

LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 2004

THURSDAY, MAY 8, 2003

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

The subcommittee met at 1:23 p.m., in room SD-124, Dirksen Senate Office Building, Hon. Ben Nighthorse Campbell (chairman) presiding.

Present: Senator Campbell.

U.S. SENATE

OFFICE OF THE SECRETARY

STATEMENT OF EMILY J. REYNOLDS, SECRETARY OF THE SENATE

ACCOMPANIED BY:

MARY JONES, ASSISTANT SECRETARY OF THE SENATE

DIANE SKVARLA, SENATE CURATOR

TIMOTHY S. WINEMAN, FINANCIAL CLERK OF THE SENATE

OPENING STATEMENT OF SENATOR BEN NIGHTHORSE CAMPBELL

Senator CAMPBELL. The subcommittee will be in session.

We have had a vote rescheduled two or three times. It was supposed to be at 1:15. I understand it is postponed again now, and I am not quite sure when we are going to have to go. But we are going to get started a little bit early and hopefully finish as much as we can. Senator Durbin was not sure if he was going to get here or not. So we will go as far as we can.

We will first hear from Ms. Reynolds who is requesting roughly \$20 million for her operations. Then we will also hear from the Architect of the Capitol a little bit later.

Ms. Reynolds' request for the Secretary of the Senate is a decrease from the current year, something we obviously rarely see, due to the one-time appropriation last year for the Senate's financial management information system.

Ms. Reynolds, your operation has responsibility for everything from Senate security to the Parliamentarian. We welcome you. This is your first hearing before this subcommittee. You certainly have a large deal on your plate not the least of which is helping to oversee the Capitol Visitor Center. We wish you well in your new task.

Following you, we will take testimony from Mr. Alan Hantman on the Architect's fiscal year 2004 budget. The budget request to-

tals \$513.9 million, with three major projects leading to the increase: the purchase of the alternate computing facility; a project to replace high-voltage switchgear in a number of buildings; and the Capitol Building master plan design. Funding is also requested to complete the West Refrigeration Plant expansion.

There are a number of items in this budget we will have some questions about, but I think what I am going to do is just put the rest of my opening statement in for the record so we can at least get started before we are called over there to vote.

So, Emily, if you would like to go ahead. I appreciate your being here.

[The statement follows:]

PREPARED STATEMENT OF SENATOR BEN NIGHTHORSE CAMPBELL

The Subcommittee will come to order. We meet this afternoon to take testimony from the Secretary of the Senate, Emily Reynolds, and the Architect of the Capitol, on the fiscal year 2004 budget requests. We welcome everyone here today.

We will hear first from Ms. Reynolds, who is requesting roughly \$20 million for her operations. This is actually a decrease below the current year—something we rarely see around here due to a one-time appropriation last year for the Senate's Financial Management Information System.

Ms. Reynolds, your operation has responsibility for everything from Senate Security to the Parliamentarian. We welcome you to your first hearing before this Subcommittee. You have a great deal on your plate—not the least of which is helping to oversee the Capitol Visitor Center project for the Majority Leader and the Capitol Preservation Commission, and we wish you the best in your new role.

Following Ms. Reynolds, we will take testimony from Alan Hantman on the Architect's fiscal year 2004 budget. The budget request totals \$513.9 million with 3 major projects leading to the increase—the purchase of the alternate computing facility, a project to replace high-voltage switchgear in a number of buildings, and the Capitol Building Master Plan design. Funding is also requested to complete the West Refrigeration Plant expansion.

There are a number of items in your budget we have questions with—such as whether we need to proceed with a Capitol Building Master Plan at this time, whether there has been sufficient plans for purchasing the alternate computing facility, and whether there are projects we can put off pending completion of the Capitol Visitor Center project and other major ongoing projects around this campus.

Clearly we are interested in the status of the CVC, and your efforts to improve the management of your agency and follow-up on recommendations made by the General Accounting Office in the last year.

I will turn to my ranking member, Senator Durbin, and then Ms. Reynolds will proceed with her opening statement.

Ms. REYNOLDS. Thank you, Mr. Chairman. It is a pleasure to be with you this afternoon.

As you know, we have a lengthy full statement prepared for the record as well.

Senator CAMPBELL. That will be included in the record.

Ms. REYNOLDS. Thank you.

But I would like to just give a brief overview this afternoon. With me is Mary Jones, our very able Assistant Secretary; Tim Wineman, who of course is a longtime fixture here in the Senate, our Financial Clerk; and a number of our very able department heads.

I would be remiss also, Mr. Chairman, if I did not thank my predecessors in this job. As you know, I have been on the job about 4 months now as the 31st Secretary of the Senate, and it is a huge honor for me to serve in this capacity. Several of my predecessors have been a huge help to me in navigating these waters for the last few months, and I am very grateful for their counsel.

BUDGET OVERVIEW

As you pointed out, our budget request this year is roughly \$20 million, and thanks to the very generous appropriation last year on FMIS, that does take us to about a \$4 million-plus decrease in this year's budget.

The committee last year also appropriated \$500,000 to us in some nonrecurring costs that will enable us to make this year some very badly needed, much needed technology upgrades. So overall, out of that roughly \$20 million, \$18 million is our salary cost. That will enable us to continue to attract and retain the very best individuals possible for our myriad of functions from the legislative to financial and our many administrative services.

In addition, our operating budget will be about \$1.7 million. That will not only enable us to meet the bottom line needs of the Senate, the job that we perform every day, but also will help us to provide for some new initiatives, primarily for the curator and to continue to enhance our Senate Web site, both for our Senate community and the general public.

MANDATED SYSTEMS

The two mandated systems that we have—and again, we have mentioned FMIS, the \$5 million that you all provided us last year. On the financial management information side, our goal ultimately is to move to a paperless voucher system and also provide the Senate with the ability to prepare an auditable consolidated financial statement. At all times, one of the primary things we keep in mind for all of our offices here in the Senate is to increase efficiency and accountability and ease of use. So with those goals in mind, this year, with the \$5 million in multi-year funds, we will roll out approximately seven either new releases or pilot projects within the FMIS activity. So we are making substantial progress.

On the legislative information side, our second mandated system that this committee, once again, has been very generous in funding—and that was a \$7 million no-year fund appropriation some 2 years ago—the LIS augmentation project will give us the ability, our entire Senate community over time, to implement Extensible Markup Language, or XML, as the data standard with which we will author and exchange all documents among the Senate, House, the Government Printing Office, and other legislative agencies. To date we are working with what we call the pioneer group, a group within the Senate Legislative Counsel's Office and our own enrolling clerks, in implementing this transition to the LIS project. Ultimately we will have documents that can be more easily shared, reused, and repurposed. So this is a huge plus for our Senate community overall over time.

We will begin to work, hopefully, even this summer with the Appropriations Committee. We are coming to you all first to work with you all on the LIS augmentation project in determining what your requirements are going forward. As I said, there will be more conversation about that here in the coming weeks.

HIGHLIGHTS OF OFFICE OF SECRETARY

I certainly this afternoon, given our brief time together, will not run through all 25 departments within the Office of the Secretary, and there are many accomplishments over the course of the last year. But I did want to just point out a few highlights, and the other details are obviously in our department reports.

CURATOR PROJECTS

The curator. For example, we have work underway on the portraits of Senators Dole and Mitchell for our leadership collection. In addition, we have underway and hope to install and unveil next year the portraits of Senator Vandenberg and Senator Robert Wagner in our Senate Reception Room.

One item that is coming this summer that we are particularly excited about is a catalog of our U.S. Senate fine arts collection, featuring the 160 items in our fine art collection in the Senate. This will be a new resource for all of us and something that is eagerly anticipated over the summer.

The restoration of the Senate desks. That project continues with 61 restored to date.

HISTORIAN'S OFFICE

In addition, from our historian's office, they have been involved in a tremendous project that was released this week by the Permanent Subcommittee on Investigations. Our Historical Office had the opportunity to help edit and annotate the 3,800 pages of the McCarthy executive hearings from 1953–54. So we are particularly proud of that accomplishment. And in addition, they will be working with our colleagues on the House side, hopefully next year, for the first time since 1989, to reprint and update the biographical directory of the U.S. Congress.

SENATE LIBRARY

Our Senate library, another outstanding resource for us here in the Senate community. It is interesting to note, since the library was moved to the Russell Building, unlike other information centers across the country that are actually seeing a downward trend in usage, our Senate library is seeing an upward tick in usage. That includes about 10,000 walk-in visits last year alone and a total of about 40,000 users over the course of the last year. So it is a wonderful resource.

EDUCATION OF PAGES

I also just want to briefly mention, because this is one of the joys of the Secretary's operation, and that is the opportunity to educate our Senate pages. I had the chance yesterday to go over yesterday morning, as the pages were packing these wonderful care packages they have been putting together for our troops. This is the third class that has taken on this project, and watching them work for an hour yesterday morning, putting everything from licorice to eye drops in these great boxes to go overseas, and to see their enthusiasm for the project that really our entire Senate community has responded to was great fun.

CONTINUITY OF OPERATIONS PLANS

On a more serious note, one of the high priorities of our office, of course, involves the continuity of operations planning. Here is where we have a very dynamic relationship with the Senate Sergeant at Arms. Our predecessors, Al Lenhardt and Jeri Thomson, certainly set the standard for Bill Pickle and me in terms of that cooperation, the collaboration between our two offices with the COOP planning. And it is my hope, obviously, that we will continue to meet that standard.

When it comes to continuity of operations, our staff meets at least weekly, and in addition, there are numerous informal conversations and meetings over the course of the weeks as well. Each of our departments within the Secretary's office has their own individual COOP plan, and in addition to that, we will continue to work with the Sergeant at Arms, just like last year, on a series of tabletop exercises that will culminate hopefully later in the year in an overall mock session for the Senate, just as one was staged last year.

We recognize obviously in the Secretary's Office that the most important role we can play in COOP planning is to ensure that the Senate can continue to carry out its legislative responsibilities, its constitutional responsibilities. So that is our primary goal in our COOP planning, and certainly continuing the financial operations of the Senate is first and foremost in our minds as well.

I would like to close just by saying that in the 4 months that I have been in this job one of the great joys has been working with a tremendous team of people, 232 employees in the Secretary's Office, who are devoted to this institution, and combined, they have a very impressive 2,221 years of service to the United States Senate. I know they share our ultimate goal and that is simply to continue to provide the best possible legislative, financial, and administrative services to the Senate.

With that, Mr. Chairman, I thank you for your time and I welcome your questions.

[The statements follow:]

PREPARED STATEMENT OF EMILY J. REYNOLDS

Mr. Chairman, Senator Durbin and Members of the Subcommittee, thank you for your invitation to present testimony in support of the budget request of the Office of the Secretary of the Senate for fiscal year 2004.

Detailed information about the work of the 25 departments of the Office of the Secretary is provided in the annual reports which follow. I am pleased to provide this statement to highlight the achievements of the Office and the outstanding work of our dedicated employees.

My statement includes: Presenting the Fiscal Year 2004 Budget Request, Implementing Mandated Systems: Financial Management Information System (FMIS) and Legislative Information System (LIS), Capitol Visitor Center, Continuity of Operations Planning, and Maintaining and Improving Current and Historic Legislative, Financial and Administrative Services.

PRESENTING THE FISCAL YEAR 2004 BUDGET REQUEST

I am requesting a total fiscal year 2004 budget of \$19,999,000 which is a \$4,157,000 decrease from the fiscal year 2003 total budget for the Office of the Secretary. Last year's budget included a five million dollar multi-year appropriation for the Senate's Financial Management Information System.

The fiscal year 2004 budget request in the amount of \$19,999,000 is comprised of \$18,299,000 for salary costs and \$1,700,000 for the operating budget of the Office

of the Secretary. The salary budget represents an increase over the fiscal year 2003 budget request as a result of (1) the costs associated with the annual Cost of Living Adjustment in the amount of \$687,000; and (2) an additional \$533,000 for merit increases and other staffing. The operating budget represents a decrease of the fiscal year 2003 budget request in the amount of \$377,000.

The net effect of my total budget request for fiscal year 2004 is an increase of \$156,000 plus funding for the annual Cost of Living Adjustment.

Our request in the operating budget is a sound one, enabling us to both meet our operating needs, and provide us with the opportunity for new projects and initiatives. In that regard, we will use a portion of our operating budget, for example, to professionally photograph all 100 restored Senate Chamber desks, both for historical documentation and emergency preparedness plans. Estimated cost is approximately \$35,000. In addition, we hope to perform a finishes survey on the architectural features within the Senate wing of the Capitol for better documentation and historic interpretation. The first phase of this project, which would include the public spaces in the Senate wing, is estimated at \$60,000.

In addition, there are several special exhibits and presentations we would like to add to www.senate.gov in our continuing effort to improve and enhance the Senate's website. These include an online exhibit of the Senate's Issac Bassett collection, an online exhibit on the Senate desks, the expansion of the Virtual Tour of the U.S. Capitol, and converting exhibits prepared by the Curator (the political cartoons of Puck, a 19th century satirical magazine and the drawings of Lily Spandorf illustrating the filming of the motion picture "Advise and Consent") to a format for posting. Approximate costs of these projects for website enhancement is \$76,000.

In reference to the salary budget, first and foremost, this request will enable us to continue to attract and retain talented and dedicated individuals to serve the needs of the U.S. Senate through our legislative, financial and administrative offices. We are in the process of completing a substantial internal compensation study for the Office of the Secretary which will further document our ongoing staffing requirements, appropriate levels of compensation, and additional staffing needs.

OFFICE OF THE SECRETARY APPORTIONMENT SCHEDULE

ITEM	AMOUNT AVAIL- ABLE FISCAL YEAR 2003, PUB- LIC LAW 108-7	BUDGET ESTIMATE	
		FISCAL YEAR 2004	DIFFERENCE
DEPARTMENTAL OPERATING BUDGET:			
EXECUTIVE OFFICE	\$397,800	\$525,000	+ \$127,200
ADMINISTRATIVE SERVICES	1,422,900	1,100,000	(322,900)
LEGISLATIVE SERVICES	256,300	75,000	(181,300)
TOTAL OPERATING BUDGET	2,077,000	1,700,000	(377,000)
SENATE MANDATED PROJECTS: FINANCIAL MGMT. INFO. SYSTEMS			
MULTI-YEAR	5,000,000	(5,000,000)
TOTALS	7,077,000	1,700,000	(5,377,000)

IMPLEMENTING MANDATED SYSTEMS

Two systems critical to our operation are mandated by law, and I would like to spend a few moments on each to highlight recent progress, and to thank the committee for your ongoing support of both.

Financial Management Information System (FMIS)

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

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

In fiscal year 2002, specific progress made on the FMIS project included:

- Three Web FMIS releases, one of which changed the accounting for travel and petty cash advances to be obligations of Senate offices.
- Senate-wide implementation of the Senate Automated Vendor Inquiry System, or SAVI, which enables Senate staff to check the status of their reimbursements. In July 2002, Senate employees were given the opportunity to receive all expense reimbursement through direct deposit, and were informed of this change in a Senate-wide mailing.
- For vouchers of \$35 or less, a new document approval process was instituted. The time required to pay such vouchers has been cut considerably as the vouchers are routed directly to certifying accounts payable specialists in Disbursing for review and posting.
- The ability to produce auditable consolidated financial statements is a primary objective of the Senate's Strategic Plan for Financial Management. The Disbursing Office took a significant step toward that objective by initiating a contract to develop a draft or pro-forma Senate wide financial statement which includes all supporting schedules and reports for fiscal year 2002. The required deliverables of this initiative were completed in April 2002, and a number of corrective actions necessary to meet our objectives were identified. As some of these corrective actions impact the Sergeant at Arms Finance Office, the Disbursing Office is working with them to develop an implementation plan. For example, a Senate-wide capitalization policy has been drafted and is currently under review by both offices.

During fiscal year 2003, the following FMIS activities are planned:

- Implement a new Web FMIS release in April 2003 (completed) that includes the functionality for:
 - A pilot of online sanctioning of vouchers by the Rules Committee staff. During this pilot, vouchers from all standing, select, special and joint committees will be sanctioned online;
 - Senate-wide implementation of online Travel Expense Summary Reports (ESR) for all Senate staff. Staff who travel are now able to complete the required documentation for travel expense reimbursement via a Web Site; and
 - Senate-wide implementation of the Travel ESR-import feature in Web FMIS. This function enables Office Managers and Chief Clerks to create a travel voucher by "importing" data from an online Travel ESR, thus eliminating duplicate data entry.
- As requested by the Rules Committee, implement online sanctioning of vouchers for all offices that prepare vouchers via Web FMIS (e.g., Senators, Leadership offices).
- Generate a random sample of vouchers \$35 or less for the Rules Committee post payment audit.
- Implement a new release of online Travel ESR that will incorporate suggestions made by pilot users.
- Implement a new release of the Senate Automated Vendor Inquiry (SAVI) system that incorporates suggestions made by users.
- Conduct a pilot of direct deposit payments to vendors, without online notification. This means that these vendors would be paid by direct deposit but would not be able to look at deposit information via the Senate Automated Vendor Inquiry (SAVI) system, which would remain inside the Senate's firewall.
- Revise requirements for imaging of supporting documentation and electronic signatures.

During fiscal year 2004 the following FMIS activities are planned:

- Implement new technology for Web FMIS, "Thin Client," which will provide a substantially streamlined architecture, upgrade the technology used, provide simpler disaster recovery, and provide the platform for imaging of supporting documentation and electronic signatures. In general, we will re-write the Web FMIS functions implemented in the early releases to eliminate the use of Cold Fusion and Client/Server technology. When completed, all components of Web FMIS will use Intranet technology on a single platform, Web Sphere. This is a substantial effort, and is planned in two phases:
 - Phase I—(Winter 2004).*—In this release we will implement a roles-based security scheme enabling users to access specific functions based on the activities they perform, re-write the local list maintenance functions (used by offices) and system administrative functions (used by DO) to eliminate Cold Fusion, update the underlying technology for Web FMIS reports, and archive data for lapsed fiscal years so that users can still generate reports after the data is archived from the general ledger.

—*Phase II—(Summer 2004).*—In this release we will re-write the budget entry and document entry functions of Web FMIS to eliminate the Client/Server technology. These are the functions used most by Office Managers and Chief Clerks, so this will be most visible to them.

—Begin using laser checks. This significantly simplifies our disaster recovery activities.

—Implement a new release of the Senate Automated Vendor Inquiry (SAVI) system that enables e-mail notification of payments to staff and vendors.

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

Legislative Information System (LIS)

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

The overall objective of the LISAP is to implement the extensible markup language, or XML, as the data standard to author and exchange legislative documents among the Senate, House of Representatives, the Government Printing Office and other legislative agencies. Two years ago, the Appropriations Committee appropriated \$7 million to the Secretary for the LISAP, designed to carry out the Senate portion of the December, 2000, directive given to both the Secretary and the Clerk of the House by the Senate Rules Committee and the House Administration Committee respectively. Thus far, we have spent approximately \$3 million of our appropriation, and I am pleased to report that considerable progress has been made and the project is on budget and running smoothly.

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

The LISAP project team has demonstrated the Senate's legislative editing XML application (LEXA) for the Office of Legislative Counsel where it was greeted with enthusiasm. Over the next several months, the LISAP project team will continue to refine and enhance this editing application, release a document management system for the Senate Legislative Counsel, and complete the data conversion projects. The team will also develop and deliver a training program for the SLC, and begin to address the needs of other Senate offices and Committees, starting with the Appropriations Committee.

A more detailed report on LIS follows the departmental reports.

CAPITOL VISITOR CENTER

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

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

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

CONTINUITY OF OPERATIONS PLANNING

The Office of the Secretary maintains a Continuity of Operations (COOP) program to ensure that the Senate can fulfill its Constitutional obligations under any cir-

cumstances. Plans are in place to support Senate floor operations both on and off Capitol Hill, and to permit each of the 25 departments within the Office of the Secretary to perform its essential functions during and following an emergency.

COOP planning in the Office of the Secretary has been an ongoing process since late 2000. Working in close cooperation with the Sergeant at Arms and the General Services Administration, employees in each department were trained to evaluate COOP requirements and subsequently write COOP plans specific to their departments. By the summer of 2001, each department had completed the first draft of a COOP plan, which included the identification of records, databases, equipment and supplies necessary to conduct essential functions, and plans to duplicate and store essential items offsite or to provide for their timely replacement. Information from all final departmental plans has been integrated into an overall plan for the Office of the Secretary.

Several departments had completed their plans prior to the terrorist attacks of September 11, 2001, and the anthrax contamination in the Hart Senate Office Building in October 2001. As a result, both the Disbursing Office and the Office of Public Records, as well as other departments located in Hart, were able to continue operations throughout the 96 days that Hart was closed. Every payroll was met, all bills were paid, and every filing deadline was met.

The implementation of COOP plans that fall provided valuable experience in emergency management. Both the Secretary and the Sergeant at Arms' operations continued to formulate plans to deal with the possibility of subsequent emergencies. In the spring and summer of 2002, our offices participated in a series of tabletop drills and live exercises to test and refine existing emergency preparedness plans. Alert and notification procedures using emergency communications systems were tested; Emergency Operations Centers and a Briefing Center were activated in a trial run; and a mock Senate session was conducted in an alternate Senate Chamber.

As a vital part of COOP planning, we have identified equipment, supplies and other items critical to the conduct of essential functions, and have assembled "fly-away kits" for the Senate Chamber, and for each department of the Office of the Secretary. Multiple copies of each fly-away kit have been produced with storage in both our offices and at appropriate off-site locations. This will enable the Office of the Secretary to resume essential operations within twelve hours or less.

In the event of an emergency, the Office of the Secretary is prepared to do the following: activate an Emergency Operations Center within one hour, support Briefing Center operations within one hour, support Senate Floor operations in an alternate Senate Chamber (within twelve hours onsite and within 24 to 72 hours offsite, depending upon location).

Working with Leadership offices, the Sergeant at Arms, and the Capitol Police, we continue to refine COOP and emergency management plans. All COOP plans are reviewed and updated at least annually to ensure their continued viability. A second series of tabletop drills is planned for this year to culminate in another mock exercise of the activation of an alternate Senate Chamber.

The central mission of the Office of the Secretary is to provide the legislative, financial and administrative support required for the conduct of Senate business. Our COOP and emergency preparedness programs are necessary to ensure that the Senate can carry out its Constitutional duties under any set of circumstances.

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

LEGISLATIVE OFFICES

The Legislative Department of the Office of the Secretary of the Senate provides the support essential to Senators in carrying out their daily chamber activities and, most importantly, to carry out the Constitutional responsibilities of the Senate. The department consists of eight offices: Bill Clerk, Captioning Services, Daily Digest, Enrolling Clerk, Executive Clerk, Journal Clerk, Legislative Clerk, and the Official Reporters of Debates. The Legislative Clerk is the overall supervisor, providing a single line of communication to the Assistant Secretary and Secretary, and is responsible for coordination, supervision, scheduling and cross-training between the eight offices. In addition, the Parliamentarian's operation also works in close coordination with the Legislative Department.

Each of the eight offices within the Legislative Department is supervised by experienced veterans of the Secretary's office. The average length of service of legislative supervisors in the Office of the Secretary of the Senate is nineteen years. The experience of these senior professional staff is a great asset for the Senate. In order to

ensure continued well-rounded expertise, the legislative team has cross-trained extensively among their specialities.

1. BILL CLERK

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

The Bill Clerk's Office continues to provide to Senate offices and the public information on Senate legislative status with a high degree of accuracy and speed, both through the Senate LIS system and over the telephone. The information provided is the most quickly available and the most accurate information on Senate legislative activity available to staff.

Here is a final cumulative summary of the 107th and the 106th Congresses:

	107th Congress	106th Congress
Senate Bills	3,181	3,287
Senate Joint Resolutions	53	56
Senate Concurrent Resolutions	160	162
Senate Resolutions	368	393
Amendments Submitted	4,984	4,367
House Bills	562	697
House Joint Resolutions	29	46
House Concurrent Resolutions	175	151
Measures Reported	653	765
Written Reports	351	513
Total Legislation	10,516	10,437
Roll Call Votes	633	672

Current Projects

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

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

2. CAPTIONING SERVICES

Since 1991, the Office of Captioning Services has provided real-time captioning of Senate Floor proceedings for the deaf and hard-of-hearing along with unofficial electronic transcripts of those proceedings to Senate offices via the Senate Intranet. The primary focus of the Office of Captioning Services is caption accuracy. Selected on-air turns are printed and reviewed to constantly monitor quality and consistency.

Technology Update

The Senate Recording Studio continues to refine a system that captures our caption data stream, time stamps the captions and stores them in a searchable database. This database contains links to the corresponding audio files which can be listened to over the Senate Intranet in Senate offices.

During 2002, all available real-time captioning technologies were evaluated for the purpose of replacing our existing outdated technology. As a result, all captioning hardware and software will be replaced in 2003, using monies appropriated in fiscal year 2003 for this purpose.

Voice writing (voice recognition) technologies are improving and the Office of Captioning Services is on the cutting edge of testing and evaluating these products as they evolve.

Current Projects

There are two main objectives for the Office of Captioning Services in 2003. The first is to replace existing DOS-based steno-captioning technology with Windows-based steno-captioning technology. Second, we will continue to work out the details of a proposed pilot project to caption hearings for the Judiciary Committee.

3. DAILY DIGEST

The Daily Digest section of the Congressional Record provides a concise accounting of all official actions taken by the Senate on a particular day. All Senate hearings and business meetings (including joint meetings and conferences) are scheduled through the Daily Digest office and published in the Congressional Record.

Chamber Activity

During the second session of the 107th Congress, the Senate was in session a total of 149 days, for a total of 1,043 hours and 23 minutes. There were 253 recorded votes. (For additional details, a Comparison of Senate Legislative Activity follows).

CHART ONE: YEARLY COMPARISON OF THE SENATE LEGISLATIVE ACTIVITIES

	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002
Senate Convened	1/3	1/23	1/3	1/3	1/5	1/25	1/4	1/3	1/3	1/27	1/6	1/24	1/3	1/23
Senate Adjourned	11/21	10/28	1/3/92	10/9	11/26	12/01	1/3/96	10/4	11/13	10/21	11/19	12/15	12/20	11/20
Days in Session	136	138	158	129	153	138	211	132	153	143	162	141	173	149
Hours in Session	1,003 ¹⁹	1,250 ¹⁴	1,200 ⁴⁴	1,091 ⁰⁹	1,269 ⁴¹	1,243 ³³	1,839 ¹⁰	1,036 ⁴⁵	1,093 ⁰⁷	1,095 ⁰⁵	1,183 ⁵⁷	1,017 ⁵¹	1,236 ¹⁵	1,043 ²³
Average Hours per Day	7.4	9.1	7.6	8.5	8.3	9.0	8.7	7.8	7.1	7.7	7.3	7.2	7.1	7.0
Total Measures Passed	605	716	626	651	473	465	346	476	386	506	549	696	425	523
Roll Call Votes	312	326	280	270	395	329	613	306	298	314	374	298	380	253
Quorum Calls	11	3	3	5	2	6	3	2	6	4	7	6	3	2
Public Laws	240	244	243	347	210	255	88	245	153	241	170	410	136	195
Treaties Ratified	9	15	15	32	20	8	10	28	15	53	13	39	3	17
Nominations Confirmed	45,585	42,493	45,369	30,619	38,676	37,446	40,535	33,176	25,576	20,302	22,468	22,512	25,091	23,633
Average Voting Attendance	98.0	97.47	97.16	95.4	97.6	97.02	98.07	98.22	98.68	97.47	98.02	96.99	98.29	96.36
Sessions Convened Before 12 Noon	95	116	126	112	128	120	184	113	115	109	118	107	140	119
Sessions Convened at 12 Noon	14	4	9	6	9	2	15	12	31	17	25	10	12	4
Sessions Convened after 12 Noon	27	17	23	10	15	17	12	7	7	2	19	24	21	23
Sessions Continued after 6 p.m.	88	100	102	91	100	100	158	88	96	93	113	94	108	103
Sessions Continued after 12 Midnight	9	13	6	4	9	7	3	1	2	3
Saturday Sessions	1	3	2	2	2	3	5	1	3
Sunday Sessions	2	3

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

Committee Activity

Senate committees held a total of 961 meetings in the first session of the 107th Congress, and 888 meetings in the second session.

4. ENROLLING CLERK

The Enrolling Clerk prepares, proofreads, corrects, and prints all Senate passed legislation prior to its transmittal to the House of Representatives, the National Archives, the Secretary of State, the United States Claims Court, and the White House.

During 2002, 43 enrolled bills (transmitted to the President) and 10 concurrent resolutions (transmitted to Archives) were prepared, printed, proofread, corrected, and printed on parchment.

A total of 526 additional pieces of legislation in one form or another, was passed or agreed to by the Senate, requiring processing from this office.

Efforts continue on both sides of the Capitol to generate, process, manage and share data on a more uniform basis. XyWrite is the software editor currently utilized by House and Senate Enrolling Clerks, House and Senate Legislative Counsels, and the Government Printing Office. Ultimately both Chambers will generate data using an Extensible Markup Language (XML) editor acceptable to all involved.

5. EXECUTIVE CLERK

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

Nominations

During the second session of the 107th Congress, there were 1,010 nomination messages sent to the Senate by the President, transmitting 23,045 nominations to positions requiring Senate confirmation and 10 messages withdrawing nominations previously sent to the Senate during the 107th Congress. Of the total nominations transmitted, 463 were for civilian positions other than lists in the Foreign Service, Coast Guard, NOAA, and Public Health Service. In addition, there were 1,565 nominees in the "civilian list" categories named above. Military nominations received this session totaled 21,017 (5,813—Air Force; 6,182—Army; 6,044—Navy; and 2,978—Marine Corps).

In total, the Senate confirmed 23,633 nominations this session. Pursuant to the provisions of paragraph six of Senate Rule XXXI, 193 nominations were returned to the President during the second session of the 107th Congress.

Treaties

There were 18 treaties transmitted to the Senate by the President during the second session of the 107th Congress for its advice and consent to ratification, which were ordered printed as treaty documents for the use of the Senate (Treaty Doc. 107-3 through 107-21).

The Senate gave its advice and consent to 17 treaties with various conditions, declarations, understandings and provisos to the resolutions of advice and consent to ratification.

Executive Reports and Roll Call Votes

There were 12 executive reports relating to treaties ordered printed for the use of the Senate during the second session of the 107th Congress (Executive Report 107-4 through 107-15). The Senate conducted 42 roll call votes in executive session, all on or in relation to nominations.

Executive Communications

For the second session of the 107th Congress, 4,854 executive communications, 143 petitions and memorials and 60 Presidential messages were received and processed.

6. JOURNAL CLERK

The Journal Clerk takes notes of the daily legislative proceedings of the Senate in the "Minute Book" and prepares a history of bills and resolutions for the printed

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

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

In 2002, the Journal Clerk completed the production of the 1,022-page 2001 Senate Journal. The 903-page 2002 Journal was sent to the Government Printing Office for printing on March 19, 2003.

7. LEGISLATIVE CLERK

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

Additionally the Legislative Clerk acts as supervisor for the Legislative Department providing a single line of communication to the Assistant Secretary and Secretary, and is responsible for overall coordination, supervision, scheduling, and cross training.

Summary of Activity

The second session of the 108th Congress completed its legislative business and adjourned sine die on Wednesday, November 20, 2002. During 2002, the Senate was in session 149 days, over 1,043 hours and conducted 253 roll call votes. There were 653 measures reported from committees, 523 total measures passed, and there were 311 items remaining on the Calendar at the time of adjournment. In addition, there were 2,287 amendments processed.

8. OFFICIAL REPORTERS OF DEBATES

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

9. PARLIAMENTARIAN

The Parliamentarian's Office performs extensive legislative duties. These include advising the Chair, Senators and staff, as well as committee staff, House members and staff, administration officials, the media and members of the general public, on all matters requiring an interpretation of the Standing Rules of the Senate, the precedents of the Senate, unanimous consent agreements, as well as provisions of public law affecting the proceedings of the Senate. The Parliamentarians work closely with the staff of the Vice President of the United States and the Vice President himself whenever he performs his duties as president of the Senate. The Parliamentarians monitor all proceedings on the floor of the Senate, advise the Presiding Officer on the competing rights of the Senators on the floor, and advise all Senators as to what is appropriate in debate. The Parliamentarians keep track of the amendments offered to the legislation pending on the Senate floor, and monitor them for points of order. In this respect, the Parliamentarians reviewed both more than 1,000 amendments during 2002 to determine if they met various procedural requirements

and thousands of pages of conference reports to determine what provisions could appropriately be included.

The Office of the Parliamentarian is responsible for the referral to the appropriate committees of all legislation introduced in the Senate, all legislation received from the House, as well as all communications received from the executive branch, state and local governments, and private citizens. In order to perform this responsibility, the Parliamentarian conducts extensive legal and legislative research. During 2002, the Parliamentarian and his assistants referred 1,584 measures and 5,058 communications to the appropriate Senate committees. The office works extensively with Senators and their staffs to advise them of the jurisdictional consequences of particular legislative drafts and evaluates the jurisdictional effect of proposed modifications in drafting.

FINANCIAL OPERATIONS: DISBURSING OFFICE

DISBURSING OFFICE ORGANIZATION

The mission of the Senate Disbursing Office is to provide efficient and effective central financial and human resource data management, information and advice to the distributed, individually managed offices, and to Members and employees of the United States Senate. To accomplish this mission, the Senate Disbursing Office manages the collection of information from the distributed accounting locations in the Senate to formulate and consolidate the agency level budget, disburse the payroll, pay the Senate's bills, prepare auditable financial statements, and provide appropriate counseling and advice. The Senate Disbursing Office collects information from Members and employees that is necessary to maintain and administer the retirement, health insurance, life insurance, and other central human resource programs to provide responsive, personal attention to Members and employees on a unbiased and confidential basis. The Senate Disbursing Office also manages the distribution of central financial and human resource information to the individual Member Offices, Committees, and Administrative and Leadership offices in the Senate while maintaining the appropriate control of information for the protection of individual Members and Senate employees.

To support the mission of the Senate Disbursing Office, the organization is structured in a manner that is intended to enhance its ability to provide quality work, maintain a high level of customer service, promote good internal controls, efficiency and teamwork, and provide for the appropriate levels of supervision and management. The long-term financial needs of the Senate are best served by an organization staffed with highly trained professionals who possess a high degree of institutional knowledge, sound judgement, and interpersonal skills that reflect the unique nature of the United States Senate.

DEPUTY FOR BENEFITS AND FINANCIAL SERVICES

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

The first order of 2002 was to reestablish operations in the Hart Building after being displaced for three months following the anthrax incident.

Various work during the year included working with the Computer Center to expand and change payroll programs, edits, and screens to administer: New Offset-CSRS deductions (as well as extensive payroll program modification), LWOP for Military Personnel, the Long Term Care Program, new FEGLI age bands, and major changes in TSP processing for new hires as well as new open TSP seasons.

In February, the office managed a project to renovate the Senate's Personnel Folder Filing System. New automated, vertical storage filing cabinets were installed. This project included electrical work, file storage, cabinet removal, installation, archival and refiling, transportation of cabinets and archived files to an offsite storage facility, rebuilding of storage cabinets and reorganization of files.

In September, work on the scanning of the Senate's Official Personnel & Office Folders began as part of our disaster planning. The plans include scanning all payroll related documents for offsite retrieval in the event of an emergency.

New mainframe operating system upgrades for O/S 390 were implemented in December and a full set of payroll system tests were run to ensure that they functioned properly.

Planning for new programs, which are due to be implemented this calendar year, began for flexible spending accounts for child care and medical expenses, as well as catch-up TSP payments for staff over age 50.

Also under the Deputy for Benefits and Financial Services is the Student Loan Repayment Program, which was included in the fiscal year 2002 Legislative Branch Appropriations Bill. Implementation of the Senate Program began April 1, 2002, with 25 Senate employees and 10 Senate offices participating. As of March 31, 2002, 816 Senate employees and 113 Senate offices are participating.

The legislation establishing the Student Loan Repayment Program gives each Senate employing office the authority to implement the Program. In the educational sessions provided on the Program, the twofold purposes of the law—retention and recruitment—are stressed.

FRONT COUNTER—ADMINISTRATIVE AND FINANCIAL SERVICES

The Front Counter is the main service area of all general Senate business and financial activity. The Front Counter maintains the Senate's internal accountability of funds used in daily operations. Reconciliation of such funds is executed on a daily basis. The Front Counter provides training to newly authorized payroll contacts along with continuing guidance to all contacts in the execution of business operations. It is the receiving point for most incoming expense vouchers, payroll actions, and employee benefits related forms, and is the initial verification point to ensure that paperwork received in the Disbursing Office conforms to all applicable Senate rules, regulations, and statutes. The Front Counter is the first line of service provided to Members, Officers, and employees. All new Senate employees (permanent and temporary) who will work in the Capitol Hill Senate offices are administered the required oath of office and personnel affidavit and provided verbal and written detailed information regarding their pay and benefits. Authorization is certified to new and state employees for issuance of their Senate I.D. card. Advances are issued to Senate staff authorized for an advance for official Senate travel. Cash and check advances are entered and reconciled in the Funds Advance Tracking System (FATS). Repayment of travel advances is executed after processing of certified expenses is complete. Travelers' checks are available on a non-profit basis to assist the traveler. Numerous inquiries are handled daily, ranging from pay, benefits, taxes, voucher processing, reporting, laws, and Senate regulations, and must always be answered accurately and fully to provide the highest degree of customer service. Cash and checks received from Senate entities as part of their daily business are handled through the front counter and become part of the Senate's accountability of federally appropriated funds and are then processed through the Senate's general ledger system.

In sum, for 2002:

- The Front Counter issued approximately 2,700 cash advances for official Senate travel.
- Received more than 19,200 checks from Senate entities.
- Administered oath and personnel affidavits to more than 3,200 new Senate staff.
- Maintained brochures for 11 Federal health carriers and distributed approximately 6,000 brochures to staff during the annual FEHB open season and to new employees.
- Provided 38 training sessions to new Office Managers.

After a smooth transition back into the Hart Building, Front Office operations continued to provide the Senate community with prompt, courteous and informative advice regarding Front Office functions. A reconstruction and audit of the Funds Advance Tracking System were successfully completed. This was necessitated by the separate locations of operations used during the Hart closing. The ramifications of the changes to the Thrift Saving Plan's (TSP) open season to employees was emphasized this year. Results of the November elections prompted eleven new offices that needed training in both Senator-elect regulations and assistance in the transition into member status in 108th Congress.

PAYROLL SECTION

The Payroll Section maintains the Human Resources Management System and is responsible for the following: processing, verifying, and warehousing all payroll information submitted to the Disbursing Office by Senators for their personal staff, by Chairmen for their committee staff, and by other elected officials for their staff;

issuing salary payments to the above employees; maintaining the Automated Clearing House (ACH) FEDLINE facilities for the normal transmittal of payroll deposits to the Federal Reserve; distributing the appropriate payroll expenditure and allowance reports to the individual offices; issuing the proper withholding and agency contributions reports to the Accounting Department; and transmitting the proper (TSP) information to the National Finance Center (NFC), while maintaining earnings records for distribution to the Social Security Administration, and maintaining employees' taxable earnings records for W2 statements, prepared by this section. The Payroll Section is also responsible for the payroll expenditure data portion of the Report of the Secretary of the Senate.

Calendar Year 2002 started with the usual processing of TSP forms, effective January 1, 2002. With the implementation of new TSP regulations, the May 15-July 31, 2002 Open Season reflected a 60 percent increase in the number of TSP 1 forms submitted for processing.

The events of September 11, 2001 lingered on as the Payroll Section reversed the Offsite operational process by moving all the paperwork processed at the alternative location back to the Hart building location. The work flow of completed transactions had to be sorted, while storage and filing requirements were reviewed for necessary changes. Systems like the ACH Fedline program had to be switched back to Hart Building IT equipment. Alternative methods of receiving correspondence from employees and other agencies had to be expanded in order to receive printed data in a timely manner.

The onset of the Student Loan Program created new objectives for the Section. It was first believed that all of the Financial Institutions issuing student loans would be able to process the loan payment via the ACH Fedline System. To the contrary, we found out that only 20 percent of the loans could adequately be processed through the Federal Reserve, and most of those payments also required a separate listing to be faxed to the processing unit. The remaining 800+ payments must be processed by individual checks and composite listings.

The NFC modified its regulations by allowing payroll deductions for employees who have just begun Federal Service. New categories of deductions were programed into the Payroll/Personnel System for the TSP deduction classes not receiving agency contributions. As each form is processed, the Payroll Specialist must further analyze the employee's service history and determine if the employee is eligible for agency contributions. The TSP also changed the open season periods by moving them up one month.

Members of the Payroll Section worked with members of the Accounts Payable Section to establish in-house procedures for processing voucher payments directly to vendor and employee bank accounts. Procedures were set up for transmitting payments, processing rejections and returns and balancing accounts with the Accounting Section.

The final project of the year was the processing of both incoming and outgoing offices under the jurisdiction of S. Res. 344 and 458.

EMPLOYEE BENEFITS SECTION

The primary responsibilities of the Employee Benefits Section (EBS) are administration of health insurance, life insurance and all retirement programs for Members and employees of the Senate. This includes counseling, processing of paperwork, research, dissemination of information and interpretation of benefits laws and regulations. In addition, the sectional work includes research and verification of all prior federal service and prior Senate service for new and returning appointees. EBS provides this information for payroll input and once Official Personnel Folders and Transcripts of Service are received, verifies the accuracy of the information provided and reconciles as necessary. Transcripts of Service including all official retirement and benefits documentation are provided to other federal agencies when Senate Members and staffers are hired elsewhere in the government. EBS processes employment verifications for loans, the Bar Exam, the FBI, OPM, and the Department of Defense, among others. Unemployment claim forms are completed, and employees are counseled on their eligibility. Department of Labor billings for unemployment compensation paid to Senate employees are reviewed in EBS and submitted by voucher to the Accounting Section for payment. Designations of Beneficiary for FEGLI, CSRS, FERS, and unpaid compensation are filed and checked by EBS.

The year began with EBS still located in our temporary quarters at Postal Square (PSQ) due to the continued closure of the Hart Building. Upon our return to the Hart Building in late January, our initial priorities were to locate and respond to anything that had remained undone in the Hart Building and to perform those functions that could not be completed from our displaced location. It was necessary to

pack up and move all the files, reports and documents from our stay in PSQ and combine and coordinate them with our regular information in a seamless fashion.

Based on the continued call to active duty of military reservists and the passage late in 2001 of a Leave Without Pay (LWOP) status for Senate employees, EBS worked to construct and develop LWOP procedures, informational sheets and notices, tracking devices and computer modifications to accommodate this new employment status. These procedures were monitored and modified as needed throughout the year.

During 2002 the new Federal Long Term Care Insurance (LTCI) Program was introduced and implemented government wide. EBS worked diligently to become educated in all aspects of the program. This required constant interaction with LTC Partners and OPM to establish and implement procedures and coordination with the Senate Computer Center to apply modifications and establish parameters for the implementation of the program. Effective introduction of LTCI required extensive notification to employees, which included several mail-outs, electronic notifications and use of streaming video on Webster. In addition, we hosted two seminars on the LTCI program.

Government-wide implementation of the Centralized Enrollment Clearinghouse System (CLER) program for health insurance enrollment reconciliation occurred in 2002. The program is still a work in process and has required diligent efforts at detecting and eliminating errors.

In 2002, we began an upgrade to our file room. We had our outdated file cabinets replaced by a new automated rotary filing system. The installation required the removal and return of all employee personnel folders, as well as the retirement to our offsite filing facility, of a portion of the older files.

Based on the lessons learned during our displacement about what could and could not be recovered and used offsite, we began to aggressively investigate the development and implementation of a document imaging system for use in electronically reproducing employee personnel folders. Development with the Senate Computer Center is well under way and the purchase of the hardware has been made with implementation of the process scheduled this year.

While retirement case processing was about average for the year, retirement planning and counseling were very heavy in the second half of 2002 due to the impending retirement of 10 Senators and the death of Senator Wellstone, and the dissolution of their staffs and the potential changes to committee staffs. This resulted in the counseling of hundreds of employees including extensive research and calculation of Statements of Tentative Retirement Computations. Approximately 100 retirement cases were processed (including 9 death cases).

Seminars were held for outgoing Members' staffs, as well as committees facing potential reorganization. Information disseminated spanned retirement, TSP, health and life insurance, and unemployment compensation. Full support was also provided to Senator Wellstone's staff and his next of kin following his tragic death. Due to the large post-election turnover, EBS also hosted a seminar with the D.C. Office of Employment Services for outgoing staff who wished to apply for unemployment compensation. This opportunity for staff was well received.

During the annual FEHB Open Season, approximately 700 employees changed plans. These changes were processed and reported in record time. Once again, we hosted a FEHB Open Season Health Fair, attended by about 650 employees. As an additional service, it was open to all other federal employees on the Hill, including House, Capitol Police, Architect of the Capitol and Senate Restaurant employees.

There were two TSP Open Seasons in 2002 during which employees could change their rate of contribution. The number of changes was higher during the end of year Open Season, as the allowable rates of contribution increased. In addition, a change to the effective dates of the TSP Open Seasons was implemented.

Much additional information and many downloadable forms were added to the Disbursing Office Webster site, as well as the use of newer video technologies and links.

In addition, EBS has been developing many computer-based forms and calculators for use in providing benefits information and estimates.

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

Interagency meetings were attended on the implementation of the Federal LTCI Program, CLER program, and continuing TSP program enhancements.

There was a great deal of turnover and rehire in 2002, as employees left staff to work on campaigns and then returned to the Senate after the elections. This caused

an increase in appointments to be researched and processed, retirement records to be closed-out, termination packages of benefits information to be compiled and mailed out, and health insurance registrations to be processed. Transcripts of service for employees going to other federal agencies, and other tasks associated with employees changing jobs remained constant this year. These required prior employment research and verification, new FEHB, FEGLI, CSRS, FERS and TSP enrollments, and the associated requests for backup verification.

Mortgage rates kept employment verifications coming in at a rapid pace, averaging over 100 per month. Unemployment verifications remained constant throughout the year with a notable spike in December.

Telephone inquiries, though not specifically tracked, continued at record levels.

DISBURSING OFFICE FINANCIAL MANAGEMENT

Headed by the Deputy for Financial Management, the mission of the Disbursing Office Financial Management (DOFM) is to coordinate all central financial policies, procedures, and activities to produce an auditable consolidated financial statement for the Senate and to provide professional customer service, training and confidential financial guidance to all Senate accounting locations. In addition, the Financial Management group is responsible for the compilation of the annual operating budget of the United States Senate for presentation to the Committee on Appropriations as well as for the formulation, presentation and execution of the budget for the Senate. The DOFM is segmented into three functional departments: Accounting, Accounts Payable, and Budget. The Deputy coordinates the activities of the three functional departments, establishes central financial policies and procedures, acts as the primary liaison to the HR Administrator, and carries out the directives of the Financial Clerk of the Senate.

ACCOUNTING DEPARTMENT

During fiscal year 2002, the Accounting Department approved nearly 129,000 expense reimbursement vouchers, processed 1,055 deposits for items ranging from receipts received by the Senate operations, such as the Stationery Room and the Senate Gift Shop, to canceled subscription refunds from Member offices. General ledger maintenance also prompted the entry of thousands of adjustment entries that include the entry of all appropriation and allowance funding limitation transactions, all accounting cycle closing entries, and all non-voucher reimbursement transactions such as payroll adjustments, stop payment requests, travel advances and repayments, and limited payability reimbursements.

In March of 2002, the Accounting Department completed the testing of the student loans payroll interface and the set-up in FAMIS needed for the tracking of the student loan balances. During January 2002, the Accounting Department with assistance from our contractor, Bearing Point, completed the 2001 year end process to close and reset revenue, expense and budgetary general ledger accounts to zero and during July 2002, a rollover was performed to update in FAMIS' tables and create the index codes needed to accommodate data for fiscal year 2003. During the summer, the Deputy for Financial Management worked on the task force headed by the Senate Gift Shop Director and the Assistant Secretary of the Senate to procure and select a contractor to replace the Gift Shop point-of-sale retail, inventory and accounting control system. Solicitations and written proposals were reviewed and discussed and a contractor was selected by the end of October.

The Accounting and Accounts Payable Department also assisted the IT Department in the testing and implementation of the new travel advance reporting. The new travel advance reporting became effective in September 2002, and with this new process, started accounting for travel advances as obligations.

The Accounting Department was able to test and implement the first document purge process in Federal FAMIS. The testing was performed during December and the production purge was done successfully last month.

Financial Reporting Requirements—External

Monthly financial reporting requirements to the Department of the Treasury include a Statement of Accountability that details all increases and decreases to the accountability of the Secretary of the Senate, such as checks issued during the month and deposits received, as well as a detailed listing of cash on hand. Also reported to the Department of the Treasury is the Statement of Transactions According to Appropriations, Fund and Receipt Accounts that summarizes all activity at the appropriation level of every penny disbursed by the Secretary of the Senate through the Financial Clerk of the Senate. All activity by appropriation account is reconciled with the Department of the Treasury on a monthly and annual basis. The

annual reconciliation of the Treasury Combined Statement is also used in the reporting to the Office of Management and Budget (OMB) as part of the submission of the annual operating budget of the Senate.

Annually, the Accounting Department transmits all Federal tax payments for Federal, Social Security, and Medicare taxes withheld from payroll expenditures, as well as the Senate's matching contribution for Social Security and Medicare to the Federal Reserve Bank. The Department also performs quarterly reporting to the Internal Revenue Service (IRS) and annual reporting and reconciliation to the IRS and the Social Security Administration. Payments for employee withholdings for state income taxes are reported and paid on a quarterly basis to each state with applicable state income taxes withheld. Monthly reconciliations are performed with the National Finance Center regarding the employee withholdings and agency matching contributions for the TSP. Monthly, all employee withholdings and agency contributions for life and health insurance, and federal retirement programs are transmitted to the Office of Personnel Management. Any adjustment to employee contributions for any of the health, life, and retirement plans from previous accounting periods are also processed by the Accounting Department.

On a semiannual basis, the Accounting Department prepares necessary reports and information to be included in the Report of the Secretary of the Senate. All organizations and appropriation accounts reported are validated 100 percent to the financial system. During 2002, no major changes were incorporated to the Secretary's Report. The Accounting Department is also working with our contractor, Bearing Point, on several new reports that are expected to be completed before the end of the fiscal year.

Financial Reporting Requirements—Internal

Monthly, the Accounting Department prepares and reviews ledger statements to all Member offices and all other offices with payroll and non-payroll expenditures. These ledger statements detail all of the financial activity for the appropriate accounting period with regard to official expenditures in detail and summary form. The reformatting of the monthly ledgers was completed during April 2002 to comply with the requirements of the Senate Offices.

In addition, to better assist Senate offices and to facilitate the research of voucher payments within Disbursing Office, the Accounting Department reviewed and completed requirements to implement four new WEB inquiries. The new inquiries (payment number, document number, service date and vendor payment) were tested and moved to production in September 2002. The following month, the Disbursing Office financial management staff was trained on how to use the new inquiries.

Pro-forma Financial Statements and Auditability Assessment

During 2001, the Disbursing Office initiated a contract with the outside firm (KPMG Consulting) to develop the first U.S. Senate wide pro-forma consolidating financial statements. This initiative was based on the desire to adopt to the extent possible the financial reporting requirements of the Government Management Reform Act of 1996 (GMRA), the Chief Financial Officers (CFO) Act of 1990, and comply with the Statements of Federal Financial Accounting Standards (SFFAS) promulgated by the Federal Accounting Standard Advisory Board (FASAB). The main objective of this contract is to develop the first pro-forma financial statements of the United States Senate as required by OMB Bulletin No. 01-09, "Form and Content of Agency Financial Statements." This project was kicked off in November 2001. The final report and all required deliverables of the Senate wide financial statements for fiscal year 2000 were completed in April 2002. Based on the results of this exercise, suggestions for corrective actions were given and the Disbursing Office is working in conjunction and with full cooperation from the SAA Finance Division to establish a corrective action plan and schedule, including a Senate-wide capitalization policy. Another corrective action was the need to have written accounting procedures for the Secretary's Revolving Funds. With the assistance of the Deputy for Financial Management, all the Secretary's revolving funds completed their written procedures by December 2002.

ACCOUNTS PAYABLE

Audit Department

One of the two sections under the Accounts Payable Department is the Audit Section. The Accounts Payable Audit Department is responsible for auditing vouchers and answering questions regarding voucher preparation and the permissibility of the expense, providing advice and recommendations on the discretionary use of funds by the various accounting locations, identifying duplicate payments vouchered by offices, monitoring payments related to contracts, training new Office Managers

and Chief Clerks about Senate financial practices, training Office Managers in the use of the Senate's Financial Management Information System, and assisting in the production of the Report of the Secretary of the Senate. The Section also monitors the Fund Advance Tracking System (FATS) to ensure that advances are charged correctly, vouchers repaying such advances are entered, and balances adjusted for reuse of the advance funds. An "aging" process is also performed to ensure that advances are repaid in the time specified by the advance travel regulations.

The Accounts Payable Audit Department, currently a group of eleven, has the responsibility for the daily processing of expense claims submitted by the 160 accounting locations of the Senate. During the first months of the year, the Accounts Payable Audit Department had some turnover and some new auditors were hired. The new audit staff has been fully trained and during fiscal year 2002, the Department has processed approximately 129,000 expense vouchers. The voucher processing ranges in scope from providing interpretation of Senate rules, regulations and statute, applying the same to expense claims, monitoring of contracts and direct involvement with the Senate's central vendor file. After relocating back to the Senate Hart Building and once again being fully staffed, the Department was able to audit vouchers within two days of receipt. On average, and as long as the voucher did not have any issues or questions, vouchers were received, audited, sanctioned by Rules and paid within the required directive of 10 business days.

During December 2002, the Chairman of the Committee on Rules and Administration delegated the sanctioning authority of vouchers \$35.00 or less to the Financial Clerk of the Senate. These vouchers are sanctioned by the Certifying Accounts Payable Specialists and are received, audited, and paid within 5 business days of receipt.

The Accounts Payable Audit Department provided training sessions in the use of new systems, the process for generation of expense claims, the permissibility of an expense, and participated with seminars sponsored by Secretary of the Senate, Sergeant at Arms, and the Library of Congress. The Section was trained 12 new Office Managers and Chief Clerks and conducted 4 informational sessions for Senate staff through seminars sponsored by the Congressional Research Service (CRS).

The Accounts Payable Department also assisted the IT Department in the testing and implementation of the new travel advance reporting. The new travel advance reporting became effective in September 2002 and with this new process, travel advances are accounted for as obligations. The Accounts Payable Audit Department has been fully trained in the new travel advance system and in the use of the four new WEB inquiries. Disbursing staff participated in the SAVI (Senate Automated Vendor Information) system training to assist Senate staff with any questions related to their reimbursements paid either by ACH (Automated Clearing House) or by check.

Disbursements Department

The second department under the Accounts Payable Department is the Disbursements Department. The Accounts Payable Disbursements Department consists of four individuals whose primary responsibility is the receipt of more than 129,000 individual expense vouchers and the writing and delivery of the resulting 53,000 checks in payment thereof.

During the month of April, the Disbursing Office started making payments to Senate staff via ACH (Automated Clearing House). From April through December, the Department issued approximately 9,500 wire transfers for expense reimbursements. The Department also took over and currently maintains the Senate's central vendor file that includes the addition of approximately 2,000 to 3,000 new vendors per year to an existing vendor file of more than 30,000.

The Disbursement Department is responsible for researching returned checks as vendors request additional information relating to payment allocation. The department also prepares the forms required by the Department of Treasury for stop payments. These stop payments result from employees not receiving salary or expense reimbursements, and vendors claiming non-receipt of expense checks.

This year, the group processed approximately 330 stop pays. During the summer, a stop pay tracking table was created in Excel to better track their status. The process of reissuing checks and/or subsequent collection of erroneously issued checks also falls within the scope of this department. On a semiannual basis, the staff here is also responsible for filing, rotating and archiving all expense vouchers processed and paid by the Disbursing Office.

Monthly, the Accounts Payable Disbursement Department assists the Accounting Department in the preparation and distribution of the monthly ledger statements for delivery to the 160 accounting locations throughout the Senate. This includes the maintenance of a central file of office contacts and the maintenance of a list of spe-

cial instructions for handling the distribution of the statements. The ledger statements are produced, sorted, and ultimately delivered or picked up according to the list of special instructions.

The Disbursements Department has been tasked to prepare the quarterly State tax returns. The amounts are provided in spreadsheet form and payment coupons are prepared for the 43 State jurisdictions. The payment coupons are obtained from each jurisdiction either in hardcopy format or on-line via the Internet. Vouchers are prepared from the payment coupons and checks are generated from the vouchers. Once the checks are written, letters of transmittal are prepared and mailed to the appropriate State jurisdictions and the District of Columbia.

The Accounts Payable Disbursements Department also assisted the IT Department in the testing and implementation of the new travel advance reporting which became effective in September 2002. This Department also has been fully trained in the new travel advance system and in the use of the four new WEB inquiries. They also participated in the SAVI (Senate Automated Vendor Information) system training to assist Senate staff with any questions related to their reimbursements paid either by ACH (Automated Clearing House) or by check.

Currently, the Accounts Payable Disbursements Supervisor is in the process of training one newly hired staff person and implementing the Department of Treasury—Financial Management Service (FMS) on-line stop pay process called PACER. This PACER system provides on-line access to digital images of negotiated checks for viewing and printing.

BUDGET DEPARTMENT

The third component of the Disbursing Office financial management group is the Budget Department. The primary responsibility of the Budget Department is to compile the annual operating budget of the United States Senate for presentation to the Committee on Appropriations. The Budget Department is responsible for the preparation, issuance and distribution of the budget justification worksheets (BJW). This year the budget justification worksheets were mailed to the Senate accounting locations during January and responses were received in the first week of February. This department is also responsible for the formulation, presentation and execution of the budget for the Senate and provides a wide range of analytical, technical and advisory functions related to the budget process. The Budget Department acts as budget officer for the Office of the Secretary, assisting in the preparation of testimony for the hearings before the Committee on Appropriations and the Committee on Rules and Administration. The group is also responsible for reporting to the Office of Management and Budget, via the MAX database, the budget baseline estimates that were developed for fiscal year 2004.

DISBURSING OFFICE INFORMATION TECHNOLOGY

FINANCIAL MANAGEMENT INFORMATION SYSTEM

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

- Supporting current systems;
- Testing infrastructure changes;
- Managing and testing new system development;
- Planning;
- Administering the Disbursing Office's Local Area Network (LAN); and
- Coordinating the Disbursing Office's Disaster Recovery activities and Continuation of Operations Plan (COOP).

The activities associated with each of these responsibilities are described in more detail in the sections that follow. Work during 2002, was supported by the Sergeant at Arms (SAA) Technology Services staff, the Secretary's Information Technology staff, and contracts with Bearing Point (formerly known as KPMG).

The SAA Technology Services staff is responsible for providing the technical infrastructure, including hardware (mainframe and servers), operating system software (mainframe and servers), database software, and telecommunications; technical assistance for these components, including migration management, and database administration; and regular batch processing. Bearing Point is responsible, under the contract with the SAA, for operational support, and under contract with the Sec-

retary, for application development. The DO is the “business owner” of FMIS and is responsible for making the functional decisions about FMIS. The three organizations work cooperatively.

Highlights of the year include:

- Implementation of three Web FMIS releases, one of these made Travel and Petty Cash advances obligations of the office which required substantial revisions to the accounting for advances (March, July and September 2002);
- Articulation of a five year Disbursing Office Strategic Initiatives plan, which formed the base for Secretary of the Senate’s request for \$5 million in multi-year funds for further work on the FMIS project (April 2002);
- Pilot and Senate-wide implementation of the Senate Automated Vendor Inquiry system (SAVI), a Web site on which all Senate staff can lookup the status of reimbursements (Pilot—Spring 2002; Senate-wide availability—July 2002);
- Pilot of Web-ESR, a sub-system of SAVI that enables Senate staff to create a travel expense summary form on-line and submit it electronically to their office manager (Fall 2002);
- Implementation of a revised Office Information Authorization form and scanning of this form. The new form combines three old forms, which significantly simplifies the paperwork required by the DO. Scanning the forms make them immediately available to all DO staff which has improved our efficiency (October 2002);
- Implementation of a new document approval process for vouchers of \$35 or less. Under this, vouchers of \$35 or less do not go to the Committee on Rules and Administration for sanctioning, but instead are routed to certifying Accounts Payable specialist for review and posting to FAMIS. This has reduced the amount of time required to pay a voucher (December 2002); and
- Implementation of Outlook as the DO’s e-mail system (December 2002).

In the past four years many subsystems providing additional functionality have been added. These subsystems are outlined in the table on the following page.

SENATE FINANCIAL MANAGEMENT INFORMATION SYSTEM

Subsystem	Functionality	Source	Primary Users	Implementation
FAMIS (Mainframe)	Financial general ledger Vendor file Administrative functions Security functions Preparation of requisition, purchase order, voucher from purchase order, and direct voucher documents. Electronic document review functions Administrative functions Prints checks and check registers	Off the shelf federal system purchased from Bearing Point.	Disbursing Office	October 1999
ADPICS (Mainframe)	Preparation of requisition, purchase order, voucher from purchase order, and direct voucher documents. Electronic document review functions Administrative functions Prints checks and check registers	Off the shelf federal system purchased from Bearing Point.	Sergeant at Arms Disbursing Office Secretary of the Senate	October 1999
Checkwriter (Client-server)	Prints checks and check registers	Off the shelf state government system purchased from and adapted to Senate's requirements by Bearing Point. Custom software developed under Senate contract by Bearing Point.	Disbursing Office	October 1999
Web FMS (Client-server and intranet)	Preparation of vouchers, travel advances, vouchers from advance documents, credit documents and simple commitment and obligation documents. Entry of detailed budget Reporting functions (described below) Electronic document submission and review functions Administrative functions Tracks travel advances and petty cash advances (available to Committees only). Tracks election cycle information As currently implemented, provides self-service access (via the Senate's intranet) to payment information for employees receiving reimbursements via direct deposit. Administrative functions A component of SAVI through which Senate employees can create on-line Travel Expense Summary Reports and submit them electronically to their Office Manager/Chief Clerk for processing.	Custom software developed under Senate contract by Bearing Point.	All Senators offices All Committee offices All Leadership & Support offices Secretary of the Senate Sergeant at Arms Disbursing Office	October 2000
FATS (PC-based)	Administrative functions Tracks travel advances and petty cash advances (available to Committees only). Tracks election cycle information As currently implemented, provides self-service access (via the Senate's intranet) to payment information for employees receiving reimbursements via direct deposit.	Developed by SAA Technology Services.	Disbursing Office	Spring 1983
SAVI (Intranet)	Administrative functions A component of SAVI through which Senate employees can create on-line Travel Expense Summary Reports and submit them electronically to their Office Manager/Chief Clerk for processing.	Off the shelf system purchased from Bearing Point.	Senate employees	Pilot—Spring 2002 Senate-wide—July 2002
Web ESR (Intranet)	Administrative functions A component of SAVI through which Senate employees can create on-line Travel Expense Summary Reports and submit them electronically to their Office Manager/Chief Clerk for processing.	Custom software developed under contract by Bearing Point.	Senate employees	April 2003

<p>Secretary's Report (Mainframe extracts, crystal reports, and client-server "tool box"). Ledger Statements (Mainframe database extracts, and crystal reports). Web FMS Reports (mainframe database extracts, crystal reports, client server, and Intranet).</p>	<p>Produces the Report of the Secretary of the Senate. Produces monthly reports from FAMS that are sent to all Senate "accounting locations". Produces a large number of reports from Web FMS, FAMS and ADPIC data at summary and detailed levels. Data is updated as an overnight process and can be updated through an on-line process by accounting locations.</p>	<p>Custom software developed under contract by Bearing Point. Developed by SMA Technology Services. Custom software developed under contract by Bearing Point.</p>	<p>Disbursing Office Disbursing Office Senate Accounting Locations. Senate Accounting Locations</p>	<p>Spring 2000 Winter 2000 October 2000</p>
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Supporting Current Systems

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

- User support—provide functional and technical support to all Senate FMIS users; staffs the FMIS “help desk”; answer hundreds of phone calls a year; and meet with Office Managers and Chief Clerks as requested;
- Technical problem resolution—ensure that technical problems are resolved;
- Monitor system performance—check system availability and statistics to identify system problems and coordinate performance tuning activities for parallel load and database access optimization;
- Training—provide functional training to all Senate FMIS users. During 2002, the IT Department conducted 37 classes, seminars, and demonstrations on Web FMIS. The class schedule is issued quarterly and the classes offered were:

Introduction to Web FMIS—conducted eight times. This hands-on class covers the basics of preparing, printing, and submitting vouchers and travel vouchers, and managing your inbox. Also covered are adding items to an office’s lookup tables (e.g., vendor and expense category), using search to find records, and what information goes in the Unique Invoice Number and Account Number fields.

Web FMIS Budget & Reports Seminar—conducted eight times. This demo-style seminar covers how to enter and change an office’s budget, and how different budgets show on an office’s Summary of Financial Status Report. Several budgets, from simple to complex are discussed, based on the interests of the attendees. Also discussed are the on-line reporting functions including refreshing report data and exporting report data into another application (e.g., Excel). In addition, we look in detail at the Analysis by Vendor, Analysis by Expense Category, and Analysis by Office Control Number Reports, at the Changed Document Report, and other reports based on the interests of the attendees.

Web FMIS Reconciliation Class—conducted five times. This hands-on class covers how to reconcile an office’s Web FMIS balance with the DO’s balance on a monthly basis.

Web FMIS Special Topics—conducted three times. Occasionally a “special topics” seminar covering different subjects is held. Twice, in May and November, the seminar topic was how to use commitments and obligations. This seminar is offered at the points in the year when offices are most likely trying to estimate expenses through the end of the fiscal year.

User Demos—In advance of each Web FMIS release, we demonstrate at a Joint Office Manager Chief Clerks meeting, the new functionality included in the release. In addition, we repeat this demo for those unable to attend the meeting and conduct a “hands-on” class covering the same material for those who prefer to “do it” rather than “see it”. For Web FMIS release 5, we presented this material four times; for release 6 we presented this material three times; and for release 7 only a demo was offered. The release 7 demo also included a demo of SAVI functionality.

DO Staff Training—During 2002 the DO staff received the same training as Office Managers and Chief Clerks. For the DO staff, the DO IT section conducted a Web FMIS release 5 class twice; the Budgets & Reports seminar twice; and the Reconciliation class once.

- Security—30 ADPICS, FAMIS and 80 Web FMIS users and other users as requested by Senators and Chairmen, added, deleted, and changed user rights for, as well as, maintaining the document approval paths and creating new approved paths for vouchers less than \$35. One of the most important functions the DO IT staff perform is maintaining user rights for all ADPICS, FAMIS, and Web FMIS users.
- System Administration—design, test and make entries to tables that are intrinsic to the system (i.e., preparation for change in fiscal year, change in Senate organization tables or new office, new accounting transaction codes, new approval path for vouchers of \$35 or less, 108th Congress); and
- Support of Accounting Activities—provide assistance in the cyclic accounting system activities. During 2002, the following activities were performed—Upload of files into FAMIS, Year End rollover, SAVI Information Letter, and Ad hoc queries.

Infrastructure changes

The SAA provides the infrastructure on which FMIS operates, including the mainframe, the database, security hardware and software, the telecommunications net-

work, and a hardware and software installation crew and help-desk provider. During 2002, the following components of this infrastructure were changed:

- Mainframe hardware and software—upgrade of the mainframe security software (ACF/2), database (DB/2v7), and operating system (OS390/2.10 [including CICS and CA/7 upgrades], OS Upgrade for mainframe upgrade, and Mainframe Upgrade) required that the Disbursing Office extensively test all FMIS subsystems both in a testing environment and in the production environment which in turn enabled installation of a new mainframe in December 2002;
- Printing online via “Reveal”—installation of the “Reveal” software enables the DO staff to examine mainframe reports online and eliminated daily printing of large reports; and
- Senate “Helpdesk” support vendor—the SAA contracted with a new company, Signal/Veridian, to provide hardware and software installation services for offices and to provide a “helpdesk”. Met with representatives of the company to demonstrate the Web FMIS application and answer questions about system implementation.

Managing and testing new system development

During 2002, we supervised development, performed extensive integration system testing and implemented changes to the following FMIS subsystems: Web FMIS; Senate Vendor Information (SAVI); Web ESR; and Checkwriter.

Web FMIS.—Three major releases of Web FMIS were done in 2002, and one mini release was completed in 2002 but not implemented until the beginning of January 2003, detailed requirements for a fourth were completed, and general requirements for a fifth were begun. These are:

- Web FMIS r5—Implemented in March 2002.*—This release included a number of ease-of-use features in the document entry function (e.g., automatic population of end date from start date) and in the inbox functions, the ability to refresh report data on user demand (i.e., instead of having to wait for the nightly batch report cycle to run), the ability to unsubmit a document, and the ability to void a document;
- Web FMIS r6—Implemented in July 2002.*—This release included nine new or revised reports, the most important of which are two cross-FY summary reports that enable easy comparison of data from up to four funding periods; a FY-independent research function; and improvements in the status and history information shown on each document;
- Web FMIS r7a—Implemented in September 2002.*—This release included six new or revised reports, the most important of which is the Summary of Financial Status by Month; submitting travel advance requests and treating advances as obligations of the office, which required substantial changes to the accounting underlying the travel advance and voucher from advance transactions; introduction of a credit document to accompany repayments; addition of equipment certification language which eliminates stamping the invoice that the equipment is Senate-owned or leased; and addition of disbursement type information (i.e., check or direct deposit) in the payment information field on each document and in the vendor file;
- Web FMIS r7a for Windows XP—Implemented in January 2003.*—This was a technical release that made changes necessary for Web FMIS to run on Windows XP PCs, which is the operating system that new Senators’ offices received. No new functionality was involved in this release, but Bearing Point made technical changes to the software which we tested;
- Web FMIS r7b—Implemented April 2003.*—This release enables the Rules Committee to review documents and perform sanctioning on-line. During 2002, we met with Rules Committee Audit staff and Bearing Point to complete requirements and detail design discussions for this new functionality. Bearing Point completed the programming for this functionality as well. Implementation of this release was originally scheduled for December 2002, but was postponed to April 2003, due to installation of a new mainframe computer in November 2002, during the time that this release was scheduled for testing. Due to the timing of this release, it will also include technical changes to the underlying mainframe software, WebSphere, from “compliance mode” to “compatibility mode,” which is required before the software can be upgraded to WebSphere release 4, currently scheduled for June 2003, and will apply the changes required for the Windows XP PC operating system to all supported PC operating systems;
- Web FMIS r8—Release not currently scheduled.*—During 2002, we began requirements discussions on changing the underlying security paradigm of Web FMIS. This would allow us to more exactly control the user rights to different kinds of Web FMIS users. Implementation was originally scheduled for April

2003, but has been postponed due to the revised release 7b implementation date;

—*Senate Automated Vendor Inquiry (SAVI)*.—One of the Senate’s goals in implementing FMIS was reimbursing employee expenses and paying vendors via direct deposit. We have been prepared to pay via direct deposit for some time, however the benefit of doing so was limited if a notice acknowledging payment still had to be sent to the employee. In other words, if we have to send a check stub-like notice via mail, why not just send the check with check stub via mail? With the Spring 2002 pilot and then the Senate-wide implementation of SAVI in July 2002, the Senate resolved this issue and took a major step towards meeting the direct deposit payment goal. SAVI, an intra-net enabled system, allows Senate employees to inquire on the status of payments, and provides the deposit information that would be on a check stub.

Since this system is inside the Senate’s firewall, it is available only to Senate staff. As of July 2, 2002, all Senate employees who receive their paycheck via direct deposit were given an option to receive any expense reimbursements via direct deposit. Implementing direct deposit reimbursements required coordination with the Federal Reserve and the Senate Credit Union. All Senate staff were notified of this change in a Senate-wide mailing, and new staff are notified in a new employee mailing. Provisions were made for Senate staff who preferred to continue to receive check reimbursements and for staff who wanted reimbursements to be deposited to an account different from the account for their paychecks. Thus, staff “opt-out” if they don’t want to receive reimbursements via direct deposit. On the other hand, Senators have to “opt-in” if they want to receive reimbursements via direct deposit.

Two releases of SAVI were implemented in 2002. The first was used by the pilot and for the July Senate-wide implementation. Based on comments from the pilot, we also defined requirements for a second release of SAVI that substantially improved the display of payment information and provided more useful search criteria. This was released in September 2002;

—*Web ESR*.—This system, a subsystem of SAVI, enables Senate staff to complete an on-line Travel Expense Summary Report (ESR) and submit it so that their office manager can “import” the data and create a voucher, without retyping the ESR data. As of the end of December 2002, it was in use by employees in 10 pilot offices and was to be implemented in new Senators offices and in offices with new office managers. Currently, this application is Intra-net based, but its first implementation, to a pilot group in the Spring of 2002, was as a client-server application. The original application was well received, but the pilot users requested enhancements that were difficult to provide in a client-server application. We decided to re-write the application and tie it to SAVI so that Senate staff could use one system to create ESRs and to check the status of reimbursements. In the Fall of 2002, the pilot offices gave us additional feedback on Web ESR, and during 2002 we began defining requirements for the next release of Web ESR. Implemented with Web FMIS r7b in April 2003; and

—*Checkwriter*.—During 2002, we defined requirements for, tested and implemented several new versions of the checkwriter software, which enables printing U.S. Treasury Checks, and compiling the direct deposit file transmitted to the Federal Reserve. We also defined requirements for additional checkwriter releases that will be implemented in 2003. In addition, we began investigating alternatives for the checkwriter printer to find one that provides more flexibility in the event of a disaster.

Planning

There are two main planning activities: schedule coordination—planning and coordinating a rolling 12 month schedule; and strategic planning—setting the priorities for further system enhancements.

Schedule Coordination.—While we were evacuated from the Hart Building due to anthrax contamination, the DO staff worked at Postal Square in the same space as the SAA and Bearing Point staff. This enabled ad-hoc meetings and easy communication. When the DO staff returned to the Hart Building in January 2002, we wanted to continue the effectiveness of our co-location. Meetings with the DO, SAA and Bearing Point staff have evolved into three types of meetings:

- Project specific meetings—a useful set of project specific working meetings, each of which has a weekly set meeting time and meets for the duration of the project (e.g., Document Purge meetings and Web FMIS requirements meetings);
- Technical meeting—a weekly meeting among the DO staff (IT and functional), SAA Technical Services staff, and Bearing Point to discuss co-ordination among the active projects, including scheduling activities and resolving issues; and

—“Project Office”—a monthly meeting among senior Senate staff (e.g., the Financial Clerk, Rules Committee staff), the Bearing Point engagement partner, SAA technical and functional staff, DO IT and functional staff, and Bearing Point staff to discuss progress on each project.

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

- Paperless Vouchers—Imaging of Supporting Documentation and Electronic Signatures.*—Beginning with a feasibility study and a pilot, implement new technology, including imaging and electronic signatures, that will reduce the Senate’s dependence on paper vouchers. This will enable continuation of voucher processing operations from any location, should an emergency again occur;
- Web FMIS—Requests from Accounting Locations.*—Respond to requests from the Senate’s Accounting Locations for additional functionality in Web FMIS;
- Payroll System—Requests from Accounting Locations.*—Respond to requests from the Senate’s Accounting Locations for on-line real time access to payroll data;
- Accounting Sub-system Integration.*—Integrate Senate-specific accounting systems, improve internal controls, and eliminate errors caused by re-keying of data; and
- CFO Financial Statement Development.*—Provide the Senate with the capacity to produce auditable financial statements that will obtain an unqualified opinion.

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

The DO administers its own Local Area Network (LAN), which is separate from the LAN for the rest of the Secretary’s Office. We facilitated two major upgrades to our LAN during 2002, installation of new PCs and migration of our e-mail to Outlook, completed several projects for the Payroll and Employee Benefits sections, and installed new software for the DO staff working on the Report of the Secretary of the Senate.

- New PCs and Laptops.*—In August 2002, the 50 DO staff received new PCs with the Windows 2000 professional operating system. In order for all PCs to be identical, it is our practice to create a DO-specific PC template, which is used when the new PCs are set up by the vendor. This enables testing of all applications that the DO uses, including mainframe applications that are used solely by the DO. Thus conflicts between the new operating system and the applications we use can be identified and resolved prior to installation of 50 PCs. The creation and testing of the DO Windows 2000 professional workstations was completed before the August 2002 installation date. Following this, we coordinated the purchase, installation and testing for replacement of the DO’s ten laptops with laptops using the Windows 2000 professional operating system;
- Outlook.*—In December 2002, we migrated our e-mail system from cc:Mail to Outlook. This upgrade required installation of a new server, training for all the DO staff, and extensive work to recreate office mailing lists;
- Projects for Payroll and Employee Benefits Sections.*—We supported activities of the Payroll and Employee Benefits sections with four specific projects:
 - Coordinated the development of a Payroll Imaging system to electronically capture payroll documents turned in at the DO front counter, including ordering all required system components. This system is still being implemented;
 - Installed the required software and worked with the SAA to establish proper communication protocols to provide the Employee Benefits section the ability to transmit employee health plan information electronically to the National Finance Center in order to participate in a new program called Centralized Enrollment Clearinghouse System (CLER);
 - Posted Overtime Schedules for different work weeks along with a generic time sheet on the DO website. This eliminated maintaining hard copies of the various work weeks at our front counter;
 - In October 2002, we implemented a revised permissions form, the Office Information Authorization form, which combined three old forms. This significantly simplified the paperwork that offices are required to submit in order to add, delete or change user rights for Web FMIS users. Additionally, these forms are now scanned and therefore available to all DO staff the same day

that the document is received. This has eliminated the need for a database of users and improved efficiency; and
 —Migrated the DO Fedline system from a DOT matrix printer to a laser printer.

—*Software for the Report of the Secretary of the Senate.*—Several DO staff review and edit data for the Report of the Secretary of the Senate. This requires special software and dictionaries. We performed the following on this software: Coordinated the update and installation of the “Toolbox” software (provided by Bearing Point) on the new PCs; reviewed existing spell check dictionaries, and worked with Bearing Point to make the required updates; and established procedures to ensure that dictionaries are maintained after each reporting cycle.

Coordinating the Disbursing Office’s Disaster Recovery Activities

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

—Disaster Recovery Testing—participating in the computer system disaster recovery tests conducted by the SAA; and
 —Coordinating the Continuation of Operations Plan (COOP)—the COOP is the broader focused activity and addresses all aspects of DO operations, not just computer operations.

Disaster Recovery Testing.—Since 1995, the SAA has contracted with an offsite contractor for backup services in case of a disaster affecting the Senate’s main data center. The Senate’s Payroll system and FMIS are included in this recovery process. Since the contract’s inception, the Senate has tested its ability to restore systems and perform normal activities at least once, and often twice a year. Disbursing Office staff and SAA Procurement staff are active participants in the planning and execution of these tests. For 2002 two tests were planned: one in late February and one in the late fall. Only one test, the February test, was actually held. In this test, the mainframe subsystems of FMIS (i.e., ADPICS and FAMIS) were tested successfully, but two critical subsystems, checkwriter and Web FMIS, were not tested successfully. The checkwriter testing failed for the second disaster recovery test in a row, and Web FMIS was not tested at all. Both were scheduled to be included in the fall 2002 test, but that test was cancelled because the contractor’s computer was not running the same version of the mainframe operating system, OS390 v2.10, which the Senate implemented in August 2002. The tests were subsequently rescheduled for February of 2003 and subsequently conducted with favorable results.

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

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

Most payroll payments are made via Direct Deposit to the Federal Reserve Bank using the Automated Clearing House (ACH). After the payroll system is closed-out for the payroll period, the SAA programmers provide an ACH data set which is transmitted to the Federal Reserve Bank in Atlanta, Georgia, via a specially configured PC containing an encryption board and a specialized modem. During our evacuation from the Hart Building, the DO did not have access to the Fedline PC. The DO entered into an open-ended agreement with the Senate Federal Credit Union that allows the DO to transmit from their facility in Alexandria, VA. The Federal Reserve Bank of Atlanta must be notified prior to any transmission changes, but this agreement gives us the flexibility to transmit from an alternate access point in the event we encounter transmission problems in the future.

Disaster Recovery for FMIS.—The DO has participated in disaster recovery testing of mainframe FMIS facilities since the system was implemented in October 1998. For the February 2002 test, DO and SAA Procurement staff tested the various modules of the mainframe application to ensure they were functioning correctly at the back-up site. Using workstations connected to the Senate’s fiber network as well as

laptop computers dialing into the offsite location, users have tested various types of document preparation and posting to FAMIS. In addition, batch report testing, and system inquiries into both the procurement and financial modules were tested. Finally, various batch processing tasks were tested to ensure that they perform as expected. In the February 2002 testing, these tests were completed satisfactorily.

Three components of FMIS, checkwriter, Web FMIS, and printing of ADPICS purchase orders and vouchers, have not been tested satisfactorily. Testing of the “checkwriter” process, which generates checks in payment to vendors, failed in the February 2002 test because communications between the check writing facilities in the Hart Building and the contractor’s data center could not be completed in the testing time frame allowed under the Senate’s contract. This was a repeat of the problem experienced in the spring 2001, despite a longer testing time frame for the February 2002 test.

No disaster recovery testing of Web FMIS was accomplished during 2002. Such testing required installation of additional hardware and software at the contractor’s facility. Testing of Web FMIS was scheduled for the fall 2002 recovery testing, but did not happen due to the cancellation of the fall 2002 disaster recovery test described above.

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

Coordinating COOP.—During the summer of 2001, the DO staff wrote a Continuation of Operations Plan (COOP). This document addresses issues beyond the scope of disaster recovery. The plan was activated on October 21, 2001, when the DO staff were evacuated from the Hart Building due to anthrax contamination, and deactivated in January 21, 2002, when we returned. Prior to our reoccupation of our Hart office space, we tested all DO office systems to ensure that they were operational and facilitated a review of our office space by a disaster restoration specialist from an outside contractor. Additionally, we participated in the planning and execution of the June 22, 2002 COOP exercise.

ADMINISTRATIVE OFFICES

1. CONSERVATION AND PRESERVATION

The Office of Conservation and Preservation develops and coordinates programs directly related to the conservation and preservation of Senate records and materials for which the Secretary of the Senate has statutory authority. Initiatives include: deacidification of paper and prints, phased conservation for books and documents, collection surveys, exhibits, and matting and framing for the Senate Leadership.

As part of several Senate traditions, for more than 22 years, this office has bound a copy of Washington’s Farewell Address for the annual *Washington’s Farewell Address* ceremony. In 2002, a volume was bound and read by Senator Jon S. Corzine, and this year, Senator Saxby Chambliss read the Address and received a copy of the bound edition.

In addition, the office continued its work for the Leader’s Lecture Series with the fabrication of two speech holder boxes and leather notebooks. The office also fabricated for the Office of Interparliamentary Services, seven marbled paper slipcases for the book, *The United States Capitol: Photographs* by Fred J. Maroon.

At the direction of the Secretary of the Senate, and the Senate Gift Shop, marbled paper liners were fabricated for twelve mahogany boxes to house a ceremonial gavel presented at the Commemorative Joint Meeting of the Congress of the United States in New York City. A Bible was gold embossed for the occasion on September 6, 2002.

The Office of Conservation and Preservation also completed the following: gold-embossed 148 mats for the Senators’ group picture of the 107th Congress, embossed 140 books for the Senate Leadership, and matted and framed 406 items for the Senate Leadership.

As mandated in the 1990 *Senate Library Collection Condition Survey*, the office continued to conduct an annual treatment of books identified by the survey as needing conservation or repair. In 2002, conservation treatments were completed for 95 volumes of a 7,000 volume collection of House hearings. Specifically, treatment involved recasing each volume as required, using alkaline end sheets, replacing acidic tab sheets with alkaline paper, cleaning the cloth cases, and replacing black spine

title labels of each volume as necessary. In 2003, the Office of Conservation and Preservation will continue preservation of the remaining 4,277 volumes.

In addition, this office sent 481 books from the Senate Library to the Library section of Government Printing Office for binding, and assisted the Senate Library with four exhibits located in the Senate Russell building basement corridor. For the Curator's office, Conservation and Preservation assisted with the Brumidi exhibit located on the first floor of the Capitol.

On an ongoing basis, this office assists Senate offices with conservation and preservation of documents, books, and various other items.

2. CURATOR

The Office of Senate Curator, under the direction of the Secretary of the Senate, who is the Executive Secretary of the Senate Commission on Art, administers the museum programs of the Senate for the Capitol and Senate office buildings. The curator and staff suggest acquisitions, provide appropriate exhibits, engage in research, and write and edit publications. In addition, the office studies, identifies, arranges, protects, preserves, and records the historical collections of the Senate, including paintings, sculpture, and furnishings; and exercises supervisory responsibility for the chambers in the Capitol under the jurisdiction of the Senate Commission on Art. All records of research and documentation related to these areas of responsibility are available for use by Senators' offices, the media, scholars, and the public. With the establishment of the United States Capitol Preservation Commission, the Senate Commission on Art has become the designated recipient of objects with Senate association received by the Preservation Commission, and is tasked to "provide to the Capitol Preservation Commission such staff support and assistance as the Preservation Commission may request."

Collections: Commissions, Acquisitions, and Management

The Senate Commission on Art unveiled new portraits of Senators Blanche Kelso Bruce and James Eastland last year. Other commissions currently in progress include paintings of Senators Bob Dole and George Mitchell for the Senate Leadership Portrait Collection; Senators Arthur Vandenberg and Robert Wagner for the Senate Reception Room; and Margaret Chase Smith.

Thirty-one objects were accessioned into the Senate collection this year. These included three notable items associated with 19th century Assistant Doorkeeper Isaac Bassett: a snuff box; walking stick; and scrapbook of news clippings, letters, and various mementos related to Bassett's Senate years. The majority of the newly accessioned objects were historic prints.

Twenty-six new foreign gifts were reported to the Select Committee on Ethics and deposited with the Curator's Office. These have been catalogued and are maintained by the office in accordance with the Foreign Gifts and Decorations Act. Many of these gifts reflect the historic, unprecedented visit of senators to countries such as Uzbekistan and Afghanistan.

The Senate collection and Foreign Gifts collection were inventoried in 2002. A cyclical schedule to complete a wall-to-wall inventory of all collections every three years was established by the Registrar. Every year all objects on display in the Capitol and all Senate Office Buildings are inventoried in order to verify that no changes in location or condition have occurred. In addition, an inventory was completed of all fine and decorative arts, memorabilia, publications, and manuscripts located in a 4th floor storage room in the Capitol and the offsite warehouse. In 2003, all prints, drawings, and advertising images in storage will be inventoried.

The Sergeant at Arms also approved the Secretary's request to obtain a lease through General Services Administration (GSA) for museum quality off-site storage, as the Senate Curator was asked to vacate its existing space. Fifty-one items, primarily historic furniture, which had been stored at the warehouse were temporarily relocated in October 2002, to an off-site until such time as a GSA lease is negotiated. The final result will be an environmentally controlled storage space suitable for the storage and preservation of historic objects.

The Associate Registrar and Curatorial Assistant initiated a project to professionally photograph the more than 1,000 historic prints in the Senate's collection. For emergency purposes, a pair of 4" x 5" color transparencies will be created for each print, allowing for one complete set to be stored off-site. The in-office working copy will be used for image requests, future publications, and new web site postings. This year, the transparencies will be transferred to CD's, along with adding the images and associated database information to the Senate web site, and compiling an updated checklist publication of the Senate's entire historic print collection. 861 prints have been photographed to date.

Conservation and Restoration

A total of 25 objects received conservation treatment in 2002. These included three historic clocks, one gilded window valance, fifteen Senate Chamber desks, and six Russell Senate Office Building chairs.

This year the major project of conserving all one hundred Senate Chamber desks passed the halfway point. Twice a year, during Senate recess periods, desks are removed from the Senate Chamber and sent out for restoration. Treatment is extensive, and follows a detailed protocol developed in 1997 to address the wear and degradation of these historic desks due to continued heavy use. Sixty-one desks have been restored to date, and the project is on schedule for completion in August 2005. The program also involves thorough documentation of the condition, construction details, wood type, and measurements. Additional initiatives will include: professional photography; posting desk information on the Senate web site; developing a maintenance program to continue to preserve the desks; and treating the inkwells and sand blotters located in each desk. As part of its preventive maintenance program, the Curator's office continues to work with the Senate Sergeant at Arms Cabinet Shop to install rubber bumpers on the end of the Senate Chamber chairs to further eliminate damage to the desks.

Six historic chairs, originally purchased for the Russell Senate Office Building in 1909, were studied and restored. The chairs were examined by professional conservators in order to determine the original finish and upholstery methods, and to serve as prototypes. A detailed protocol treatment to restore all 1909 Russell chairs to their historic appearance was established.

A comprehensive *Collection and Historic Structures Care* manual has been developed. The manual will provide basic, practical information needed to enable non-curatorial staff within the Capitol complex to plan and implement sound collections care and building maintenance programs. The primary purpose of the manual is to teach specialized handling practices, identify acceptable repair, maintenance, and care treatments, and establish necessary monitoring and maintenance schedules. In addition, the Associate Curator and Registrar conducted training sessions for the Capitol Police on the care and protection of art in the Capitol. The staff also continues to work with housekeeping personnel on maintenance issues related to the fine and decorative arts collection.

Historic Preservation

One of the office's directives is to work with the Architect of the Capitol to ensure the preservation of the architectural and decorative elements within the Senate wing of the Capitol, with emphasis on those spaces of primary historic and architectural significance. After making substantial progress in 2001, on the development of the Senate Preservation Program by defining a policy and procedures, the office spent much of the year focusing on the functionality of the program and how it could effectively interact with the Office of the Architect of the Capitol and congressional offices. Based on such considerations, the office identified infrastructure systems and effective procedures that will allow the staff to conduct and collect research, document current projects, respond to and approve upcoming project scopes in a timely manner, and develop and direct preservation projects. The results of those efforts include: an historic structures report program; a detailed index to Bill Allen's *History of the U.S. Capitol*; a draft historic context and period of significance statement for the Capitol; paint analysis guidelines; and office attendance at the Architect of the Capitol's project update meetings.

In an effort to significantly advance the preservation program by putting policies and procedures into practice (in order to test and refine them), the office outlined two Senate-controlled preservation projects as test cases: the Senate Reception Room preservation project and the Historic American Building Survey (HABS) documentation project. The first phase of the Reception Room project, the development of an Historic Structures Report, is currently underway and will continue through 2003. Regarding the HABS project, the office has developed a plan and first phase proposal for review.

Along with the important work of developing and implementing a Senate Preservation Program, the Curator's office, working in partnership with the Architect of the Capitol, continued to serve as project coordinator for the Democratic leadership suite rehabilitation project. Over the past year, the following tasks were completed: application of tinted varnish on the S-223 and S-224 enframements; painting the walls and enframements in S-222; painting the enframements in S-221; application of gold leaf in S-222, S-223, and S-224; restoration of the ceiling murals in S-222 and S-223; consolidation of the ceiling plaster in S-221; conservation of the crystal chandeliers in S-222, S-223, and S-224; restoration of three 1909 Russell Senate Office Building chairs for S-223; installation of gilded window cornice replicas in S-

221 and S-223; and installation of new curtains in S-222 and new rugs in S-222 and S-224.

Serving as the Senate's authority on preservation, the office has extended professional advice, guidance, and services to the Architect of the Capitol and various congressional offices on numerous upgrade, renovation, preservation, and repair projects in the Senate wing of the Capitol. These projects include testing and stabilization planning for the President's Room ceiling plaster; preservation of the second floor corridor; mural conservation and restoration of the Brumidi Corridors; handicap access for the Old Supreme Court Chamber; and renovation of S-312.

Historic Chambers

The Curator's staff maintains the Old Senate and Old Supreme Court Chambers, and coordinates periodic use of both rooms for special occasions. By order of the U.S. Capitol Police, the Old Senate Chamber has been closed to visitors since September 11, 2001. Twenty-nine requests were received from current Members of Congress for after-hours access to the chamber. Four special events were held in the room. Of significance was former Vice President Walter Mondale's lecture delivered in the chamber as part of the Leader's Lecture Series. In addition, the Chamber was used for an educational interview with former Majority Leader Bob Dole conducted by the National Constitution Center in Philadelphia regarding the history of debate in the Senate. Senate Historian Richard Baker also presented a lecture to the newly-elected Senators of the 108th Congress. The Chamber was also used for the re-enactment swearing-in ceremony for Senator Dean Barkley of Minnesota, and again on January 7, 2003, for the opening of the 108th Congress. In addition, B-roll footage of the room was taken by NBC to illustrate the historic significance of the 19th century Senate Disbursing Office ledgers recently found.

On April 1, 2002, the Old Supreme Court Chamber was opened to the public for the first time since September 11, 2001. Nineteen requests were received by current Members of Congress for admittance to the Old Supreme Court Chamber after-hours. New carpeting was installed in the public area of the Old Court, and two exhibits were de-installed to allow easier access to the room for visitors.

Loans To and From the Collection

A total of 63 historic objects and paintings are currently on loan to the Curator's office on behalf of Senate leadership in the Capitol. The Curator's staff returned eleven paintings to the South Dakota Art Museum at the expiration of their loan period, and requested nine new paintings from the museum for display in the Democratic leadership suite. One outgoing loan from the Senate collection was approved for the Octagon Museum; two objects from the collection and two replicas were loaned for display as part of the exhibition, *Inside the Temple of Liberty*.

The Curator's office began work to assemble information on Senate objects under consideration for loan to the exhibition space in the main gallery of the Capitol Visitor Center. Approximately 50 objects have been identified at this time. In addition, the office facilitated a loan request to the Smithsonian Institution's National Museum of American History on behalf of the Senate Commission on Art. The Curator's office has identified two large, historic vases for display in the public area of the Capitol Visitor Center, and tentative approval was received from the Smithsonian pending final confirmation of conditions in the display location.

The Secretary's china was distributed and returned three times in 2002. It was used for events such as a dinner for the retiring Republican Senators of the 107th Congress and a Senate leadership dinner. The official Senate chinaware was inventoried and used at 31 receptions for distinguished guests, both foreign and domestic.

Publications and Exhibitions

Much of the office's focus in 2002, was devoted to producing the five-hundred page catalogue entitled *U.S. Senate Fine Art Collection*, which will provide previously unpublished information on the 160 paintings and sculptures in the U.S. Senate. Each work of art is illustrated with a full-page color photograph, accompanied by an essay and secondary images that place the object in historical and aesthetic context. The publication features an introductory essay by art historian and principal author William Kloss to provide a comparative perspective on the collection. The book is the definitive new resource on the fine art in the United States Senate. Staff worked with the Government Printing Office on all aspects of the design and proofing of the publication. A printer has been selected and delivery of the publication is expected in the summer of 2003.

Several brochures were reprinted, including: *The United States Congress & Capitol: A Walking Tour Handbook, volumes I and II*; *The Senate Vestibule*; and *The President's Room*. In addition, the office published a new brochure, *The Republican Leadership Suite*.

The office deinstalled *I Do Solemnly Swear*, an exhibition of presidential inauguration images and a photographic diary of Inauguration Day 2001, and reinstalled the exhibition *The United States Capitol: Photographs by Fred J. Maroon*. The first phase of the exhibition *Constantino Brumidi: Artist of the Capitol* was installed under the west stairwell of the Brumidi Corridors, on the first floor of the Senate wing. The second phase of the exhibit will be completed in 2003.

Policies and Procedures

The office undertook a major initiative to create a strategic plan, and started by reorganizing and prioritizing office objectives and developing a mission statement.

Progress continued on preparation of a Collections Management Policy to be approved by the Commission on Art. The introductory section of the policy was reorganized to create a clear statement of the principles and goals that guide the Office of Senate Curator in the development and care of the Senate collections.

Collaborations, Educational Programs, And Events

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

Curator staff participated as team members for the redesign of the Senate web site, which was launched in the fall of 2002. For the first time, visitors to the Senate web site can view images and catalogue information for all fine art in the Senate collection. Results of this increased visibility have already been seen, as the number of requests from the public for images of art in the Senate collection has nearly doubled.

Objectives for 2003

Conservation and preservation concerns remain a priority. Projects in 2003, will include the restoration of 15 Senate Chamber desks during the August and fall recess periods, conservation of the frame for *Pocahontas*; and the restoration of two historic overmantel mirrors.

Policy initiatives and strategic planning are a major endeavor. Additionally, the Collections Management Policy will be completed and submitted for peer review by museum professionals.

A comprehensive restructuring of the Senate collection database will be completed. Once an outside contractor has organized the files and reports to the specifications of the office, collections staff will complete the work of cleaning up data contained in fields and create all additional reports and layouts needed for current collections related projects. An additional goal is to evaluate the options for display of object images in the layouts used to view the Senate collection database and to establish image field standards.

Regarding the Senate Preservation Program, the Curator's office will begin to establish the systems necessary for the office to meet its preservation responsibilities and to function as the Senate's authority on preservation issues. The office will complete the first phase of the Senate Reception Room preservation project. In addition, the office will present to the Senate Commission on Art a proposal for the HABS documentation project, with emphasis on the establishment of CAD-related databases and documentation procedures. In the area of physical preservation, the office will continue to serve as the project coordinator for the Democratic leadership suite renovation and provide assistance with preservation issues related to Architect of the Capitol's Senate projects. In conjunction with the Architect of the Capitol, the office will develop a system that will assure the involvement of the Curator's staff in all Senate wing project planning. Such a plan will require the Curator's office to review all Senate wing projects for their effect on historic resources.

Publications scheduled for 2003, include a brochure on the history of the Senate Democratic leadership suite; the Senate Appropriations Committee, Room S-219; and on 19th century Senate employee Isaac Bassett. The office will install informational panels for important Senate art work as part of its educational mandate with the paintings of *George Washington at Princeton* and *The Recall of Columbus* the first to be highlighted.

Internet exhibits scheduled include web sites on the political cartoons of *Puck*, a 19th century satirical magazine, the drawings of Lily Spandorf illustrating the filming of the motion picture *Advise and Consent*, the Senate Chamber desks, and information on current conservation/preservation projects.

As part of its emergency preparedness plan, the office will microfilm several important record series. Collections and history files, and the Isaac Bassett Papers,

will be reproduced in microfilm or fiche, as well as digitized for both research and web publication.

3. JOINT OFFICE OF EDUCATION AND TRAINING

The Joint Office of Education and Training, a shared responsibility between the Secretary of the Senate and the Sergeant at Arms, provides employee training and development opportunities for 7,000 Senate staff both in Washington D.C. and in the states. There are four branches within the department:

- The technical training branch is responsible for providing technical training support for approved software packages used in either Washington or the state offices.
- The computer training staff provides instructor-led classes; one-on-one coaching sessions; specialized vendor provided training, computer based training; and informal training and support services.
- The professional training branch provides courses for all Senate staff in areas including: management and leadership development, human resources issues and staff benefits, legislative and staff information, new staff and intern information.
- The health promotion branch provides seminars, classes and screenings on health related and wellness issues. This branch also coordinates an annual Health Fair for all Senate employees and four blood drives each year.

In 2002, The Joint Office of Education and Training offered 565 classes with 5,566 Senate employees participating. The registration desk handled 13,248 requests for training and documentation.

Of the above total, in the technical training area 321 classes were held with a total attendance of 1,883 students. An additional 1,686 staff received coaching on various software packages and other computer related issues.

In the professional development area, 244 classes were held with a total attendance of 3,683 students. Individual managers and supervisors were also encouraged to request customized training for their offices in areas of need.

The Office of Education and Training made itself available to work with teams on issues related to team performance, communication or conflict resolution. During 2002, 50 requests for special training or team building were met. Professional development staff also traveled to State offices to conduct specialized training/team building during the year.

In health promotion, 896 Senate staff participated in Health Promotion activities throughout the year. These activities included: cancer screening, bone density screening and seminars on health related topics. Additionally 1,163 staff participated in the Annual Health Fair held in September.

The Office of Education and Training continues to coordinate with the Office of Security and Emergency Preparedness to provide security training for Senate staff. In 2002, the Office of Education and Training coordinated 87 sessions of Escape Hood Training for 3,514 Senate staff.

Since most of the classes offered are practical only for D.C. based staff, the Office of Education and Training continues to offer the "State Training Fair," now three years old. In 2002, three sessions of this program were offered to state staff. We also implemented the "Virtual Classroom," an internet based training library of 300+ courses. To date, 134 state office staff representing 49 Senators are using the training option.

4. CHIEF COUNSEL FOR EMPLOYMENT

The Office of the Senate Chief Counsel for Employment ("SCCE") is a non-partisan office established at the direction of the Joint Leadership in 1993 after enactment of the Government Employee Rights Act ("GERA"), which allowed Senate employees to file claims of employment discrimination against Senate offices. With the enactment of the Congressional Accountability Act of 1995 ("CAA"), Senate offices became subject to the requirements, responsibilities and obligations of 11 employment laws. The SCCE is charged with the legal representation of Senate offices in all employment law cases at both the administrative and court levels. Also, on a day-to-day basis, the office provides legal advice to Senate offices about their obligations under employment laws. Accordingly, each of the 180 offices of the Senate is an individual client of the SCCE, and each office maintains an attorney-client relationship with the SCCE.

Background

Each of the SCCE attorneys came to the office after having practiced as employment law litigators in major, national law firms representing Fortune 100 corpora-

tions. All services the office provides are the same legal services the attorneys provided to their clients while in private practice. The areas of responsibilities of the SCCE can be divided into the following categories: Litigation (Defending Senate Offices in Federal Court); Mediations to Resolve Lawsuits; Court-Ordered Alternative Dispute Resolutions; Preventive Legal Advice; Union Drives, Negotiations and Unfair Labor Practice Charges; OSHA/Americans With Disability Act ("ADA") Compliance; Layoffs and Office Closings In Compliance With the Law; and Management Training Regarding Legal Responsibilities.

Litigation, Mediations, Alternative Dispute Resolutions

The SCCE represents each of the 180 employing offices of the Senate in all court actions (including both trial and appellate courts), hearings, proceedings, investigations, and negotiations relating to labor and employment laws. The SCCE handles cases filed in the District of Columbia and cases filed in any of the 50 states. The SCCE represents a defendant Senate office from the inception of a case through U.S. Supreme Court review. The office handles all work internally without the assistance of outside law firms or the Department of Justice.

During 2002, the SCCE defended Senate offices against 33 lawsuits, which required approximately 11,000 attorney work hours¹. No case was lost.

Preventive Legal Advice

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

Also, the SCCE advises and meets with Members, chiefs of staff, office managers, staff directors, chief clerks and general counsels at their request. The purposes of the advice and meetings are to educate and inform Members, officers and employees and to prevent litigation and to minimize liability in the event of litigation. For example, on a daily basis, the SCCE advises Senate offices on matters such as disciplining/terminating employees in compliance with the law, handling and investigating sexual harassment complaints, accommodating the disabled, determining wage law requirements, meeting the requirements of the Family and Medical Leave Act, and management's rights and obligations under union laws and OSHA.

Union Drives, Negotiations, and Unfair Labor Practice Charges

The Office provides the following with respect to a union drive: conducts training sessions for managers and supervisors regarding their legal obligations during a union campaign, negotiates an election agreement with the union, advises the client in selecting its representatives for the election, conducts training sessions for the employer representatives regarding improper conduct at elections, and conducts an investigation to determine whether ground rules exist to challenge the election results.

OSHA/ADA Compliance

The SCCE provides advice and assistance to Senate offices by assisting them with complying with the applicable OSHA and ADA regulations; representing them during Office of Compliance inspections; advising State offices on the preparation of the Office of Compliance's Home State OSHA/ADA Inspection Questionnaires; assisting offices in the preparation of Emergency Action Plans; and advising and representing Senate offices when a complaint of an OSHA violation has been filed with the Office of Compliance or when a citation has been issued. In 2002, the SCCE handled 8 OSHA complaint procedures.

Layoffs and Office Closings in Compliance with the Law

The SCCE provides legal advice and strategy to individual Senate offices regarding how to minimize legal liability in compliance with the law when offices reduced their forces.

In addition, pursuant to the Worker Adjustment and Retraining Notification Act ("WARN"), offices that are closing must follow certain procedures for notifying their

¹Attorney hours spent on each case include, but are not limited to, time for conducting the initial investigation of allegations; mediation with employee; negotiating settlements; reviewing employing office files; interviewing witnesses; investigating and responding to the complaint; preparing for pretrial and trial proceedings, including taking witness depositions, conducting extensive discovery with opposing counsel (propounding and responding to interrogatories, requests for production of documents, etc.), interviewing expert witnesses, preparing, researching and filing any necessary motions with the court, preparing witnesses for trial, preparing exhibits for trial; trying the case; preparing post-trial briefs; preparing appellate briefs; arguing before the appellate courts.

employees of the closing and for transitioning them out of the office. The SCCE tracks office closings and notifies those offices of their legal obligations under the WARN. In 2002, the SCCE advised 10 Senate offices of their legal obligations under this law.

Management Training Regarding Legal Responsibilities

The SCCE conducts legal seminars for the managers of Senate offices to assist them in complying with employment laws, thereby reducing their liability. In 2002, the SCCE gave 59 legal seminars to Senate offices. Among the topics covered were: Preventing and Addressing Sexual Harassment in the Workplace; The Congressional Accountability Act of 1995: What Managers Need to Know About Their Legal Obligations; Managers' Obligations Under the Family and Medical Leave Act; The Legal Pitfalls of Hiring the Right Employee: Advertising, Interviewing, Drug Testing and Background Checks; Disciplining, Evaluating and Terminating an Employee Without Violating Employment Laws; Management's Obligations Under the Americans With Disabilities Act; and Equal Pay for Equal Work: Management's Obligations Under the Equal Pay Act.

Administrative/Miscellaneous Matters

The SCCE provides legal assistance to employing offices in preparing and updating employee handbooks, office policies, supervisors' manuals, sample job descriptions, interviewing guidelines, and job evaluation forms to ensure that they are legally compliant.

Technological Advances

The SCCE is continuing its implementation of two electronic systems that put the office at the forefront of electronic offices. First, the SCCE has installed and implemented a comprehensive document management system. The system profiles and indexes every document in the office, regardless of whether the document was created internally or received from an outside source. Thus, the office maintains all-electronic files. The system saves hours of time by eliminating electronic directory/folder-type searches, and filing cabinet searches. It also is instrumental in preserving institutional knowledge.

Second, the SCCE continues its conversion to a "paperless" office. It has completed Phases I and II and most of Phase III of the 3-phase process, which involves scanning and OCRing every document the office receives from an outside source. This means that all paper in the office, whether created on our computers or received from outside the office, is electronically accessible. This paperless system saves time and office space. In addition, it allows staff members to access electronically every office document from remote locations, such as a courtroom, and it allows the office to remain fully operational in the event of an unanticipated closing of the Hart building.

5. GIFT SHOP

With each successive year since its establishment, the Senate Gift Shop has continued to provide outstanding products and services that maintain the integrity of the Senate as well as increase the public's awareness of the mission and history of the U.S. Senate. The Gift Shop provides services to Members, Officers and employees of the Senate, as well as constituents and visitors. Products include a wide variety of souvenirs, collectibles, and fine gift items created exclusively for the Senate. Services include special ordering of personalized products and hard-to-find items, custom framing, gold embossing, engraving, and shipping.

Facilities

For several years, the services offered by the Senate Gift Shop were over-the-counter sales to walk-in customers at a single location. Today, after 10 years in operation, and as a result of extended services and continued growth, the Gift Shop now provides service from three different locations. Services from these locations include walk-in sales, telephone orders, fax orders, mail orders, and a variety of special order and catalog sales.

Sales Activity

The Gift Shop's gross sales for fiscal year 2002 are recorded at \$1,418,065.88. The cost for goods sold during this same period was \$1,102,433.12. This accounts for a gross profit of \$315,632.76. Records show total gross sales in fiscal year 2001 were \$1,585,062.49. This represents a decrease in sales of \$166,996.61 from fiscal year 2001 to fiscal year 2002, largely due to the impact of September 11, 2001, and the anthrax incident.

In addition to tracking profit from gross sales, the Senate Gift Shop maintains a revolving fund and a record of on-hand inventory. As of October 1, 2002, the balance in the revolving fund was \$880,022.88 with on-hand inventory valued at \$1,997,419.86.

At the request of the Secretary, the General Accounting Office will conduct an audit of the fiscal year 2002 transactions of the Senate Gift Shop's Revolving Fund.

Technology Upgrades

One of the most important objectives for 2003, is replacing our outdated software application, Basic Four, which is more than 20 years old and no longer meets the increasingly unique needs of the Gift Shop. During the first three quarters of 2002, the Secretary of the Senate, through the Senate Gift Shop, and with the assistance of staff from the Senate Offices of Disbursing, and the Customer Support Division of the Sergeant at Arms, studied proposals in search of an outside vendor who would provide and install the most suitable retail and financial management software package. The necessary funds for this upgrade were included in the Secretary's budget request for fiscal year 2003 and have been appropriated. The selected vendor will provide required technical assistance during implementation, training of Gift Shop staff, and continued technical support of the new system.

Accomplishments and New Products in 2002

Official Congressional Holiday Ornaments

The year 2002 marked the beginning of the Gift Shop's third consecutive "four-year ornament series." Each ornament in the 2002–2005 series of unique collectibles will feature an architectural milestone of the United States Capitol with each image of the Capitol and corresponding historical text taken from the book, *History of the United States Capitol: A Chronicle of Design, Construction, and Politics* by William C. Allen, architectural historian in the office of the Architect of the Capitol.

The 2002 ornament, our 10th annual ornament, pictures the original architectural design of the Capitol by William Thornton. In keeping with tradition, the authentic colors of the original drawing were reproduced onto white porcelain stone and set with a brass frame finished in 24kt gold.

Holiday sales of this ornament in 2002 were strong and additional sales are expected throughout 2003. Revenue from the sale of more than 35,000 of these ornaments has generated more than \$40,000 in scholarship funding for the Senate Child Care Center.

Pickard China Porcelain "Liberty" Box

The "Liberty" box is the first in a series of four porcelain boxes that will display different images from the Constantino Brumidi fresco painted on the ceiling of the President's Room located in the Senate Wing of the United States Capitol. "Liberty" is one of four allegorical figures that represents the foundations of the government—the other three are Executive, Religion, and Legislation. These boxes will be released on an annual basis.

Temple of Liberty Greeting Cards

Peter Waddell, a local artist, created the "Temple of Liberty" collection. His oils on canvas depict the interiors of the Capitol Building, and the visitors to it, as they might have appeared in the 19th century when the Capitol was still in its early years of construction. The Senate Gift Shop secured exclusive rights to reproduce these images onto greeting cards which are now sold as boxed sets. The beautiful tones and colors of Mr. Waddell's works have been faithfully reproduced on the face of the cards. On the reverse of each of these cards is the artist's written interpretation of that particular painting. The Gift Shop reviewed the written interpretation to confirm both clarity and factuality.

Capitol Visitor Center Coins

When the U.S. Mint terminated its promotion and sale of the Capitol Visitor Center (CVC) coin in June 2002, the Gift Shop, with the assistance and guidance of Senate Legal Counsel, arranged to purchase the balance of the more than 22,000 already minted CVC coins. In order to better promote the CVC and to better showcase the CVC coins, the Gift Shop has successfully incorporated the coin into a variety of appropriate gift items:

- CVC coins encased in Lucite paperweights have sold well since their development last year.
- During the latter half of 2002, the Gift Shop worked with a vendor/manufacturer to create ladies' and men's wristwatches and pocket watches with CVC coins serving as the face.

—Other items incorporating the use of the coins are in various stages of development and will be introduced later in 2003.

Products Created for the Commemorative Joint Session of Congress

The Secretary of the Senate worked with the Senate Gift Shop to create and develop an official gavel and a variety of presentation and gift items suitable for the Commemorative Joint Session of Congress held in New York City on September 6, 2002.

In an attempt to create a unique gavel that appropriately defined this moment in history, the Gift Shop first consulted with the masonry team under the Architect of the Capitol to determine if marble that was once part of the Capitol could be used. Next, the Gift Shop selected a contractor to produce a replica of the original ivory gavel used to preside over Senate proceedings. Upon completion of the prototype of the gavel, the Senate Gift Shop enlisted the assistance of the Senate Office of Conservation and Preservation to modify a wooden box, provided by the Gift Shop, to showcase the commemorative gavel. In the meantime, the Senate Gift Shop researched appropriate historical text and composed custom insert cards that were reproduced with the assistance of the Senate Service Department. A dozen marble gavels were presented at the Commemorative Joint Session.

Projects and New Ideas for 2003

United States Senate Fine Art Guide

The Gift Shop is working with the Senate Curator in order to secure copies of the forthcoming publication, *United States Senate Fine Art Guide*. The book will be sold in both the Dirksen and Capitol Gift Shops.

Capitol Trees

During the early construction stages of the CVC, the Senate Gift Shop contracted with a company to recover felled trees from the Capitol grounds. The recovered trees have been milled and kiln dried. The resultant 12,000 board feet of cut lumber is stored in a warehouse in West Virginia. The Gift Shop is in the process of developing products from the recovered trees. Items will include presentation pieces for official use and a variety of commemorative collectors' items available for sale to the general public.

108th Congressional Plate

The series of *Official Congressional Plates* will continue this year with the design, development, and manufacture of the *108th Congressional Plate*. The first stage of choosing a design for the *108th Congressional Plate* will begin soon. After reviewing proofs and working through the many design changes, the goal is to have a finished product arrive in mid-November, in time for holiday sales.

6. HISTORICAL OFFICE

Serving as the Senate's institutional memory, the Historical Office collects and provides information on important events, precedents, dates, statistics, and historical comparisons of current and past Senate activities for use by Members and staff, the media, scholars, and the general public. The Office advises Senators, officers, and committees on cost-effective disposition of their non-current office files and assists researchers in identifying Senate-related source materials. The Office keeps extensive biographical, bibliographical, photographic, and archival information on the 1,775 former Senators. It edits for publication historically significant transcripts and minutes of selected Senate committees and party organizations, and conducts oral history interviews with key Senate staff. The photo historian maintains a collection of approximately 40,000 still pictures, slides, and negatives that includes photographs and illustrations of most former Senators, as well as news photographs, editorial cartoons, photographs of committees in session, and other images documenting Senate history. The Office develops and maintains all historical material on the Senate website.

Fiscal Year 2002 and Continuing Editorial Projects

The Senate Leader's Lecture Series.—This series brings distinguished speakers to the Senate to present insights about the Senate's recent history and long-term practices. From 1998 through 2002, lectures featuring former Senate presidents and party floor leaders on the topic of Senate leadership were held in the Capitol's historic Old Senate Chamber before an audience of current Senators and invited guests. The Historical Office has provided editorial and production support for the series, including the September 4, 2002, lecture by former Vice President Walter

Mondale. Text and video of all nine lectures are available on the Senate's website, and the Historical Office is preparing a book edition for publication in 2003.

Executive Session Transcripts of the Permanent Subcommittee on Investigations, 1953–1954.—The Historical Office completed editing and annotating 3,800 pages of previously unpublished executive-session hearing transcripts produced by the Senate Permanent Subcommittee on Investigations (PSI) under the chairmanship of Senator Joseph R. McCarthy (1953–1954). The Government Printing Office has recently delivered all five volumes to the PSI for a public announcement and press conference within the next few weeks. This publication will allow researchers nationwide to have equal access to these highly sought after and richly revealing historical documents.

Biographical Directory of the United States Congress.—Since the most recent printed edition of the *Biographical Directory of the United States Congress* appeared in 1989, the assistant historian has added dozens of new biographical sketches and has revised and updated most of the database's 1,875 Senate entries. A current version of the database is available online at <http://bioguide.congress.gov>. The assistant historian has recently completed necessary revisions and additions of data to allow for expanded online search capabilities. Work is proceeding on the next print edition, tentatively planned for publication in 2004.

Administrative History of the Senate.—During 2002, the assistant historian revised an earlier chapter structure and focused on the years 1789 to 1861 in this historical account of the Senate's administrative evolution. This study traces the development of the offices of the Secretary of the Senate and Sergeant at Arms, considers nineteenth and twentieth-century reform efforts that resulted in reorganization and professionalization of Senate staff, and looks at how the Senate's administrative structure has grown and diversified over the past two centuries.

Documentary History of the Senate.—The Historical Office is conducting an ongoing documentary publication program to bring together fundamental source materials that will help explain the development of the Senate's constitutional powers and institutional prerogatives. Currently in production are volumes on Senate impeachment trials, the Senate's consideration of controversial treaties, and the evolution of the Senate's standing rules. For the impeachment trial volume, working drafts have been prepared to summarize each case, with selection of key documents and writing of textual notes underway. For the controversial treaties volume, much of the research has been completed and major chapters have been drafted. Work on the rules volume has proceeded to provide coverage from 1789 through the 1850s.

The Senate of the United States.—Between 1988 and 1994, the Government Printing Office published *The Senate, 1789–1989*, a four-volume reference work by Senator Robert C. Byrd. During 2002, the Historical Office began work on a consolidated, updated, and illustrated one-volume edition of "Byrd's History." This work will be available for distribution in 2005 through the Senate Gift Shop.

Senate web site redesign.—Historical Office staff played a key role on history content in the redesign of the Senate web site. The history content amounts to about 60 percent of the static content on the site, or more than 5,000 pages. The office has continuing responsibility for expanding and updating the history content and for adding history-based features to illuminate ongoing Senate news events, as well as coordinating efforts among the various content teams.

Idea of the Senate.—This narrative book will be based on the memoirs of Senators, providing eyewitness accounts of the Senate from its early years to the modern era. Each chapter in the book will focus on the writings of one Senator. Additional primary and secondary sources will be examined for contextual information. The Historical Office's researcher-writer has completed preliminary project research and has begun drafting the first chapter on John Quincy Adams.

Capitol Visitor Center Exhibition Content Development.—The Senate historian assisted in preparing detailed plans for the 20,000 square-foot exhibition gallery of the Capitol Visitor Center. Three staff historians prepared scripts for major exhibitions on the historical role of Congress in helping to realize the nation's basic aspirations and on the chronological history of the Senate.

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

Members' Office Records Management and Disposition Assistance.—The Senate archivist continued to assist Members' offices with planning for the preservation of their permanently valuable records, with special emphasis on archiving electronic

information from computer systems and transferring valuable records to a home state repository. Forming a team with customer support service staff from the Office of the Sergeant at Arms, the archivist worked with all Senators' offices that closed at the end of the 107th Congress, including the office of Senator Paul Wellstone, to prepare the collections for donation. The handbook entitled "Closing a Senate Office" was updated, and assistance was given in the compilation of "Opening a Senate Office." The latter was published and also broadcast on the transition office intranet site. As a follow-up to the Congressional Papers Forum that was held in August 2001, the archivist edited *The Congressional Papers Forum: The Third Report of the Advisory Committee on the Records of Congress*. The archivist began a comprehensive revision of *Records Management Handbook for United States Senators and Their Archival Repositories* which will be published in 2003.

Committee Records Management and Disposition Assistance.—The Senate archivist provided each committee with staff briefings, record surveys, guidance on preservation of information in electronic systems, and instructions for the transfer of permanently valuable records to the National Archives' Center for Legislative Archives. Over 3,000 feet of records were transferred to the Archives. The Office's archival staff continued to provide processing assistance to committees and administrative offices in need of basic help with noncurrent files. The archivist worked with the House of Representatives' archivist to inventory the records of the anthrax contamination cleanup and is working with Secretary of the Senate and Clerk of the House counsels to develop protocols for the transfer of these records to the Center for Legislative Archives. In 2003, a records disposition guidelines for the offices under the Secretary's jurisdiction will be published.

Oral History Program During Fiscal Year 2002.—The Historical Office concluded its series of twenty-three debriefing interviews with staff involved with the dislocation following the attacks of September 11, 2001, and the October 2001 delivery of letters containing anthrax to the Hart Senate Office Building. This adds to the already extensive collection of oral history interviews that provide personal recollections of Senate careers dating from 1910 to the present. Oral history interviews were also conducted with Tom C. Korologos, former administrative assistant to Senator Wallace Bennett and White House Senate liaison; Jade West, former staff director of the Republican Policy Committee; and J. Stanley Kimmitt, former Secretary for the Majority and Secretary of the Senate.

Photographic Collections.—The photo historian continued to expand the Office's 40,000-item photographic collection by obtaining images of former Senators not previously represented in the collection, and documenting Senate life by photographing historically significant Senate events, including hearings of Senate committees. Digital images of frequently used photographs were created in order to promote their use and safeguard the originals. Images can now be transmitted to patrons via e-mail or CD, or can be printed onto photographic paper in the Historical Office. The photo historian also continued to catalog photographic negatives into an image database in order to increase intellectual control over the Office's image collection.

Conference of Congressional Research Center Directors.—The Senate Historical Office, the Center for Legislative Archives at the National Archives, and the Robert C. Byrd Center for Legislative Studies just completed a conference at the Byrd Center in Shepherdstown, West Virginia. This first-of-its kind meeting brought together the directors of 20 university-based congressional research centers. Among those who attended were the directors of center associated with the public service careers of the following U.S. Senators: Howard Baker, Bob Dole, Everett Dirksen, Margaret Chase Smith, Strom Thurmond, George Aiken, Thomas Dodd, Wendell Ford, Hubert Humphrey, Richard Russell, John Stennis, John Glenn and Robert C. Byrd.

Historic Senate Salary and Mileage Ledger, 1790: 1880.—The Library of Congress has scanned all 400 pages in an electronic version of this major resource, which documents the administrative operations of the Senate during its first 90 years. It will be available to researchers on senate.gov within the next few weeks.

7. HUMAN RESOURCES

The Office of Human Resources (HR) was established in June 1995, as a result of the Congressional Accountability Act. The Office focuses on the development and implementation of human resources policies, procedures, and programs for the Office of the Secretary of the Senate, both to fulfill the legal requirements of the workplace and to complement the organization's strategic goals and values.

This includes recruiting and staffing; providing guidance and advice to managers and staff; training; performance management; job analysis; compensation planning, design, and administration; leave administration; records management; employee

handbooks and manuals; internal grievance procedures; employee relations and services; and organizational planning and development.

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

Classification and Compensation Review

The Secretary of the Senate is conducting a complete classification and compensation study which entails a thorough review of the entire system. This classification study will include a comprehensive collection of current job classifications and specifications for every position in the Office and the pay plan and bands will reflect the accurate and equitable layout of all staff within the organization. HR staff has conducted job audits/interviews with each incumbent to ensure all roles and responsibilities are accurately factored into the study.

Policies and Procedures

HR will annually update and revise the Employee Handbook of the Office of the Secretary.

Assisting the Secretary and Department Heads

HR continues to work with the Executive Office and department heads to establish objectives that reflect the mission of the Senate and the Secretary's Office. HR has met with each department head and discussed their departmental and personal objectives, challenges and results of the past year, and to assist each department head in establishing new objectives for this calendar year and beyond.

Attraction and Retention of Staff

HR is responsible for the advertisement of new vacancies or positions, screening applicants, interviewing candidates and assisting with all phases of the hiring process. HR works closely with the applicable department to ensure the process moves smoothly and expeditiously. HR acts as the liaison to the Secretary before any payroll actions are presented, so that the Secretary has ample knowledge of all hiring decisions or recommendations. As new staff joins the office, HR is in charge of the orientation to the office's policies.

HR is also responsible for the management of performance-related issues. In addition, the HR staff finds ways to solicit suggestions and feedback from the Secretary's department heads and staff in an ongoing effort to continually improve processes and procedures.

New Programs

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

Training

In conjunction with the Senate Chief Counsel for Employment, HR has worked to prepare training for department heads and staff. Some of the topics include Sexual Harassment, Interviewing Skills, Conducting Background Checks, Providing Feedback to Employees and Goal Setting. These skills will further enhance the ability of our staff to comply with office policies and advance in their professional development.

8. INFORMATION SYSTEMS

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

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

The Senate chose Windows NT as the standard network operating system in 1997. The continuing support strategy is to enhance existing hardware and software support provided by the Information Systems Department, and augment that support with assistance from the Sergeant at Arms whenever required. The Secretary's Network supports approximately 300 user accounts and patron accounts in the Capitol, Hart, Russell and Dirksen, along with the Page School.

For information security reasons, Secretary departments implement isolated computer systems, unique applications, and isolated local area networks. The Secretary of the Senate network is a closed local area network to all offices within the Senate. Information Systems staff continue to provide a common level of hardware and software integration for these networks, and for the shared resources of inter-departmental networking. Information System staff continue to actively participate in all new project design and implementation within the Secretary of the Senate operations.

In addition, the staff of Information Systems has continued to expand its responsibilities. Information System staff has helped to backfill the retirement of Senate Library technical personnel. Improved diagnostic practices were adopted to stretch support across all Secretary departments. Several departments, namely Disbursing, Office of Public Records, Chief Counsel for Employment, Office of Public Records, Page School, Senate Security, and Stationery/Gift Shop have dedicated information technology staff within those offices. Information Systems personnel continue to provide first level escalated hardware and software support for these office staff members.

Summary

Senate Mail Infrastructure Project (SMI)

The original plan involved replacing all CC:MAIL servers and gateways with a de-centralized Microsoft Outlook solution. The Secretary's office previously had six post offices in six different server domains. There was no central Public Address Book for all Secretary employees. Additionally, Secretary mail requirements needed to be refined to insure the implemented solution was both cost-effective and reliable for the Office of the Secretary.

The Microsoft Outlook Client implementation began in August within the Disbursing Office. The SAA scheduled implementation for the remainder of the office staff occurred in December 2002. The initial plan, which outlined all staff employees be enrolled in one central server, was modified to implement three independent Mail servers; the first for Disbursing, the second for Chief Counsel, and all other office staff enrolled in the third post office. Support for each Exchange server is provided by that appropriate office. Five of the six cc.mail post offices were completed in 2002. The Office of Employment Counsel is pending further review by the SAA Design Team.

Disbursing Office Hardware/Software Upgrade

Desktop systems in the Disbursing Office were over 4 years old and required replacement. New hardware and web-based applications, along with several legacy applications were installed in 2002. All workstations, monitors, and printers were replaced for Disbursing office staff.

Office of Public Records Upgrades

FileNet servers were retired in fiscal year 2002. This was based on the SAA Application Development Branch rewriting the existing OPR software. Three Microsoft SQL servers were consolidated into one server configuration, and then replicated at the Postal Square location. For archival purposes, a Volkswagen-size optical jukebox was retired and replaced with Quantum snap server Updated scanners. Software was purchased to upgrade existing office equipment. In the event of a possible office relocation, arrangements have been made for the OPR staff to operate and continue their scanning operation.

Digital Sender Project

A Secretary wide-initiative was developed to provide all staff with the ability to scan, save, and electronically capture paper documents in pdf format for archival purposes. In 2002, six additional HP Digital sender scanners were purchased for the following departments: Chief Counsel, Stationery, Gift Shop, Page School, Webmaster, and Bill Clerk.

Hardware and Software Upgrades

Approximately 88 percent of all department computer workstations were upgraded and all legacy applications migrated to the Microsoft Windows 2000 operating system in 2002. These departments include: Disbursing, Human Resources,

Public Records, Historian, Chief Counsel, Interparliamentary Services, Bill Clerk, Legislative Clerk, Enrolling Clerk, Parliamentarian, Daily Digest, Executive Clerk, Senate Library, Stationery, Gift Shop, and Webster Hall.

9. INTERPARLIAMENTARY SERVICES

The Office of Interparliamentary Services (IPS) has completed its 21st year of operation. IPS is responsible for administrative, financial, and protocol functions for all interparliamentary conferences in which the Senate participates by statute, for interparliamentary conferences in which the Senate participates on an ad hoc basis, and for special delegations authorized by the Majority and/or Minority Leaders.

The statutory interparliamentary conferences are: 1. NATO Parliamentary Assembly; 2. Mexico-United States Interparliamentary Group; 3. Canada-United States Interparliamentary Group; and 4. British-American Parliamentary Group.

In May 2002, the 43th Annual Meeting of the Canada-U.S. Interparliamentary Group was held in Rhode Island. Arrangements for this successful event were handled by the IPS staff.

Planning is now underway for the 42nd Annual Meeting of the Mexico-U.S. Interparliamentary Group and the British-American Parliamentary Group meetings to be held in the United States in 2003. Advance work, including site inspection, will be undertaken for the 45th annual Canada-U.S. Interparliamentary Group meeting to be held in the United States in 2004. Preparations are also underway for the spring and fall sessions of the NATO Parliamentary Assembly.

All foreign travel authorized by the Leadership is arranged by the IPS staff. In addition to delegation trips, IPS provided assistance to individual Senators and staff traveling overseas. Senators and staff authorized by committees for foreign travel continue to call upon this office for assistance with passports, visas, travel arrangements, and reporting requirements.

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

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

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

10. LIBRARY

The Senate Library provides legislative, legal, business, and general reference services to the United States Senate. The Library's comprehensive legislative collection consists of congressional documents dating from the Continental Congress. In addition, the Library maintains executive and judicial branch materials and an extensive book collection on politics, history, and biography. These sources, plus a wide array of online systems, assist the Library staff in providing nonpartisan, confidential, timely, and accurate information services.

Information Services

Patron Services

Information Services responded to 40,359 requests during 2002, a 4.6 percent increase above the 2001 total. This total included 24,205 phone, fax, and e-mail requests and 10,145 walk-in visits by Senate staff who used resources in the Library. Tabulated for the first time are the 6,009 times Hill staff accessed the *Hot Bills List* on LIS. Patrons borrowed 1,952 books and documents and 4,467 information packages were delivered to Senate offices.

The Library's request totals have increased at an annual rate of four percent over the past two years. The Senate's information needs are dramatically changing with desktop access to major online services and research products. The Library has responded to these changing information needs by offering new services and products and by continuing an aggressive outreach program to the Senate community. New

services include the LIS training sessions, regularly scheduled, two-hour sessions which utilize the librarians' extensive online skills and considerable legislative experience. The Library's LIS telephone help line provides continuing assistance. The Library has also made many key sources available through the Senate Intranet, such as *Information Resources in the Senate Library*, a 55-page annotated bibliography that is tailored to the needs of Hill offices; and *Presidential Vetoes*, a two-volume set that traces the legislative history of every veto since 1789. The provision of this effective database training and valuable access to resources quickens the transition for new Senate staff in particular.

Additional indicators that reflect the continued strong activity are the 3,847 faxes sent and the 132,903 photocopies produced by the Library. In addition, the Micrographics Center produced 4,421 printed pages from the extensive collection of newspapers, magazines, and executive branch and congressional materials.

Phone, Fax, E-mail	24,205
Walk-in Visitors	10,145
Hot Bills List on LIS	6,009
TOTAL REQUESTS	40,359

Client Relations

Public relations has always been an integral part of the Library's activities. The constant arrival of new staff underscore the importance of successful outreach programs. Senate staff were introduced to the many Library services during the 44 tours and seminars conducted during 2002. The schedule includes the quarterly "Services of the Senate Library Seminars," two "State Fairs," five "District-State Seminars," and eight "New Staff Seminars." In addition, the Library conducted two special seminars for the Senate Page School. The success of these efforts can be seen in the 364 new Library accounts that were established for Senate staff during 2002.

The Library regularly assists researchers, authors, and academics, and gives special tours to professional groups and students. During 2002, scholars from Tokyo University and the University of Cairo conducted research in the Library. Researchers from England included Paul Lennon, a House of Commons staff member, and author Dr. Michael Dunne from Cambridge University. Special tours were given to staff from the State Department, Government Printing Office, Congressional Research Service, Justice Department, and Trinity College, and to Parliament librarians from India and representatives from Tokyo's Far Eastern Booksellers.

For the fifth year, the Library hosted activities in honor of National Library Week. The events for 2002, included an open house, dessert reception, and a book discussion. The guest speaker for the book discussion was Senator Bill Frist, who discussed his book *When Every Moment Counts: What You Need to Know about Bio-terrorism from the Senate's Only Doctor*. Forty-seven staff attended the book discussion and 125 attended the afternoon dessert reception. These annual events are an excellent public relations tool that appeal to frequent users and also introduce new Senate staff to the wide array of Library services.

The Russell Building corridor displays continue to be popular, informative, and educational. The displays provide staff and visitors an excellent opportunity to enjoy rare and unique books from the Senate's rich collection. During 2002, the displays included *The Nine Capitals of the United States*; *Montgomery C. Meigs, Capitol Builder*; and one honoring African-American History Month.

A major goal is to provide the Library's online catalog through Webster, the Senate's Intranet site, to the entire Senate community. The catalog has more than 150,000 items providing access to the books, legislative documents, periodicals, newspapers, and legal materials. With funds appropriated for fiscal year 2003, new Oracle-based software will be purchased, as soon as it is available, to move this project along. Patron access to library catalogs is a standard service and the Library will continue to work to make the catalog available to every Senate office. In other outreach activity, the Library received a new Webster address that makes it easier for Senate staff to access the valuable information posted on the site (webster.senate.gov/library).

LIS

A major Library objective is to increase and improve access to the wealth of data and information on the Legislative Information System (LIS). Two key sources were added to the LIS homepage: the *Hot Bills List* and the *Fiscal Year 1988 to Fiscal Year 2003 Appropriations Tables*. These two sources list legislation and key documents associated with the legislation, along with links to the full text of documents.

The availability of LIS to every Capitol Hill office ensures that all congressional staff will be able to access these resources.

The Library's role in LIS development continues to expand as staff work closely with the Congressional Research Service, Senate Computer Center, and Senate staff. The Library teamed with CRS on major redesigns of the bill summary and status pages; provided definitions and documentation for the Amendment Tracking System; and initiated a numbering system for issues of the Senate Executive Calendar. Other ongoing projects include improvements in the Congressional Record search requirements, LIS Alert Service training, and a proposed database tracking congressional committee hearings. In all of these efforts, the Library's 28 years of experience in legislative systems (starting with Aquarius 1975) is invaluable to the success of LIS.

Senate.gov

The 2002 redesign of senate.gov involved extensive participation by Library staff. The Library has developed and maintains more than 200 site pages that provide informative text and hundreds of information links to additional source material. The staff's extensive knowledge of the legislative process was critical to the success of *Active Legislation*, a selective listing of key legislation with electronic links to the full text of all related documents through Thomas and GPO Access. The *Virtual Reference Desk* is an online vertical file that traces 200 years of American history, congressional activity, and legislative initiatives. Other contributions include annotated bibliographies on a variety of subjects including books by current Senators, Capitol art and architecture, and key sources on Congress and politics. Informative *How To* guides have been expertly developed to assist researchers identify and locate government documents online and through local libraries.

Technical Services

Acquisitions

The Library acquired 9,797 new items in 2002, which includes books, congressional and executive branch documents, and microforms. This represents a 4 percent increase over the previous year. Included in the new items were 628 books and reference volumes (an 80 percent increase from last year), 5,799 congressional documents, and 3,370 executive branch publications. The 80 percent increase in new book arrivals was due to the fourth quarter 2001 mail delivery embargo and the resulting large number of arrivals during the first quarter of 2002.

Two major acquisitions were the *Unpublished U.S. Senate Committee Hearings, 1977-1980* and *Presidential Executive Orders and Proclamations, 1921-1983*. The 1,040 unpublished Senate hearings were previously only available at the National Archives, and the executive orders completes a collection that totals more than 58,000 presidential documents. These titles, which provide the full text of the documents with excellent indexes, are important additions to the permanent collection.

The Acquisitions Librarian selected several titles for the Library's collection throughout 2002. Works on the early republic, constitutional history, biographies of the founders, and American expedition were very prominent. Representative titles include *Journals of Benjamin Henry Latrobe, 1795-1820*; *Latrobe's View of America, 1795-1820*; *John Marshall and the Heroic Age of the Supreme Court*; *Aaron Burr: Conspiracy to Treason*; *Original Journals of the Lewis and Clark Expedition, 1804-1806*; *John Adams and the Founding of the Republic*; *Martin Van Buren and the Emergence of American Popular Politics*; and *John Hancock: Merchant King and American Patriot*. New acquisitions are announced in the monthly *New Books List*. The list is available through the Library's Intranet site and distributed to Senate offices.

In other acquisitions activity, the Congressional Documents Clerk captured 2,000 pages from committee Web sites. Congressional sites are carefully monitored for those elusive materials that are only available online and often only available for a limited time. The Senate Finance Committee made a significant addition to the permanent collection by donating materials dating from the 1930s, and the Clerk prepared five volumes of hearings and 11 volumes of committee prints from these previously unavailable materials. The Library received 100 committee print volumes from the House Appropriations Committee following the loss of their storage area due to the Capitol Visitor Center construction. These volumes were reviewed, prepared and added to the Senate's collection.

Cataloging

The cataloging team added a total 4,558 new titles to the Library's catalog, which included 3,451 congressional publications. Efforts focused on rare Senate treaties, executive reports, and older committee hearings. The Senate Library is often the

only depository for these rare items and the cataloging requires great skill and considerable experience with legislative materials. This original cataloging is extremely time consuming and demands great care to meet the Library's quality standard. As the important retrospective cataloging project continues, the overall cataloging totals will decline, which occurred during 2002 with a 22 percent decline.

Government Publications Collection

Although the total number of government documents received during 2002 was virtually unchanged from the previous year's level, a dramatic change did take place: there is a one-third decline in paper documents in favor of electronic dissemination. The Cataloging Technician and the Reference Librarians are reviewing the list of electronic titles provided through GPO. Once selections are finalized, URL links to the documents will be added to the Library's online catalog.

This is the second year of the Library's ongoing review of executive branch publications received through the Federal Depository Library Program. In this two-phase project, librarians review every title received and then evaluate the existing holdings. The review team is headed by the Cataloging Technician, who is joined by the Government Documents Clerk and the Head of Information Services. In 2002, 6,730 outdated, superseded, or surplus items were withdrawn from the collection, and 4,385 of these items were offered to other federal depository libraries. It was gratifying that 2,587 items (59 percent) were claimed and delivered to requesting libraries. During the second phase, 185 item numbers were deselected from the Library's depository selection list. Retention or removal decisions are determined by patron use and alternative access, primarily online availability.

Warehouse

A detailed review of the Library's offsite storage requirements was submitted to the Sergeant at Arms in September 2002. The proposal considered growth for both ten and twenty years, utilized fixed shelving, and provided for industry standard environmental controls and security. Current storage facilities are less than optimum, creating some potential risk to our rare collections. However, the Library continues to work with the Sergeant at Arms to address this issue.

Library.Solution, the Library's Integrated Online Catalog

The Library's computerized catalog, Library.Solution, provided by The Library Corporation (TLC), was installed in January, 2000. The system houses 152,149 items containing bibliographic records to legislative and legal materials, books, periodicals, serials, and microforms. Through the watchful oversight and perseverance of the Head of Technical Services, the system's performance has dramatically improved. In 2002, there were several new software upgrades for circulation and serials that improved module flexibility and functionality. The increased functionality reduced daily maintenance and improved search capabilities (regular catalog maintenance is necessary for efficient and accurate retrieval). During 2002, 25,495 maintenance transactions were recorded, which included creating and editing authority headings, editing existing records, barcoding new volumes, editing PURLs from electronic resources, and withdrawing records for discarded materials.

Collection Maintenance, Preservation, Binding, and Equipment

Maintenance and preservation projects have resulted in a better-organized and environmentally protected collection. The Library's historic collection of more than 125,000 volumes requires constant monitoring of environmental conditions. The prevention of mold is accomplished by maintaining temperatures below 70 degrees and humidity levels below 50 percent. However, these levels can be very difficult to achieve in the Russell Building location. Dehumidifiers operate 24 hours a day and satisfactorily control the humidity, but the ventilation system is not always capable of maintaining acceptable air quality and temperature levels. Another major concern is the crisscrossing maze of century-old water pipes hovering just a few feet above the historic collection. To mitigate this concern, constant monitoring is necessary and historic volumes have been moved to safer areas.

The Library has begun to develop in-house expertise in regard to bookbinding and paper conservation. The Congressional Documents Clerk works closely with the Secretary's Department of Conservation and Preservation to learn basic skills.

In response to the Senate's transition to electronic access to information, the Library acquired a book scanner and a second microform reader printer. It is now possible to scan documents from text sources and microform and electronically transmit those images to any workstation anywhere. The versatility of this technology cannot be overstated since images can be stored, edited, or reproduced to meet the individual needs of the user.

Staff Development

During 2002, Library staff participated in 58 training sessions, workshops, and professional development seminars. New Library staff have a particularly active training schedule and veteran staff are required to maintain and upgrade skill levels. Database training sessions included Lexis-Nexis, Westlaw, OCLC, Excel, CQ Online, PhotoShop, and Web publishing. Technical Services staff attended several skill enhancement classes including copy cataloging, Library of Congress subject headings, serial holdings, and cataloging concepts. Reference Librarians completed the CRS Advanced Legislative Process Institute in November, and other staff completed Documentum Web Publishing Training in October. Other activities included seminars on the legislative process, bookbinding techniques, legal research, disaster recovery, effective writing, and several seminars focused on Capitol history.

UNUM, Newsletter of the Office of the Secretary of the Senate

UNUM, Newsletter of the Office of the Secretary of the Senate, was published four times during 2002. The Chief Editor continues to lead a team of talented volunteers and cope with constant deadlines and revised text. Joined by two experienced co-editors, along with other contributors from the Library staff, the newsletter includes detailed profiles of offices and individuals within the Secretary's Office, institutional histories and book reviews, in addition to other current and pertinent topics of interest to the Senate community.

Other Projects

The Library continued to support the Friends of Tyler School, a tutoring program for Capitol Hill's Tyler Elementary School, by making weekly donations of unneeded magazines. These are basic educational resources that would be unavailable to most of the children. Other surplus magazines were sent to the Senate Page School for inclusion in the packages sent to soldiers stationed overseas.

The Senior Reference Librarian proofread and copyedited the soon-to-be published catalog of the Office of Senate Curator.

Budget

The sixth year of aggressive budget reviews delivered reductions totaling \$12,511.52. The targeted expenditure categories were subscriptions and standing orders (\$5,011.52) and online service contracts (\$7,500.00). The reductions for the past six years total \$59,205.34, and these efforts have been critical in offsetting cost increases for core materials. The Senate's ever-changing information needs require comprehensive annual reviews of collection expenditures. These evaluations can be difficult, but they ensure that the Senate will receive the highest level of service using the latest technologies and the best available resources. These considerable goals will be accomplished within budget and without compromising service.

Major Library Goals for 2003

Major 2003 goals are the continuation of the active client relations program and personalized service that have been key to the Library's success. Our long-term goal of 40,000 annual requests was reached in 2002. The goal now is to build on this success with an additional 3 percent increase in 2003.

The aggressive budget review program will continue in 2003, with the target for another three percent reduction. During the six years of budget reviews, most of the major reductions have been implemented, so future reductions will be less substantial. The key to all reductions is that they not comprise information services to the Senate.

Document preservation is a critical issue, and the Library will continue working with the two major recovery firms, BMS Catastrophe and Munters. These firms can restore critical working papers and historic documents that have suffered from fire or water damage.

The senate.gov design team will continue to maintain existing pages and expand the offerings made available to the public. The site will provide many new products, including several that will provide a greater understanding of Congress, the legislative process, and representative democracy.

Teams from Technical Services and Information Services will continue the review of executive branch materials and significant portions of that collection will be deaccessioned. The titles will be discontinued from Library's depository selections list and deleted from the online catalog. All deaccessioned holdings will be offered to other libraries and information centers.

SENATE LIBRARY STATISTICS FOR CALENDAR YEAR 2002—ACQUISITIONS

	Books		Government Documents		Congressional Publications				Total
	Ordered	Received	Paper	Fiche	Hearings	Prints	Bylaw	Reports/Docs	
January	20	37	194	53	300	12	23	114	733
February	27	35	179	108	154	15	21	61	573
March	30	25	201	23	223	10	25	62	569
1st Quarter	77	97	574	184	677	37	69	237	1,875
April	20	44	301	43	294	18	65	166	931
May	16	45	183	230	267	11	72	119	927
June	25	51	175	80	235	18	76	169	804
2nd Quarter	61	140	659	353	796	47	213	454	2,662
July	28	60	296	138	244	10	79	107	934
August	5	65	134	86	284	13	29	196	807
September	30	67	144	41	364	9	36	287	948
3rd Quarter	63	192	574	265	892	32	144	590	2,689
October	30	81	167	135	237	13	99	421	1,153
November	15	73	151	43	241	10	25	120	663
December	17	45	162	103	251	13	26	155	755
4th Quarter	62	199	480	281	729	36	150	696	2,571
2002 Total	263	628	2,287	1,083	3,094	152	576	1,977	9,797
2001 Total	321	347	3,431	724	3,054	293	391	1,225	9,465
Percent Change	-18.07	80.98	-33.34	49.59	1.31	-48.12	47.31	61.39	3.51

SENATE LIBRARY STATISTICS FOR CALENDAR YEAR 2002—CATALOGING

	Hearing #s Added to LEGIS	OCLC Records Produced							Total Records Produced
		Books		Government Documents		Congressional Publications			
		Paper	Fiche	Hearings	Prints	Docs./Pubs.			
January	0	53	10	85	130	14	41	333	
February	15	35	51	1	437	3	69	596	
March	1	33	17	13	249	7	50	369	
1st Quarter	16	121	78	99	816	24	160	1,298	
April	23	29	13	1	207	16	30	296	
May	10	24	29	43	388	3	33	520	
June	9	33	8	2	255	17	55	370	
2nd Quarter	42	86	50	46	850	36	118	1,186	
July	0	39	30	10	384	6	55	524	
August	0	11	35	0	134	6	26	212	
September	5	35	203	7	205	13	59	522	
3rd Quarter	5	85	268	17	723	25	140	1,258	
October	0	60	20	0	144	17	12	253	
November	36	48	18	0	215	14	21	316	
December	0	30	54	21	125	7	10	247	
4th Quarter	36	138	92	21	484	38	43	816	
2002 Total	99	430	488	183	2,873	123	461	4,558	
2001 Total	103	772	411	531	3,668	236	207	5,825	
Percent Change	-3.88	-44.30	18.73	-65.54	-21.67	-47.88	122.71	-21.75	

SENATE LIBRARY STATISTICS FOR CALENDAR YEAR 2002—DOCUMENT DELIVERY

	Volumes Loaned	Materials Delivered	Facsimiles	Micro- graphics Center Pages Printed	Photocopiers Pages Print- ed
January	219	384	743	651	10,436
February	155	386	631	356	8,230
March	200	406	650	966	10,125
1st Quarter	574	1,176	2,024	1,973	28,791
April	203	511	389	195	14,912
May	142	366	640	139	11,026
June	203	402	648	733	14,524
2nd Quarter	548	1,279	1,677	1,067	40,462
July	284	410	732	160	9,220
August	97	322	482	252	10,647
September	127	310	625	208	15,976
3rd Quarter	508	1,042	1,839	620	35,843
October	154	429	622	275	9,626
November	96	261	486	342	9,295
December	72	280	500	144	8,886
4th Quarter	322	970	1,608	761	27,807
2002 Total	1,952	4,467	7,148	4,421	132,903
2001 Total	2,148	4,791	4,551	7,810	168,769
Percent Change	-9.12	-6.76	57.06	-43.39	-21.25

11. SENATE PAGE SCHOOL

The United States Senate Page School provides a smooth transition from and to the students' home schools. The pages are given as sound a program, both academically and experientially, as possible during their stay in the nation's capital, balancing a unique work situation with the Senate's demanding schedule.

Summary of Accomplishments

Accreditation for the page school continues until December 31, 2008. The Middle States Commission on Secondary Schools reviewed the progress report filed by the U.S. Senate Page School and determined no further reports are required.

In the last school year, two page classes successfully completed their semester curriculum. Closing ceremonies were conducted on June 7, 2002, and January 24, 2003, the last day of school for each semester.

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

Given the uniqueness of the pages' roles, greater coordination of communication among all responsible parties—the Secretary's Office, the Sergeant at Arms, Page Program, Page School, and Cloakrooms—has been established. In addition, an evacuation plan and COOP have been completed. Pages and staff have practiced evacuations to primary and secondary sites. Escape hood training is provided to all pages, staff, and tutors and staff have been retrained in CPR.

Faculty have also pursued professional development opportunities with additional courses.

A community service project has been embraced by pages and staff, now for three classes. Items for gift packages were collected, assembled, and shipped to military personnel in Afghanistan, Kuwait, Oman, Germany, Japan and the U.S.S. *Essex*. Pages included letters of support to the troops participating in Operation Enduring

Freedom. In gratitude, letters, a certificate of appreciation and flags were sent to the Page School by the 145th and the 774th Expeditionary Airlift Squadrons.

Summary of Goals

For the coming year, the goals of the administration and staff of the Senate page school include:

- Tutoring by teachers on an as-needed basis, and individualized small group instruction will be offered.
- Foreign language tutors will provide instruction in French, Spanish, and German.
- The focus of field trips will be sites of historic, political, and scientific importance.
- Staff development options will include additional computer training, seminars conducted by Education and Training, subject matter conferences conducted by national organizations, and formal graduate work.
- Creation of curriculum to support a summer academic session will be completed for consideration.

12. PRINTING AND DOCUMENT SERVICES

The Office of Printing and Document Services is responsible for managing the printing and/or distribution of the Senate’s official Title 44, U.S. Code printing requirements. The office manages Senate Printing expenses, and functions as the Government Printing Office (GPO) liaison to schedule and/or distribute Senate bills and reports to the Senate Chamber, staff, and the public. The department provides page counts of Senate hearings to commercial reporting companies and Senate committees; orders and tracks all paper and envelopes provided to the Senate; provides general printing services for Senate offices; and assures that all Senate printing is in compliance with Title 44, U.S. Code, as it relates to Senate documents, hearings, committee prints, and other official publications.

During 2002, OPDS staff maintained all services and fulfilled all daily requirements of the office. Additionally, the office has continued to implement efforts to consolidate duties and cross-train personnel, thereby ensuring office continuity. Under this “cross- working” program newly learned skills are continually honed and customer service is upgraded. Printing department staff and document specialists work hand-in-hand to provide quick response to changes within the department and provide better human resource management.

During 2002, OPDS provided commercial reporting companies and corresponding Senate committees a total of 952 billing verifications of Senate hearings and business meetings. This is an average of 50 hearings/meetings per committee, a 4.1 percent increase over 2001. Billing verifications are how the reporting committees request payment from a Senate committee for transcription services. Although some hearings are cancelled or postponed, they still require payment to the reporting company.

The OPDS utilizes a program developed in conjunction with the Sergeant at Arms Computer Division that provides more billing accuracy and greater information gathering capacity, while adhering to the guidelines established by the Senate Committee on Rules and Administration for commercial reporting companies to bill the Senate for transcription services.

HEARING TRANSCRIPT AND BILLING VERIFICATIONS

	2000	2001	2002	PERCENT CHANGE 2002/2001
Billing Verifications	910	1,004	952	- 5.4
Average per Committee	43	48	50	4.1
Total Transcribed Pages	61,898	72,799	71,558	- 1.7
Average Pages/Committee	2,814	3,467	3,766	8.6
Transcribed Pages Cost	\$401,231	\$479,921	\$471,807	- 0.2
Average Cost/Committee	\$18,238	\$22,853	\$24,832	8.6

During fiscal year 2002, the OPDS prepared 5,794 printing and binding requisitions authorizing the GPO to print and bind the Senate’s work, exclusive of legislation and the Congressional Record. This is an increase of 8.2 percent over the number of requisitions processed during fiscal year 2001. Because the requisitioning done by the OPDS is central to the Senate’s printing, the office is uniquely suited to perform invoice and bid reviewing responsibilities for Senate Printing. Within the

OPDS cost accounting duties lies its ability to review and assure accurate GPO invoicing as well as play an active role in helping to provide the best possible bidding scenario for Senate publications.

In addition to processing requisitions, the Printing Services Section coordinates job scheduling, proof handling and job tracking for stationery products, Senate hearings, Senate publications and other miscellaneous printed products, as well as monitoring blank paper and stationery quotas for each Senate office and committee. The OPDS also coordinates a number of publications for other Senate offices, including the Curator, the Historian, Disbursing, and Legislative Clerk, along with the U.S. Botanic Garden, U.S. Capitol Police and the Architect of the Capitol. Last year's major printing projects included the Report of the Secretary of the Senate, the New Senator's Guide, the Senate Manual, Leader's Lecture Series brochure, the U.S. Senate Catalogue of Fine Art, as well as a 500 page four-color case bound book, History of the United States Capitol.

The Service Center within the OPDS is staffed by experienced GPO detailees that provide Senate committees and the Secretary of the Senate's Office with complete publishing services for hearings, committee prints, and the preparation of the Congressional Record. These services include keyboarding, proofreading, scanning, and composition. The Service Center provides the best management of funds available through the Congressional Printing and Binding Appropriation as committees have been able to decrease or eliminate additional overtime costs associated with the preparation of hearings.

The DocuTech Service Center within the OPDS is also staffed by experienced GPO detailees that provide Member offices and Senate committees with on-demand printing and binding of bills and reports, as well as supplementing depleted legislation. In 2002, the DocuTech Center produced 656 jobs for a total of 801,888 printed pages.

The Document Services Section coordinates requests for printed legislation and miscellaneous publications with other departments within the Secretary's Office, Senate committees, and the GPO. This section ensures that the most current version of all material is available, and that sufficient quantities are available to meet projected demands.

DOCUMENT SERVICES—CONGRESSIONAL RECORD

	2000	2001	2002
Total Pages Printed	28,232	25,051	29,690
For the Senate	12,469	14,084	14,489
For the House	15,763	10,967	15,201
Total Copies Printed & Distributed	1,300,000	1,300,000	1,268,603
To the Senate	450,842	318,572	439,953
To the House	308,842	459,477	301,383
To the Executive Branch and the Public	540,316	492,915	532,813
Total Production Costs	\$14,966,755	\$15,428,530	\$13,488,381
Senate Costs	\$6,364,265	\$7,452,933	\$6,339,539
House Costs	\$7,920,490	\$7,333,134	\$6,609,307
Other Costs	\$682,000	\$642,462	\$539,535
Per Copy Cost	\$11.51	\$12.14	\$10.63

In 2002, a total of 29,690 pages were printed in the Congressional Record. Of this total, 14,489 were printed for the Senate, and 15,201 pages were printed for the House of Representatives. These page counts are comprised of the Proceedings of the Senate and the House of Representatives, Extension of Remarks, Daily Digest and miscellaneous pages. This is 4,639 more pages than were produced in 2001, an increase of 18.5 percent. A total of approximately 1.3 million copies of the Congressional Record were printed and distributed in 2002. The Senate received 439,953 copies, the House 301,383, with the remaining 532,813 delivered to the Executive Branch agencies and the general public.

The OPDS continually tracks demand for all classifications of Congressional legislation. Twice a year the office adjusts the number of documents ordered by classification. The goal is to adjust numbers ordered in each classification to closely match demand and thereby reduce waste. In recent years, the OPDS has taken a more aggressive approach to reducing waste of less requested legislation. The office supplements depleted legislation where needed by producing additional copies in the DocuTech Service Center as previously mentioned. While OPDS curtails waste, at the same time, the office pledges never to run out of copies of legislation.

The primary responsibility of the Documents Services Section is to provide services to the Senate. However, the responsibility to the general public, the press, and other government agencies is virtually indistinguishable from these services provided to the Senate. Requests for material are received at the walk-in counter, through the mail, by fax, phone, and e-mail. Recorded messages, fax, and e-mail operate around the clock and are processed as they are received, as are mail requests.

SUMMARY OF ANNUAL STATISTICS

CALENDAR YEAR	CONGRESS/ SESSION	CALLS RE- CEIVED	PUBLIC MAIL	FAX RE- QUEST	E-MAIL	COUNTER REQUEST
1999	106/1st	27,570	6,872	5,162	N/A	156,454
2000	106/2nd	17,356	4,066	3,129	112	95,186
2001 ¹	107/1st	16,186	3,449	2,093	621	88,769
2002 ¹	107/2nd	15,732	3,637	1,866	662	55,930

¹ NOTE: From October 17, 2001 until January 22, 2002, the Document Room was displaced to the Capitol and operated with one telephone and one computer.

Online Ordering

The OPDS is continuing to seek new ways to use technology to assist Members and staff with added services and enhancements to current methods. Beginning in late 2000, Senate offices, by way of a link to the Secretary of the Senate's home Web page, could order legislative documents online. Via the same link, a Legislative Hot List Link was launched where Members and staff can confirm arrival of printed copies of the most sought after legislative documents. The site is updated several times daily, and each time new documents arrive from GPO in the Document Room. Efforts are also under way to provide the capability of online ordering of blank paper for Member offices and Senate committees.

13. PUBLIC RECORDS

The Office of Public Records receives, processes, and maintains records, reports, and other documents filed with the Secretary of the Senate involving the Federal Election Campaign Act, as amended; the Lobbying Disclosure Act of 1995; the Senate Code of Official Conduct: Rule 34, Public Financial Disclosure; Rule 35, Senate Gift Rule filings; Rule 40, Registration of Mass Mailing; Rule 41, Political Fund Designees; and Rule 41(6), Supervisor's Reports on Individuals Performing Senate Services; and Foreign Travel Reports.

The office provides for the inspection, review, and reproduction of these documents. From October, 2001, through September, 2002, the Public Records office staff assisted more than 2,000 individuals seeking information from reports filed with the office. This figure does not include assistance provided by telephone, nor help given to lobbyists attempting to comply with the provisions of the Lobbying Disclosure Act of 1995. A total of 95,630 photocopies were sold in the period. In addition, the office works closely with the Federal Election Commission, the Senate Select Committee on Ethics and the Clerk of the U.S. House of Representatives concerning the filing requirements of the aforementioned Acts and Senate rules.

Fiscal Year 2002 Accomplishments

The office deployed its disaster recovery plan prepared in fiscal year 2001 with the closure of the Hart Senate Office Building. Based upon the review of that plan and a "look backward" to see how the plan worked, the office made changes to the plan in order to be even better prepared. An off-site scanning facility was established in coordination with the Sergeant at Arms. Additionally, the identical hardware and software are nearly in place in the Public Records office to allow for reciprocity for Public Records and SAA scanning functions. The office staff was also involved as participants on the content teams for senate.gov.

Automation Activities

During fiscal year 2002, the Senate Office of Public Records transferred its public financial disclosure and FECA records from WORM disk storage to digital storage on a server by rewriting these two applications. The value to the Senate is that in the event of a COOP activation, these records become easily accessible off site.

Federal Election Campaign Act, as amended

The Act required Senate candidates to file quarterly reports in an election year. Filings totaled 3,320 documents containing 213,968 pages. The page count represents a greater than 100 percent increase over last year. This was due to changes

in the FECA forms that reduced the amount of information that could be disclosed on a page.

Lobbying Disclosure Act of 1995

The Act requires semi-annual financial and lobbying activity reports. As of September 30, 2002, 5,536 registrants represented 17,575 clients and employed 21,089 individuals who met the statutory definition of "lobbyist." The total number of lobbying registrations and reports were 36,587.

Public Financial Disclosure

The filing date for Public Financial Disclosure Reports was May 15, 2002. The reports were available to the public and press by Friday, June 14th. Copies were provided to the Select Committee on Ethics and the appropriate State officials. A total of 2,457 reports and amendments were filed containing 14,084 pages. There were 359 requests to review or receive copies of the documents.

Senate Rule 35 (Gift Rule)

The Senate Office of Public Records received over 1,320 reports during fiscal year 2002.

Registration of Mass Mailing

Senators are required to file mass mailings on a quarterly basis. The number of pages was 655.

Plans for Fiscal Year 2003

The Public Records office plans to enhance its lobbying web site by offering an on-line tutorial video that provides e-filers with information that makes the program easier to use. The office is also in the process of developing a manual detailing the policies and procedures of the Public Records Revolving Fund. In addition, at the request of the Secretary, the General Accounting Office will conduct an audit of the fiscal year 2002 transactions of Public Records' Revolving Fund. At the request of the Secretary, the General Accounting Office will conduct an audit of the fiscal year 2002 transactions of the Public Records' revolving fund.

14. SENATE SECURITY

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

Personnel Security

In 2002, OSS processed 1,833 personnel security actions. Seventy-two investigations for new security clearances were initiated last year, and eighty security clearances were transferred from other agencies. Senate regulations, as well as some Executive Branch regulations, require that individuals granted Top Secret security clearances be reinvestigated at least every five years. Staff holding Secret security clearances are reinvestigated every ten years. During the past 12 months, reinvestigations were initiated on 59 Senate employees. OSS processed 140 routine terminations of security clearances during the reporting period and transmitted 288 outgoing visit requests.

The remainder of the personnel security actions consisted of updating access authorizations and compartments. In addition, 206 records checks were conducted at the request of investigative agencies supporting the personnel security program.

Security Awareness

OSS conducted or hosted 78 security briefings for Senate staff. Topics included: information security, counterintelligence, foreign travel, security managers' responsibilities, office security management, and introductory security briefings.

Document Control

OSS received or generated 2,419 classified documents consisting of 69,670 pages during calendar year 2002. Additionally, 114,712 pages from 3,244 classified documents which were no longer required for the conduct of official Senate business were destroyed. OSS transferred 674 documents consisting of 27,275 pages to Senate offices or external agencies. Overall, Senate Security completed 6,337 document transactions and handled over 211,657 pages of classified material in 2002, an increase of 17.2 percent.

In addition to the classified documents destroyed by OSS, approximately 866 linear feet of sensitive but unclassified material was destroyed for various committees.

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

15. STATIONERY ROOM

The Senate Stationery Room's principal functions are: (1) to sell stationery items for use by Senate offices and other authorized legislative organizations, (2) to select a variety of stationery items to meet the needs of the Senate environment on a day-to-day basis and maintain a sufficient inventory of these items, (3) to purchase supplies utilizing open market procurement, competitive bid and/or GSA Federal Supply Schedules, (4) to maintain individual official stationery expense accounts for Senators, Committees, and Officers of the Senate, (5) to render monthly expense statements, (6) to insure receipt of all reimbursements for all purchases by the client base via direct payments or through the certification process, (7) to make payments to all vendors of record for supplies and services in a timely manner and certify receipt of all supplies and services, and (8) to provide delivery of all purchased supplies to the requesting offices.

	Fiscal Year 2002 Statistical Oper- ations	Fiscal Year 2001 Statistical Oper- ations
Gross Sales	\$4,628,342	\$3,610,804
Sales Transactions	61,479	62,970
Purchase Orders Issued	6,218	6,770
Vouchers Processed	7,376	7,951
Metro Fare Media Sold	41,558	19,621
\$20.00 Media	(36,943)
\$10.00 Media	(1,978)
\$5.00 Media	(2,637)

The Stationery Room continues to work on the final phase of the voucher upload process. Fiscal year 2002 was the first full year in which voucher information was submitted using a customized spreadsheet interface with the Disbursing Office to pay vendors. This process has eliminated the duplicate efforts previously required in the voucher payment process between the Stationery Room and the Disbursing Office. The final phase to be completed in fiscal year 2003 will incorporate an automated voucher payment reconciliation.

During fiscal year 2002, the Stationery Room completed the formation, development and deployment of its automated physical inventory process. This process utilizes radio frequency technology which is transmitted from the inventory data collectors back to the application software residing on the servers. This new process has eliminated the download time which was previously required to transfer data.

The Accounts Receivable interface with the Disbursing Office was finalized after development and testing. Initially started in the middle of fiscal year 2000, this process involves importing expenditure information from each customer account that is certified for reimbursement in a Disbursing Office system format. It is then transmitted via e-mail and uploaded to the Disbursing Office system for reimbursement to the Stationery Room Revolving Fund. This process has eliminated the need for issuance of paper checks which required considerable staff time for both organizations in the past.

Implementation of the Web FMIS access for the Stationery Room was installed for testing during March 2002, and additional programming was needed to address issues to accommodate Revolving Fund accounts. This project will eventually allow for key Stationery Room staff to access the Disbursing Office via the Web to perform a number of operations, which were previously time consuming and staff intensive. This project has been three years in the making due to the sheer volume of transactions generated by the Stationery Room. Time-out errors also occurred because of this volume and were recently resolved by the FMIS project team.

The Stationery Room will draft a requirements report during fiscal year 2003, that will outline upgrading to new application software for the operation, using appropriated monies for fiscal year 2003. It is envisioned that this document will be all inclusive and will take into account the latest technologies in the industry and the unique needs of the Senate.

In addition, at the request of the Secretary, the General Accounting Office will conduct an audit of the fiscal year 2002 transactions of the Stationery Room's Revolving Fund.

16. WEBMASTER

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

The Senate Web Site: <http://www.senate.gov>

Background

The [senate.gov](http://www.senate.gov) Web site was created in 1995. A 1998 redesign for the 106th Congress included a database for Senator/Committee information; daily updates on legislative activities; roll call vote tallies; and an expanded section, Learning About the Senate section. A project to redesign www.senate.gov and implement a Web Content Management System (WCMS) began in the fall of 2001 and continued through 2002. The new web site was launched October 30, 2002, and work continued through the rest of the year on further enhancements. Plans are underway to launch special presentations and micro-sites in phased launches in 2003 and 2004.

Implementation of a Web Content Management System provided many advantages to the Senate including: allowing content to be published by content owners without web formatting skills; completing a content analysis and restructuring using XML tags allowing for repurposing of content; a new design and navigation structure based on the content analysis, best practices and customer usability studies; and the creation of seven content teams to identify new content and maintain current content on the site. Over thirty Senate staff worked on the project.

Training and Support Requirements

Documentation and how-to manuals for working with the WCMS were provided by a contractor. Senate staff are continually training and are constantly working to support the WCMS and the Web site.

Future www.senate.gov Projects

Possible further enhancements to the web site over the next two to three years include increasing content, improving content presentation, and creating special multimedia presentations such as using XML to structure and present the Isaac Bassett collection; converting to a web format two animated features developed by the Curator for the Capitol kiosk; developing a special feature on Senate desks; and producing a retrospective on inaugurals. These special presentations are small projects that may be priced and contracted separately.

Webster

Webster, the Senate Intranet, is available only to Senate staff within the Senate complex and in state office locations. The Webster intranet navigation is currently divided by organization. Senate staff must know which organization provides a service in order to locate information about that service on the web site. The Secretary and the Sergeant at Arms are currently evaluating the feasibility of initiating a project to redesign Webster to include a comprehensive list of services across all service organizations and a common navigation and user interface that would be agreed on by the major contributors.

The Secretary's presence on Webster would be redesigned accordingly. A requirements analysis would be necessary to determine which of the Secretary's many services Senate staff want to access online and how best to deliver them. The Disbursing Office and the Office of Public Records already offer fillable forms online and staff can order documents from the Document Room via an online ordering form. Any redesign plan will likely include development of an online ordering system for Stationery supplies. The Documentum 4i Content Management System used for senate.gov could also be used for Webster.

LEGISLATIVE INFORMATION SYSTEM (LIS) PROJECT

The Legislative Information System (LIS) is a mandated system (Section 8 of the 1997 Legislative Branch Appropriations Act, 2 U.S.C. 123e) that provides desktop access to the content and status of legislative information and supporting documents. The 1997 Legislative Branch Appropriations Act (2 U.S.C. 181) also established a program for providing the widest possible exchange of information among legislative branch agencies. The long-range goal of the LIS Project is to provide a "comprehensive Senate Legislative Information System" to capture, store, manage, and distribute Senate documents. Several components of the LIS have been imple-

mented, and the project is currently focused on a Senate-wide implementation and transition to a standard system for the authoring and exchange of legislative documents that will greatly enhance the availability and re-use of legislative documents within the Senate and with other legislative branch agencies. The LIS Project Office manages the project and oversees the Senate's outside contractors.

Background: LIS

An April 1997 joint Senate and House report recommended establishment of a data standards program and recommended the Standard Generalized Markup Language (SGML) as "an appropriate technology on which to base the preparation of legislative information and document management systems." Since that time, as anticipated, a subset of SGML known as the eXtensible Markup Language (XML) became an industry standard, and in December 2000, the Senate Committee on Rules and Administration and the Committee on House Administration jointly accepted XML as the primary data standard to be used for the exchange of legislative documents and information.

Following the implementation of the Legislative Information System (LIS) in January 2000, and the transfer of operations and maintenance of the LIS to the Office of the Sergeant at Arms (SAA) in March 2000, the LIS Project Office shifted its focus to procuring system development services in support of an LIS Augmentation Project (LISAP). The LISAP is focused on the data standard component to provide a Senate-wide implementation and transition to XML for the authoring and exchange of legislative documents. This component of the LISAP also includes the review and update of existing document type definitions (DTD), development of new DTDs, the conversion of legacy documents to XML formats, and conversion of documents in other formats to XML.

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

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

LISAP: 2002

In October 2001, the LIS Project Office added a software engineer and provided oversight for two consultants to conduct an eight week evaluation of an XML authoring application being built by the Office of the Clerk for the House Office of the Legislative Counsel and the House Enrolling Clerk. The application, built in XMetaL, was in limited use for House simple resolutions, and the Senate contract looked at its applicability for Senate simple resolutions, as well as its potential for use for larger, more complex documents. Although the House application proved to be a very ambitious, well-conceived effort that provided most of the high priority requirements identified by the SLC, it did not support their general editing activities in an easy, straight-forward manner. Following a briefing for the Clerk and House developers, the Senate chose to move forward with XMetaL as the XML editor on which the Senate authoring application would be built.

Two Senate staff were added to the LIS Project Office in 2002. A systems analyst was hired by the Office of the Sergeant of Arms in February and a systems analyst was hired by the Office of the Secretary in June. Two consultants returned in March to assist in the design and development of several functions with the editor to address the general editing requirements of the SLC. By the end of the contract, the project team had determined that it was possible to solve the SLC's general editing issues, and the Senate staff began building the authoring application in June. The first release of the Senate's Legislative Editing in XML Application (LEXA) was completed in September, followed by a release of additional functionality in December. In January 2003, eight attorneys and one staff assistant from the SLC began testing LEXA and providing feedback to the developers. LEXA was greeted with praise and enthusiasm from the SLC, and the testing/feedback cycle has yielded valuable information for the Senate development team. The development team will con-

tinue to refine and enhance LEXA over the next few months, adding the ability to create amendments, reported bills, and documents with tables.

While LEXA was being developed by Senate staff, a contractor was engaged in June 2002 to begin addressing the requirements and design of a Document Management System (DMS) for the SLC. The first phase of development will be completed in February, and a second phase of development and implementation is planned to begin in March. The DMS, which will be integrated with LEXA, will provide the ability for the SLC to track and manage all work requests, legislative drafts, and internal office documents in a variety of formats including XML, XyWrite, Word, WordPerfect, e-mail, and PDF. The DMS will also provide search and retrieval and a means to exchange documents with the Senate Enrolling Clerk, the GPO, the House Office of the Legislative Counsel, and the Senate Appropriations Committee. The expansion of a DMS approach into other Senate offices will facilitate greater accessibility to legislative documents.

Prior to roll-out of LEXA and the DMS, the contractor will develop a training program that will provide transition training for the entire office of the SLC and the Senate Enrolling Clerk, a printed and online reference manual, and computer-based training for new hires. The Contractor completed a short contract in January 2003, to gather the training requirements and prototype the products. Training will begin late this year, most likely immediately following adjournment.

Another important element of the LISAP involves data conversion. In June 2002, the Senate contracted to convert Senate bills and resolutions and the SLC's drafts from the 106th and 107th Congresses from their current "locator-coded" format to XML. This conversion effort is to be completed by the end of March, and the documents will be loaded into the SLC's DMS for use in subsequent legislative documents authored in XML. The conversion software will be integrated into LEXA/DMS in order to provide the ability to convert a single document or batch of documents from earlier Congresses as needed. The Senate has also contracted on a project to convert the XML data back to locator codes for printing through GPO's Microcomp composition software and for exchange with offices that are still working in Xywrite and not yet ready to work with XML documents. Concurrent work on the bi-directional conversions has greatly benefitted both conversion projects.

Another project undertaken in 2002 was a move toward creating the Congressional Record in XML. The Congressional Record is an important research tool and historical document, and having the electronic data available in XML format will one day provide the ability to produce a much more useful and powerful searchable database than is possible today. One of the first steps in that direction is to create a document type definition (DTD) that describes the structure and contents of the Record. The Senate contracted to create a DTD for the Senate portions of the Record. The contractor also developed a high level strategy for a phased transition to an XML Congressional Record including time and resources required, hardware and software requirements, and change management considerations.

To support the applications and interfaces for the authoring and exchange of legislative documents, LISAP deliverables include project plans; requirements and design documents; implementation, deployment and training plans; documentation; training materials; and training classes.

LISAP: 2003

Plans for 2003, include the completion and deployment of LEXA and the DMS for the SLC and the Enrolling Clerk. Deployment to those offices must include the development and delivery of the training program and conversion of documents already created for the 108th Congress. One other set of documents that needs to be converted is the compilation documents of existing law that are created and maintained by the House and Senate Legislative Counsels.

Completion of LEXA for the SLC for bills, resolutions and amendments will establish a framework on which to build applications for other offices and other legislative documents. Elements in bills are common to other legislative document types including conference reports, compilations, committee reports, the U.S. Code and the Congressional Record. Authoring applications for additional document types produced in other offices can be constructed by reusing certain functions built for the bill's application where common elements and requirements exist.

The LISAP will also begin to address the needs of other Senate offices, starting with the Appropriations Committee. A contract project to determine unique requirements for drafting appropriations bills and to assess the feasibility and requirements for a document management system for the Committee is under development.

The legislative process yields other types of documents such as the Senate and Executive Journals and the Legislative and Executive Calendars. Much of the data and information included in these documents is already captured in and distributed

through the LIS/DMS database used by the clerks in the Office of the Secretary. The LIS/DMS captures data that relates to legislation including bill and resolution numbers, amendment numbers, sponsors, co-sponsors, and committees of referral. This information is currently entered into the database and verified by the clerks and then keyed into the respective documents and reverified at GPO before printing. An interface between this database and the electronic documents could mutually exchange data. For example, the LIS/DMS database could insert the bill number, additional co-sponsors, and committee of referral into an introduced bill while the bill draft document could supply the official and short titles of the bill to the database.

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

PREPARED STATEMENT OF TIMOTHY S. WINEMAN

Mr. Chairman, I appreciate the opportunity to present to your Committee, the Budget of the United States Senate for fiscal year 2004.

Mr. Chairman, the fiscal year 2004 budget estimates for the Senate have been included in the Budget of the United States Government for fiscal year 2004. This Budget has been developed in accordance with requests and proposals submitted by the various offices and functions of the Senate. The total budget estimates for the Senate are \$753,747,000 which reflect an increase of \$79,416,000 or 11.78 percent over the amount appropriated for fiscal year 2003 and does not reflect any adjustments to these estimates which may be presented to your Committee during these hearings. The total appropriations for the Senate for fiscal year 2003 are \$674,331,000. An individual analysis of the budget estimates for all functions and offices has been included in the Senate Budget Book, previously provided to your Committee.

The budget estimates for fiscal year 2004 are divided into three major categories as follows:

Senate Items	\$133,968,500
Senate Contingent Expense Items	612,279,500
Senate Joint Items	7,499,000
TOTAL	753,747,000

Specifically, Mr. Chairman, the fiscal year 2004 budget estimates reflect increases over the fiscal year 2003 enacted levels as a result of: (1) the anticipated 3.9 percent cost-of-living adjustment for fiscal year 2004, and the annualization costs of the fiscal year 2003 4.27 percent cost-of-living adjustment; (2) the cumulative under funding of previous fiscal years in the Senators' Official Personnel and Office Expense Account due mainly to increases in population categories of various states and increases in the Administrative and Clerical Assistance Allowance authorized by the Legislative Branch Appropriations Acts, 1999, 2000, 2002, and 2003; (3) personnel adjustments, other than the cost-of-living; (4) increases in agency contributions applicable to the cost-of-living adjustments and other personnel increase requests; and (5) other miscellaneous and administrative expense increases.

Mr. Chairman, I submit for the consideration of your Committee, the Budget of the United States Senate for fiscal year 2004.

Senator CAMPBELL. Thank you. Some of the questions require an extensive answer, so I will submit them in writing since we have a very short time. That is unless you want to wait until we get done voting twice, which will be 45 minutes or more with you sitting around.

Ms. REYNOLDS. Your preference. So whichever you would like.

SELECTION OF ARTISTS FOR PORTRAITS

Senator CAMPBELL. Let me ask you a couple of easy ones first because I am particularly interested in the arts, having made my living in it for years and years before I ever got in public office. How are the portraits you mentioned of Senator Dole and one other.

Ms. REYNOLDS. Mitchell?

Senator CAMPBELL. Yes. Are those done by bid or how do you pick who does those?

Ms. REYNOLDS. I am going to defer, if I might, to our curator on that. She is here to come up and educate us on that.

Senator CAMPBELL. Please, your name for the record.

Ms. SKVARLA. Diane Skvarla.

Senator CAMPBELL. Why don't you come up here, Diane.

Ms. SKVARLA. Diane Skvarla, Senate curator.

We select an advisory group of curators and historians to help us in the selection process of the artists. In the case of Mitchell and Dole, there are such curators as the curator of the National Portrait Gallery, the director of the National Gallery of Art, and a variety of other curators from the home State.

Senator CAMPBELL. So that becomes a committee and they decide? If an artist is out there and wants to have his name in the hopper, what do they do? Write a letter saying I—

Ms. SKVARLA. That is it exactly. They send their portfolio to our office and we consider them. Absolutely. And we keep them on file.

Senator CAMPBELL. And is there a standard fee that you pay them?

Ms. SKVARLA. The Senate Commission on Art has established a standard fee for the leadership work.

Senator CAMPBELL. How much is it for a painting?

Ms. SKVARLA. \$40,000.

CURTIS CHAIR

Senator CAMPBELL. Thank you. Another thing that I want to become one of the joys of the Secretary's Office is retrieving some things for the new visitor center. I talked to you about it before. One was a chair. That sounds kind of crazy, thinking of a chair as an art piece. But it was hand-carved years ago for Charles Curtis who was the Vice President of the United States. It was a chair he used on the podium. Somebody called me about it 15 or 18 years ago. I may have mentioned this. It was a private antique store I think, and they wanted to sell it to me. And I was not in the market to buy a chair for the price they wanted. I could have bought a car cheaper than that chair. So I passed on it, but I know that Senator Dodd and several others now are really trying to get some interest going to reacquire some of the things that historically were in the Senate and now are somewhere else.

I have gotten a couple of partial pictures of that chair, and I do not know where it is, but I understand it is in private hands somewhere now. I would hope maybe you would help us try to find the owner of that and see if they would like to sell it to the Senate or donate it and get a tax write-off or do something where we could reacquire that with some of the other things we are looking for.

Ms. REYNOLDS. With the help of the curator's office, I can tell you we are very much in the hunt for that chair.

Senator CAMPBELL. A good chair.

Ms. REYNOLDS. Your chair.

Senator CAMPBELL. No, it is not mine. It was a good chair.

Ms. REYNOLDS. Senator Curtis' chair I should say. That is right. The chair.

As of close of business yesterday, we had talked with the just-previous owner and we are in hopes of—

Senator CAMPBELL. Was it an antique store or a private owner?

Ms. SKVARLA. It was the antique store that we actually had spoken to, the owner of the antique store, but it now is in private hands and she is trying to locate it. She sold it about 2 years ago.

Senator CAMPBELL. Well, hopefully when we do find that, maybe we can convince them of the importance to not only the Senate but to the country to try to preserve some of the things where all Americans will be able to see things like that in the new visitor center.

CAPITOL VISITOR CENTER

Speaking of the visitor center, I know you have only been here 4 months. What is your assessment on how it is coming along? I know they have had to make some changes after 9/11 and that is going to add to the cost of it. When I look out there, not being an engineer, it just looks like a big hole so far, but I know there is definite progress being made and you are much more tuned in to it than I am.

Ms. REYNOLDS. Thank you for asking. Obviously, I know we will all look forward to hearing Mr. Hantman's comments this afternoon on the visitor center.

I will tell you that in my time here the work on the visitor center in terms of the time that it occupies on my own schedule and our staff, as we facilitate weekly meetings, both a joint meeting with our colleagues on the House side and then again here on the Senate side, both on Mondays and Thursdays, the time that it takes is extraordinary, but certainly worthwhile. The project is one of such complexity and magnitude. I share your thoughts. As someone who is obviously not an engineer, not a construction manager, it is mind-boggling in many respects.

Again, I know Mr. Hantman will address this. Clearly the awarding of the sequence 2 contract was a major goal that we got through just before the recess.

They are making tremendous progress. You may notice as you come in, even in the mornings—and I have noticed this. I walk to work sometimes and come up the Hill. As early now as 6:30 in the morning, those big dumptrucks are loaded up to move that dirt out of here every day. So they are making progress. But again, it is a project of enormous complexity and magnitude and one that each day, there is a different moving piece to the puzzle, if you will. But it is an exciting project.

And it is for all of us to remember that at the end of the day, we moved in this direction for security concerns when we lost our officers here in that tragic shooting, but clearly since 9/11, since October 15th with our anthrax incident, the world has changed for

us once again. So the security enhancement, both for our whole community here, in addition to our visitors—you know, the short-term pain and long-term gain will be well worth this.

And in addition, the educational component for our visitors will be so greatly enhanced.

So I think we will end up in 2005 with a project of which we can all be very proud and one that will serve this institution very well in the years to come.

Senator CAMPBELL. Well, I am excited about that too. Before 9/11, the halls were just full of children. You almost could not get through to get to vote because there were so many. I really miss the little buggers now.

I did not realize how I could miss those crowds of kids, but I do. When that visitor center is opened, I am sure that is going to one of the main places they go before they come into the Capitol.

ADDITIONAL COMMITTEE QUESTIONS

Well, thank you, and I will submit some questions for you dealing with employment retention and two or three other things, if you could get back to us on those. Thank you.

Ms. REYNOLDS. Thank you, sir. I appreciate it.

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

QUESTIONS SUBMITTED BY SENATOR BEN NIGHTHORSE CAMPBELL

Question. Secretary Reynolds, your office has numerous initiatives underway to improve the operations of the Senate. What are your highest priorities for the year ahead?

Answer. Our single highest priority is to continue to provide the best possible legislative, financial and administrative services to the U.S. Senate. To that end, in the year ahead, I would cite five specific areas of concentration:

1. We will continue to make significant progress on our two mandated projects, the Financial Management Information System and the Legislative Information System Augmentation Project, for which we have received substantial appropriations.

2. Our ongoing work with the Sergeant at Arms in Continuity of Operations and Continuity of Government planning will enable us to support carrying out the Senate's constitutional functions in the event of an emergency or some unforeseen circumstance.

3. We will continue to strengthen our bench in each of our 25 departments to ensure that our personnel continue the tradition of outstanding talent and skill in serving the Senate. Succession planning and cross-training, especially among our legislative specialities, remain a critical component of this focus and our overall operation.

4. We take very seriously our curatorial role in protecting and preserving the Senate wing of the Capitol, and through the Historical Office, providing the Senate's institutional memory. With the approval of the Senate Commission on Art, we hope to approve a preservation policy this year and develop initiatives that will allow us to further enhance the Senate's collection with historic furnishings and fine art acquisitions.

5. Using our appropriated dollars from fiscal year 2003, we will make much needed technology upgrades, particularly in Captioning Services and the Gift Shop. In addition, we hope to enhance www.senate.gov, for the further benefit of the general public.

Question. The fiscal year 2002 legislative branch bill provided authority for repayment of student loans to Senate employees. It is my understanding that 109 of the roughly 900 employees participating in the first year of the program were terminated from the program. Termination occurs if one fails to meet the one-year service requirement. This is an extraordinarily high termination rate. What is your sense as to the effectiveness of the student loan program as a recruitment and retention

tool for the Senate? Could your office proceed with a study of the program, through a survey of offices, to determine how it is operating?

Answer. Since the program is so new, it has yet to reach the maturation point where one could point definitively to its impact. In addition, while my office has responsibility for establishing the sample student loan agreement and addressing payment issues, each Senate office oversees the program in regard to its own employees.

Although the rate of those breaking the student loan repayment contract appears substantial, continued favorable responses from Senate offices give us an overall impression that the program has been well-received. Moreover, we know that the number of offices using the program and consequently, the number of employees participating, has grown steadily during each month of this past year. Anecdotal evidence from participating offices also seems to indicate that the program has been used, at least through the first year, almost exclusively for retention purposes.

In the next few days, I will meet with Senate office managers and administrators, and plan to discuss this subject. My goal is to create a small working group from several Senate offices to devise a means, perhaps through an informal, confidential survey, to give us both additional anecdotal evidence and statistical evidence of the program's use and effectiveness as a retention and recruitment tool. I look forward to reporting back to the Committee on our progress and results.

ARCHITECT OF THE CAPITOL

STATEMENT OF ALAN M. HANTMAN, FAIA, ARCHITECT OF THE CAPITOL

Senator CAMPBELL. We will now hear from Mr. Hantman. If you will come up and just grab a chair and pull it up there.

As we did with Ms. Reynolds, if you want to submit your complete written testimony, that will be fine because we are going to simply run out of time unless you want to wait around for an hour. That does not appeal to me either.

Mr. HANTMAN. No. I appreciate that, Mr. Chairman. I would appreciate doing that.

Mr. Chairman, I welcome this opportunity to testify today and I thank this committee for its support over the years. It has allowed us to complete many critical projects and assure continuously improving service at the Capitol, the Senate office buildings, and throughout the Capitol complex.

My budget request for fiscal year 2004 meets my responsibilities for facilities management, for project delivery, and the stewardship at the Capitol complex.

But just as importantly, it responds to the demands of our customers, the requirements for fire and life safety, as well as new security requirements. It has been a challenge, Mr. Chairman, to build this budget request in this fiscally constrained environment and balance these requirements against our current workload.

We are requesting \$513.9 million for fiscal year 2004, which is \$57 million, or 12.5 percent, above the enacted fiscal year 2003 budget, including the fiscal year 2003 supplemental. The most significant factor in this increase is the request for funds to purchase the shared alternate computer facility at some \$61 million.

Other significant projects in this request include \$40.8 million to continue with the West Refrigeration Plant expansion project, \$26.5 million for phase two of the design of the U.S. Capitol Building master plan, and \$18.7 million to replace the high-voltage switchgear in nine buildings on the campus. Some other key items include \$6.5 million to improve Capitol power plant operations, and \$4.7 million for steam humidifiers in the Hart Senate Office Building. Details of each project, of course, are included in the formal statement so I will not go into them.

These projects are in addition to more than 200 projects now underway. Among them are substantial projects necessary to meet the demand for heightened security as a result of our ongoing war on terrorism. In this environment, the AOC is carrying out its mission to provide Congress and the public with a wide range of professional expertise and services to preserve and enhance the Capitol complex and related facilities by completing many important projects.

We have also undertaken significant efforts to improve the agency and take on what I like to call the magnificent challenges associated with maintaining and preserving our Capitol. One of our greatest challenges, Mr. Chairman, is to sensitively incorporate modern systems for health, safety, security, and accessibility into these historic buildings.

Although our workload is immense, I am proud to say in the first quarter of 2003, 98 percent of our projects were completed within budget.

Not only are we working to complete projects on time and within budget, we are doing our work much more safely, and with the generous support of Congress, we have increased our safety and our professional staff. We have modified our work practices and procedures and reduced our total injury and illness rate by some 53 percent and our lost time injury/illness rate by 36 percent in just the last 2 years.

There is an awful lot of good story over there, Mr. Chairman, and most of it is in the written record. So I will end my public testimony at this point in time and welcome any questions you might have.

[The statement follows:]

PREPARED STATEMENT OF ALAN M. HANTMAN, FAIA

Mr. Chairman, members of the Committee, I welcome this opportunity to testify before you today. The Office of the Architect of the Capitol (AOC) has always worked closely with the Sub-Committee for the Legislative Branch on Appropriations in a successful and collaborative relationship. I thank the Committee for its generous support which has allowed us to complete many critical projects, provide exemplary service, and assure continuity of operations at the Capitol, the Senate Office Buildings and throughout the Capitol complex. My budget request for fiscal year 2004 meets my responsibilities for facilities management, project delivery, and the stewardship of the Capitol complex. But just as importantly this budget responds to the demands of our customers, the requirements for fire and life safety, as well as new security requirements. It has been a challenge to build this budget request in this fiscally constrained environment and balance these requirements against our current workload. I have personally reviewed the budget request with each of my Superintendents to ensure we fulfill our responsibilities as effectively and efficiently as possible reviewing the base amounts and looking for areas of savings.

We are requesting \$513.9 million for fiscal year 2004, (\$447.1 million excluding the items for the House of Representatives)—\$57.1 million or 12.5 percent above the enacted fiscal year 2003 budget including the fiscal year 2003 supplemental. This does not include the authority to use \$4.4 million reimbursement of utilities provided to non-legislative branch agencies. The most significant factor in this increase is the request for funds to purchase the shared Alternate Computer Facility at \$61 million. Other significant projects in this request are: \$40.8 million to continue with the West Refrigeration Plant Expansion project; \$26.5 million for Phase II of the design of the U.S. Capitol Building Master Plan; \$18.7 million to replace the high-voltage switchgear in nine buildings; and \$12.6 million for the design of new Library of Congress facilities and a condition assessment for the Library of Congress Buildings and Grounds. Other key items in my budget request include \$6.5 million to improve Capitol Power Plant operations; \$4.7 million to replace steam humidifiers in the Hart Senate Office Building; \$4.3 million to refurbish Bartholdi Park; \$4.2 million to prepare a Capitol Complex Master Plan; \$4.2 million to build an underground fuel storage tank for the Capitol Power Plant, and \$4.1 million to install a fire protection water tank at Ft. Meade.

PROJECT DESCRIPTIONS

Alternate Computer Facility—\$61,000,000

This request will fund the purchase of the land and buildings for the Alternate Computer Facility (ACF). Per Public Law 107-206, Section 905(a), the AOC is authorized, subject to the availability of appropriations, to acquire buildings and facili-

ties for use as computer backup facilities for offices in the legislative branch. The AOC entered into a 10-year lease in November 2002, with a single option of an additional ten years, for such a facility in Manassas, Virginia. The facility selected was one of two adjoining buildings, with the legislative branch occupying one building and the other occupied by commercial tenants. Included in the lease, is an option for the AOC to buy both buildings and the surrounding land within the first five years. Due to the design and interdependencies between the two buildings (e.g., common utility systems and mechanical rooms) it is not feasible to buy only one of the two buildings. Based on preliminary analysis in June of 2002, it is more advantageous to the government to procure both buildings than to continue a full 20-year lease for one building based on comparing the present value of the cost of ten years worth of lease payments to the cost of purchasing the entire building. We will undertake full due diligence in support of this purchase this summer. Continued leasing of the ACF will result in fiscal year 2005 acquisition costs rising to \$63,000,000 as priced in the lease agreement.

West Refrigeration Plant Expansion—\$40,800,000

This project provides funding for the final increment for the West Refrigeration Plant Expansion Project. The total project cost is \$81.8 million. The existing West Refrigeration Plant operates at its maximum capacity during peak summer load conditions and if the project is not funded, the Capitol Power Plant will be unable to meet the cooling needs of the Capitol complex. The Capitol Visitor Center (CVC) will also impose additional loads when it becomes operational in 2005. These demands make it critical that this project be completed before the CVC is completed. Construction of the West Refrigeration Plant Extension will accommodate new chillers and include all necessary auxiliary equipment, such as cooling towers, pumps, heat exchangers, piping and controls. It is imperative that this project be completed in time to meet future demands.

U.S. Capitol Master Plan Phase II—\$26,500,000

This project will provide initial design funding to implement the U.S. Capitol Master Plan which addresses upgrades to the infrastructure/support systems of HVAC; fire protection and life safety; security; electrical; lighting; vertical transportation; telecommunications; system integration; and plumbing systems throughout the Capitol Building. The scope is fundamentally an infrastructure upgrade coupled with limited architectural changes designed to meet fire and life safety codes for the interior of the U.S. Capitol. The proposed work includes upgrades to the Senate and House Chambers; a building-wide sprinkler system; an upgrade of the HVAC system to include smoke evacuation features; an essentially new electrical system to include new distribution wiring and panels and new or refurbished lighting and special electronic systems; additional vertical circulation; and upgraded public toilet facilities. The new special electronic systems include security, fire alarm, information technologies fiber optic backbone and legislative call systems. The Master Plan will not affect existing architectural design except in those areas where upgrades necessitate architectural modifications. We are currently in the process of engaging a consultant to conduct a feasibility and constructability analysis for construction phasing with emphasis on accelerating the life safety, fire protection, and other Master Plan recommendations and initiatives that can be accomplished with minimum disruption to building occupants and business operations. The analysis will also include the feasibility of accelerating life safety and fire protection recommendations on the House and Senate Chambers. If this phase of the Master Plan is not funded, the correction of basic fire and life safety deficiencies will be deferred, potentially resulting in harm to human life in the event of a fire or emergency evacuation.

Replace High Voltage Switchgear in Nine Buildings—\$18,672,000

This project will provide funds to replace High Voltage Switchgear in nine Capitol complex buildings. High Voltage Switchgear ensures adequate reliable electric power supply through power distribution interfaces with the PEPCO incoming feeders. It works at 13,800 volts and contains high voltage power breakers and system protective metering devices and constitutes the backbone of the electric power distribution system. The replacement switchgear will ensure maximum technical uniformity between switchgear in different buildings and simplify maintenance. The switchgear in all buildings are very old (in most cases 42 to 50 years old) and are either at the end of their life expectancy or are no longer logistically supported by the manufacturer. Currently, a single failure of high voltage equipment will not, in most cases, interrupt normal power supply. However, two consecutive failures (if the first one cannot be promptly fixed) would result in a major power supply breakdown to a building, possibly for days entailing significant costs to repair.

Design, Study and Condition Assessment for Library of Congress—\$12,602,000

This line item provides flexibility to meet the needs of the Library of Congress by performing studies, designs and condition assessments to improve project planning and programming. Specific initiatives under this category are:

- Replace Drinking Water System.*—Design revisions to the drinking water system to ensure long-term safety and reliability of water supply.
- Logistics Warehouse Facility, Ft. Meade.*—New warehouse facility at Ft. Meade enabling the LOC to consolidate, increase service and eliminate current leased facilities.
- Offsite Storage Facility.*—Design of new off-site facility to house platinum level collections for the LOC.
- Book Storage Module 5, Ft. Meade.*—Design new Book Storage Module 5 at Ft. Meade to house general collections to alleviate safety and overcrowding issues.
- Master Plan, Ft. Meade.*—Continuation of conceptual level master plan study at Ft. Meade to plan and resolve utility issues.
- Replace Bathroom Exhaust Systems, Jefferson Building.*—Design upgrades to mechanical exhaust system to alleviate building code violations.
- Upgrade Book Conveyor System.*—Design upgrades to the book conveyor system fire wall penetration resulting from a Citation from the Office of Compliance.
- Study, Damper Smoke Control.*—Design a comprehensive smoke management system to ensure safe egress of building occupants and respond to a Citation from the Office of Compliance.
- Upgrade Emergency Lighting.*—Design upgrades to all emergency lighting systems to ensure code compliance and the safety of building occupants.
- Steam-to-Steam Humidification.*—Design upgrades to all building humidification systems to improve operations, indoor air quality and collections preservation.
- Repair/Replace Copper Roof, Adams Building.*—Design repairs to deteriorated copper roof currently leaking and at the end of its expected life cycle.
- ADA Bathroom Renovations, Adams Building.*—Design upgrades to bathrooms in fire stairs resulting from a Citation from the Office of Compliance.
- Repair Clean Convectur Units.*—Study methods to clean existing convectur units to increase indoor air quality.
- Provide Electrical Upgrade, Madison Building.*—Study alternatives to increasing available power throughout the Madison Building.
- Conservation of Murals.*—Ongoing study and conservation of historic artwork in LOC facilities.
- Design, Replace Windows.*—Design and install prototype windows for evaluation in accordance with the Capitol Police Blast-Cad Study.
- Condition Assessment.*—Comprehensive condition assessment of all facilities and equipment to facilitate a capitol improvement plan & preventative maintenance plans.

Installation of Distributed Control System—\$6,500,000

This project will replace the existing pneumatic controls in the Capitol Power Plant Boiler Plant with digital controls. Existing obsolete controls utilize mercury, which is an environmental hazard. A “fieldbus” protocol will be used in the new control system, which will allow accurate and remote monitoring of the plant. The controls to a boiler must be fully functional and accurate to ensure safe plant operation and compliance with environmental restrictions. Due to the age, inaccuracy, and unavailability of replacement parts, the system must be replaced. If not funded, the Capitol Power Plant will continue to use unreliable controls. The plant will not operate as safely or as efficiently as it should. Also, this installation will support future potentially more restrictive permit limits for environmental compliance.

Replace Steam Humidifiers, Hart Building—\$4,715,000

This project will fund the removal of the existing humidification systems in 25 major air handling units and retrofit them with new “Clean Steam” chemical-free humidification equipment in the Hart Building. To enhance steam quality and reduce maintenance by in-house personnel, a water softening system will be incorporated in conjunction with the steam generators. The remaining air handlers will be supplied with cabinet-style humidifiers (located adjacent to air handlers) that will enable “clean steam” humidification. If not funded, a “clean steam” chemical-free humidification system, intended to improve indoor air quality, will not be installed.

Bartholdi Park Fountain Restoration and Park Renovations—\$4,280,000

This project will provide funding to restore the Bartholdi fountain which was purchased from the 1876 International Centennial Exhibition in Philadelphia, and was moved to Washington, DC in 1877. The restoration of the fountain to its cast iron metal base in 1986, was expected to last approximately 10 years. The four top coatings have disintegrated and the cast iron is exposed in areas. Although the fountain is functional, both the top and lower basins leak and many of the water sprays function sporadically. This project will renovate and restore the existing fountain and basin. This includes providing and applying a coating treatment to the deteriorating metal finish; upgrading and replacing all plumbing; upgrading the electrical components; installing a new utility vault, basin, light fixtures, and 19th century replicas of the original light fixtures and basin standards. All irrigation to the fountain and Bartholdi Park will be replaced. Most of the park does not have an irrigation system and requires high maintenance and manpower during the summer months. Additionally, the deteriorating sidewalk will be removed and replaced. If not funded, the Bartholdi sculpture will continue to deteriorate and the fountain will become inoperable.

Capitol Complex Master Plan—\$4,200,000

This project provides funding to prepare a Capitol Complex Master Plan. The existing master plan is 22 years old and does not address facility requirements brought about by the Congressional Accountability Act, nor does it relate to the present need for a heightened security environment. A comprehensive Facilities Conditions Assessment (FCA) has not yet been performed, and there is insufficient global input to fully address all necessary decision factors. Therefore, a new master plan for the Capitol complex needs to be developed to:

- Assess the present physical condition of the buildings;
- Assess the buildings' capacities and functionalities to accommodate current and future Congressional occupant requirements;
- Identify and document current and future Congressional programmatic needs;
- Address code, environmental, and security requirements;
- Address visitor and traffic circulation (including parking) and;
- Address new technology opportunities.

The resulting master plan will serve as a blue print to aid the AOC and Congress in determining capital expenditure requirements and priorities. Funding for the Facilities Conditions Assessment is being provided in fiscal year 2003 for the Capitol, Senate, and House facilities. In addition, a workshop was convened by the National Academy of Sciences to assist in identifying key issues and factors that need to be addressed by a master plan for the Capitol complex. Based on the results of the workshop, a Request for Proposal will be developed to solicit proposals from firms with demonstrated expertise in campus-type master planning. The scope will include identifying and documenting all of the critical factors that will affect the planning, funding, and implementation of future capital projects on the campus. The scope will also call for recommendations on a means of prioritizing the factors. Without this comprehensive master plan for the Capitol complex, capital projects will not be planned, developed, or prioritized within an appropriate comprehensive framework.

Install Oil Storage Tanks—\$4,200,000

This project will provide funding to install a 400,000-gallon underground fuel oil storage tank in the Capitol Power Plant auxiliary coal yard. The fuel oil tank will supply oil to the Capitol Power Plant boilers through a utility tunnel being installed as part of the Interim Coal Handling Project. The current fuel oil storage on the site does not provide sufficient capacity in the event of a gas curtailment. This additional 400,000 gallons of storage along with the existing 200,000 gallons of storage will give a total of seven days storage at full load operation. Environmental restrictions have effectively limited the flexibility of burning coal, thus making the plant more dependent on fuel oil to stay within limits. If not funded, the Capitol Power Plant will be forced to continue to pay higher costs for natural gas. The plant would continue to operate on limited fuel storage capacity.

Water Tank, Ft. Meade—\$4,103,000

To meet fire code requirements of the Book Storage Module 2 Project at Fort Meade, a water tank is necessary as a second reliable water source for this and future projects. This project will include a 500,000 gallon on-grade water tank, pumps and an associated distribution network. This is a code-required installation and Book Storage Module 2 cannot be occupied until the water tank and associated pumps and distribution network are provided.

EMPLOYEE SAFETY

Not only are we working to complete our projects on time and within budget, we also want to complete them safely. I am pleased to report that, according to the most recent figures from the Occupational Safety and Health Administration, we have cut our total injury/illness rate by 53 percent and our lost time injury/illness rate by 36 percent in the last two years. Our lost time rate for fiscal year 2002 was only slightly higher than the Federal agency average—a substantial achievement for a predominantly shop-oriented, blue collar work force. These significant injury reductions are a result of the priority I have placed on safety, the attention and commitment of the AOC management team, the hard work and dedication of AOC employees, and the ongoing support of this Committee.

With the generous support of Congress, since 2000 we have increased our safety professional staff, modified work practices and procedures, and provided protective equipment and safety training to our employees. We also have greatly improved our ability to anticipate and prevent injuries and illnesses from occurring. While this is a substantial achievement, I believe our total injury rate remains high. I am committed to continue reducing this rate and achieving my ultimate goal of eliminating all injuries and work-related illnesses.

Another achievement of note: There were no citations issued by the Office of Compliance (OOC) to the AOC in 2002. In fact, in its 2002 Biannual Report, the OOC noted the “improved workplace safety” it witnessed during its inspections.

SENATE OFFICE BUILDINGS IMPROVEMENTS

Over the past two years, we have made significant improvements to the three Senate Office Buildings. We have been systematically modernizing the passenger and freight elevators to improve their performance and reliability. As part of the overall security plan, we expeditiously installed blast resistant film on all the office windows. The Dirksen Building has undergone a major renovation to modernize the building systems in the areas of fire protection, life safety, electrical power, telecommunications, heating, ventilation, and air conditioning. Major improvements include new telecommunications systems infrastructure to support the upgrade of equipment and technologies; expansion of the existing sprinkler system to provide 100-percent building sprinkler protection for increased life safety and property protection; and energy-efficient lighting. Many of the restrooms in the Dirksen and Hart buildings are now fully ADA compliant, and the modular furniture replacement program was recently rolled out in the Hart Building.

The AOC has made significant improvements to the Senate Office recycling program by implementing a combined paper program recommended as a best practice by an industry consultant. The combined paper program allows mixing of different types of paper which simplifies separation and collection, thereby increasing participation and reducing contamination. As a result, contaminated waste has been reduced from a high of 75 percent in fiscal year 2000 to nine percent in the first half of fiscal year 2003. There has been a 21 percent increase in the amount of combined paper products collected; a 200 percent increase in the number of bottles and cans recycled; a 1,300 percent increase in newspapers recycled; and a 66 percent increase in the amount of scrap metal recycled.

In June 2002, we asked our Legislative customers to provide us with feedback regarding their satisfaction with the level of building services we provide. This will be an on-going process with the second survey scheduled for June 2003. In response to the feedback we received, we have modified and improved our cleaning procedures. Specific inspection procedures have been implemented to identify consistency and quality of cleaning operations, specific cleaning goals are set, and we are recognizing outstanding employee performance. As a result of the process changes, from July 2002 to January 2003, the Senate Office Buildings night cleaning division reached a performance score of 96.8 percent. (The performance score is the percentage of satisfactorily cleaned items over total inspected items based on stated objective criteria.)

CAPITOL AND CAPITOL GROUNDS IMPROVEMENTS

In the Capitol Building, we have orchestrated hundreds of projects from painting rooms, to the first phase of the Dome rehabilitation, and the preparation of construction documents for the major work yet remaining. One of the larger projects we have undertaken is the modernization of all elevators. Work has been completed on nine elevators, three are currently under construction, and the remaining one is scheduled for modernization in fiscal year 2004. In addition, we will complete the

stairwell extension from the third floor to the fourth floor on the Senate side on time and within budget.

We have achieved full compliance with ADA requirements at all the main building entrances and in the public restrooms. Smoke detectors, strobe signaling devices, emergency lighting, and other fire safety devices are continually being installed throughout the building. We are busily cleaning, restoring, and preserving the artwork, statues, and architectural features inside the Capitol Building. Outside the building, we have been tending to the grounds to assure that pathways were cleared of ice and snow during the many snow storms we endured this winter and planting bulbs so that we would be graced with a beautiful array of flowers now that spring has finally arrived.

This is only a short list of our many accomplishments. I expect an even more significant list of successes through the implementation of our Strategic Plan which will help unify the Agency's priorities and provide the business management tools needed to accomplish our organizational goals.

STRATEGIC PLANNING

When I testified before this Committee last year, I discussed the AOC's continuing improvements in planning and managing its projects and resources more effectively. Over the past year, the AOC has undergone a management review by the General Accounting Office (GAO). In January 2003, GAO issued its final report that validates the initiatives that we had underway, such as structuring and implementing a Strategic Plan and a Performance Management Plan, and makes additional recommendations that we are incorporating into our operations. These plans will assure that the Agency better achieves its mission; improves its performance; reaches its goals; and employs best practices to achieve results. We are in the process of obtaining stakeholder feedback on drafts of both plans and we will finalize them shortly. In unifying the Agency's priorities, the Strategic Plan will concentrate the AOC's efforts on planning and excellence in the most critical areas of our work: state-of-the-art facilities management and project management; business processes; and human capital planning and allocation.

The foundation of our Strategic Plan is a commitment to our stakeholders to provide exceptional client service and to preserve and protect the national treasures entrusted to our care. It is our pledge to respond quickly to requests; to find the most efficient way to solve problems; to provide the services necessary for Members of Congress and their staffs to perform their jobs; and to appropriately accommodate the many visitors to the Capitol complex each year.

HUMAN CAPITAL

We employ a diverse workforce consisting of individuals with a variety of skills and institutional knowledge. Because we are a service-based organization, these individuals comprise AOC's most valuable assets and are most critical to its success. AOC's focus on the strategic management of human capital covers all aspects of our staff assets, from recruitment to skill development to job motivation and satisfaction. We believe this strategic focus on human capital will ensure AOC's ability to deliver on our promises now and in the future.

As part of our strategic planning initiatives, we have published a number of new or revised human capital policies and will continue to review and identify others that may need to be updated or developed. We are also focusing on further improvement in areas of recruitment and employee development, and on significantly increasing the quantity and quality of data collection to enable us to develop better projections of our workforce needs—in terms of succession planning, recruitment, and development—based on our strategic goals.

Fiscal year 2003 marked the beginning of the third annual cycle of our individual performance management program for employees. The Performance Communication Evaluation System (PCEs) has enabled AOC to complete non-executive employee performance plans and evaluations regularly and systematically.

We developed and implemented a Performance Review Process that provides for performance plans and evaluations for our executives. We now plan to align our executive performance plans with our Strategic Plan to enable a top-down approach to cascading strategic goals throughout AOC.

Establishing formal processes to gather and respond to employee feedback is extremely important. As we implement new programs and processes as part of our transition to a performance-based organization, there will likely be many changes. An established feedback process will ensure that AOC leaders and employees both understand and respond to each other's concerns. This form of communication will assist the AOC in achieving its mission in the fairest and most efficient way. We

have formed a team to develop a comprehensive employee feedback program that will utilize focus groups, surveys, and other feedback mechanisms.

In addition to these communications efforts, we continue to provide outreach and support to employees through the ombudsperson, and our EEO/CP and Human Resources Offices.

INFORMATION TECHNOLOGY

We are committed to adopting an agency-wide approach to managing Information Technology (IT) to provide the consistent direction needed to enhance mission performance across the agency. As such, we are implementing a portfolio-based approach to IT investment decision making; developing an Enterprise Architecture (EA) that will help drive the agency-wide approach to IT management while aligning business processes with IT; revising our structured system life cycle to include processes for IT system acquisition and development with quality standards built in during each phase of the process; monitoring the performance of AOC's information technology programs and activities; and building a comprehensive information security program.

FINANCIAL MANAGEMENT

One key IT investment has been the implementation of the Financial Management System (FMS). The GAO noted in its management review report that the financial team has made great strides in improving the flow of financial data. The fiscal year 2004 budget continues to support this effort with funds to build policies and procedures and move us toward auditable financial statements. Our budget reflects the structure implemented under FMS with program groups and provides the recommended budget schedules and analysis of change formats from the Legislative Branch Financial Managers Council that details the individual appropriation budget requests.

FACILITY MANAGEMENT

The ability to measure performance related to strategic goals will be improved by the continuing implementation of the Computer-Assisted Facilities Management (CAFM) system. In 2004, the application will be upgraded to a web-enabled environment, preventative maintenance will be rolled out for electrical and plumbing systems, handheld scanners will help employees in the field maintain more up-to-date work order information, and we are planning to interface the facility management system to the financial management system to help insure accurate material, labor, and asset costs associated with maintenance work.

CAPITOL VISITOR CENTER

The most significant and most challenging project that began construction since I last appeared before this Committee is the Capitol Visitor Center (CVC). This is a much-needed project of momentous and historic importance. As the ninth increment of growth of the "People's House," it will offer free and open access to all people in a safe and secure atmosphere so that they may witness the workings of democracy and the legislative process.

This is a brief status report on the very significant progress we have made. The work is proceeding in several overlapping phases. In the winter of 2001-02, project bids were sought and the first major construction contract was awarded in spring 2002. This contract, called "Sequence 1—Foundation/Structure" and worth \$99 million, was awarded to a Northern Virginia contractor. The contract involves site demolition, slurry wall construction, excavation, installation of site utilities, construction of the concrete and steel structure, waterproofing, and construction of a new truck service tunnel.

The contractor has nearly completed the installation of the perimeter foundation walls and has begun major excavation activities that will continue through the summer of 2003. The outer perimeter wall is essentially complete and full excavation of the site is beginning as some 300-400 truckloads of soil are being removed daily in a manner least invasive to our Capitol Hill neighbors. Excavation will continue into the summer and the contractor will begin erecting steel columns and begin pouring portions of the roof slab later this summer.

With Sequence 1 moving at full throttle, we have just recently awarded the contract for Sequence 2, which includes installation of electrical, mechanical, and plumbing services, and all stone and architectural build-out and finishes of the CVC. A Source Selection Evaluation Board, headed by the General Services Admin-

istration (GSA), evaluated the bid proposals for this contract and I made the award with the approval of an obligation plan for Sequence II.

While the contract award is approximately 10 percent above the government estimate, a range that is considered to be within an acceptable and reasonable range per GSA and Department of Defense governmental standards, I am currently reviewing the entire project scope and the total cost-to-complete with the assistance of an outside independent contractor and oversight by the General Accounting Office.

CVC Budget

With regard to the overall budget, the original CVC project budget of \$265 million was established in 1999. At that time, the budget provided for the core CVC facilities, including the Great Hall, orientation theaters, exhibition gallery, cafeteria, gift shops, mechanical rooms, unfinished shell space for the future needs of the House and Senate, and the truck service tunnel. After September 11, 2001, new security requirements, pedestrian tunnels, et cetera, prompted the appropriation of \$38.5 million in additional funds, which were provided in the Emergency Supplemental Appropriation. In November 2001, the CVC team was then tasked to design and build-out the House and Senate shell space, requiring an additional \$70 million, which was provided in the Legislative Branch Appropriations bill. These additional requirements to the original scope bring the total amount of the project to date to \$373.5 million. I would like to emphasize this point—despite how these figures may have been reported in the papers—additional new requirements to the original scope have resulted in the appropriation of additional funds.

Project Complexities

As I mentioned, this project is arguably our most challenging. For example, many utility lines crisscrossing beneath the East Front Plaza had to be rerouted out of the project footprint before excavation could begin. During the past 100-plus years, water, sewer, electrical, and communication lines have been installed, and many of these lines were poorly or inaccurately documented on the existing building drawings—some of them dating back to the early 1900s. As a result, we encountered many unforeseen site conditions related to this effort, including an incorrect elevation for the top of the Amtrak tunnel as it crosses beneath First Street, N.E. This necessitated a costly rerouting of a 30-inch water main that needed to cross above it. As it became increasingly apparent that existing drawings were unreliable, much of the utility work was completed at night or on weekends. To some extent, we also worked around the legislative calendar in an effort to minimize disruption to the business being conducted in the Capitol.

There were many other tasks that we needed to accomplish before we put the first shovel in the ground. We are committed to preserving and protecting the trees on the East Capitol Grounds, and therefore hired a full-time tree preservation contractor; erected fencing and installed canopy misting systems to keep the trees free from dust; installed a new irrigation system; and relocated many significant, affected trees to safe locations. We removed and stored all of the original Frederick Law Olmsted features, including the fountains, lanterns and retaining walls. All of these historic features will be restored and reinstalled in their original locations on the Plaza. New visitor screening facilities were constructed on both the north and south sides of the Capitol and ramps were installed along the West Front to provide a respectful and ADA accessible visitor path into the building.

To assure as little disruption as possible to the day-to-day activities in and around the Capitol, we continued to work closely with the Leadership, the Sergeants-at-Arms, the Capitol Police, and other key offices to address the following:

- Alternate parking and pedestrian zones for the Senate and House.*—The CVC team successfully offset every parking space that has been impacted by construction activities.
- Noise reduction.*—Noise reduction window units were installed over every window on the East Front. These windows have cut the construction noise down significantly to the extent that Senate-side occupants have not voiced a single noise complaint since construction began.
- Relocated staff.*—A number of offices located in the East Front Extension have been temporarily closed or relocated due to the construction, with staff moves coordinated to assure smooth transitions into alternate space.
- Media Sites.*—New media sites off the Plaza were established to allow press operations to continue.
- Security.*—All of our pre-construction activities were accomplished in an atmosphere of extremely tight security following the terrorist events of September 11, 2001. Increased screening requirements and more secure site logistics proce-

dures presented additional challenges. However, the Capitol Police have been very accommodating in assisting us in maintaining a secure site without impacting the work schedule.

Schedule

Despite these many challenges—including the fact this was one of the wettest winters on record—with the timely award of Sequence 2, we are on schedule to complete the project in 2005 and to support the Inaugural in January 2005. We are in meetings now with the Rules Committee to determine what level of support is required. We will partner with the Sequence 2 contractor to examine what is needed for the Inaugural and determine the associated costs, if any.

Regarding the schedule for substantial completion of the CVC in the fourth quarter of 2005, the Sequence 2 contract documents clearly stipulate that the facility will be—and I quote—“substantially complete and capable of being occupied and used by the Government for the intended purpose.”

MASTER PLAN

In recent years the number and magnitude of our projects has greatly increased. Therefore, we are improving our ability to coordinate and efficiently complete our many projects by taking steps to implement a series of project management plans. These initiatives will help the AOC to baseline and compare building conditions; plan and evaluate funding requirements; set goals; and track progress. To formulate the shorter term plan for project prioritization and implementation, a five-year Capital Improvements Plan is under development. This effort began with the development of a process for project prioritization and will ultimately incorporate the findings of the facility condition assessments which will begin later this year.

To provide consistent management and oversight of these efforts, a new Director of Planning and Programming has recently been hired. He has direct responsibility for both the Capitol Complex Master Plan and the Capital Improvements Plan as well as coordination of all planning and programming efforts.

Additionally, a new Project Management Director has been hired to support and manage a myriad of on-going projects. For example, following an expansive “best practices” analysis of AOC project delivery processes, we have published several manuals to improve the consistency of design and project delivery processes including: the *AOC Design Standards Handbook* to assure consistency in our project designs; an *A/E Design Manual* to assist our architects and engineers with project design and delivery processes; and an *AOC Project Manager’s Manual* to help institutionalize the project management process. We are also conducting “lessons learned” studies on several of our projects and are incorporating the results into these manuals to assure they remain current and practicable.

U.S. CAPITOL POLICE MASTER PLAN

In 1999, the AOC and the United States Capitol Police (USCP) published the United States Capitol Police Master Plan. Since that time, other events have necessitated a comprehensive update of that plan as well as a clear implementation strategy that reflected the new demands on the Capitol Police.

This implementation strategy focuses on two issues: changes to the USCP operational scenario and the need for a new Police Headquarters facility that responds to those changes. A specific site for this new structure has been identified and approved by the Capitol Police Board.

Other ongoing Police projects include the construction of new chemical explosives handling and K-9 structures at D.C. Village; a new vehicle maintenance facility at 67 K Street, S.W.; reconfiguration of existing areas within the Capitol, Senate and House Office buildings and existing Police Headquarters; and the site selection for an Off-Site Delivery Screening Center to replace the current P Street Warehouse.

We have contracted with the Naval Facilities Engineering Command to assist us in project management and delivery for these projects to assure that this additional workload is addressed in a responsive and timely manner.

SENATE RESTAURANTS

The Senate Restaurants have made strides in reducing economic dependency over the last five years through cost reductions and the marketing of its services. The effects of September 11, 2001, on the number of visitors to the Capitol complex have delayed our ability to reach the objective of a self-sufficient operation. The Senate Restaurants are committed to continuing its efforts to improve the quality of service, reduce costs, and market services.

In the past year, the cash register stations in the Dirksen cafeteria have been redesigned to allow greater customer flow. We began offering new services designed to provide Senate offices with new menu options when planning small, in-office functions that are less expensive than fully catered events. We have also introduced a "heart healthy" menu in the Senate Dining Room. Senate staffers can log on to our expanded web site and check out the daily specials in each restaurant and look for special events. The site is registering more than 5,000 hits per month. We've also made available to the public our famous Senate Bean Soup mug. They have sold well and have appeared in stories in the Wall Street Journal and on NBC's "Today" show.

In addition, we have installed the Food Trak inventory and cost control software package to enhance our operating systems. This program, together with the upgraded point-of-sale system, gives us the capability of interfacing our various systems to match items sold with up-to-date cost data and provides nutritional content information from the U.S. Department of Agriculture's data base.

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

CONCLUSION

Mr. Chairman, the AOC has undertaken significant new projects and responsibilities, while at the same time improving the safety and efficiency of our employees. Our request for funds are in direct response to customer requests and the level of cleanliness, preservation, safety and security expected on the Capitol Complex. We have met challenges, developed a Strategic Plan, and hired skilled managers and employees to help us achieve our immediate and future goals. We have completed thousands of work orders, become more responsive to our clients, and are adjusting to the heightened security demands of a post-September 11th world.

I am dedicated to providing a safe, secure, and productive environment for all who work in the Capitol complex and for all those who visit each year. We would not have made the progress we have without the dedication of all of our AOC employees. I am very privileged to lead a hard-working and professional team committed to exceeding the expectations of Congress and the American people.

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

Senator CAMPBELL. Thanks. I will also submit some questions in writing for you too. But we will go as far as we can before the bell rings.

GAO MANAGEMENT REVIEW

Senator CAMPBELL. The GAO issued a general management review of your operation in January and they made a number of recommendations to improve management. I believe one of them had to do with hiring a chief operating officer. Are you making progress on that?

Mr. HANTMAN. We absolutely are, Mr. Chairman. I have gone through many dozens of resumes. In fact, we are starting the interview process next week. We have some good candidates from a variety of backgrounds in Government and in the private sector as well.

Senator CAMPBELL. They also found some problems with facilities management, day-to-day activities such as cleaning, moving offices, maintenance and preservation of buildings, things of that nature. What do you consider the biggest challenges in facilities management, and have you started a plan for improving those areas that they noted?

Mr. HANTMAN. We basically accepted all of GAO's recommendations, Mr. Chairman, and our plan is to complete the vast majority of them by the end of this year. Some of them are going to go into

the following year's annual performance plan, and the most major of them, of course, is the completion of a strategic plan. We are currently reviewing our draft with stakeholders on both the Senate and the House side, and we clearly plan to incorporate the changes and the input from those stakeholders into the strategic plan before we finalize it.

Also, as we select the COO, we plan to review this strategic plan with the COO and look at what potential organizational changes need to flow from that, so that person can buy into it and play a key role in the agency as we go forward.

CAPITOL VISITOR CENTER

Senator CAMPBELL. Looking through my notes, it says that you have over 200 projects underway at this time, the biggest one, obviously, being the visitor center. One of them proposes \$26 million for the initial design of overhauling the Capitol Building to address life-safety and other deficiencies. Some of these large items like this—do we need to move them at the same time as the visitor center?

Mr. HANTMAN. If we never did a visitor center, Mr. Chairman, we would still need to make these changes. It is really a question of the fact that over 200 years our Capitol has grown in eight different increments of growth, and we actually need additional stairways, additional means of egress, things to make the building safe on a primary level, including sprinkler systems in that building. So whether or not, again, we did the CVC, this work would have to be done.

Our problem, of course—and we have talked to stakeholders on both the Senate and the House side—is how much discomfort, how much dislocation can the Members take while we are still completing the visitor center and doing the perimeter security and other things on the Capitol grounds. So what we have done is we have redirected the plan to take a look at the low-hanging fruit, if you will, that really would not require major dislocations to how the Capitol Building works so that the business of the Capitol can be done on a day-to-day basis. So that is what we are looking at.

Senator CAMPBELL. Was the last kind of major overhaul of the rotunda a few years ago?

Mr. HANTMAN. There certainly was scaffolding going from the floor of the rotunda up to the *Apotheosis of Washington* at the top and that was cleaned, conserved and repainted.

In fact, we had a project, Mr. Chairman, several years ago where we did the first phase of restoration of the Capitol dome. The second phase actually would require doing major patches of existing cracks and things of that nature, repainting the exterior of the Capitol dome once we stripped it down to its base metal, all those kind of things. That major piece of work we put on hold also just because of the level of dislocation we have currently with the CVC.

What we are really concerned with in the Capitol Building itself is safety, and we plan to look at some projects with the funding we are requesting in 2004 to be able to make it safer, again without dislocating the Senate and the House and allowing them to continue their business.

CAPITOL POLICE HEADQUARTERS

Senator CAMPBELL. You have also been working with the Capitol Police to develop a master facilities plan, including a new headquarters building. The Capitol Police testified last week about it. We have already appropriated roughly \$60 million for that project. What is the status? Have you found a place yet that you expect to build on?

Mr. HANTMAN. The Capitol Police Board has accepted a recommendation from the Capitol Police for square 695 at the corner of New Jersey Avenue and I Street, Southeast. We believe it meets the best requirements for the new headquarters facility.

There was a potential conflict, Mr. Chairman, with the use of square 695, though. There was a Department of Energy study that recommended that same site for construction of a new replacement power plant. Now, in separate—

Senator CAMPBELL. What is there now? Is it just bare ground?

Mr. HANTMAN. Basically it is low-use industrial works, some vacant land, truck storage area, things like that. It is a privately owned lot at this point in time, a couple of lots adjacent to our coal storage yard for the Capitol power plant. We agree that this is the right location for the Capitol Police headquarters.

The recommendations coming out of this DOE study had talked about putting a replacement power plant potentially and a cogeneration plant on that site. We believe that the hundreds of millions of dollars that would be required by this project is really not necessary, that we continue to use our tri-fuel approach to running our power plant for using coal as a primary fuel, also oil and gas so that we can meet the EPA criteria for the site. But we think we can retrofit our existing buildings, use the existing site we have our Capitol power plant on, and release the site for the use of the Capitol Police headquarters.

Senator CAMPBELL. Well, when you are working with them, safety and security have got to be paramount in your plans and theirs too, and also some of the things that they are talking about but have not implemented but probably will be at a later time. They are expanding, as you know, very quickly. When taking their testimony the other day, it looks to me like anything we put in place now is going to be too small 5 years from now at the rate they are growing. So we will consider that too.

Mr. HANTMAN. One of the things we do have to do, Mr. Chairman, is take a look at the program size of that building itself. The House has indicated that they prefer that the Capitol Police move out of the Capitol area and the House office buildings, and if we need to take those components of the police into the headquarters, the police are currently looking at that criteria right now so we can take a look at the magnitude of the size, just in response to what you are saying.

ADDITIONAL COMMITTEE QUESTIONS

Senator CAMPBELL. Thank you.

The rest of the questions I will submit. If you could answer them in writing at your earliest convenience, I would appreciate that.

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

QUESTIONS SUBMITTED BY SENATOR BEN NIGHTHORSE CAMPBELL

STATUS OF GAO RECOMMENDATIONS

Question. Mr. Hantman, GAO issued a general management review of your operation in January and made a number of recommendations to improve management. Can you provide an update on the implementation of GAO's recommendations and the progress you have made in the last year? How will you ensure that there is accountability for implementing the strategic plan you are developing?

Answer. Our work with the GAO on the Management Review resulted in a number of recommendations which we have integrated into our Strategic Plan and Annual Performance Plan. We accepted all of GAO's recommendations. Our plan is to complete the vast majority of the recommendations by the end of this year; some carry over into the following year's Annual performance plan. The GAO recommendations include:

- Completion of an AOC Strategic Plan;
- Continuing to strengthen Human Capital policies and procedures;
- Continuing to improve Financial Management processes and systems;
- Developing and implementing a strategic approach to IT management;
- Continuing initiatives to achieve a safer workplace;
- Institutionalization of best practices in Project Management;
- Continue to improve the Recycling Program.

We are in the final phase of implementing a performance management approach that includes strategic planning, annual planning and reporting, and assessment of our performance based on meeting specific milestones and measures. The Strategic Plan serves as the cornerstone of this process.

We are currently soliciting stakeholder feedback on drafts of our first Strategic Plan and Annual Performance Plan. Our goal is to finalize the Strategic Plan and Performance Management Plan shortly.

The Strategic Plan and Annual Performance Plan will concentrate the Agency's focus to continue to improve productivity and service excellence. To ensure accountability and results we are: establishing specific goals and milestones for each of the strategic objectives; linking our senior managers' performance standards to the milestones of the performance plan; identifying and developing specific business process improvements based on client feedback (i.e. office cleanliness, timeliness of response to requests, and quality of work); identifying and developing new workplace programs/policies based on employee feedback; integrating best practices into our operational strategies (i.e. facilities management, project management; and IT systems development and implementation).

A significant challenge, once we reach agreement with our stakeholders on our Strategic and Annual Performance Plans, will be to address the unexpected construction, renovation, or other mission impacting requests from our customers. In order to be responsive to the high priority needs of our customers and to be able to initiate and complete projects on time, we will need to use the strategic and performance plan as a basis to shift already agreed to projects to meet new or unexpected demands.

FACILITIES MANAGEMENT

Question. GAO found problems with facilities management. What are your biggest challenges in facilities management and what is your plan for improvement?

Answer. The Architect of the Capitol (AOC) is entrusted with preserving, maintaining, and enhancing the national treasures that make up the Capitol complex. The Capitol complex is comprised of more than two dozen buildings, nearly 14 million square feet of space, and more than 270 acres of grounds. AOC is responsible for the maintenance, renovation, and new construction in and around the Capitol Building, the House and Senate office buildings, the Library of Congress, and the Supreme Court. The historic nature and high-profile use of these buildings creates a complex environment in which to carry out AOC's work. AOC must also perform its duties in an environment that requires balancing the needs of multiple stakeholders, including congressional leadership, committees, individual members of Congress, congressional staff, other clients, and the visiting public.

Facilities Management is one of four focus areas that embody our Mission and Vision. Aligned with the facilities management area is a strategic goal that emphasizes core services and critical processes to deliver effective and efficient support and services.

There are several focus areas in facilities management that were identified as areas of concern. Three major objectives were identified to facilitate improvements in facilities management: (1) Develop a comprehensive understanding of the condition of facilities under AOC's jurisdiction; (2) Address maintenance and care needs proactively; and (3) Preserve significant and historic heritage assets.

In our effort to develop a comprehensive understanding of the condition of these facilities we are developing a scope of work and requirements document to procure consultant services to conduct a full conditions analysis and document current conditions of the facilities in the Capitol Complex. The assessment will be conducted in two phases. The first phase will include the Capitol Building, House Office Buildings, and Senate Office Buildings. The second phase will incorporate the remaining buildings in the AOC's jurisdiction.

To address maintenance and care needs proactively, we have resolved several of the issues raised through procedural controls. Instituting these controls established a more consistent process for generating work schedules and providing feedback to the client as to when work will be accomplished. We also follow up with the client upon completion of work to ensure their requirements have been met and we ask them to complete a customer survey form to evaluate the work performed.

To address general maintenance concerns, we are instituting a preventive maintenance tracking and scheduling program. The Architect of the Capitol's Office of Facilities Management is working with the Office of the Superintendent to begin loading assets into the preventive maintenance system program. The first phase for loading assets is scheduled for completion in fiscal year 2003. Full implementation of this system will be directly dependent upon funding availability. The program implementation will provide a systematic and consistent approach for performing routine recurring maintenance. The system will enable maintenance work to be effectively and efficiently planned and performed. In addition, the system will provide information for performance measures that can be used as a management tool to evaluate and effectively manage work performance.

In addition, the following are the areas and the actions taken to address other concerns:

Cleanliness.—Quality inspections are being performed regularly and the results of the inspections are forwarded to the Quality Manager for analysis and recommended actions. Also, monthly management meetings have been established to review inspection results and to discuss actions instituted to correct any noted patterns of concern.

Wayfinding Signs.—A project is scheduled for award in fiscal year 2003 to address the wayfinding signage concerns. The project will include the installation of interior and exterior signage for building directions, building exits, elevator locations, ADA access, etc. Completion of this effort is scheduled for fiscal year 2005.

Elevators.—A project to modernize all the elevators in the Capitol is underway. The effort commenced in fiscal year 2002, and to date, 19 of 27 elevators have been modernized and 3 are currently under construction. The remaining 5 will be completely modernized by fiscal year 2004.

Heating, Cooling, Air Quality.—Air quality studies have been performed and continue to be performed on a case-by-case basis whenever there is a concern raised regarding air quality. Air monitoring/sampling is performed and actions are recommended and implemented to address any negative air quality results.

Preserve significant and historic heritage assets.—This effort is underway and will include defining the standards, verifying assets, establishing and facilitating a Congressional Working Group to define responsibilities for subcollections in question, and developing a memorandum of understanding. This effort was begun in January 2003 and is scheduled for completion in the third quarter of fiscal year 2004.

Senate Office Buildings.—For the Senate Office Buildings there are many challenges in the daily management of these facilities. Cleaning and policing of public areas is challenging due to the heavy intermittent loading of our buildings. As waves of visitors move through the Senate Office Buildings, at various times of the day the need for immediate cleaning and policing becomes necessary, often after area cleaning cycles have been completed and at the expense of normal operations. Other challenges that face our cleaning operations include intensive contractor oversight and contractual administrative requirements to facilitate and manage contractor performance. Additionally, this type of work has a high personnel turnover rate resulting in reduced productivity and/or quality. To help resolve these conditions, additional staffing has been added to the day policing contract to increase the level and frequency of cleaning of public areas such as restroom facilities, entry ways and stairwells. The Senate Superintendent's Office has also increased its inspection efforts of public spaces in and around the Senate Office Buildings and im-

plemented processes to facilitate quick remedies to identified deficiencies as part of a comprehensive Quality & Assurance Program.

MAJOR PROJECTS—MASTER PLAN CAPITOL BUILDING

Question. The Architect's office has over 200 major projects under way at this time—the most visible one being the Capitol Visitor Center. Your budget proposes \$26 million for the initial design for overhauling the Capitol building to address various deficiencies. Why do we need to proceed with this very large undertaking at this time? Can you give me an idea of the magnitude of this proposed project, what would be involved, and a rough estimate of the cost to implement the master plan for the Capitol after you complete the design?

Answer. The U.S. Capitol Building Master Plan Study proposes to coordinate five projects into one that would consist of (1) Capitol Infrastructure Master Plan, (2) Sprinkler System installation throughout the building, (3) House Chamber Study, (4) Senate Chamber Study, and (5) Security Work. As a once-in-a-lifetime project, coordination of these five projects ensures that the disruption of these spaces occurs only once.

Public Law 104–1 passed on January 23, 1995, established the “Congressional Accountability Act (CAA) of 1995.” Since Congress enacted this Act, the Office of Compliance (OOC) has conducted periodic inspections of the facilities under the AOC's jurisdiction. Those inspections identified a series of fire and life safety code deficiencies requiring corrective action. Most of these deficiencies have been corrected, but there are some that would require in-depth analysis and study to determine how best to integrate the solutions with the Capitol's unique architectural configuration and historical features. Since it is the AOC's responsibility to take necessary corrective actions to abate violations identified by the OOC and/or those identified through self-inspection and analysis, it became necessary to undertake a study to review the existing building conditions against the applicable building, life safety, and fire codes.

The main purpose of this study (Capitol Building Master Plan) is to review code deficiencies and develop a series of recommendations on the corrective actions necessary to comply with the codes in a prescriptive manner or through alternate means called “equivalencies,” while upgrading the Capitol Building's support systems and infrastructure.

The Capitol Building Master Plan Study is significantly complete pending identification of final security requirements and funding. The Master Plan addresses the provision of: adequate means of egress to safely evacuate building occupants during emergency situations; a building-wide sprinkler system; smoke control at vertical openings such as the Grand Stairs; security controls at all outside fresh air intakes entering the building's ventilation systems; ducted air return; and infrastructure improvements such as: electrical power and lighting upgrades, emergency power needs, elevator upgrades, smoke detectors, evacuation alarms, telecommunications & cable TV upgrades, plumbing renovations, and modernization to the heating, ventilation, and air conditioning systems to meet energy standards and security related requirements.

The Capitol Building Master Plan Study, as proposed conceptually will take at least seven years to implement based on a phased approach and will require emptying sections of the building for periods of time to allow for full implementation of the recommended upgrades. This approach will require that swing space outside the Capitol Building be provided to house persons and functions displaced during a given phase of the project. The Master Plan Study's conceptual schedule recommends six construction phases.

To achieve the proposed construction phasing suggested by the Capitol Building Master Plan Study, design development and the preparation of construction documents need to commence in fiscal year 2004 and continue through fiscal year 2006 in the order reflected by the construction phases. Prior to beginning the design development and preparation of construction documents, extensive graphic documentation of the existing systems of the building's infrastructure and development of schematic designs are necessary to form the basis of the construction documents. Currently, the fiscal year 2003 budget includes funding necessary to begin the graphic documentation of existing building systems. The fiscal year 2004 budget submission included a request for \$26.5 million to initiate design development and construction documents preparation for a phased approach.

Prior to and during a March 21, 2003, briefing to House and Senate leadership staff, we sought feedback on the Capitol Building Master Plan Study recommendations and the proposed construction phases. The main concern of leadership staff is the physical impact of this project in addition to disruptions as a result of CVC con-

struction. They noted the need to accomplish those recommendations while having a minimum impact on the building's occupants and operations. With these concerns in mind, the AOC was asked to explore options for the incremental implementation of Capitol Building Master Plan Study recommendations.

Based on the recommendations from leadership staff, and upon approval to utilize available fiscal year 2003 funding we will initiate a Constructability and Phasing Analysis that emphasizes those life-safety, fire protection, and security recommendations and initiatives that could be accomplished with minimum disruptions to the building occupants and business operations. Emphasis also will be placed on accelerating similar work for the House and Senate Chambers.

MAJOR PROJECTS—POSSIBLE DEFERRALS

Question. Are there any areas in your budget request that could be deferred in order to allow you to complete the CVC and other major projects currently underway?

Answer. There are several projects which could be deferred or phased in to reduce the workload during fiscal year 2004 and subsequent years. The projects listed below, by appropriation, could be eligible for deferral or phased approaches, if agreed to in consultation with our clients:

General Administration

Conduct Energy Survey of Capitol Complex, \$1,600,000

The Legislative Branch Appropriations Act, Public Law 105-275, Section 310 requires the Architect to perform an energy survey of the Capitol complex. A total of \$1.6 million is requested to perform the energy survey.

The survey could be phased by jurisdiction, if so directed. The Architect could develop a phasing plan to accomplish the energy survey over a two or three year period based on the Committee's direction.

Replace High Voltage Switchgear in Nine Buildings, \$18,672,000

Replacement of the high voltage switchgear is a critical project due to its advanced age. Failure of any of the switchgear units would result in power failure in the building. Additionally, the poor condition of the equipment creates a hazard to the employees who must perform routine maintenance. However, the funding stream could be phased over three years. The project ideally would be bid as a base option for the first year, with two succeeding option years. This would allow for a single procurement for construction to occur. A single contract will streamline the procurement process, project management, construction management, and contract administration functions. It will also increase the likelihood that equipment manufacturers remain consistent throughout the AOC, saving future training costs and replacement parts.

Due to the age of the switchgear, and in some cases, its dilapidated condition, the period of phasing should not exceed three years. A potential funding stream is fiscal year 2004—\$7.5 million, fiscal year 2005—\$6.8 million, and fiscal year 2006—\$4.3 million. The work would be based on a prioritization of age and condition of the buildings.

Alternate Computer Facility, \$61,000,000

The request to purchase was presented because the initial lease purchase analysis indicates that purchasing the facility sooner rather than continuing to lease it will save the government money. Also because of the critical and sensitive nature of the facility and the operations it houses, the security of the building, and the grounds surrounding it would be further enhanced if it is for legislative branch or government use only. As such, the \$61 million could be executed in fiscal year 2004. However, deferring the purchase will allow time to resolve due diligence issues which will take about six months. We also need to work the landlord/tenant authority legislation and better understand the costs of being the landlord.

Senate Office Buildings—Replace Steam Humidifiers, HSOB, \$4,717,000

While all projects this office requests are important and necessary, our project request Replace Steam Humidifiers, in the Hart SOB, could be deferred with moderate impact. We plan to install local steam generators to provide necessary capacity for building humidification following industry best practices. Currently, the Hart Building is humidified via plant steam which is not an industry best practice. This current system is capable of humidifying to acceptable guidelines, however it does not have the capacity to humidify to desired levels which can cause indoor air quality complaints during colder days of the winter.

Capitol Building—Capitol Building's Master Plan, \$26,500,000

A phased approach to this project could be taken based on feedback from key leadership staff. Based on this approach, the original fiscal year 2004 request of \$26.5 million would be reduced to \$10.7 million. This will provide for the design of short-term incremental work; perform a space utilization study for the House and Senate sides of the Capitol; construct the means of egress by the West Brumidi corridor; develop to 100 percent completion construction documents for the House and Senate Chamber restorations; perform additional plaster assessments; and construct a back-up fire pump.

MAJOR PROJECTS—PERFORMANCE BY NON AOC ENTITIES

Question. What percent of your major projects are not being handled “in-house”, through the Corps of Engineers or other outside entities?

Answer. There are currently 24 projects of which a major portion of the project management or construction management efforts are being performed by those other than AOC permanent staff. They include: the Capitol Visitor Center; the West Refrigeration Plant Expansion; the various Perimeter Security projects; several projects for the Library of Congress at Fort Meade; several projects for the USCP located at D.C. Village and elsewhere; and security-related projects at the Library of Congress. While these projects represent approximately 11 percent of the current AOC projects, they represent the majority of the project funding and include over \$700 million of total project costs. They are being managed, partially or fully, by temporary employees assigned to the specific project, construction management firms hired for the specific project, firms which are providing project and construction management to the AOC on an IDIQ basis, the Army Corp of Engineers, NAVFAC and other external entities. The AOC continues to evaluate the services which can be provided by these entities and will utilize them where we believe they can provide the best project delivery support.

CAPITOL VISITOR CENTER

Question. You have indicated that the CVC will cost more than has been appropriated to date. Can you explain why this is?

Answer. Before discussing the need for additional funds, it is important to understand that the original project budget of \$265 million, which included the core CVC facilities, the service tunnel, and only the shell space for the House and Senate, was established four years ago. That estimate was made based on the best information available at that time, but I must stress that the estimate was made before the construction drawings were finished, before the first shovel was put in the ground, and before we had the chance to really look long and hard at what it would take to keep the Capitol fully operational while the CVC was constructed. No one could have anticipated or predicted the myriad of challenges we faced, in particular, encountering unforeseen site conditions, adapting to changes in scope, mitigating project impacts, maintaining Capitol operations, and accommodating increased security requirements following the events of 9/11.

The first challenge we encountered during pre-construction activities, neither my team, nor our construction manager, Gilbane Building Co., nor two independent estimators, could have anticipated. The level of work that was required went above and beyond our original pre-construction expectations. We've had additional requirements related to our tree preservation effort, our historic preservation effort, our visitor screening, parking accommodations for Members and staff, noise reduction, and requirements related to alternate House and Senate media sites. But by far, our greatest challenge has been in the area of utility relocation.

Utility lines within the project footprint needed to be relocated prior to excavation of the project site. Many of these lines have been installed at various times during the last 100 years as technology changed and new utility systems were installed. Relocation of these lines, while keeping the Capitol itself fully functional, has proved to be a delicate and, complex pre-construction task. Part of the difficulty is due to the fact that many of the utility lines were poorly or inaccurately documented on the building drawings that were available to us, some of which date to the early 1900s. As it became increasingly apparent that existing drawings were unreliable, we attempted to do much of the utility work at nights or on weekends, and to some extent, we worked around the legislative calendar, all in an effort to minimize disruption to the Capitol and its occupants. Those restrictions, however, do have a cost associated with them. Yet, despite all these challenges, it is a credit to our team that we were able to avoid any significant disruption to the Capitol building operations during this process. Last summer, the project footprint was successfully cleared of utilities.

—A specific example: on First Street NE, we had intended on rerouting a large water line across the road at a location we believed suitable to accommodate the necessary excavation. City drawings showed an existing Amtrak tunnel to be approximately 18 feet below ground at this location, more than enough clearance to reroute our water line. Upon excavation, we found the Amtrak tunnel wall to begin, in fact, less than 2 feet below the surface. We were forced to back away, reroute the line again, adding a few hundred feet to the overall length to the utility line and a few extra weeks of work, and nearly \$400,000 in extra costs. Though not as dramatic as this, we have had many other occurrences of utility lines not being where they were expected, or being where they weren't expected at all. But I must emphasize, all the costs associated with this work were valid and reasonable, they just weren't predictable.

There also were challenges as a result of 9/11. First, the tragic events of that day prompted a reassessment of the projects' security elements. As a credit to the original design by our architectural firm, RTKL, the team recommended no significant changes to the overall design. However, additional requirements, which necessitated more robust mechanical systems, were imposed. Structural changes were needed to accommodate these new systems and these changes came at a very late stage in the design process. In fact, Sequence 1 design documents were already complete and Sequence 2 documents were about one month from completion. Despite these changes, our completion milestones did not change.

There has also been an increase in site logistics security. New security screening measures imposed on all vehicles coming to the construction site, while necessary, add time to every trip made. When we reach the peak of excavation, we will have approximately 50 dump trucks working at the same time, each attempting to make six to eight trips a day to and from the site each day. Additional time to make these trips translates to an extension of the excavation period. Further, we were required to build a new screening station. That meant adding telecommunications conduits, additional paving, additional fencing and installation of security elements. Design and construction of the new screening facility required significant planning and coordination with the Capitol Police, but again, our completion milestone did not change.

Finally, we are all aware that we had one of the wettest winters on record. Rain and snow have the potential to wreak havoc on a construction site, especially one involving excavation and very large equipment, which tends to get bogged down in the mud. Nevertheless, our construction crews have tried to offset any time lost due to weather by working, at times, 24 hours a day, 7 days week, the Sequence 1 project has been impacted by approximately 48 days due to unforeseen challenges and other conditions I noted. However, to date, our major completion schedule milestones still have not changed. One thing to note, subsequent to the 48-day delay impact, last month, we hit a 200-year old stone well situated directly in the path of our perimeter wall and just a few feet away from the Capitol. The demolition of the stone and attempts to reestablish a solid foundation for the perimeter wall has proved extremely difficult. In short, what was scheduled to last four days, for the routine construction of three wall panels, required weeks instead. Our construction manager is currently gathering facts and is in the process of assessing the impact to the project's milestones, if any. We will report the results to Leadership after we have completed this assessment.

If four years ago we knew, what we know today, we would have had the information necessary to budget for the project more accurately. However, the project has received two clean audit opinions from the General Accounting Office, and we have put additional controls in place on the budgeting process for the project.

Question. As you know, we are looking to mark up the fiscal year 2004 appropriations bill shortly and we need your best estimate for completing the project as soon as possible. When will you have the cost-to-complete? When will you need the additional funds?

Answer. We have been working with the General Accounting Office (GAO) and an independent consultant to thoroughly analyze the CVC project's budget, expenditures, future requirements, and contingencies to provide a firm cost-to-complete analysis. The GAO is planning to have the results in early June 2003.

The funding timeline for the project is being updated to reflect the obligation plan authority we received for Sequence 2. The project team, including our construction manager who maintains our overall project schedule, has identified the next immediate need for additional funding in June 2003. This request includes funding for the East Front interface portion of the CVC project and to keep Sequence 1 moving forward. The East Front work includes a number of tasks and is not currently part of the Sequence 1 or 2 contracts. With the award of the Sequence 2 contract we are proceeding with maintaining our milestone schedule. However, we still have a crit-

ical portion of the project, within the East Front interface, that needs to be funded, or funds reprogrammed, to allow us to keep on schedule. The East Front portion of the CVC project is work that was always part of the base project, and includes complex structural and mechanical/electrical elements to support the vertical transportation (elevators and stairways) and air shafts that connect the CVC to the Capitol building. This work was not included in the contracts for Sequences 1 or 2 since the requirement to extend the existing east front elevators was given to the CVC at the time the Sequence 1 design was being finalized, thus it was too late to include in the Sequence 1 bid documents. During design development of the East Front (which was originally planned to be part of Sequence 2) the engineers realized how extremely complex the structural work was to extend the existing elevators. An acceptable engineering solution could not be found which would mitigate the risk to the existing Capitol building, thus I made a decision to reduce the depth of these elevators and the new air shafts. The engineers revised their design which reduced the risk. We have finalized the design and have obtained three independent estimates for this work. We plan to negotiate this work with one of the contractors on-site and will incorporate it into their contract.

The next need for funds is anticipated to be in October/November 2003 to meet the other elements of the project. We are currently reviewing the updated schedule, which includes the Sequence 2 contractor, to obtain a more precise spending plan for October 2003 and beyond. We plan to have this completed by the end of the month also.

Question. What major challenges might you encounter as you continue the project, and the biggest risk areas that could lead to budget pressures?

Answer. Unforeseen site conditions remain our biggest risk. Whenever you dig a 50-foot hole over an area covering five acres immediately adjacent to our nation's most historic building, it is difficult to predict exactly what we will find. As an example is the underground well I mentioned in a prior response.

Additional security requirements also present another risk to budget and schedule. Increased security requirements or work stoppages prompted by external events can certainly have a significant impact on the project.

Other potential risks are those associated with additional changes in scope and requirements. We can only change so much while executing day-to-day management of the project before changes have real impacts to budget and schedule. Providing additional funds for additional work doesn't necessarily mean we can maintain our original schedule. So many elements of this project are tied together where a new requirement, for example, could have a ripple effect on several other elements.

Also, based on our recent experience with the demolition of the well, we are concerned that work along and within the East Front can be disruptive to the point that we must perform much of the work during off hours. Obviously, such restrictions reduce the opportunity to keep on schedule.

Question. What procedures have you put in place to ensure that you keep a tight reign on the budget?

Answer. The biggest areas of budget pressures are directly related to the challenges I previously enumerated. However, there is also a risk to the schedule if additional funds are not made available or reprogrammed to start the East Front construction this summer. If additional unforeseen conditions arise during construction that require contingency funds, that too can prevent the project from moving forward. We will work with the Committees to provide detailed budget information. We also will work closely with House and Senate Leadership to reconcile the budget based on the conditions I discussed in a cost-to-complete estimate with an independent consultant. We meet every Monday with the Capitol Preservation Commission (CPC) to provide a current update on the project, discuss issues of concern, and resolve problems. Let me take this opportunity to thank them for their steadfast support and consistent leadership as we have moved from design and into construction.

We are currently working on revising the monthly financial report to follow the format and funding of the approved obligation plans to clearly show where the funds have been used. Also, I have put in place budget monitoring procedures that include reviewing potential construction change orders (PCOs) on a daily basis within my CVC project office. Our CVC project team reviews these changes daily, to determine if they are within the scope of the project and to code them by funding source and to be noted as client requested, unforeseen condition, or design change due to existing conditions (or other categories as yet to be defined). Then with support from my AOC budget office, who will ensure that the changes are in line with the obligation plans, the CVC team will assess the impact to the future budget and determine if there is a cause for concern. I will review this with the CVC project team on a week-

ly basis (or sooner if the need is great) and will brief the CPC leadership staff on the potential changes and their impact to the project.

Through the monthly reports and controls, cost-to-complete estimate and GAO oversight, our construction management staff has placed the highest priority to ensure the successful completion of the project in a fiscally responsible and timely manner.

Question. What is being done to prepare for the operations of the CVC when it opens in 2005?

Answer. A consultant is developing options and suggestions for a CVC operations plan which will provide the following information:

- Three-year estimate of operating expenses;
- Facility management plan;
- Food service plan;
- Visitor experience plan, including wayfinding, visitor flow and Guide Service recommendations;
- Space allocation recommendations;
- Recommendations for in-house staffing vs. contracting out for certain services; and
- Training schedules and pre-opening recommendations.

The operations plan is scheduled to be completed this summer and will be referred to the CPC for review.

CAPITOL POLICE FACILITY NEEDS

Question. You have been working with the Capitol Police for some time to develop a master facilities plan, including a new headquarters facility. As I understand it, a site has been identified. This Committee has already appropriated roughly \$60 million for the project. What is the status of the project and how much in additional funding will be needed? Will that be part of your fiscal year 2005 request? When can we expect the facility will be complete? What is the status of the off-site delivery facility which has been fully funded (\$22 million)?

Answer. The Capitol Police Board has recommended a specific site, to best meet the needs of a new Capitol Police headquarters facility, based on current requirements identified in the facilities master plan. Our plan is to use existing funds to pursue due diligence and purchase real property, with appropriate oversight committee approvals, and design the facility. We will then program the remaining funds in our normal budget cycle. We anticipate the earliest request for funds to complete the project will be in fiscal year 2006. The total funding will construct and fit-out the new headquarters facility and the command center. We will initially need to hire two temporary full-time equivalents (FTE) exceeding our FTE ceiling to assist with this project. The conference report accompanying Public Law 108-11 directs us to use the Naval Facilities Command to execute this project.

It is important to bring to your attention two issues that could affect the remaining cost of the new Capitol Police headquarters, currently estimated at \$113 million, as well as the identification of the preferred site. The current estimate is based on the Capitol Police operational model used for the recently completed facilities master plan. This operational model recommended retaining a significant portion of existing police spaces in the Capitol, House and Senate Office Buildings. The Capitol Police are currently assessing the operational impacts of reducing their footprint within existing facilities, as well as substantially reducing their surface parking requirements within the jurisdictions. Once this assessment is complete, we will then analyze the impact to the overall facilities master plan. If relocating functions to the new Police headquarters requires additional space and ancillary facilities, the cost of the project will increase accordingly. Offsetting costs for release of existing space are minor in comparison. The second issue that could affect the new headquarters' cost is the recently completed Capitol Police Comprehensive Staffing Analysis for Sworn and Civilian Personnel. This analysis recommends significant increases in the number of sworn and civilian personnel and, if approved, some of these people would be located in the new Police headquarters building along with their additional parking requirements. We will work with the Capitol Police and our oversight committees to resolve these issues.

Given the early stages of this project, it is too early to establish an estimated completion date. Once requirements are finalized and property acquired, we will work with the Navy to establish a realistic completion date.

The Offsite Delivery/Screening Facility is now fully funded. Unfortunately however, the Capitol Police Board recommended site was sold by the owner to another entity before we received approval to make an offer. We are working with the Cap-

itol Police to identify and evaluate options for an alternative location. Once our evaluation is complete, we will work with our oversight committees to move forward.

ALTERNATE COMPUTER FACILITY

Question. The single largest project request in your budget is \$61 million to purchase the alternate computer facility, currently being leased. Could you explain why it makes sense to buy this facility rather than continue to lease it? If a decision is made to buy the building, we will have double the space at that location than is currently available (2 connected buildings rather than one). What is the status of plans for using the additional space? Who is leading the effort to develop those plans?

Answer. Project background: Following the attacks of September 11, 2001, for continuity of operations, the Architect of the Capitol received authorization and funding to acquire an alternate computer facility in case primary data centers became inoperative. The AOC entered into a ten-year lease agreement for a facility within a 50 mile radius of the Capitol in November 2002. We also have a single option for a second ten years within the lease. The building under lease is one-half of a twin building complex with the other building available for lease to other tenants by the owner. The AOC has the right to a security suitability review of any potential tenants in the other building. The primary tenants within the Alternate Computer Facility are the House of Representatives, Senate, Library of Congress, and Architect of the Capitol. The building owner was given five months from November 2002 to design and construct modifications to the facility to meet tenant requirements for individual data centers. The target completion date for these modifications was April 19, 2003.

Why should we purchase the facility? In short, the need is permanent. The building is sound and very desirable as determined by the ACF task force. Security is enhanced and, by purchasing it, we save the federal government money.

There are several advantages to buying the building:

- First, the need for a backup data center is perpetual.
- Second, the very same reasons the building is attractive to purchase are the same reasons the particular building was attractive to lease.
 - Remote, but convenient location (within 50 miles of the Capitol);
 - Strength and redundancies in infrastructure and utilities;
 - On-site land around the building and excellent setback from public roads;
 - Building in overall good condition;
 - Building contained millions of dollars of prior-tenant build-out that we re-used without much additional expense;
 - Secure facility type of building layout, i.e., no room has an exterior wall;
 - Excellent Aesthetics;
 - Available for quick occupancy;
 - Floor load capacity of the building (1st floor) is 300 psf (which is very high);
 - Electrical feeders from 2 separate power substations, for redundancy;
 - 30 Mega Volt-Amperes (MVA) of electrical capacity per transformer; building electrical capacity of 50 watts psf; and
 - Diversity of fiber optic providers available.

Third, purchase would increase security by allowing the legislative branch to control both halves of the building, and the land around it. It would also prevent the landlord from developing the large tract of land around the building (which if we do not exercise the purchase option he can develop intensely up to 200 feet from our leased space). Purchase would allow us to control the common heating, ventilation and air conditioning, power, and water utility systems of the building, which are located in the side of the building that we do not lease.

Fourth, based on a simple cost/benefit analysis, ten years of rent, taxes and security premium equates to about \$55 million. This, coupled with our more than \$10 million investment in fitting out the facility to accommodate our specific requirements means that we will have invested approximately \$65 million in the facility over the 10 year lease and not own anything. If we purchase the facility at the maximum price of \$61 million, we double our building space and gain control of 91 acres of undeveloped land around the facility. We also save the second ten-year lease costs, which will exceed \$58 million over the term of the lease. To leverage our purchase, it would be ideal to use the other half for other legislative branch requirements, for the Senate, House, Library, AOC, GPO or GAO for data center expansion, backup data centers, or other legislative branch requirements, such as continuity of operations. Of course, if other legislative branch requirements are not sufficient to fill the other building, then we could lease the remaining space to other government agencies, or commercial tenants. If the other half of the building is

leased to other tenants, we would desire a statutory provision allowing us, rather than Treasury, to retain the rent to offset operating costs. Based on market rental rates, we could conservatively expect to lease the other building for approximately \$20-\$30 per square foot per year. For 167,831 square feet, this equates to over \$3 million per year in revenue. There is no lead agency for developing plans for the other half of the building as no firm decision has been made to acquire it. Should that decision be finalized, the AOC will be happy to take the lead in developing plans for its use if so directed. We are, however, working with another legislative branch agency to determine the feasibility of developing part of the surrounding 91 acres, or an adjacent 25-acre parcel under the same owner.

Another issue centers around existing and future development of the other building. The building owner has the right, and intends to exercise it, for leasing available space within the facility. While we have the right, and pay a premium for that right, to review potential tenants for security suitability, we do not have authority to prevent the landlord from leasing available space. As the landlord acquires new tenants, purchase of the facility becomes more complicated and potentially more costly as lease terminations may be required, with appropriate compensation. This potentially increases our financial liability as new leases are granted and space is encumbered.

WEST REFRIGERATION PLANT

Question. Your budget includes \$40.8 million for the final increment for the West Refrigeration Plant Expansion. Is this project on time and on budget? When will it be completed? What are your plans for the East Refrigeration Plant, which will be decommissioned, and what cost requirements can we expect?

Answer. The coal handling relocation project, which was phase I of the West Refrigeration Plant Expansion project is approximately 90 percent complete, within budget and on schedule for a June 15th completion date.

Phase II of this critical project, construction of the actual refrigeration plant expansion, was competitively bid and subsequently awarded to HITT Construction who is subcontracting the mechanical work out to Poole & Kent Inc, mechanical contractor who has worked with HITT on other projects. Notice to proceed (NTP) with construction was issued on March 26, 2003. Subsequent to contract award and prior to NTP, two of the unsuccessful offerors, Bell Construction and Fru-Con construction filed bid protests with the General Accounting Office (GAO). GAO declined to hear the cases on an expedited basis and Bell Construction filed in Federal Claims Court to stop construction and revisit the procurement and bid selection process. On May 9th, the court declined to issue a restraining order against the project and commented in the order that, "It is clear from the arguments this morning (court, 5/9), that plaintiff does not have a likelihood of prevailing on the merits".

Construction is proceeding with demolition of existing structures and site civil work. The general contractor has obligated approximately 75 percent of the awarded fiscal year 2003 funding, the project is within budget and on schedule to be completed in May 2005.

The fiscal year 2004 budget submission has requested appropriated funds to conduct a comprehensive utilization study for the East Refrigeration Plant which will generate a report with the best available options to utilize the building after decommissioning. Options under consideration include addition of limited on-site power generation or relocation of existing industrial and repair shops from the Capitol Hill complex.

PERIMETER SECURITY

Question. What is the status of the second phase of perimeter security work on the Senate side of the Capitol, funded in the fiscal year 2002 emergency response fund? When is construction scheduled to complete? Are funds on-hand sufficient to complete the project as planned?

Answer. Approval of the conceptual plan for the second phase of the perimeter security project for the Senate Office Buildings was recently received and final designs and schedules are currently being developed. It is anticipated that work will begin this summer and will take 2 to 3 years to complete. Without the final design it is not possible to be certain that there is adequate funding for this project, however, based on similar projects, it is anticipated that the current funding will be adequate. When final designs are developed and cost estimates are completed, they will be fully coordinated with the Senate.

CONCLUSION OF HEARINGS

Senator CAMPBELL. Since we will be getting our second beep to vote in just a minute, if there are no further things before the committee, the subcommittee will be called recessed. Thank you.

[Whereupon, at 1:50 p.m., Thursday, May 8, the hearings were concluded, and the subcommittee was recessed, to reconvene subject to the call of the Chair.]