007 FTE level, by pay clusters, for each unit.

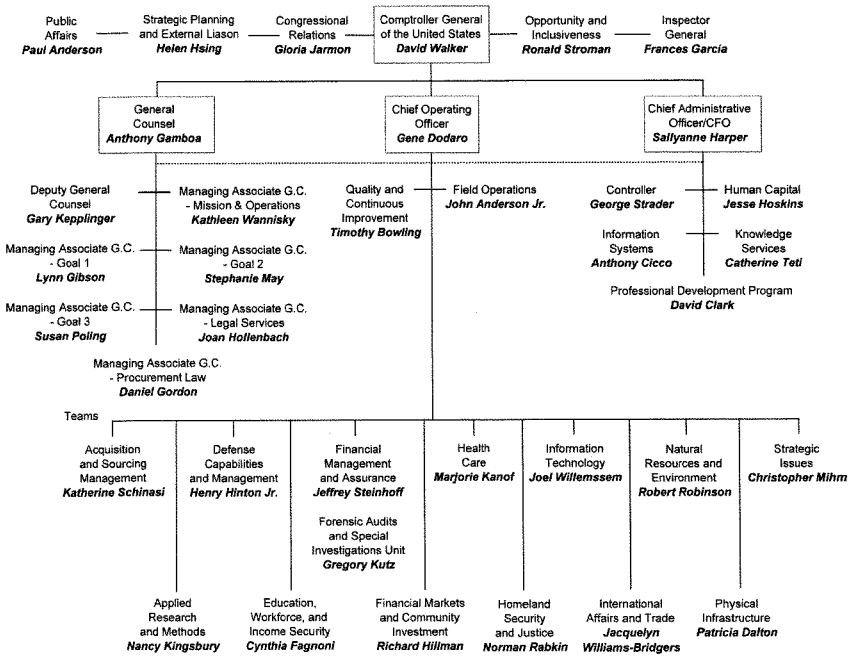
Following the summary charts are more detailed information on each unit's mission, resources, and role in achieving our goals.

SES staff in charge of the teams that support our strategic goals manage a mix of engagements, and ensure that the Congress's need for information on quickly emerging issues is met as we continue longer-term work efforts that flow from our strategic plan. To effectively serve the Congress with a finite set of resources, senior managers—in consultation with our congressional clients—determine the timing and priority of engagements for which they are responsible.

**Table 31:**

## GAO's Organizational Chart

FY 2007 FTE Allocation




**Legend:**

**CFO** Chief Financial Officer

—— Indicates a support or advisory relationship with the teams/units rather than a direct reporting relationship

Note: All staff listed on this table are SES-level managers. With the exception of the Comptroller General of the United States, the Chief Operating Officer, the Chief Administrative Officer, the Inspector General, and the General Counsel, all managers are titled "Managing Director."

**Table 32: Functional Organizational Chart**

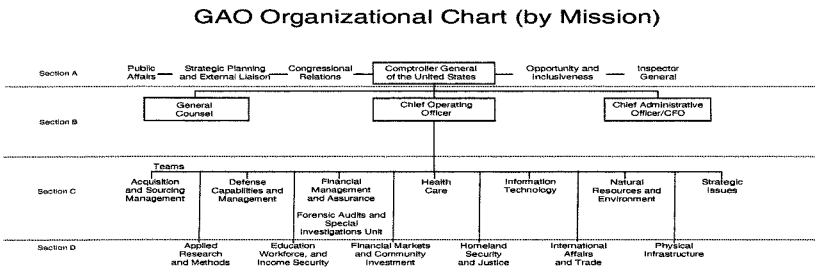
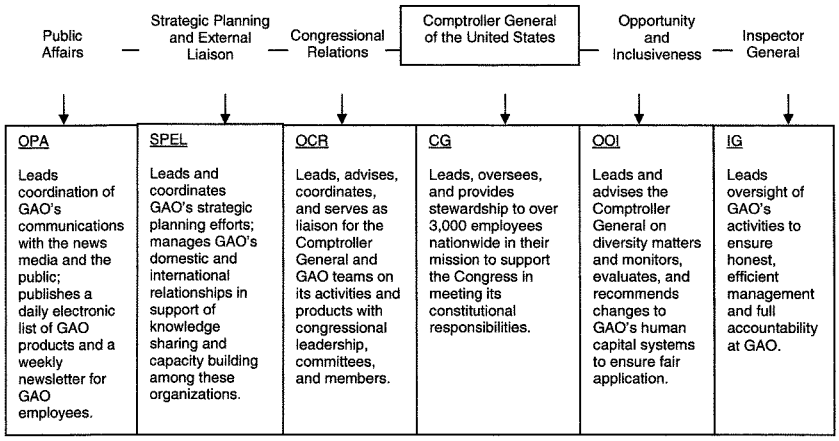
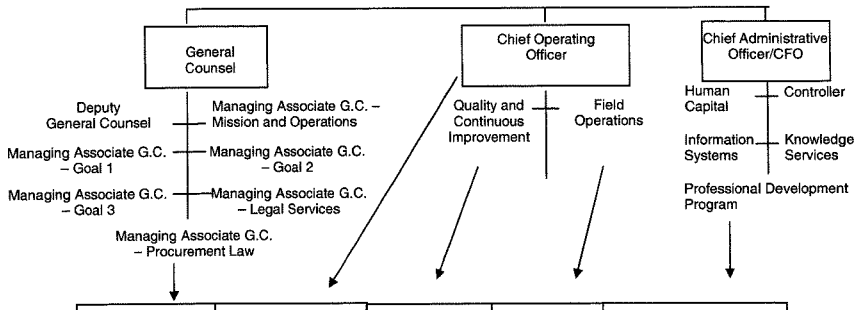



**Table 33: GAO Organizational Chart by Mission – Section A**




| OPA | SPEL | OCR | CG | OOI | IG |
|---|---|---|---|---|---|
| Leads coordination of GAO's communications with the news media and the public; publishes a daily electronic list of GAO products and a weekly newsletter for GAO employees. | Leads and coordinates GAO's strategic planning efforts; manages GAO's domestic and international relationships in support of knowledge sharing and capacity building among these organizations. | Leads, advises, coordinates, and serves as liaison for the Comptroller General and GAO teams on its activities and products with congressional leadership, committees, and members. | Leads, oversees, and provides stewardship to over 3,000 employees nationwide in their mission to support the Congress in meeting its constitutional responsibilities. | Leads and advises the Comptroller General on diversity matters and monitors, evaluates, and recommends changes to GAO's human capital systems to ensure fair application. | Leads oversight of GAO's activities to ensure honest, efficient management and full accountability at GAO. |

**Table 34: GAO Organizational Chart by Mission – Section B**




| OGC | COO | QCI | FO | CAO |
|---|---|---|---|---|
| Leads GAO's legal counsel in preparing Comptroller General decisions on fiscal and program activities, such as bid protests. Provides advice to staff on legal issues that arise during audits, evaluations, and investigations. | Assists the Comptroller General in providing leadership and strategic direction for the GAO. Responsible for day-to-day management of GAO to ensure that we effectively accomplish our mission, now and in the future. Oversees GAO's engagement management processes and quality assurance programs and policies that apply to the production of GAO products and services. | Leads assistance to the Comptroller General and the Chief Operating Officer in ensuring that GAO's products and services meet quality standards; tracks agency wide performance measures in meeting strategic goals and objectives. | Leads GAO's efforts to provide support to staff in its 11 field office locations with a variety of professional services and administrative assistance in support of our mission. | Leads GAO's administrative services in meeting internal and external client needs such as budget; facilities, supplies, security, and acquisition management; human capital; knowledge services; internal information technology resources; and services to enhance the developmental needs of our new analyst hires. |

**Table 35: GAO Organizational Chart by Mission – Section C**

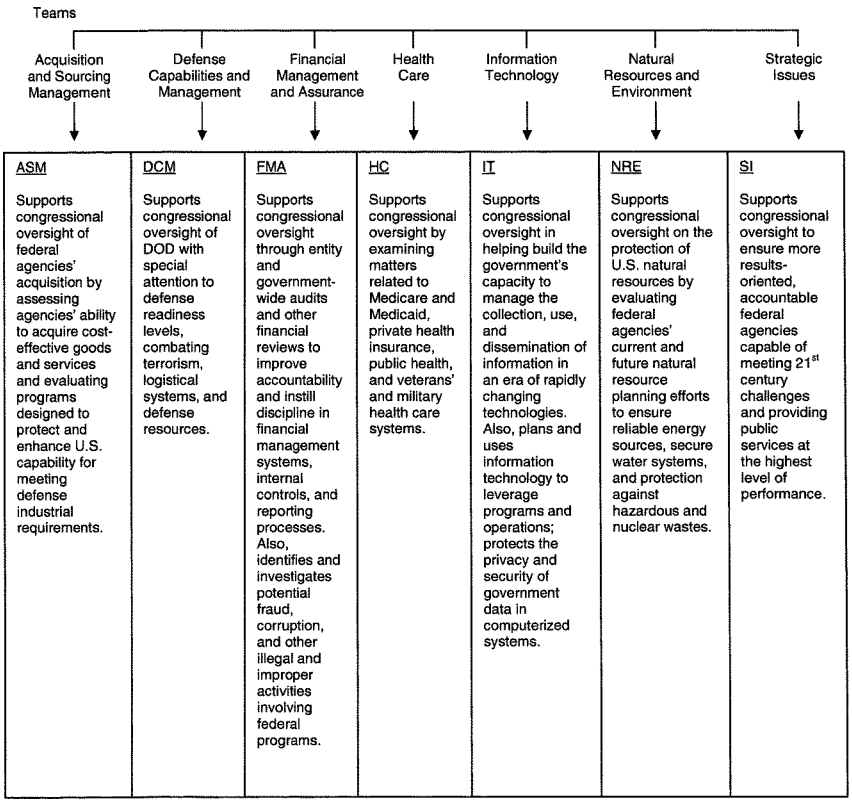
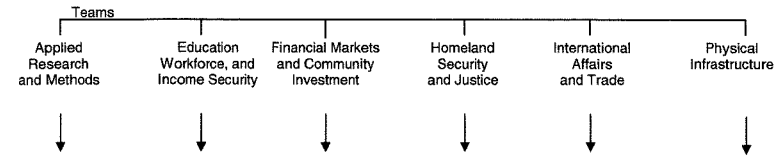
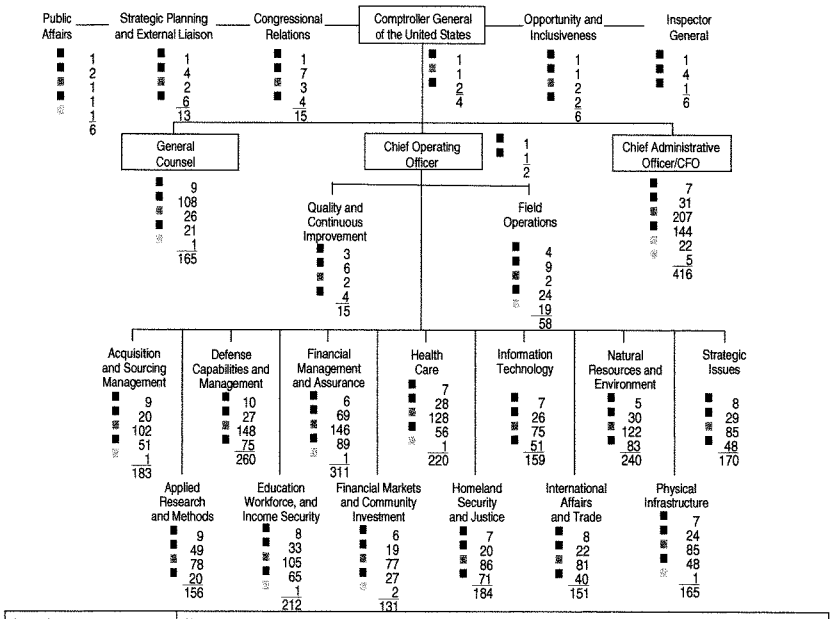


**Table 36: GAO Organizational Chart by Mission – Section D**




| ARM | EWIS | FMCI | HSJ | IAT | PI |
|---|---|---|---|---|---|
| Contributes to GAO engagements by designing and implementing appropriate methodological approaches and other scientific analysis to address congressional requests. | Supports congressional oversight on issues related to the effective use of government resources to sustain a strong workforce; provide safe working conditions; facilitate work for low-income populations and disabled workers; ensure proper education, care, and safety for the nation's children; and maintain adequate retirement benefits for current and future retirees. | Supports congressional oversight to ensure our financial markets are fair and orderly; identifies ways to stem fraud, abuse, and money-laundering; ensures an adequate supply of low- and moderate-income housing; encourages home ownership; and expands economic opportunities for small businesses and disadvantaged communities. | Supports congressional oversight on federal efforts to identify ways to strengthen homeland-security-related strategies and spending; increase emergency preparedness to respond to and recover from natural or man-made disasters; secure our nation's borders, critical infrastructure, and citizens against terrorism; and strengthen the law enforcement system. | Supports congressional oversight of international programs aimed at promoting global peace, prosperity, and stability, including: challenges to U.S. strategic interests, management of U.S. foreign aid, and improvements in the world financial system. | Supports congressional oversight by: reviewing strategies for evaluating and implementing integrated solutions to the nation's infrastructure needs, improved safety of transportation modes, U.S. Postal Service transformation, accessibility and competitiveness in the telecommunication industry, and the management of the government's real property assets. |

**Table 37: GAO Organizational Chart (FY 2007 FTE Allocations)**



**Office of the Comptroller General**

| FTEs | FY 2005 actual | FY 2006 revised | FY 2007 estimate |
|---|---|---|---|
| Headquarters | 7 | 6 | 6 |

The Office of the Comptroller General consists of the Comptroller General, Deputy Comptroller General, and their immediate staff. Both the Comptroller General and the Deputy Comptroller General are nominated by the President and confirmed by the U.S. Senate. The Deputy Comptroller General's position has been vacant since the late 1970s. In the absence of a Deputy Comptroller General, GAO's Chief Operating Officer, who oversees the day-to-day aspects of GAO's mission-related work, is performing the duties of this position.

The Office of the Comptroller General is responsible for the leadership and oversight of over 3,000 employees in 12 cities nationwide whose mission is to support the Congress in meeting its constitutional responsibilities and to help improve the performance and ensure accountability of the federal government for the benefit of the American people. The Comptroller General functions as the nation's chief accountability officer and Chief Executive Officer of the GAO. As such, the Comptroller General is responsible for setting the strategic direction of GAO and determining the major policies and priorities of the agency. This office oversees the work of 13 teams whose scope spans the entire spectrum of the federal government's responsibilities, including national defense, international affairs, education, homeland security, environment, health care, Social Security, transportation, and other program areas.

**Acquisition and Sourcing Management**

| FTEs | FY 2005 actual | FY 2006 revised | FY 2007 estimate |
|---|---|---|---|
| Headquarters | 107 | 110 | 109 |
| Field | 69 | 71 | 74 |
| **Total** | **176** | **181** | **183** |

Federal agencies spend billions of tax dollars each year to acquire goods and services—ranging from multi-billion dollar weapon systems to complex space and satellite systems, network services, and everyday supplies and equipment. Acquisition and Sourcing Management (ASM) examines whether agencies are efficiently and effectively acquiring these goods and services and whether acquisitions maximize agencies' return on investment. Additionally, in the face of a rapidly expanding global economy, ASM has responsibility for examining and evaluating the programs and processes designed to protect and enhance U.S. capability for meeting defense industrial requirements and for limiting inappropriate access to critical U.S. defense technologies. Finally, ASM has overall responsibility for evaluating NASA programs to determine if they efficiently and effectively meet agency mission requirements.

ASM focuses on achieving the following results:

- improve DOD's access to efficient and technologically superior suppliers while protecting critical capabilities;

- improve DOD's ability to acquire needed weapons cost-effectively;
- minimize contracting risks faced by government agencies;
- enhance congressional oversight of NASA programs and activities; and
- maintain a presence in acquisition and sourcing issues in order to respond to congressional requests and to support congressional oversight activities.

**Applied Research and Methods**

| FTEs | FY 2005 actual | FY 2006 revised | FY 2007 estimate |
|---|---|---|---|
| Headquarters | 157 | 152 | 156 |

Applied Research and Methods (ARM) brings together certain GAO experts and staff with advanced academic degrees in highly specialized fields, such as economics, computer and actuarial science, engineering, and other technical and scientific experience. ARM staff primarily work with other GAO engagement teams to help ensure high-quality analyses across the spectrum of GAO's work. ARM also houses GAO's Chief Economist, Chief Technologist, Chief Accountant, Chief Statistician, and Chief Actuary. They are supported by an experienced staff in widely diverse disciplines such as economics, statistics, social science research and survey design, demographics, and program evaluation. ARM also includes specialists in large database analysis, software engineering, computer security, and other scientific and engineering disciplines. ARM staff contribute to engagements under each of GAO's strategic goals by designing or implementing appropriate methodological approaches and scientific analyses to address congressional requests, and by providing guidance and training to staff as needed on research and analytical methods. When a congressional request or GAO-initiated research requires skills only available in ARM—or when new methodologies are needed—ARM teams design, implement, and report on assignments.

ARM was established to provide more systematic attention to utilizing the appropriate technical and specialist skills in the work GAO does for the Congress.

**Defense Capabilities and Management**

| FTEs | FY 2005 actual | FY 2006 revised | FY 2007 estimate |
|---|---|---|---|
| Headquarters | 136 | 134 | 139 |
| Field | 123 | 121 | 121 |
| **Total** | **259** | **255** | **260** |

Defense Capabilities and Management (DCM) leads GAO's efforts to support congressional oversight of DOD as it modernizes to meet a broad array of threats in the 21st century. Charting a course for the future composition and deployment of the "total force" including the U.S. Army,

Navy, Air Force, and Marines; active reserve; Guard components; and DOD civilians, has been viewed as a major challenge facing the President and the Congress. In addition to conventional conflicts globally, the United States is confronted with threats from terrorism, the proliferation of weapons of mass destruction, information operations, and other diffuse sources which are difficult to identify, prevent, and mitigate. The United States must prepare against hostile forces, which will likely strike vulnerable civilian or military targets in nontraditional ways to avoid direct confrontation with U.S. military forces on the battlefield. Currently, U.S. military forces cost over $400 billion annually, with sizeable supplemental appropriations adding to this amount, to support the war on terrorism and DOD's role in homeland security.

DCM focuses on assisting the Congress to:

- assess DOD's ability to maintain adequate readiness levels while addressing the force structure changes needed in the 21st century;
- assess DOD's effectiveness in combating terrorism under emerging plans for ensuring homeland defense and military operations overseas;
- assess overall human capital management practices to ensure a high-quality total force;
- improve the economy, efficiency, and effectiveness of DOD's logistical systems;
- improve the management of DOD's facility infrastructure;
- analyze DOD's future year budgets for affordability and realism; and
- evaluate DOD's efforts to adopt modern management principles.

**Education, Workforce, and Income Security**

| FTEs | FY 2005 actual | FY 2006 revised | FY 2007 estimate |
|---|---|---|---|
| Headquarters | 150 | 151 | 147 |
| Field | 58 | 59 | 65 |
| **Total** | **208** | **210** | **212** |

Education, Workforce, and Income Security (EWIS) focuses on issues related to the effective use of government resources to:

- ensure that our nation's children are well-educated, cared for, and raised in safe, stable homes;
- foster a well-educated, skilled workforce of the future; facilitate work for the low-income population and disabled and injured workers; improve workplace protections for employees without excessively burdening employers; and
- maintain adequate retirement benefits for current and future retirees.

Together, programs aimed at accomplishing these objectives account for over 40 percent of federal spending and touch the lives of virtually every American.

EWIS will focus on the impact of hurricanes Katrina and Rita on adults and children displaced by the hurricanes. We will also focus on such issues as (1) the financing of higher education, (2) the effectiveness of efforts to address anticipated labor shortages and maintain the size and quality of the U.S. labor force, and (3) policy challenges associated with the nation's retirement and disability programs, including reform of the Social Security system and monitoring of the Pension Benefit Guaranty Corporation's single employer insurance program. In addition, EWIS will continue to identify opportunities to save taxpayer dollars for better ensuring that benefit payments are provided only to those eligible in a more efficient manner.

For example, EWIS will:

- identify steps taken and improvements needed to ensure the safety and education of children displaced by hurricanes Katrina and Rita;
- provide information and analyses to help develop policies that balance student access to post-secondary education with protection of taxpayers' financial interests;
- assess how well specific job training programs help workers find new careers after they have lost their jobs due to foreign competition;
- determine the adequacy of safety and health protections for Hurricane Katrina rescue and relief workers;
- identify steps SSA can take to improve the cost-effectiveness of the continuing disability reviews process;
- determine SSA's progress in implementing new requirements to safeguard Social Security cards from fraud;
- determine ways to strengthen the private employer pension system, particularly as it pertains to the Pension Benefit Guarantee Corporation's ability to protect workers' retirement benefits; and
- assess options to reform social security, including the modification of indexation methods for determining benefits and revenues.

**Financial Management and Assurance**

| FTEs | FY 2005 actual | FY 2006 revised | FY 2007 estimate |
|---|---|---|---|
| Headquarters[1] | 202 | 216 | 229 |
| Field | 84 | 90 | 82 |
| **Total** | **286** | **306** | **311** |

[1] Includes 50 FTEs for the Forensic Audits and Special Investigations team.

Significant financial weaknesses, problems in fundamental record-keeping, incomplete documentation, and weak internal controls have prevented the federal government from accurately reporting a large portion of its assets, liabilities, and costs. The quality of this data has important ramifications for management decisions and for assessing entity or program performance. Financial management reform is a high priority, and efforts are underway across government to address pervasive, generally long-standing financial management problems. Through the Chief Financial Officers Act and other financial management improvement legislation, the Congress has set a goal of ensuring that federal agencies' financial management systems routinely produce reliable, useful, and timely financial information for managing day-to-day operations. This legislation also requires GAO to audit the U.S. government's annual financial statements. In addition, GAO has been in the forefront of emphasizing the need for reform in auditing and corporate governance. GAO is actively involved in monitoring the current corporate statutory and regulatory reforms which are being put in place in the United States. These reforms are critical to restoring investor confidence in U.S. markets, and also have high visibility internationally, due to the potential impacts on foreign companies operating in the United States.

Through entity and government-wide financial audits and other financial reviews, Financial Management and Assurance (FMA) helps improve federal accountability and instill discipline in financial management systems, internal controls, and reporting processes. As part of these audits, FMA analyzes the financial condition of federal entities and their operating results. In related efforts, FMA assesses the implications of identified financial management and system weaknesses, and recommends improvements. This work points out the inherent risks that poor data poses for ensuring accountability over assets as well as for making decisions—including budgetary determinations—and to assess performance.

Forensic Audits and Special Investigations

FMA plays a key role in assessing the progress being made to develop and implement effective financial systems. It also assesses government-wide cross-cutting issues such as debt collection, cash management, and improper payments, and participates in setting accounting standards for federal agencies. FMA's Forensic Auditing and Special Investigation (FSI) unit performs forensic audits through analyses of large databases to detect anomalies which may be indicative of fraud, waste, and abuse; FSI also performs investigations.

FSI, established in May 2005, includes special agents from GAO's former Office of Special Investigations, analysts from GAO's "FraudNet" who manage our fraud hotline, as well as auditors. This multi-disciplinary staffing offers an effective knowledge base for carrying out high quality forensic audits; investigations of fraud waste, and abuse; evaluations of security vulnerabilities; and other requested investigative services.

In collaboration with GAO teams and through independent initiatives, FSI focuses on identifying specific examples of fraud, waste, and abuse that illustrate program weaknesses and demonstrate systemic problems. The scope of FSI's efforts are broadly based, ranging from assessing financial system and physical security vulnerabilities to analyzing large databases in connection with forensic audits to identify potential risk anomalies that merit follow-up analytical and investigative work to identify fraudulent, wasteful, or abusive spending. FSI is GAO's interface with external bodies—including the Association of Certified Fraud Examiners—and federal and state law enforcement organizations.

Collectively, FMA/FSI help ensure better accountability over trillions of dollars of tax revenue, improve the reliability of financial information for making decisions on critical government programs, and strengthen stewardship for the government's operations and investments.

**Financial Markets and Community Investment**

| FTEs | FY 2005 actual | FY 2006 revised | FY 2007 estimate |
|---|---|---|---|
| Headquarters | 80 | 76 | 74 |
| Field | 58 | 55 | 57 |
| **Total** | **138** | **131** | **131** |

Key to Financial Markets and Community Investment's (FMCI) work is helping balance safety and soundness issues with the need to make capital available to individuals, businesses, and communities. FMCI supports Congress in two areas critical to the nation's economic and social well-being. First, FMCI helps ensure that U.S. financial markets function smoothly and effectively, and identifies ways to stem fraud and abuse that can endanger the financial capacity of businesses, households, and individuals. FMCI's work in this area examines the way financial institutions and markets are regulated in an increasingly global and consolidated environment. This year FMCI will work to improve Congress's understanding of the impact of financial modernization on borrowers, savers, and investors (in terms of choices available and fees paid); the ability of regulators to identify and act on suspicious activity; and the effectiveness of mutual fund oversight. FMCI also assists Congress in monitoring and evaluating actions that were taken to respond to crises that threatened the transparency of financial markets, such as the recent accounting and mutual fund scandals at government sponsored enterprises. Second, FMCI helps promote sound, sustainable investment in America's communities. FMCI assesses the risk and benefits (and recommends improvements) in federal programs that provide an adequate supply funding for low- and moderate-income housing, encourage home ownership, and expand economic opportunities for small businesses and disadvantaged communities. Evaluating the effectiveness of different approaches to fostering both rural and urban economic development—and evaluating HUD's insured and guaranteed loan programs—will receive closer attention this year.

**General Counsel**

| FTEs | FY 2005 actual | FY 2006 revised | FY 2007 estimate |
|---|---|---|---|
| Headquarters | 168 | 165 | 165 |

The office of the General Counsel (GC) provides legal services to the Comptroller General and GAO. Its principal responsibilities include advising GAO management and staff on legal issues that arise during audits, evaluations, and investigations; assisting in the preparation of reports, testimonies, and other materials for congressional legislative and oversight activities; conducting litigation in which GAO is involved; preparing Comptroller General decisions and opinions on fiscal and programmatic issues affecting federal programs and activities; and reporting to Congress on federal agencies' major rules. Some decisions and opinions advise congressional

committees and members on the legality of federal agency activities or the legal implications of legislative proposals before the Congress. Others resolve protests from bidders for government contracts alleging that a contract has been—or is about to be—improperly awarded to another bidder. Still other decisions and opinions interpret the laws governing public expenditures as guidance for government agencies. GAO's expertise in these areas is widely recognized by government agencies, contractors, and the federal courts.

GC also manages the GAO FraudNet, which focuses on potential criminality, fraud, and abuse. FraudNet is a hotline through which the public can report allegations of fraud and abuse online, by mail, or over the telephone. Analysts evaluate allegations and refer them to the appropriate federal agency or to GAO's Forensic Audits and Special Investigations unit for further assessment and development.

**Health Care**

| FTEs | FY 2005 actual | FY 2006 revised | FY 2007 estimate |
|---|---|---|---|
| Headquarters | 146 | 156 | 164 |
| Field | 51 | 53 | 56 |
| **Total** | **197** | **209** | **220** |

Health care has been one of the most rapidly rising elements of federal spending, growing for more than 20 years at an average annual rate three times that of the rest of the federal budget. The cost pressures of serving a growing population—particularly those 65 and older—are compounded by scientific advances in medical treatments which can blur the lines between "needs" and "wants" and make it difficult to reasonably assess what society can afford.

The Health Care (HC) team is responsible for examining matters related to Medicare and Medicaid, private health insurance, public health, and veterans' and military health care systems. For example, HC looks at issues affecting program design, service delivery, and financial and programmatic safeguards for Medicare's fee-for-service and managed care services for the nation's elderly and disabled, as well as Medicaid coverage for low-income families and the aged, blind, and disabled. HC also reviews the State Children's Health Insurance Program and private health insurance issues, with a particular focus on the interaction of public and private markets. HC's work in public health encompasses the federal public health role in disease surveillance and management, medical product safety, preparation for and response to bioterrorist incidents, management of public health scientific research, and the distribution of health resources and services. Further, HC examines the efficiency and effectiveness with which VA and DOD health care programs operate, the restructuring of VA and DOD health care systems to better accomplish their missions, and the implementation of managed care in DOD.

Congressional demand for GAO work on health care issues continues to exceed our ability to meet the demand. Increasingly complex requests whose numbers continue to expand are the driving forces necessitating an expansion of capacity to respond, in terms of both the rigor and quantity of our work. The proposed staffing should enable HC to meet the demand for new legislative mandates and respond to the highest priority requests from the Congress.

**Homeland Security and Justice**

| FTEs | FY 2005 actual | FY 2006 revised | FY 2007 estimate |
|---|---|---|---|
| Headquarters | 105 | 113 | 128 |
| Field | 59 | 60 | 56 |
| **Total** | **164** | **173** | **184** |

Threats from a wide range of means and methods of attack put at risk the nation's values, economic interests, way of life, and the personal security of its citizens at home and abroad. Preventing and responding to emerging security threats entails a national effort involving defense and domestic federal agencies and programs; state, local, and regional governments and organizations; the private sector; and the international community. The Department of Homeland Security (DHS) was created to transform a disparate group of agencies with multiple missions, values, and cultures into a strong and effective cabinet department to protect U.S. borders, improve intelligence and information sharing, and prevent and respond to potential terrorist acts. With this opportunity comes significant risks and challenges, particularly since implementation of DHS will take considerable time, key component agencies already faced a wide array of existing challenges, and failure to effectively carry out its mission exposes the nation to extremely severe consequences. In addition, spending on administration of justice continues to grow. In constant 2004 dollars, the federal government will disburse over $39 billion in fiscal year 2004, up from $18 billion in 1994. Most of the increase has been to accommodate a shift in focus at the federal level from helping local governments control crime to emphasizing more distinct federal responsibilities, such as controlling illegal immigration and, more recently, preventing terrorist attacks.

GAO's Homeland Security and Justice team focuses on federal efforts to:

- identify ways to strengthen homeland-security-related strategies and their implementation; and evaluate homeland security spending, resource priorities, and approaches to stimulate desired investment;
- increase emergency preparedness and capacity to respond to (and recover from) natural or man-made disasters, through identifying ways to strengthen effective use of the federal government's tools of, including grants and training programs;
- secure our nation's borders, critical infrastructure, and citizens against terrorists and weapons of mass destruction;
- strengthen the law enforcement system to more effectively address crime, illegal drug use, illegal immigration, and potential terrorism; and
- improve the administration of the election system.

**Information Technology**

| FTEs | FY 2005 actual | FY 2006 revised | FY 2007 estimate |
|---|---|---|---|
| Headquarters | 126 | 134 | 132 |
| Field | 22 | 23 | 27 |
| **Total** | **148** | **157** | **159** |

Information technology can be a key element of management reform, dramatically reshaping government to make it more responsive and efficient. Today's rapid technological change and innovation, including the growth of the Internet, offer unprecedented opportunities to use information technology to enhance service to citizens by improving performance and reducing costs. These opportunities, however, create great challenges; ensuring that new electronic technologies are effectively applied and used, that government information is properly managed, and that the privacy and security of government data in computerized systems and networks are fully protected are some of these challenges. The Information Technology (IT) team leads GAO's efforts to help the government address these and other important information technology challenges by working to build the government's capacity to (1) manage the collection, use, and dissemination of information in an era of rapidly changing technology; and (2) plan, direct, oversee, and use information technology to leverage mission and program improvements, transform and modernize programs and operations, and overcome major management challenges. The IT team also seeks to strengthen government information security and protect computer and telecommunications systems that support the nation's vital infrastructures.

Specific work areas focus on efforts to:

- strengthen computer and network security in addition to improving the management and protection of computer/cyber systems that support critical national infrastructures;
- enhance the collection, use, and dissemination of government information;
- assess government efforts in making the complex management and technical transformation to electronic (e-government);
- assess opportunities for outsourcing government information technology operations;
- assess government progress in managing telecommunications and interconnected systems and promoting secure, reliable, and fast Internet and Web connections;
- foster mature systems acquisition, development, and integration efforts;
- promote sound enterprise architectures and related efforts to engineer business processes for implementing information technology systems that optimize mission performance;
- assessing and promoting government-wide application and use of sound information technology investment management best practices; and

**Natural Resources and Environment**

| FTEs | FY 2005 actual | FY 2006 revised | FY 2007 estimate |
|---|---|---|---|
| Headquarters | 144 | 142 | 153 |
| Field | 95 | 93 | 87 |
| **Total** | **239** | **235** | **240** |

The nation's natural resources—and the systems associated with their use—continue to be stressed generating increasingly intense debate and posing daunting challenges to policy makers at all levels of government. In part, the stresses stem from a growing population and economy, but they also reflect the increasing globalization of the world's economies and political tensions. It is becoming more and more difficult to achieve a balance between using the country's natural resources for current economic activity, or protecting and conserving them for future generations. The need to protect ourselves from those that would attack our nation by contaminating our air, water, and food or damaging our energy supplies has added a new dimension to this already imposing challenge. Natural Resources and Environment addresses these matters across a broad spectrum of federal programs, conducting assessments of:

- the nation's ability to ensure reliable and environmentally sound energy for current and future generations;
- federal strategies for managing land and water resources in a sustainable fashion for multiple uses;
- federal programs' ability to ensure a plentiful and safe food supply, provide economic security for farmers, and minimize agricultural environmental damage;
- environmental protection strategies and programs;
- efforts to reduce the threats posed by hazardous and nuclear wastes;
- federal efforts and programs to protect against damage from natural disasters;
- the National Nuclear Security Administration's efforts to maintain a safe and reliable nuclear weapons stockpile;
- the management and effectiveness of executive branch efforts to minimize the availability and proliferation of nuclear materials; and
- the management and results of federal investments in science and technology and the effectiveness of efforts to protect intellectual property.

**Physical Infrastructure**

| FTEs | FY 2005 actual | FY 2006 revised | FY 2007 estimate |
|---|---|---|---|
| Headquarters | 108 | 107 | 114 |
| Field | 58 | 57 | 51 |
| **Total** | **166** | **164** | **165** |

The nation's economic vitality and the quality of life of its citizens are influenced to an important degree by the soundness and availability of its physical infrastructure (transportation and telecommunication systems, federal facilities, etc.). In both the short and the long term, the nation faces important infrastructure challenges as federal, state, and local governments plan to meet new demands brought on by demographic, technological, and lifestyle changes. The challenges are complex, cutting across many interrelated issues, and require coordinated intergovernmental responses. How government responds to these challenges will have important consequences for our nation's future, including staggering costs that could test the economy's ability to pay. It is, therefore, essential for government at all levels to have the information needed to make well-informed decisions about how to allocate funds among competing priorities, evaluate the challenges to determine which solutions are most cost-effective, and implement these solutions as efficiently and effectively as possible.

Physical Infrastructure (PI) reviews:

- the strategies for identifying, evaluating, prioritizing, financing, and implementing integrated solutions to the nation's infrastructure needs;
- efforts to improve safety in all transportation modes;
- the impact of transportation and telecommunications policies and practices on competition and consumers;
- the U.S. Postal Service's transformation efforts to ensure its viability and accomplish its mission; and
- federal efforts to plan for, acquire, manage, maintain, secure, and dispose of the government's real property assets.

**Strategic Issues**

| FTEs | FY 2005 actual | FY 2006 revised | FY 2007 estimate |
|---|---|---|---|
| Headquarters | 130 | 132 | 130 |
| Field | 36 | 36 | 40 |
| **Total** | **166** | **168** | **170** |

Helping transform the federal government's role and how it does business to meet 21st century challenges is the mission of Strategic Issues (SI). SI's work assists the Congress in driving the federal government's transformation toward being more results-oriented and accountable, and ensuring public services are provided at the highest level of performance to benefit the American people. In pursuing these oversight issues, SI's work focuses on several key agencies, such as central management agencies like OMB and the Office of Personnel Management, as well as IRS, the Bureau of the Census, and others. SI accomplishes its mission through the following four broad strategic objectives:

- reexamining the federal government's role in achieving evolving national objectives;
- supporting the transformation to a results-oriented, high-performing government;
- supporting congressional oversight of key management challenges and program risks to improve federal operations and ensure accountability; and
- analyzing the government's fiscal position, strengthening approaches for addressing the current and projected fiscal gap, and analyzing federal tax policy and administration.

SI staff conduct specific studies—either at the request of the Congress or under the Comptroller General's authority—and assist other teams throughout GAO. SI works in collaboration with other GAO teams and with a broad range of "good government" organizations to assist the Congress in addressing the governance challenges of the 21st century; in addition, SI directly supports GAO's efforts to establish partnerships with leading innovators who can help address these challenges. Collaborating with others on work that cuts across the federal government enables SI to (1) identify institutional reforms in decision making and management processes that promise greater accountability for results and recognition of the longer term fiscal implications of today's decisions and (2) help ensure that these issues are brought to bear on other GAO engagements.

**Mission Offices**

| FTEs | FY 2005 actual | FY 2006 revised | FY 2007 estimate |
|---|---|---|---|
| Congressional Relations | 17 | 15 | 15 |
| Federal Accounting Standards Advisory Board | 11 | 10 | 10 |
| Public Affairs | 6 | 6 | 6 |
| Quality and Continuous Improvement | 21 | 16 | 15 |
| Strategic Planning and External Liaison | 13 | 14 | 13 |
| **Total** | **68** | **61** | **59** |

Congressional Relations

Congressional Relations (CR) coordinates GAO's activities with congressional leadership, committees, and members. These activities include testimonies, mandates, products, legal opinions, bill comments, coordination of legislative branch activities, and the assignment of GAO

staff as detailees to committees. CR assists, advises, and acts as a liaison for the Comptroller General and GAO's teams and offices in furnishing the Congress with timely and useful assistance.

Federal Accounting Standards Advisory Board

The Federal Accounting Standards Advisory Board promulgates accounting standards in accordance with Rules of Procedure established by GAO, the Department of the Treasury and OMB. These rules provide for consideration of the financial and budgetary information needs of congressional oversight groups, executive agencies, and external users of federal financial information such as citizens and citizen intermediaries.

Inspector General

The Office of Inspector General (IG) seeks to achieve honest, efficient management and full accountability throughout GAO. IG serves the Comptroller General and the taxpayer by conducting audits, evaluations, and investigations and providing advice to GAO's senior management on options available to achieve the best possible results.

Knowledge Services

Knowledge Services (KS) is a multifaceted office responsible for planning, developing, implementing, and managing agencywide knowledge and information assets, services, and policies; KS also prepares, publishes, and disseminates the results of GAO's work. Specifically, KS oversees agency knowledge assets and information services and policies pertaining to physical and virtual libraries, research services, Web-based content and information services, communities of practice, visual standards, and records management. The office also plans and manages the overall production of all GAO products; creates and incorporates graphics into products; formats, edits, and prints audit and evaluation reports and special publications; prepares electronic products for dissemination on the Internet and as specialized CD products; converts previously printed products to electronic form; and distributes hard-copy products to congressional addressees, agencies, and the public. KS also develops GAO's communications standards; prepares visual communications and electronic media presentations, including live video broadcasts and edited productions; provides passport and other photography services; performs independent reviews of product quality; and provides support for the publishing process, including developing standard work processes, work-flow tracking and collection, and analysis of performance metrics. Finally, KS also provides general administrative services such as mail screening and delivery, bulk photocopying, preparation of survey packages, loaner equipment, and supply distribution through centralized shared services centers.

Public Affairs

Public Affairs (PA) coordinates GAO's communications with the news media and the public. It assists GAO management and staff with press contacts and sets the agency's press policies. PA also works to continually improve the accessibility of GAO products via the Internet. The office publishes GAO's *Today's Reports*, a daily electronic list of GAO products as they are released for distribution to the press and public at large; writes and publishes *Management*

*News*, a weekly newsletter for GAO employees; compiles *Clippings*, a daily collection of articles and other published materials relevant to GAO and its ongoing assignments; and manages electronic publication of the *Month in Review*, which lists all reports and testimony released each month. PA manages an external Web page designed expressly to address the needs of reporters. PA also provides writing assistance to GAO executives on speeches, articles, and other assignments.

Quality and Continuous Improvement

Quality and Continuous Improvement (QCI) assists the Comptroller General and the Chief Operating Officer in ensuring that GAO's products and services are of the highest quality. QCI also produces GAO's annual GPRA-compliant performance plans and reports, and develops and maintains a performance measurement system that measures progress toward strategic goals and objectives, the efficiency of GAO's processes, and the quality of its products and services. In addition, QCI is responsible for implementing changes to GAO's main business process—the Engagement Management Process—including full integration of risk-based management, documenting the policies and protocols that define the process, and establishing a quality assurance system and related controls to ensure that they are followed. QCI manages processes to ensure individual product quality, develops policy for GAO's mission work, and facilitates process and product improvement to help make GAO more efficient and responsive to the needs of its external clients and internal customers. QCI also manages the GAO history program and facilitates responses to Freedom of Information Act requests on GAO activities.

Strategic Planning and External Liaison

Strategic Planning and External Liaison (SPEL) leads and coordinates GAO's strategic planning efforts, manages GAO's relationships with domestic and international accountability organizations, and works to improve knowledge sharing and capacity building among these organizations. Specifically, SPEL advances GAO's mission to support the Congress in carrying out its legislative and oversight responsibilities by facilitating GAO's access to people and information, with the aim of helping its mission teams conduct engagements in a high quality, efficient, and expeditious manner. Domestically, SPEL assists GAO in helping to build relationships with accountability organizations at the federal, state, and local levels, and to support the National Intergovernmental Audit Forum and 10 regional forums in improving government performance and accountability. Internationally, SPEL assists GAO in its efforts as a member of the international accountability organization community to strengthen accountability organizations worldwide and, in so doing, support our country's efforts to promote democratic institutions and the rule of law around the world.

**Staff Offices**

Staff offices provide guidance and support to mission offices and the teams that conduct audit, evaluation, and legal work. The primary objective of the staff offices is to provide quality and timely services to the agency.

| FTEs | FY 2005 actual | FY 2006 revised | FY 2007 estimate |
|---|---|---|---|
| Chief Administrative Officer | 10 | 10 | 10 |
| Controller/Administrative Services | 98 | 98 | 98 |
| Field Operations | 57 | 58 | 58 |
| Human Capital | 84 | 87 | 87 |
| Information Systems and Technology Services | 106 | 106 | 106 |
| Inspector General | 6 | 6 | 6 |
| Knowledge Services | 116 | 113 | 113 |
| Opportunity and Inclusiveness | 5 | 6 | 6 |
| Personnel Appeals Board | 8 | 9 | 9 |
| **Total** | **490** | **493** | **493** |

Chief Administrative Officer

The Chief Administrative Officer (CAO) serves as the agency's Chief Financial Officer, Chief Mission Support Officer, and leads GAO's fiscal and administrative support services. The CAO provides internal services to support GAO staff in the accomplishment of GAO's mission. CAO oversees GAO's human capital services, fiscal and administrative support, enabling information technology, editing and publishing, information systems, security and safety, knowledge sharing and management services, and professional staff development. CAO enhances GAO's ability to perform our mission by providing customer-focused, best-in-class services that maximize the value of GAO by positioning our agency as a model federal agency and a world-class professional services organization.

Controller/Administrative Services

The Controller/Administrative Services office manages the facilities, property management, procurement, security and safety, financial, and budgetary functions of GAO. These activities include managing GAO's building and equipment inventory; developing and promulgating policies and guidance covering the full range of planning, budgeting, and execution of financial activities; emergency preparedness; and monitoring employee health and safety issues.

Field Operations

The Managing Director of Field Operations—and his staff throughout the U.S. —recruit entry-level analysts and interns to work on GAO's field-based teams and provide administrative support for those teams.

Human Capital

In striving to continuously improve service to staff, during fiscal year 2005 GAO's Human Capital Office transformed into four Human Capital Centers for Excellence: Talent Acquisition and Human Capital Consulting, Human Capital Strategic and Operations, Performance and Management, and Learning. These centers, respectively, are responsible for recruitment and human resources services, i.e., benefits and retirement; payroll, records management, and work life programs; performance management and compensation; and learning operations and instructional design. This transformation was based on staff input from the 2004 Customer Satisfaction Survey and aligns with GAO's strategic objectives and key efforts as outlined in the 2004-2006 Human Capital Strategic Plan. During fiscal years 2006 and 2007, the Human Capital Centers for Excellence will focus efforts on Band IIA and IIB compensation, E-Form 52 implementation, and other initiatives designed to continuously improve service delivery and move toward a decision support and consultative model.

Information Systems and Technology Services

Information Systems and Technology Services (ISTS) manages all phases of GAO's internal IT program, providing modern, reliable, and secure IT systems; tools; and services that are client focused and customer driven, enabling GAO to be responsive to the Congress and promoting efficient and effective operations. ISTS (1) designs, develops, and manages GAO's engagement support, management and administrative systems to support the agency's engagement/job process, human capital, fiscal, and management information functions; (2) designs, develops, and operates voice, data, and video communications systems; (3) manages local and wide-area network operations, evaluates hardware and software for agencywide application, manages IT equipment and software inventories, and provides hardware/software maintenance services; and (4) develops agencywide IT and IT security policies, standards, and technology applications/solutions. ISTS champions IT best practices, and has in place IT governance practices—including an enterprise architecture program, IT capital planning and investment control processes, performance metrics, and IT security program—to ensure that GAO complies with the Clinger-Cohen Act and e-Government Act, and that our IT systems and services provide the best value possible.

Opportunity and Inclusiveness

Opportunity and Inclusiveness (OOI) is the principle advisor to the Comptroller General on diversity matters. The office monitors, evaluates and recommends changes to GAO's major human capital systems (i.e., recruiting, hiring, evaluation, promotion, compensation, awards, and training) to ensure they are fairly implemented. OOI works with senior GAO officials on techniques for leading and managing diverse GAO teams. The office also monitors the implementation of disability policies within the agency, and provides an interpreting service for our deaf and hard of hearing staff. OOI also manages GAO's Equal Opportunity Program including informal pre-complaint counseling and the formal discrimination complaint processes. OOI also operates GAO's early resolution and mediation program by assisting managers and employees to resolve workplace disputes and Equal Employment Opportunities (EEO) concerns without resorting to formal process. OOI works closely with the Employee Advisory Council on diversity issues. Finally, OOI is a partner with GAO teams on congressional requests involving civil rights and diversity issues.

Personnel Appeals Board

The GAO Personnel Appeals Board is responsible for considering, deciding, and ordering corrective or disciplinary action (as appropriate) in cases involving employee appeals, prohibited personnel practices, prohibited political activities, determinations of collective bargaining units, union elections, unfair labor practices, and discrimination. In effect, the Board acts for GAO in place of the following executive branch agencies: Merit Systems Protection Board (MSPB), the Office of Special Counsel, Federal Labor Relations Authority (FLRA), and the Equal Employment Opportunity Commission (EEOC). The Board also has the responsibility for EEO oversight of GAO in the same way that EEOC has EEO oversight of the executive branch agencies. The Board's Office of General Counsel investigates complaints and, where appropriate, prosecutes cases before the Board.

GAO
Accountability * Integrity * Reliability

Comptroller General
of the United States

United States Government Accountability Office
Washington, DC 20548

January 17, 2006

The Honorable Jerry Lewis
Chairman
The Honorable David R. Obey
Ranking Minority Member
Committee on Appropriations
House of Representatives

The Honorable Thad Cochran
Chairman
The Honorable Robert C. Byrd
Ranking Minority Member
Committee on Appropriations
United States Senate

The Honorable Wayne Allard
Chairman
The Honorable Richard Durbin
Ranking Minority Member
Subcommittee on Legislative Branch
Committee on Appropriations
United States Senate

I am pleased to transmit our fiscal year 2007 budget request. By nearly every measure, GAO continues to produce excellent results for the Congress and the American people. I am proud of our work this past fiscal year, including our $83 return for every dollar invested in GAO. We provided our congressional clients with timely, objective and reliable information on how well government programs and policies are working and, when needed, recommendations for improvement. In the years ahead, our support to the Congress will likely prove even more critical because of the pressures created by our nation's current and projected budget deficit and growing long-term fiscal imbalance. Indeed, as it considers those fiscal pressures, the Congress will be grappling with tough choices about what government does, how it does business, and who will do the government's business. GAO is a valuable tool for helping the Congress review, reprioritize, and revise existing mandatory and discretionary spending programs and tax policies. Additionally, through its involvement domestically with the federal, state, and local audit community and internationally with its national audit office counterparts, GAO has played an important role in helping ensure the financial integrity of U.S. funds expended at home and abroad. GAO-led efforts to develop and implement the first-ever strategic plans for the National Intergovernmental Audit Forum and the International Organization of Supreme Audit Institutions have helped improve the effectiveness of these audit organizations and GAO to work more efficiently and cost-effectively.

Budget constraints in the federal government grew tighter in fiscal years 2005 and 2006. In developing our fiscal year 2007 budget, we considered those constraints consistent with GAO's and the Committee's desire to "lead by example." We are requesting budget authority of $509.4 million for fiscal year 2007 to achieve our performance goals in support of the Congress as outlined in our strategic plan (see enclosure I for GAO's strategic plan framework). This request will allow GAO to improve productivity, maintain its progress in technology and other transformation areas, and support a full-time equivalent (FTE) staffing level of 3,267 FTEs.

We continue to streamline GAO, modernize our policies and practices, and leverage technology so that we can achieve our mission more effectively and efficiently. These continuing efforts allow us to enhance our performance without significant increases in funding. Our fiscal year 2007 budget request represents a modest increase of about $25 million (or 5 percent) over our fiscal year 2006 revised funding level—primarily to cover uncontrollable mandatory pay and price level increases. This request reflects a reduction of nearly $5.4 million in nonrecurring fiscal year 2006 costs. This request also includes about $7 million in one-time fiscal year 2007 costs, which will not recur in fiscal year 2008, to upgrade our business systems and processes.

Our fiscal year 2007 budget request includes approximately $502 million in direct appropriations and authority to use about $7 million in estimated revenue from rental income and reimbursable audit work. The following table summarizes the changes we are requesting in our fiscal year 2007 budget.

**Fiscal Year 2007 Budget Request, Summary of Requested Changes**
(Dollars in thousands)

| Budget category | FTEs | Amount | Cumulative percent of change |
|---|---|---|---|
| **FY 2006 enacted budget authority** | **3,217** | **$489,560** | |
| **Less: rescission** | | (4,896) | |
| **FY 2006 revised budget authority** | | **$484,664** | |
| **FY 2007 requested changes** | | | |
| Nonrecurring FY 2006 costs | | ($5,380) | (1%) |
| Mandatory pay costs | | 18,469 | 3% |
| Price level costs | | 4,073 | 4% |
| Relatively controllable costs | 50 | 7,528 | |
| Adjustment due to rounding | | 1 | |
| **Subtotal – requested changes** | **50** | **$24,691** | **5%** |
| **FY 2007 budget authority** | **3,267** | **$509,355** | |

As the Congress addresses the devastation in the Gulf Coast region from Hurricane Katrina and several other major 2005 hurricanes, GAO is supporting the Congress by assessing whether federal programs assisting the people of the Gulf region are efficient and effective and result in a strong return on investment. In order to address the demands of this work; better respond to the increasing number of demands being placed on GAO, including a dramatic increase in health care mandates; and address supply and demand imbalances in our ability to respond to congressional interest in areas such as disaster assistance, homeland security, the global "war on terrorism", and forensic auditing, we are seeking your

support to provide the funding to rebuild our staffing level to the levels requested in previous years. We believe that 3,267 FTEs is a more optimal staffing level for GAO that would allow us to more successfully meet the needs of the Congress. In addition, the demands of assessing the effort to rebuild the Gulf Coast area may mean that we will be seeking your support to obtain supplemental funding.

Through the GAO Human Capital Reform Act of 2004, the Congress granted GAO several human capital flexibilities that will allow us, among other things, to continue moving to a more performance-oriented and market-based compensation system. Our people are GAO's most valuable asset, and the flexibilities granted in this act will help us continue to modernize our people-related policies and strategies that, in turn, will help ensure that we are well equipped to serve the Congress and the American people in the years to come. GAO has been recognized by the Partnership for Public Service and *Washingtonian* magazine as one of the best places to work in the federal government and Washington, D.C., respectively. In fiscal years 2005 and 2006, we established a market-based compensation system that is competitive, fair, equitable, and aligned with the labor markets in which we compete for talent. We also revised the process for determining performance-based compensation to more directly link individuals' performance with his or her compensation. In addition, we restructured our analyst and analyst-related specialist Band II pay band into two pay levels to better align individual staff with their actual roles and responsibilities and related market compensation levels.

In order to address the effects of the rescission, we revised our workforce plan to reduce fiscal year 2005 hiring and plan to offer a voluntary early retirement opportunity to staff early in fiscal year 2006. These actions also better support GAO's strategic plan, better align GAO's workforce to meet mission needs, correct selected skill imbalances, meet the desires of selected GAO staff who want to retire early, and allow us to increase the number of new hires later in fiscal year 2006. Our revised hiring plan represents an aggressive hiring level that is significantly higher than in recent fiscal years, and it is the maximum number of staff we could absorb during fiscal year 2006. These actions will position us to fully utilize our planned FTE level of 3,217 and 3,267 in fiscal years 2006 and 2007, respectively. In addition, the cost to implement the January 2006 performance-based increases, including across the board pay rate increases, locality rate changes, market-based pay ranges, and merit increases is less than estimated.

In fiscal year 2005, we continued to experience difficulty in attaining highly-qualified candidates in certain technical fields, such as financial auditing. We have taken a number of actions to improve our long-term recruiting posture, including offering year-round internships; implementing a cooperative education program; implementing governmentwide flexibility for noncompetitive appointments for new, entry-level staff, and targeted recruiting for unique skill sets, hard-to-fill positions, and diversity recruiting. In addition, we plan to launch a new executive exchange program that will allow GAO to partner with accounting firms, think tanks, investment banks, information technology firms, consulting groups, and other organizations to develop solutions to current and emerging issues, and work on high-profile projects to help transform how GAO and the federal government do business.

As noted in our response to the Senate Report 109-89 request that legislative branch entities provide information on their plans to implement the requirements of the Government Performance and Results Act (GPRA), GAO strongly supports GPRA and is committed to its effective implementation. Indeed, this budget submission integrates two critical components of GPRA into one, which is consistent with the Office of Management and Budget's (OMB) guidance for executive branch agencies. We are eliminating the separate issuance of our annual performance plan and have integrated performance, planning, and budget data in

this performance budget. This budget submission also includes new budget schedules required by the Committees containing more summary-level information on GAO programs, results, and plans. In addition, our human capital costs were developed consistent with the estimating techniques, principles, and assumptions outlined in the "Salaries and Benefits Guide" mandated by the Appropriations Committee for estimating salaries and benefits.

In fiscal year 2005, we continued efforts to upgrade and enhance our legacy business systems to improve their effectiveness and efficiency. These efforts included the planned replacement of our Financial Management System (FMS). In fiscal year 2006, we plan to conduct a competitive evaluation among the most effective federal financial systems designated by OMB as "Centers of Excellence" to replace the FMS. We believe this approach will guarantee our ability to continue our unbroken record of 19 years of "clean" audit opinions on GAO's financial statements. As we proceed with this effort, we are taking care to ensure that other legislative branch entities are aware of our approach.

As I noted earlier, I am proud that investing in GAO produces a sound return and results in substantial benefits to the Congress and the American people. In fiscal year 2005, we monitored our performance using 14 annual performance measures that capture the results of our work; the assistance we provided to the Congress; and our ability to attract, retain, develop, and lead a highly professional workforce. We met or exceeded our performance targets for 10 of our 14 measures.

In fiscal year 2005, we accomplished real results for the nation, surpassing our financial benefits target for the year and exceeding our annual target and all-time record for other (nonfinancial) benefits. Our financial benefits of $39.6 billion represents an $83 return on every dollar invested in us, and the more than 1,400 other benefits resulting from our work helped to improve the efficiency and effectiveness of government programs that serve the public. In addition, we exceeded our targets for the percentages of past recommendations implemented and new products with recommendations by 5 percentage points and 8 percentage points, respectively.

In fiscal year 2005, the Congress focused its attention on a broad array of challenging issues affecting the safety, health, and well-being of Americans here and abroad, and we were able to provide the objective, fact-based information these decision makers needed to stimulate debate, change laws, and improve federal programs for the betterment of the nation. We performed all this work and more in accordance with our strategic plan for serving the Congress, guided by our core values, and consistent with our professional standards.

For example, as the war in Iraq continued, we examined how the Department of Defense (DOD) supplied vehicles, body armor, and other materiel to the troops in the field; contributed to the debate on military compensation; and highlighted the need to improve health, vocational rehabilitation, and employment services for seriously injured soldiers transitioning from the battlefield to civilian life. America's commitments in the Middle East have led to requests for information and more accountability over federal resources. In fiscal year 2006, we plan to enhance our oversight of programs in Iraq, and elsewhere in the Middle East. Assigned staff would keep abreast of developments in the region, augment visiting GAO teams conducting engagements, and assess the feasibility of a continued GAO presence in the region. This action should enhance our ability to respond in a more timely and effective manner way to the increasing pace of information demands concerning the American presence in that part of the world.

We also kept pace with the Congress's information needs concerning ways to better protect America from terrorism by issuing products and delivering testimonies that addressed issues such as security gaps in the nation's passport operations that threaten public safety and federal efforts needed to improve the security of checked baggage at airports and cargo containers coming through U.S. ports. In addition, we explored the financial crisis that weakened the airline industry and the impact of this situation on the traveling public and airline employees' pensions.

In the second quarter of fiscal year 2005, we issued two products that will assist the Congress as it addresses future challenges. Our report entitled *21st Century Challenges: Reexamining the Base of the Federal Government* provides a series of illustrative questions related to 12 areas of federal activity as well as our perspective on various strategies and approaches that should be considered as possible means to address the issues and questions raised in the report. Drawing on our institutional knowledge and extensive program evaluation and performance assessment work for the Congress, we presented over 200 specific 21st century questions illustrating the types of hard choices our nation needs to face as it reexamines what the federal government does and how it does it. We also issued our *High-Risk Series: An Update*, which identifies federal areas and programs at risk of fraud, waste, abuse, and mismanagement and those in need of broad-based transformations. The issues affecting many areas and programs discussed in these two products may take years to address, and these reports will serve as a useful guide for the Congress's future programmatic deliberations and oversight activities.

In summary, I believe that you will find our budget request both modest and well justified. I look forward to testifying before you again this spring.

Sincerely yours,

David M. Walker
Comptroller General
of the United States

Enclosure

Enclosure I

# SERVING THE CONGRESS AND THE NATION
# GAO'S STRATEGIC PLAN FRAMEWORK

## MISSION

**GAO exists to support the Congress in meeting its constitutional responsibilities and to help improve the performance and ensure the accountability of the federal government for the benefit of the American people.**

## THEMES

- Long-Term Fiscal Imbalance
- National Security
- Global Interdependence
- Changing Economy
- Demographics
- Science and Technology
- Quality of Life
- Governance

## GOALS & OBJECTIVES

### Provide Timely, Quality Service to the Congress and the Federal Government to ...

### Address Current and Emerging Challenges to the Well-Being and Financial Security of the American People *related to ...*

- Health care needs and financing
- Education and protection of children
- Work opportunities and worker protection
- Retirement income security
- Effective system of justice
- Viable communities
- Natural resources use and environmental protection
- Physical infrastructure

### Respond to Changing Security Threats and the Challenges of Global Interdependence *involving ...*

- Emerging threats
- Military capabilities and readiness
- Advancement of U.S. interests
- Global market forces

### Help Transform the Federal Government's Role and How It Does Business to Meet 21st Century Challenges *by assessing ...*

- Roles in achieving federal objectives
- Government transformation
- Key management challenges and program risks
- Fiscal position and financing of the government

### Maximize the Value of GAO by Being a Model Federal Agency and a World-Class Professional Services Organization *in the areas of ...*

- Client and customer satisfaction
- Strategic leadership
- Institutional knowledge and experience
- Process improvement
- Employer of choice

## CORE VALUES

**Accountability** | **Integrity** | **Reliability**

Source: GAO.

GAO Strategic Plan 2004-2009

1/19/2006

**U.S Government Accountability Office**
**Executive Summary**
**Budgetary Resources - Summary**
**(Dollars in thousands)**

| | FY 2005 Revised Operating Plan | FY 2005 Actual Costs | FY 2006 Revised Operating Plan | Change | FY 2007 Estimate |
|---|---|---|---|---|---|
| **FTEs** | **3,200** | **3,189** | **3,217** | **50** | **3,267** |
| Appropriation | $467,205 | $466,695 | $477,571 | $24,799 | $502,370 |
| Offsetting Collections | $7,360 | $7,360 | $7,093 | ($108) | $6,985 |
| • Rent - Army Corps of Engineers, Nextel, and AT&T | 4,880 | 4,880 | 4,929 | 51 | 4,980 |
| • Rent Receipts Collected in Prior Years | - | - | 124 | (124) | |
| • Revenue - FDIC Audit | 1,480 | 1,480 | 1,600 | 100 | 1,700 |
| • Audit Revenue Collected in Prior Years | 1,000 | 1,000 | 440 | (135) | 305 |
| **Total budget authority required for GAO operations** | **$474,565[1]** | **$474,055** | **$484,644[2]** | **$24,691** | **$509,355** |
| Human Capital | $379,038 | $378,453 | $384,807 | $15,756 | $400,564 |
| Engagement Support | 14,076 | 13,868 | 15,751 | 1,694 | 17,445 |
| Infrastructure Operations | 81,451 | 76,749 | 79,010 | 3,353 | 82,363 |
| Initiatives[3] | | 4,985 | 5,095 | 3,888 | 8,983 |
| Adjustment due to rounding | | | 1 | | |
| **Total Budget Authority** | **$474,565** | **$474,055** | **$484,664** | **$24,691** | **$509,355** |

[1] Excludes rescission of $3,827
[2] Excludes rescission of $4,896
[3] Total amount of initiatives included in FY 2005 revised operating plan is not available.

**U.S Government Accountability Office**
**Executive Summary**
**Budgetary Resources – Base Programs**
**(Dollars in thousands)**

| | FY 2005 Revised Operating Plan | FY 2005 Actual | FY 2006 Revised | Change | FY 2007 Estimate |
|---|---|---|---|---|---|
| **Human Capital** | | | | | |
| Salaries and Benefits<br><br>Salaries and Benefits account for almost 80 percent of GAO's total budget authority. In FY 2006, GAO will undertake an aggressive recruiting program to target potential candidates and position us to achieve a full-time equivalent staffing level of 3,217 FTEs in FY 2006 and 3,267 FTEs in FY 2007.<br><br>The increase in FTEs is needed to allow GAO to begin to address the supply and demand imbalances impacting our ability to respond to congressional interest, primarily in the areas of health care, disaster assistance, homeland security, and the global "war on terrorism". We are able to offset the estimated cost of new hires by recruiting entry-level staff at lower salary levels than the salary of departing staff.<br><br>Changes from FY 2006 to FY 2007 reflect mandatory pay costs and annual workforce plan changes, including planned recruiting, estimated staff separations, savings from a voluntary early retirement opportunity (VERA), and the addition of 50 FTEs. Mandatory pay costs for FY 2007 include: cost to maintain the workforce at FY 2006 levels; 2.7 percent civilian pay raise; increased employer benefits costs; performance-based increases and promotions; and offset for savings from attrition. | $365,638 | $365,096 | $369,822 | $15,342<br>4% | $385,164 |
| Other Compensation<br><br>Other compensation programs include items such as separation payments, workmen's compensation, relocation pay, and the annuities of retired Comptrollers General. In FY 2006, GAO plans to conduct a VERA to address workforce planning needs, such as skill imbalances and succession planning. The reduction in program costs from FY 2006 to FY 2007 primarily reflects our expectation that the number of staff separations will return to FY 2005 levels. | $4,300 | $4,538 | $4,960 | ($255)<br>(5%) | $4,705 |
| Training and Development<br><br>An effective training and development program is essential for a world-class, knowledge-based service organization such as GAO. This category includes support for professional certification, training to maintain GAO analytical and support staff at the cutting edge of professional knowledge in a wide variety of disciplines, and management and executive development consistent with succession management plans. In FY 2006, we expect to | $3,700 | $3,502 | $3,886 | $72<br>2% | $3,958 |

**U.S Government Accountability Office**
**Executive Summary**
**Budgetary Resources – Base Programs**
**(Dollars in thousands)**

| | FY 2005 Revised Operating Plan | FY 2005 Actual | FY 2006 Revised | Change | FY 2007 Estimate |
|---|---|---|---|---|---|
| complete development of our revised curriculum for analyst staff and begin to focus on enhancing the curriculum for administrative, professional and support staff. In FY 2007, increases in training delivery costs are largely offset by reductions in curriculum development costs. | | | | | |
| Rewards and Recognition<br><br>This program provides for a variety of awards including cash, nominal award gifts, paid time-off, and plaques that recognize outstanding contributions to the Congress and the American people. The increase from FY 2006 to FY 2007 reflects anticipated inflationary increases in the costs of plaques and other tokens of appreciation. | $2,400 | $2,267 | $2,600 | $68<br>3% | $2,668 |
| Transit Subsidy<br><br>GAO provides agency employees utilizing mass transit systems a subsidy of up to $105 per month to help offset commuting costs. Benefits are provided to about 1,850 staff nationwide. The increase from FY 2006 to FY 2007 reflects the anticipation that more employees will participate in the program. | $1,850 | $1,897 | $1,915 | $30<br>2% | $1,945 |
| Student Loan Repayments<br><br>This program is a vital employee benefit aimed at retaining skilled employees and as a recruitment incentive for difficult-to-fill positions. Over the years, this program has been critical in helping GAO compete with the private and public sector for top talent. In FY 2005 we provided an average payment of about $4,800 to about 230 staff.<br><br>Beginning in FY 2006, we will increase the annual maximum payment amount from $6,000 to $10,000 and the lifetime maximum amount from $40,000 to $60,000--consistent with recent legislation. Changes in funding for this program from FY 2005 to FY 2007 reflect an increase in employee participation commensurate with an increase in our staffing level and a phased increase in the maximum amounts. | $1,150 | $1,154 | $1,625 | $500<br>24% | $2,125 |
| Adjustment due to rounding | | (1) | (1) | (1) | (1) |
| **Subtotal – Human Capital Costs** | **$379,038** | **$378,453** | **$384,807** | **$15,756<br>4%** | **$400,564** |

**U.S Government Accountability Office**
**Executive Summary**
**Budgetary Resources – Base Programs**
**(Dollars in thousands)**

| | FY 2005 Revised Operating Plan | FY 2005 Actual | FY 2006 Revised | Change | FY 2007 Estimate |
|---|---|---|---|---|---|
| **Engagement Support** | | | | | |
| Travel<br><br>Because GAO bases its analysis and recommendations on original research, it is essential that our auditors and evaluators conduct on-site visits to obtain or validate information. In support of this objective, GAO staff travel anywhere the U.S. government and our country's interests are represented. GAO recognizes the need to control spending and has implemented internal controls and new technologies aimed at reducing travel costs. In FY 2006, GSA announced changes in estimated costs for our 15 top FY 2005 travel destinations of about 15 percent. Changes in travel costs from FY 2006 to FY 2007 reflect price level increases associated with rising energy costs and other inflationary pressures. | $11,550 | $11,942 | $12,311 | $933<br>7% | $13,244 |
| Contract Services<br><br>This program is an indispensable component of GAO's support to the Congress. GAO contracts with experts and consultants to expand our institutional knowledge in certain highly specialized disciplines, respond to peak work load requirements, and help ensure that our work is independent. Based on our assessment of current trends in engagements and audits and to help correct supply and demand imbalances in our ability to respond to congressional requests, we plan to increase contract support in FY 2006 and FY 2007. | $2,526 | $1,926 | $3,000 | 500<br>14% | $3,500 |
| Overseas Support<br><br>With an increased US Government presence in Iraq and elsewhere in the Middle East, GAO is proposing to establish an ongoing presence by assigning staff on an extended temporary duty basis to the International Zone in Baghdad. This will enhance our ability to oversee area activities and programs. GAO staff will conduct data collection and provide audit and logistical support to other engagement teams. We expect to spend $1.1 million in total in fiscal years 2006 and 2007 for travel and infrastructure support for this function. | | | $440 | $261<br>37% | $701 |
| **Subtotal – Engagement Support** | **$14,076** | **$13,868** | **$15,751** | **$1,694<br>10%** | **$17,445** |

**U.S Government Accountability Office**
**Executive Summary**
**Budgetary Resources – Base Programs**
**(Dollars in thousands)**

| | FY 2005 Revised Operating Plan | FY 2005 Actual | FY 2006 Revised | Change | FY 2007 Estimate |
|---|---|---|---|---|---|
| **Infrastructure Operations** | | | | | |
| Information Technology<br><br>This program develops, maintains and manages GAO's information technology capacity, including efforts to leverage technology to improve the productivity of our largest asset – our work force. IT funding will remain relatively stable over the next two years. FY 2007 costs reflect operating efficiencies which allow funds to be shifted to essential technology upgrades. | $48,224 | $46,287 | $46,452 | ($941)<br>(2%) | $45,511 |
| Building Management<br><br>This program provides a safe, secure workplace for GAO employees across the nation that enhances an atmosphere conducive to highly productive knowledge work. This program provides funding to: maintain the GAO headquarters building; lease space for 11 domestic field offices; make necessary building improvements in both owned and leased space; ensure the safety of GAO staff; and provide funds for supplies, materials, and furniture. While some of the increase from FY 2006 to FY 2007 results from price level changes, the bulk of the increase reflects several initiatives. (See page 7.) | $23,773 | $20,598 | $23,025 | $2,930<br>11% | $25,955 |
| Knowledge Services<br><br>This program supports congressional engagements by managing information resources ranging from books, magazines, and newspapers to highly-specialized databases. Our Knowledge Services Program also manages Shared Service Centers, handles the publishing of GAO's products, and maintains a complete historical record of past reports and other critical pieces of information. Changes from FY 2006 to FY 2007 arise primarily from labor rate increases in our library maintenance and record management contracts. | $6,740 | $6,666 | $6,987 | $618<br>8% | $7,605 |
| Human Capital Operations<br><br>This program provides an array of employee services important to maintaining GAO's capacity to attract and retain skilled employees. This includes compensation, position classification, recruiting, performance management, and health and counseling services. Changes from FY 2006 to FY 2007 reflect a continued effort to transform and improve HCO service and operations. | $1,477 | $2,044 | $1,368 | $445<br>25% | $1,813 |

**U.S Government Accountability Office**
**Executive Summary**
**Budgetary Resources – Base Programs**
**(Dollars in thousands)**

| | FY 2005 Revised Operating Plan | FY 2005 Actual | FY 2006 Revised | Change | FY 2007 Estimate |
|---|---|---|---|---|---|
| Support Services<br><br>This program provides a wide variety of administrative services such as damage claim processing, personnel investigations, court reporting, and sign language support for the hearing impaired. Also included is the annual audit of GAO's financial statements, processing of travel vouchers and claims, and other kinds of routine administrative services. The requested increase in FY 2007 provides funds for expected rate increases, the expansion of our outsourced event coordination services, expansion of our financial statement audit, and contract support to assess our business product line. | $1,237 | $1,154 | $1,177 | $301<br>20% | $1,478 |
| Adjustment due to rounding | | | 1 | | 1 |
| **Subtotal – Infrastructure Operations** | **$81,471** | **$76,749** | **$79,010** | **$3,353<br>4%** | **$82,363** |

**U.S Government Accountability Office**
**Executive Summary**
**Budgetary Resources - Initiatives**
**(Dollars in thousands)**

| | FY 2005 Revised Operating Plan | FY 2005 Actual Costs | FY 2006 Revised Operating Plan | Change | FY 2007 Estimate |
|---|---|---|---|---|---|
| Information Technology<br><br>Planned initiatives in fiscal years 2006 and 2007 include:<br><br>• replacing GAO's financial management system,<br>• continuing development of the agency's engagement management system<br>• enhancing our legacy business systems, and<br>• improving IT security, LAN services, and network operations.<br><br>The replacement of the Financial Management System will be a priority effort over the next 2 years. We plan to select a government cross-service provider in fiscal year 2006 and begin implementation in fiscal year 2007. This new system will provide integrated budgeting, procurement, and accounting functionality while also enhancing the information available to managers of GAO's centralized services programs such as IT, facilities, and training. The redesign of the Engagement Management System and Job Information Systems will provide for the comprehensive planning, staffing, and management of GAO's evaluation work. | | $2,054 | $3,459 | $2,989<br>46% | $6,448 |
| Building Management<br><br>Key initiatives in this program area during fiscal years 2006 and 2007 include:<br><br>• continuing cyclical building maintenance as called for in the 2005 Building Condition Assessment report,<br>• upgrading the air conditioning system,<br>• increasing security for incoming mail and packages,<br>• extending the physical access system to field office locations, and<br>• enhancing security facilities in the field. | | $2,931 | $1,632 | $552<br>25% | $2,184 |
| Knowledge Services<br><br>Key initiatives in this program area during fiscal years 2006 and 2007 include:<br><br>• providing audio and video captioning support for training products to assist staff with hearing impairments, in compliance with the Rehabilitation Act of 1974,<br>• enhancing research skills of GAO staff by improving GAO's Online Resources | | | $4 | $347<br>99% | $351 |

**U.S Government Accountability Office**
**Executive Summary**
**Budgetary Resources - Initiatives**
**(Dollars in thousands)**

| | FY 2005 Revised Operating Plan | FY 2005 Actual Costs | FY 2006 Revised Operating Plan | Change | FY 2007 Estimate |
|---|---|---|---|---|---|
| Training Support program, and<br>• scanning the legislative history microfiche. | | | | | |
| **Subtotal – Initiatives** | | **$4,985** | **$5,095** | **$3,888<br>43%** | **$8,983** |
| **Total Budget Authority – Base Programs and Initiatives** | **$474,565** | **$474,055** | **$484,664** | **$24,691<br>5%** | **$509,355** |

| Selected Examples of Recent GAO Work | | |
|---|---|---|
| **GAO strategic goal** | **Description** | **In fiscal year 2005, GAO provided information that helped to...** |
| 1 | Provide timely, quality service to the Congress and the federal government to address current and emerging challenges to the well-being and financial security of the American people. | • Improve the transition from active duty to civilian status for veterans with serious war-related injuries<br>• Address long-term health care financing pressures on state and local government budgets<br>• Identify challenges with transferring the Medicare appeals process from the Social Security Administration (SSA) and the Department of Health and Human Services (HHS)<br>• Improve patient safety at Department of Veterans Affairs hospitals<br>• Improve the security of Social Security numbers<br>• Address the challenges of pension reform<br>• Strengthen the security screening process for passengers and checked baggage at the nation's airports<br>• Improve the oversight of Federal Housing Administration single-family and multifamily lenders<br>• Improve the oversight of electricity markets by the Federal Energy Regulatory Commission<br>• Identify challenges associated with the Department of Energy's (DOE) nuclear facility designs<br>• Monitor the growth in the digital television market<br>• Analyze issues contributing to the declining financial condition of the airline industry |
| 2 | Provide timely, quality service to the Congress and the federal government to respond to changing security threats and the challenges of global interdependence. | • Improve the management of funds for the Global War on Terrorism<br>• Increase the security of cargo containers to prevent terrorist activity<br>• Alert the Congress to issues affecting the Department of Defense's (DOD) major weapon systems<br>• Analyze funding options for a new federal foreign assistance program—the Millennium Challenge Account<br>• Promote government efforts to address threats to the security of the nation's information systems<br>• Strengthen the visa process as an antiterrorism tool<br>• Improve management of the U.S. Coast Guard's Deepwater program<br>• Shape the debate on improving military pay and benefits<br>• Strengthen the U.S. strategic export control system<br>• Identify improvements needed to secure the telecommunications and information systems used by U.S. financial markets |
| 3 | Help transform the federal government's role and how it does business to meet 21st century challenges. | • Increase the public's understanding of the federal government's long-term fiscal challenges<br>• Implement government-wide civil service reforms<br>• Oversee federal tax policy<br>• Increase debts collected from criminals<br>• Decrease improper payments made by the U.S. Department of Agriculture's (USDA) Food Stamp Program and other federal agencies<br>• Manage multibillion-dollar IT modernizations and investments at the Department of Homeland Security (DHS) and Office of Personnel Management<br>• Improve agencies' strategic purchasing practices<br>• Examine changes in key areas of federal activity that could affect the federal government's fiscal future<br>• Enhance the knowledge base on comprehensive national indicators |

| Selected Examples of Recent GAO Work | | |
|---|---|---|
| **GAO strategic goal** | **Description** | **In fiscal year 2005, GAO provided information that helped to...** |
| 4 | Maximize the value of GAO by being a model federal agency and a world-class professional services organization. | • Foster among other federal agencies GAO's innovative human capital practices, such as broad pay bands; performance-based compensation; and workforce planning and staffing strategies, policies, and processes<br>• Improve dissemination of GAO products<br>• Enhance our classification and compensation systems<br>• Improve customer service through use of Web-based technology<br>• Ensure our IT and physical security<br>• |

Source: GAO.

**Agencywide Summary of Annual Measures and Targets**

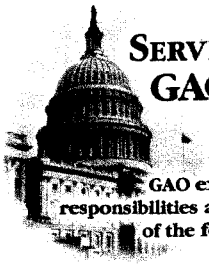
| Performance measure | 2001 actual | 2002 actual | 2003 actual | 2004 actual | 2005 Target | 2005 Actual | Met/ Not met | 2006 target | 2007 target |
|---|---|---|---|---|---|---|---|---|---|
| **Results** | | | | | | | | | |
| Financial benefits (dollars in billions) | $26.4 | $37.7 | $35.4 | $44.0 | $37.5 | $39.6 | Met | $39.0 | $40.0 |
| Other benefits | 799 | 906 | 1,043 | 1,197 | 1,000 | 1,409 | Met | 1,050 | 1,100 |
| Past recommendations implemented | 79% | 79% | 82% | 83% | 80% | 85% | Met | 80% | 80% |
| New products with recommendations | 44% | 53% | 55% | 63% | 55% | 63% | Met | 60% | 60% |
| **Client** | | | | | | | | | |
| Testimonies | 151 | 216 | 189 | 217 | 185 | 179 | Not met | 210 | 185 |
| Timeliness | 95% | 96% | 97% | 97% | 98% | 97% | Not met | 98% | 98% |
| **People** | | | | | | | | | |
| New hire rate | N/A | 96% | 98% | 98% | 97% | 94% | Not met | 97% | 97% |
| Acceptance rate | N/A | 81% | 72% | 72% | 75% | 71% | Not met | 75% | 75% |
| Retention Rate | | | | | | | | | |
| With retirements | 91% | 91% | 92% | 90% | 90% | 90% | Met | 90% | 91% |
| Without retirements | 95% | 97% | 96% | 95% | 94% | 94% | Met | 94% | 95% |
| Staff development | N/A | 71% | 67% | 70% | 72% | 72% | Met | 74% | 75% |
| Staff utilization | N/A | 67% | 71% | 72% | 74% | 75% | Met | 75% | 78% |
| Leadership | N/A | 75% | 78% | 79% | 80% | 80% | Met | 80% | 80% |
| Organizational climate | N/A | 67% | 71% | 74% | 75% | 76% | Met | 75% | 76% |
| **Internal Operations** | | | | | | | | | |
| Help get job done | N/A | N/A | 3.9 | 4.0 | N/A | N/A | N/A | 4.0 | 4.0 |
| Quality of work life | N/A | N/A | 3.9 | 3.9 | N/A | N/A | N/A | 4.0 | 4.0 |

Source: GAO

Notes: N/A indicates the information is not available or the target is not applicable. Our fiscal year 2006 target for the percentage of products with recommendations differs from the target we reported for this measure in our fiscal year 2006 performance plan posted on our Web page in June 2005. On the basis of our performance in fiscal year 2005, we increased this target by 5 percentage points.



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# SERVING THE CONGRESS AND THE NATION
# GAO'S STRATEGIC PLAN FRAMEWORK

## MISSION

**GAO exists to support the Congress in meeting its constitutional responsibilities and to help improve the performance and ensure the accountability of the federal government for the benefit of the American people.**

## THEMES

- Long-Term Fiscal Imbalance
- National Security
- Global Interdependence
- Changing Economy
- Demographics
- Science and Technology
- Quality of Life
- Governance

## GOALS & OBJECTIVES

### Provide Timely, Quality Service to the Congress and the Federal Government to . . .

. . . Address Current and Emerging Challenges to the Well-Being and Financial Security of the American People *related to . . .*

- Health care needs and financing
- Education and protection of children
- Work opportunities and worker protection
- Retirement income security
- Effective system of justice
- Viable communities
- Natural resources use and environmental protection
- Physical infrastructure

### . . . Respond to Changing Security Threats and the Challenges of Global Interdependence *involving . . .*

- Emerging threats
- Military capabilities and readiness
- Advancement of U.S. interests
- Global market forces

### Help Transform the Federal Government's Role and How It Does Business to Meet 21st Century Challenges *by assessing . . .*

- Roles in achieving federal objectives
- Government transformation
- Key management challenges and program risks
- Fiscal position and financing of the government

### Maximize the Value of GAO by Being a Model Federal Agency and a World-Class Professional Services Organization *in the areas of . . .*

- Client and customer satisfaction
- Strategic leadership
- Institutional knowledge and experience
- Process improvement
- Employer of choice

## CORE VALUES

Accountability | Integrity | Reliability

Source: GAO.

**Fiscal years 2004-2009**




# OPEN WORLD LEADERSHIP CENTER

## BUDGET JUSTIFICATION

*Fiscal Year 2007*

SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

**OPEN WORLD LEADERSHIP CENTER**
**FISCAL YEAR 2007 BUDGET REQUEST**
**OVERVIEW STATEMENT**

The Open World Program was authorized as a pilot project by the U.S. Congress in 1999 as a result of discussions between Librarian of Congress Dr. James H. Billington and a bicameral and bipartisan group of Members of Congress led by Senator Ted Stevens (AK) on the question of how to increase mutual understanding between Russia and the United States and to support Russia's democratization efforts. The program is the first and only exchange program administered by the Legislative Branch of the U.S. Government.

Open World brings emerging Russian leaders from all levels of government to the United States to meet their American counterparts and gain firsthand knowledge of how American civil society works. Program participants experience American political and civic life and see democracy in action, from the workings of the U.S. Congress to debates in local city councils. Since July 1999, Open World has brought 10,140 current and future decision makers from all 89 regions of the Russian Federation to all 50 U.S. states, making the program the largest U.S.-Russia inbound exchange.

The success of the Open World approach and the continued importance of its mission led Congress, through the leadership of the House and Senate Appropriations Committees, to establish in December 2000 a permanent, independent entity to house the program: the Open World Leadership Center.

Public Law 108-7, enacted in February 2003, made the 11 other Freedom Support Act countries and the three Baltic republics eligible for Open World and authorized a new initiative for Russian cultural leaders. The Open World Leadership Center Board of Trustees selected Lithuania, Ukraine, and Uzbekistan to pilot new exchanges, and to date Open World has welcomed 426 participants from these three nations. In December 2004, Public Law 108-447 expanded Open World program eligibility to any other country that is designated by the Board of Trustees, with the provision that the Board must notify the Appropriations Committees of such a designation at least 90 days before it takes effect.

**Program Leadership**

Dr. Billington serves as chairman of the Board of Trustees, with Senator Stevens as honorary chairman. The congressionally appointed members are Senate Majority Leader Bill Frist (TN), Senator Carl Levin (MI), and Representative Robert E. "Bud" Cramer (AL). The second congressionally appointed seat reserved for a member of the House of Representatives is currently vacant. Public Law 108-447, as amended by Public Law 109-13, added to the Board the chair of the Committee on Appropriations of the House of Representatives or designee and the chair of the Subcommittee on Legislative Branch of the Committee on Appropriations of the Senate. Former U.S.

Ambassador to Russia James F. Collins, Walter Scott, Jr., Chairman of Level 3 Communications, former Representative Amo Houghton, and former U.S. Ambassador to Spain George Argyros are the current citizen members. The Board of Trustees met on December 5, 2005, and reviewed the budget request and program plans presented below.

**Program Objectives**

Open World is designed to enable emerging young leaders from the selected countries to:

- build mutual understanding with their U.S. counterparts;
- observe U.S. government, business, volunteer, and community leaders carrying out their daily responsibilities;
- experience how the separation of powers, checks and balances, freedom of the press, and other key elements of America's democratic system make the government more accountable and transparent;
- develop an understanding of the U.S. free enterprise system;
- learn how U.S. citizens organize and take initiative to address social and civic needs;
- share approaches to common challenges with their U.S. counterparts;
- participate in American family and community activities; and
- establish lasting professional and personal ties with their U.S. hosts and counterparts.

**Goals**

As Open World has matured since its initial six-month pilot in 1999, the Board and staff have been guided by strategic goals that shape the program's annual budget submission and year-round operation.

***Goal I:*** Contribute substantially to strengthening relations and mutual understanding between the United States and the participating countries.

The Open World Program is located in the Legislative Branch, housed in and administratively supported by the Library of Congress, but its hosting experiences are shaped and implemented in cooperation with the U.S. Embassy in each Open World country. All elements of the program—its focus themes, candidate nomination and selection, and alumni communications—are defined by and continuously coordinated with embassy personnel and the State Department.

***Goal II:*** Provide the highest-caliber program for the U.S. visit so that Open World participants return to their countries with a meaningful understanding of America's democracy and market economy.

Open World has refined and focused on key themes for its grants in order to improve the quality of the U.S. program. Monitoring of programs, site visits, post-visit evaluations, and participant surveys contribute to annual reviews and evaluations of all program elements. The program has increasingly focused on a few key themes central to democracy-building.

***Goal III:*** To extend the catalytic effect of a 10-day U.S. stay by fostering continued post-visit communication between participants and their American hosts and contacts, their fellow Open World alumni, and alumni of other USG-sponsored exchange programs.

In calendar 2005, Russian alumni participated in 168 interregional conferences, workshops, meetings, and professional seminars sponsored by Open World. A major conference for the program's Lithuanian alumni was held in the capital city of Vilnius, and three events were held for alumni in Ukraine.

Open World's multilingual website with online forums (and assisted Russian/English translation for cross-cultural communication) helps maintain communication among delegates, American hosts, and other interested parties. Open World also operates two listservs for Russian alumni, one with news of grants, competitions, and other sources of financial support, the other with weekly updates on Open World news and announcements and opportunities for cooperation and partnership with fellow alumni. All alumni activities and the website are supported through private funding.

**Measures of Success**

In addition to conducting the qualitative assessments described above, the Center also tracks quantitative program performance measures to ensure that the exchange is achieving its founders' vision and Congress's directives.

The statistics below demonstrate that Open World is meeting its mission of focusing on a geographically and professionally broad cross-section of emerging leaders who might not otherwise have the opportunity to visit the United States:

- Delegates have come from all the political regions of Russia, Ukraine, Lithuania, and Uzbekistan.
- More than 5,000 federal, regional, and local government officials have participated, including 156 members of parliament and 935 judges.
- The average age of Open World delegates is 38.
- 92 percent of delegates are first-time visitors to the United States.
- Only 12.5 percent of delegates report having "above average" or better English-language skills. (Several U.S. exchange programs require some English-language skills. By not requiring knowledge of English, Open

World is able to choose from a much larger candidate pool of young leaders. Interpretation is provided for all Open World delegations.)
- 49 percent of delegates are women. Women did not have significant leadership opportunities in the Soviet Union.
- The distribution of delegates among Russia's seven "super-regions" roughly matches that of the country's general population.

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

- Open World has awarded grants for hosting to **43** organizations headquartered in **17 different states** and the District of Columbia.
- The grantee organizations in turn award subgrants to local host organizations to conduct programs for Open World delegates. In 2005, the **204** local host organizations in **147 Congressional districts** included universities and community colleges, library systems, Rotary clubs and other service organizations, sister-city associations, courts, and nonprofits.
- More than **4,900 U.S. families** have hosted participants in **1,454 communities** in **all 50** states.

**Calendar Year 2005 Activities**

*Russia*

Open World hosted 1,411 Russian participants in calendar year 2005. Delegates came from 82 of Russia's 89 regions and a wide range of ethnic groups, and had hosting experiences in 48 U.S. states. Women made up 60 percent of the delegates. Open World's hosting themes were economic development, the environment, health and social services, rule of law, women as leaders, and, for the first time, local governance. Many delegations focused on narrower subthemes. For example, under the health/social services theme, several Open World teams concentrated on AIDS prevention and treatment, disability issues, or substance abuse prevention and treatment. Open World also hosted special-focus delegations; notable examples included two teams of Russian mental-health professionals working with victims of the Beslan attack, and two delegations of Russian nonproliferation specialists. The former received intensive training from a Pennsylvania community services provider; the latter worked with their counterparts at two U.S. Department of Energy national laboratories.

The Open World Russia program now includes up-and-coming arts administrators and artists in a range of media—important leaders to the development of a democratic society. Support from the National Endowment for the Arts enables the Russian Cultural Leaders Program to offer two- and three-week residencies to these participants. In 2005, the program enabled Russian documentary makers to showcase their work at a major New York film festival; brought Russian writers to the University of Mississippi to

participate in the Oxford Conference on the Book; and allowed young Russian jazz artists to have clinics and jam sessions with the performers headlining the Lionel Hampton Jazz Festival in Moscow, Idaho, to cite just a few examples. A total of 107 participants will visit the United States under the 2005/2006 hosting program.

*Ukraine*

Ukraine was selected in 2003 for an Open World program because of its strategic position in Eurasia, its large and educated population, and its important potential contribution to regional stability.

Open World welcomed 142 young Ukrainian leaders in calendar year 2005, accomplishing wide geographic representation (26 of 27 Ukrainian regions), hosting delegations across the United States (14 states and the District of Columbia), and enrolling a high percentage of women delegates (54 percent). The Open World hosting theme for Ukraine in 2005 was "civil society," with subthemes in independent media, electoral processes, NGO development, and rule of law. Open World initiated a judge-to-judge program similar to its highly successful judicial exchange with Russia. Forty-two Ukrainian judges, including a Supreme Court justice and two members of the Supreme Commercial Court, were hosted in eight different states.

In a number of the American communities that hosted Ukrainian leaders, the impact of the Orange Revolution was discussed in presentations, roundtables, and panels.

**Open World 2006 and Plans for 2007**

For 2006, the Board of Trustees approved the continuation of the successful Open World programs for Russia (civic, cultural, and rule of law) and the rule of law and civic programs for Ukraine. The Chairman appointed Ambassador Collins to head a committee to assess and make recommendations on four major issues: (1) whether the Open World Program should expand to other countries, and if so, which ones, (2) whether country programs should be linked by region, (3) what the scope and nature of alumni programs should be, and (4) what improvements could be made to the Russia and Ukraine programs. The committee is to submit an overall strategic plan for Board approval by June 2006, on the basis of which the Board will make recommendations to this Committee. Any approved recommendations for program expansion will be implemented in calendar 2006.

In March 2004, the Government Accountability Office issued a report entitled *International Exchange Programs: Open World Achieves Broad Participation; Enhanced Planning and Accountability Could Strengthen Program* [GAO-04-436.] The report concluded that Open World "has exposed a large, broad, and diverse group of Russians to U.S. economic and political systems," and recommended making certain improvements in Open World management, financial, and accountability practices. By September 30, 2006, Open World will complete the implementation of all the recommendations,

including establishing a strategic plan, with relevant data collection and program performance reports; administrative regulations and procedures; and full measurement of the value of contributed services. A balance-sheet audit is scheduled for completion in June 2006 and will be reviewed by an appointed Board member.

**Fiscal Year 2007 Budget Request**

The Center's budget request of $14.4 million for fiscal year 2007 reflects an increase of $0.54 million (4.0 percent) over fiscal year 2006 funding. The funding request will enable the Center to continue its proven mission of hosting young political, civic, and cultural leaders from Russia; expand its important program for Ukraine; and conduct smaller programs with select countries as approved by the Board of Trustees, in consultation with this Committee. The Board of Trustees believes that maintaining a robust Open World presence in Russia is necessary, and important for future U.S.-Russia relations. Program hosting capacity in fiscal year 2007 at the requested level remains far below the limit of 3,000 set in the Center's authorizing legislation.

The budget request maintains hosting and other programmatic activities at a level of approximately 1,400 participants total. Actual allocations of hosting to individual countries will be based partially on Board of Trustees recommendations and consultation with the Committee. The requested funding support is also needed for anticipated fiscal year 2007 pay increases and for the Department of State Capital Security Cost Sharing charge for the Center's two Foreign National Staff.

Major categories of requested funding are:

- Personnel Compensation and Benefits (**$1.197 mil**)
- Contracts (**$8.48 mil** – awarded to U.S.-based entities) that include:
  - Coordinating the delegate nomination and vetting process
  - Obtaining visas and other travel documents
  - Arranging and paying for air travel
  - Coordinating with grantees and placing delegates
  - Providing health insurance for participants
- Grants (**$4.72 mil** – awarded to U.S. host organizations) that include the cost of providing:
  - Professional programming for delegates
  - Meals outside of those provided by home hosts
  - Cultural activities
  - Local transportation
  - Professional interpretation
  - Administrative support

**Other Program Contributions**

Major support is contributed to the Open World Program by the dedicated and enthusiastic American citizens who host program participants in their homes and communities. Private American citizens freely provide social events, community-wide activities, housing, and some meals for one week. Without this in-kind support, the cost of hosting Open World's more than 10,500 participants would have been substantially higher. In 2005, the hosting of Open World participants in homes throughout the United States saved the Center an estimated **$1.1 million** in per diem accommodation costs alone.

**Conclusion**

The fiscal year 2007 budget request will enable the Open World Leadership Center to continue to make major contributions to an understanding of democracy, civil society, and free enterprise in a region of vital importance to the Congress and the nation. The Committee's interest and support have been essential ingredients in Open World's success.

**Schedule A**

## Payment to the Open World Leadership Center Trust Fund

### Summary By Staffing and Object Class

**(Dollars in Thousands)**

| Category | FY 2005 Actual | FY 2006 Budget [1] | FY 2007 Estimate | FY 2006/2007 Net Change |
|---|---|---|---|---|
| **1. Staffing (FTEs):** | | | | |
| Payment to the Open World Leadership Center Trust Fund | 0 | 0 | 0 | 0 |
| **Total, FTEs** | **0** | **0** | **0** | **0** |
| **2. Object Class:** | | | | |
| 11 Personnel Compensation | $0 | $0 | $0 | $0 |
| 12 Personnel Benefits | 0 | 0 | 0 | 0 |
| 21 Travel | 0 | 0 | 0 | 0 |
| 22 Transportation of Things | 0 | 0 | 0 | 0 |
| 23 Rent, Communications and Utilities | 0 | 0 | 0 | 0 |
| 24 Printing and Reproduction | 0 | 0 | 0 | 0 |
| 25 Other Contractual Services | 0 | 0 | 0 | 0 |
| 26 Supplies and Materials | 0 | 0 | 0 | 0 |
| 31 Equipment | 0 | 0 | 0 | 0 |
| 94 Financial Transfers | 13,392 | 13,860 | 14,400 | + 540 |
| **Total, Appropriations** | **$13,392** | **$13,860** | **$14,400** | **+ $540** |

[1] Reflects the FY 2006 Enacted level, less the rescission.

**Schedule B**

## Payment to the Open World Leadership Center Trust Fund

### Summary of Change By Object Class

(Dollars in Thousands)

| Category | Mandatory Changes | Price Level Changes | PROGRAM CHANGES | | | Net Change |
|---|---|---|---|---|---|---|
| | | | Staff Level Increases | Other Increases | Non-Recurring | |
| **1. Appropriation:** | | | | | | |
| Payment to the Open World Leadership Center Trust Fund | $0 | $0 | $0 | $540 | $0 | + $540 |
| **Total** | **$0** | **$0** | **$0** | **$540** | **$0** | **+ $540** |
| **2. Object Class:** | | | | | | |
| 11 Personnel Compensation | $0 | $0 | $0 | $0 | $0 | $0 |
| 12 Personnel Benefits | 0 | 0 | 0 | 0 | 0 | 0 |
| 21 Travel | 0 | 0 | 0 | 0 | 0 | 0 |
| 22 Transportation of Things | 0 | 0 | 0 | 0 | 0 | 0 |
| 23 Rent, Communications and Utilities | 0 | 0 | 0 | 0 | 0 | 0 |
| 24 Printing and Reproduction | 0 | 0 | 0 | 0 | 0 | 0 |
| 25 Other Contractual Services | 0 | 0 | 0 | 0 | 0 | 0 |
| 26 Supplies and Materials | 0 | 0 | 0 | 0 | 0 | 0 |
| 31 Equipment | 0 | 0 | 0 | 0 | 0 | 0 |
| 94 Financial Transfers | 0 | 0 | 0 | 540 | 0 | + 540 |
| **Total** | **$0** | **$0** | **$0** | **$540** | **$0** | **+ $540** |

**Schedule C**

# Payment to the Open World Leadership Center Trust Fund

## Detailed Analysis of Changes

**(Dollars in Thousands)**

| | Calculation of Base | |
|---|---|---|
| | FTE Staff | Amount |
| **Budget Base, 2006** | **0** | **$13,860** |
| | **2007 Request** | |
| | FTE Staff | Amount |
| **I. Adjustments to Base** | | |
| **A. Mandatory Changes** | | |
| 1. Ingrades | | $0 |
| 2. Annualization of 1/2006 pay raise | | 0 |
| 3. Funding of 1/2007 pay raise | | 0 |
| **B. Price Level Changes** | | |
| 1. Travel | | 0 |
| 2. Transportation of things | | 0 |
| 3. Rent, communications and utilities | | 0 |
| 4. Printing and reproduction | | 0 |
| 5. Other contractual services | | 0 |
| 6. Supplies and materials | | 0 |
| 7. Equipment | | 0 |
| **C. Program Increases** | | |
| 1. Staff level increases | | 0 |
| 2. Other Program increases | | |
| a. Travel | | 0 |
| b. Transportation of things | | 0 |
| c. Rent, communications and utilities | | 0 |
| d. Printing and reproduction | | 0 |
| e. Other contractual services | | 0 |
| f. Supplies and materials | | 0 |
| g. Financial transfers | | 540 |
| **D. Program Decreases** | | |
| 1. Staff level decreases | | 0 |
| 2. Other Program decreases | | |
| **II. Net Increase/Decrease Requested** | **0** | **540** |
| **III. Total Budget Request, 2007** | **0** | **$14,400** |

Schedule D

## Payment to the Open World Leadership Center Trust Fund
## Summary of Agency Request
## FY 2007 Budget Request
(Dollars in Thousands)

| | FTE | Amount |
|---|---|---|
| **Enacted Budget, FY 2006** | **0** | **$14,000** |
| Less: Rescission | | **(140)** |
| **Revised Enacted, FY 2006** | | **$13,860** |
| **Proposed Changes for FY 2007:** | | |
| Mandatory Pay and Related Costs | | $0 |
| Price Level Changes | | 0 |
| Program Type Changes: | | |
| Staff Level | | 0 |
| Other | | 540 |
| Non-Recurring | | 0 |
| **Total Proposed Changes** | **0** | **$540** |
| **Budget Request, 2007** | **0** | **$14,400** |

# Open World Leadership Center
## FY 2006

| |
|---|
| Executive Director (vacant)<br>Aletta N. Waterhouse, Interim Executive Director<br>2 FTEs |
| Program Administrator (vacant)<br>7 FTEs |

## Open World Leadership Center

OWLC administers a program (through annual grants to government and community organizations in the United States) that provides emerging national and local political leaders from eligible foreign states with significant, firsthand exposure to America's democratic institutions and free-market system through visits to U.S. government entities and communities. The Center also administers a similar program to enable Russian cultural leaders to gain significant, firsthand exposure to the operation of American cultural institutions.

| | GS | WG |
|---|---|---|
| SES/Equivalent/WG Equivalent: | 1 | |
| GS-15/WG Equivalent: | 0 | |
| GS-13 - 14/WG/Equivalent: | 4 | |
| GS 7 – 12/WG Equivalent: | 5 | |
| GS 1 – 6/WG Equivalent: | 0 | |
| Total: | 11 | |

Total FTEs - 11

1/24/2006

**LEGISLATIVE BRANCH FINANCIAL MANAGERS COUNCIL**
**Fiscal Year 2007 Budget Request**

**Overview**

The Legislative Branch Financial Managers Council (LBFMC), established by charter on March 26, 1996, is a cooperative undertaking among legislative branch entities to improve financial management throughout the legislative branch and its individual entities. LBFMC provides a communication network between the key managers who are responsible for maintaining and improving the financial management systems that support operations within the various entities of the legislative branch. The following entities are members of LBFMC:

Architect of the Capitol,

Library of Congress,

Office of Compliance,

U.S. Capitol Police,

U.S. Congressional Budget Office,

U.S. Government Accountability Office,

U.S. Government Printing Office,

U.S. House of Representatives, and

U.S. Senate.

**Fiscal Year 2005 Highlights**

LBFMC continued to meet to discuss and establish consistent and effective financial policies, procedures, and systems throughout the legislative branch, as appropriate. During fiscal year 2005, the LBFMC:

- Shared information regarding legislative branch initiatives to benefit from next generation financial management systems, including server-based capabilities;

- Continued to facilitate the development of standard processes for presenting uniform budget requests for mandatory items and additional "budget base" information on specific agency programs and activities. GAO completed a review of practices in this area, including new budget schedules.

- Reviewed and summarized agency practices to assure that all agencies are operating within the rules, regulations, and accounting procedures required by a continuing resolution.

- Provided a forum for exchange of information regarding the Federal Workforce Flexibilities Act of 2004, which authorized federal employees to earn compensatory time for periods of uncompensated official travel that occur during non-work hours.

- Identified agency policy interpretations and practices regarding reprogramming.

- Coordinated comments regarding OMB's changing the out-year estimates in MAX and the potential for inaccurate budget resolution data.

- Served as a forum to discuss progress and issues related to producing auditable financial statements and to achieving unqualified opinions.

Participating entities are continuing efforts to implement:

- the LBFMC's statement of Vision, Goals and Strategies for Financial Management in the Legislative Branch;

- the federal government's accounting internal control, and financial system standards, including the U.S. Government Standard General Ledger.

**Fiscal Years 2006 and 2007 Performance Plans**

During fiscal years 2006 and 2007, LBFMC will continue initiatives considering best practices, costs, affordability, and existing investments made by legislative branch entities, such as the Library of Congress, including the following efforts:

- Collaborate with participating LBFMC entities to implement shared financial management systems and related services.

- Develop common assumptions regarding pay raises and price level increases for budget formulation.

- Identify best practices for financial management operations, financial statement preparation, and related financial and compliance audits, including a lead-agency concept for addressing common issues to incorporate proven expertise into agency operations (i.e., one agency pilots new solution before others make investments).

- Continue to work together to implement off-the-shelf financial management software packages, which support integrated, customer-driven, output-oriented legislative branch-wide systems.

- Identify options to support personnel compensation and benefits analysis and budgeting, and to achieve a more common approach to estimating and presenting these costs among Legislative Branch entities. GAO is reviewing a variety of available software solutions and will share that information with the entire council for follow-up.

- Provide a forum for discussion of issues and challenges related to more fully achieving the objectives of the Government Performance Results Act among participating agencies.

**Fiscal Year 2007 Budget Request**

LBFMC requests a fiscal year 2007 budget of $2,000 for administrative expenses to facilitate the collaboration of legislative branch entities to improve financial management. LBFMC operating costs are shared among participating legislative branch entities. The following table presents LBFMC's fiscal years 2006 and 2007 budget estimates.

| Item | FY 2006 estimate | FY 2007 estimate |
|---|---|---|
| **Stationary**<br>Includes the cost to develop and reproduce stationary. | $300 | $300 |
| **Materials**<br>Includes the cost to prepare slides and graphics, as well as printing and copying of materials used during meeting and consultation with agencies on specific issues and problems. | 500 | 500 |
| **Miscellaneous Meeting Costs**<br>Miscellaneous meeting costs, such as special equipment rental for demonstration and testing, and fees associated with specific training in LBFMC meetings. | 1,200 | 1,200 |
| **Total** | **$ 2,000** | **$2,000** |

O