

**LEGISLATIVE BRANCH APPROPRIATIONS  
FOR 2013**

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**HEARINGS  
BEFORE THE  
COMMITTEE ON APPROPRIATIONS  
HOUSE OF REPRESENTATIVES  
ONE HUNDRED TWELFTH CONGRESS  
SECOND SESSION**

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**SUBCOMMITTEE ON LEGISLATIVE BRANCH**

**ANDER CRENSHAW, Florida, *Chairman***

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JO ANN EMERSON, Missouri  
DENNY REHBERG, Montana  
KEN CALVERT, California

MICHAEL M. HONDA, California  
DAVID E. PRICE, North Carolina  
SANFORD D. BISHOP, JR., Georgia

NOTE: Under Committee Rules, Mr. Rogers, as Chairman of the Full Committee, and Mr. Dicks, as Ranking Minority Member of the Full Committee, are authorized to sit as Members of all Subcommittees.

ELIZABETH C. DAWSON, *Clerk*  
JENNIFER KISIAH, *Professional Staff*  
CHUCK TURNER, *Professional Staff*

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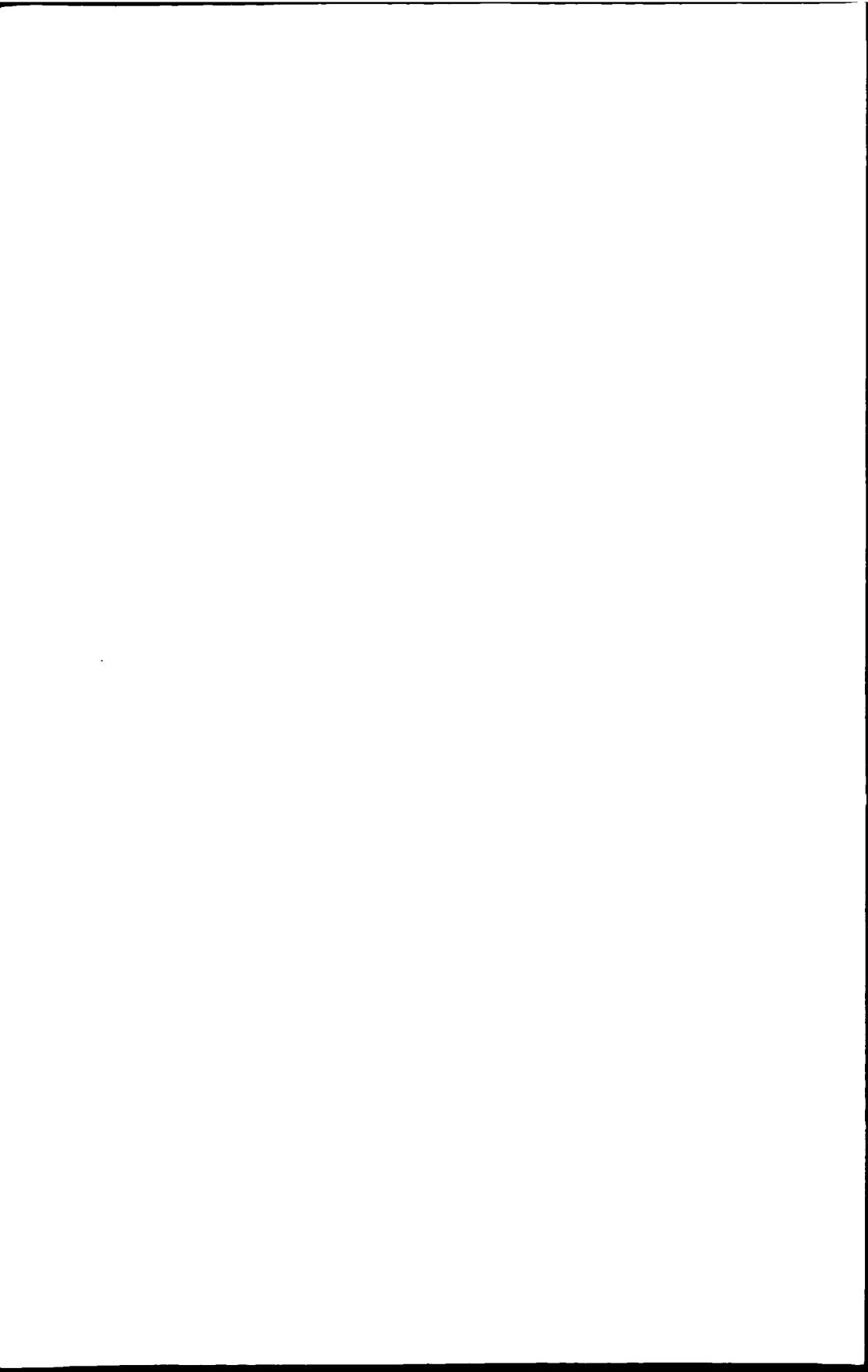
**PART 1**

**JUSTIFICATION OF THE BUDGET ESTIMATES**



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Printed for the use of the Committee on Appropriations



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FOR 2013

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**JUSTIFICATION OF THE BUDGET ESTIMATES**



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WASHINGTON : 2012

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COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2012 AND  
 THE BUDGET REQUEST FOR 2013  
 (Amounts in Thousands of Dollars)

	FY 2012 Enacted	FY 2013 Request	Request vs. Enacted
<b>TITLE I - LEGISLATIVE BRANCH</b>			
<b>HOUSE OF REPRESENTATIVES</b>			
<b>Salaries and Expenses</b>			
<b>House Leadership Offices</b>			
Office of the Speaker.....	6,943	6,943	---
Office of the Majority Floor Leader.....	2,278	2,278	---
Office of the Minority Floor Leader.....	7,433	7,433	---
Office of the Majority Whip.....	1,971	1,971	---
Office of the Minority Whip.....	1,525	1,525	---
Republican Conference.....	1,573	1,573	---
Democratic Caucus.....	1,554	1,554	---
<b>Subtotal, House Leadership Offices.....</b>	<b>23,277</b>	<b>23,277</b>	<b>---</b>
<b>Transition to Calendar Year Funding</b>			
Office of the Speaker.....	1,736	---	-1,736
Office of the Majority Floor Leader.....	569	---	-569
Office of the Minority Floor Leader.....	1,858	---	-1,858
Office of the Majority Whip.....	493	---	-493
Office of the Minority Whip.....	381	---	-381
Republican Conference.....	393	---	-393
Democratic Caucus.....	388	---	-388
<b>Subtotal, Transition to Calendar Year Funding...</b>	<b>5,818</b>	<b>---</b>	<b>-5,818</b>

COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2012 AND  
THE BUDGET REQUEST FOR 2013  
(Amounts in Thousands of Dollars)

	FY 2012 Enacted	FY 2013 Request	Request vs. Enacted
-----			
Members' Representational Allowances Including Members' Clerk Hire, Official Expenses of Members, and Official Mail	573,939	573,939	---
Committee Employees			
Standing Committees, Special and Select Committee on Appropriations (including studies and investigations)	125,965	126,365	+400
	26,666	26,666	---
	152,631	153,031	+400
-----			
Subtotal, Committee employees		153,031	+400
Salaries, Officers and Employees			
Office of the Clerk	26,114	22,370	-3,744
Office of the Sergeant at Arms	12,585	13,828	+1,243
Office of the Chief Administrative Officer	116,782	116,782	---
Office of the Inspector General	5,045	4,692	-353
Office of General Counsel	1,415	1,415	---
Office of the Chaplain	179	179	---
Office of the Parliamentarian	2,060	2,060	---
Office of the Parliamentarian	(1,466)	(1,466)	---
Compilation of precedents of the House of Representatives	(594)	(594)	---

COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2012 AND  
 THE BUDGET REQUEST FOR 2013  
 (Amounts in Thousands of Dollars)

	FY 2012 Enacted	FY 2013 Request	Request vs. Enacted
Office of the Law Revision Counsel of the House.....	3,258	3,258	---
Office of the Legislative Counsel of the House.....	8,814	8,814	---
Office of Interparliamentary Affairs.....	859	859	---
Other authorized employees.....	347	485	+138
Office of the Historian.....	170	170	---
	-----		
Subtotal, Salaries, officers and employees.....	177,628	174,912	-2,716
Allowances and Expenses			
Supplies, materials, administrative costs and Federal tort claims.....	3,696	3,696	---
Official mail for committees, leadership offices, and administrative offices of the House.....	201	201	---
Government contributions.....	264,848	270,905	+6,057
Business Continuity and Disaster Recovery.....	17,112	17,112	---
Transition activities.....	1,722	4,125	+2,403
Wounded Warrior program.....	2,500	2,175	-325
Office of Congressional Ethic.....	1,548	1,548	---
Miscellaneous items.....	760	760	---
	-----		
Subtotal, Allowances and expenses.....	292,387	300,522	+8,135
	-----		
Total, House of Representatives.....	1,225,680	1,225,681	+1

COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2012 AND  
 THE BUDGET REQUEST FOR 2013  
 (Amounts in Thousands of Dollars)

	FY 2012 Enacted	FY 2013 Request	Request vs. Enacted
-----			
JOINT ITEMS			
Joint Economic Committee.....	4,203	4,219	+16
Joint Congressional Committee on Inaugural Ceremonies.....	1,237	---	-1,237
Joint Committee on Taxation.....	10,004	10,004	---
Office of the Attending Physician			
Medical supplies, equipment, expenses, and allowances.....	3,400	3,433	+33
Office of Congressional Accessibility Services.....	1,363	1,367	+4
=====			
Total, Joint items.....	20,207	19,023	-1,184
CAPITOL POLICE			
Salaries.....	277,133	303,132	+25,999
General expenses.....	63,004	70,637	+7,633
=====			
Total, Capitol Police.....	340,137	373,769	+33,632
OFFICE OF COMPLIANCE			
Salaries and expenses.....	3,817	4,206	+389

COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2012 AND  
THE BUDGET REQUEST FOR 2013  
(Amounts in Thousands of Dollars)

	FY 2012 Enacted	FY 2013 Request	Request vs. Enacted
<hr/>			
CONGRESSIONAL BUDGET OFFICE			
Salaries and expenses.....	43,787	44,637	+850
ARCHITECT OF THE CAPITOL			
General administration.....	101,340	102,601	+1,261
Capitol building.....	36,154	97,072	+60,918
Capitol grounds.....	9,852	18,502	+8,650
House of Representatives buildings:			
House office buildings.....	94,154	83,964	-10,190
House Historic buildings revitalization fund.....	30,000	50,000	+20,000
Capitol Power Plant.....	132,229	127,533	-4,696
Offsetting collections.....	-9,000	-9,000	---
Subtotal, Capitol Power Plant.....	123,229	118,533	-4,696
Library buildings and grounds.....	46,876	53,594	+6,718
Capitol police buildings, grounds and security.....	21,500	30,802	+9,302
Botanic garden.....	12,000	12,140	+140
Capitol Visitor Center:			
CVC Operations.....	21,276	21,588	+312
Total, Architect of the Capitol.....	496,381	588,796	+92,415

COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2012 AND  
 THE BUDGET REQUEST FOR 2013  
 (Amounts in Thousands of Dollars)

	FY 2012 Enacted	FY 2013 Request	Request vs. Enacted
-----			
LIBRARY OF CONGRESS			
Salaries and expenses.....	420,093	430,051	+9,958
Authority to spend receipts.....	-6,350	-6,350	---
Subtotal, Salaries and expenses.....	413,743	423,701	+9,958
-----			
Copyright Office, salaries and expenses.....	51,650	52,772	+1,122
Authority to spend receipts.....	-35,513	-33,611	+1,902
Subtotal, Copyright Office.....	16,137	19,161	+3,024
-----			
Congressional Research Service, salaries and expenses. Books for the blind and physically handicapped Salaries and expenses.....	106,790 50,674	109,205 51,522	+2,415 +848
Total, Library of Congress.....	587,344	603,589	+16,245
	=====		

COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2012 AND  
 THE BUDGET REQUEST FOR 2013  
 (Amounts in Thousands of Dollars)

	FY 2012 Enacted	FY 2013 Request	Request vs. Enacted
<b>GOVERNMENT PRINTING OFFICE</b>			
Congressional printing and binding.....	90,700	83,632	-7,068
Office of the Superintendent of Documents, salaries and expenses.....	35,000	34,728	-272
Government Printing Office Revolving Fund.....	500	7,840	+7,340
	=====	=====	=====
Total, Government Printing Office.....	126,200	126,200	---
<b>GOVERNMENT ACCOUNTABILITY OFFICE</b>			
Salaries and expenses.....	533,600	550,551	+16,951
Offsetting collections.....	-22,304	-24,318	-2,014
	=====	=====	=====
Total, Government Accountability Office.....	511,296	526,233	+14,937
<b>OPEN WORLD LEADERSHIP CENTER</b>			
Payment to the Open World Leadership Center Trust Fund.....	10,000	10,000	---
<b>JOHN C. STENNIS CENTER FOR PUBLIC SERVICE TRAINING AND DEVELOPMENT</b>			
Stennis Center for Public Service.....	430	430	---
	=====	=====	=====
Grand total.....	3,365,279	3,522,564	+157,285
	=====	=====	=====

COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2012 AND  
THE BUDGET REQUEST FOR 2013  
(Amounts in Thousands of Dollars)

	FY 2012 Enacted	FY 2013 Request	Request vs. Enacted
RECAPITULATION			
House of Representatives.....	1,225,680	1,225,681	+1
Joint Items.....	20,207	19,023	-1,184
Capitol Police.....	340,137	373,769	+33,632
Office of Compliance.....	3,817	4,206	+389
Congressional Budget Office.....	43,787	44,637	+850
Architect of the Capitol.....	496,381	588,796	+92,415
Library of Congress.....	587,344	603,589	+16,245
Government Printing Office.....	126,200	126,200	---
Government Accountability Office.....	511,296	526,233	+14,937
Open World Leadership Center.....	10,000	10,000	---
Stennis Center for Public Service.....	430	430	---
Grand total.....	3,365,279	3,522,564	+157,285

Scorekeeping adjustments:  
GAO buyout authority (CBO estimate)..... 2,000      ---      -2,000

# FY 2013



## House Budget Justification

**FY 2012 U.S. House of Representatives Budget Justification**  
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TOTAL – OFFICE OF THE PARLIAMENTARIAN	122
OFFICE OF THE LAW REVISION COUNSEL OF THE HOUSE	124
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## SCHEDULE A -- HOUSE SUMMARY

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HOUSE OF REPRESENTATIVES  
HOUSE SUMMARY

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)
<b>Payment to Widows and Heirs of Deceased Members of Congress</b>	-	-	-	-
House Leadership Offices	21,787	29,095	23,276	(5,819)
Members' Representational Allowances	581,680	573,939	573,939	-
Standing Committees, Special & Select- Committees on Appropriations	130,102	125,965	126,365	400
Salaries, Officers and Employees	23,412	26,666	26,666	-
Allowances and Expenses	149,939	177,628	174,912	(2,717)
	284,847	292,387	300,522	8,136
<b>Total House of Representatives</b>	<b>1,191,767</b>	<b>1,225,680</b>	<b>1,225,680</b>	<b>-</b>
1100 Personnel Compensation	705,423	699,492	691,849	(7,643)
1200 Personnel Benefits	257,819	264,917	270,960	6,043
1300 Benefits to Former Personnel	6,259	482	482	-
2100 Travel	24,257	26,464	26,155	(309)
2200 Transportation of Things	132	133	133	0
2300 Rent, Communications, Utilities	70,304	83,016	83,647	631
2400 Printing and Reproduction	11,109	16,190	16,191	1
2500 Other Services	51,569	64,450	64,816	365
2600 Supplies and Materials	27,952	26,965	26,574	(391)
3100 Equipment	36,935	43,515	44,818	1,302
4200 Insurance Claims/Indemnities	9	55	55	-
<b>Total House of Representatives</b>	<b>1,191,767</b>	<b>1,225,680</b>	<b>1,225,680</b>	<b>(0)</b>

SCHEDULE A – HOUSE SUMMARY  
Pg. 2 of 2

HOUSE OF REPRESENTATIVES  
HOUSE SUMMARY (FTE)

	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change
Payment to Widows and Heirs of Deceased Members of Congress				
House Leadership Offices	211	245	245	-
Members' Representational Allowances	7,326	9,702	9,702	-
Standing Committees, Special & Select Committees on Appropriations	1,135	1,412	1,412	-
Salaries, Officers and Employees	174	220	220	-
Allowances and Expenses	1,184	1,294	1,294	-
	38	60	60	-
<b>Total House of Representatives</b>	<b>10,067</b>	<b>12,933</b>	<b>12,933</b>	<b>-</b>

SCHEDULE A -- JOINT ITEMS SUMMARY  
Pg. 1 of 2

HOUSE OF REPRESENTATIVES  
JOINT ITEMS SUMMARY

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)
Joint Committee on Taxation	9,814	10,004	10,004	-
Office of the Attending Physician	2,202	3,400	3,433	33
<b>Total Joint Items</b>	<b>12,016</b>	<b>13,404</b>	<b>13,437</b>	<b>33</b>
1100 Personnel Compensation	8,208	9,000	9,000	-
1200 Personnel Benefits	153	162	162	-
1300 Benefits to Former Personnel	-	-	-	-
2100 Travel	42	58	75	17
2200 Transportation of Things	0	8	8	-
2300 Rent, Communications, Utilities	186	185	218	32
2400 Printing and Reproduction	5	3	3	-
2500 Other Services	1,881	2,632	2,809	177
2600 Supplies and Materials	927	1,041	838	(203)
3100 Equipment	614	315	324	10
4200 Insurance Claims/Indemnities	-	-	-	-
<b>Total Joint Items</b>	<b>12,016</b>	<b>13,404</b>	<b>13,437</b>	<b>33</b>

SCHEDULE A – JOINT ITEMS SUMMARY  
Pg. 2 of 2

HOUSE OF REPRESENTATIVES  
JOIN ITEMS SUMMARY (FTE)

	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change
Joint Committee on Taxation	63	77	77	-
Office of the Attending Physician	[18]	[18]	[18]	
<b>Total Joint Items</b>	63	77	77	-

## SCHEDULE A – HOUSE AND JOINT ITEMS SUMMARY

Pg. 1 of 3

HOUSE OF REPRESENTATIVES  
HOUSE AND JOINT ITEMS SUMMARY

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)
Payments to Widows and Heirs of Deceased Members of Congress	-	-	-	-
House Leadership Offices	21,787	29,095	23,276	(5,819)
Members' Representational Allowances	581,680	573,939	573,939	-
Standing Committees, Special & Select-Committees on Appropriations	130,102	125,965	126,365	400
Salaries, Officers and Employees Allowances and Expenses	23,412	26,666	26,666	-
	149,939	177,628	174,912	(2,717)
	284,847	292,387	300,522	8,136
<b>Total House of Representatives</b>	<b>1,191,767</b>	<b>1,225,680</b>	<b>1,225,680</b>	<b>-</b>
<b>Joint Items-House</b>				
Joint Committee on Taxation	9,814	10,004	10,004	-
Office of the Attending Physician	2,202	3,400	3,433	33
<b>Total Joint items</b>	<b>12,016</b>	<b>13,404</b>	<b>13,437</b>	<b>33</b>
<b>Total House and Joint</b>	<b>1,203,782</b>	<b>1,239,084</b>	<b>1,239,117</b>	<b>33</b>

## SCHEDULE A – HOUSE AND JOINT ITEMS SUMMARY

Pg. 2 of 3

HOUSE OF REPRESENTATIVES  
HOUSE AND JOINT SUMMARY

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)
1100 Personnel Compensation	713,631	708,492	700,849	(7,643)
1200 Personnel Benefits	257,972	265,079	271,122	6,043
1300 Benefits to Former Personnel	6,259	482	482	-
2100 Travel	24,299	26,522	26,230	(292)
2200 Transportation of Things	132	141	141	0
2300 Rent, Communications, Utilities	70,389	83,201	83,864	663
2400 Printing and Reproduction	11,114	16,193	16,194	1
2500 Other Services	53,449	67,082	67,625	542
2600 Supplies and Materials	28,880	28,006	27,412	(594)
3100 Equipment	37,548	43,830	45,142	1,312
4200 Insurance Claims/Indemnities	9	55	55	-
<b>Total House and Joint</b>	<b>1,203,682</b>	<b>1,239,084</b>	<b>1,239,117</b>	<b>33</b>

## SCHEDULE A – HOUSE AND JOINT ITEMS SUMMARY

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HOUSE OF REPRESENTATIVES  
HOUSE AND JOINT ITEMS SUMMARY (FTE)

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change
<b>Payments to Widows and Heirs of Deceased</b>				
<b>Members of Congress</b>				
House Leadership Offices	211	245	245	-
Members' Representational Allowances	7,326	9,702	9,702	-
Standing Committees, Special & Select-Committees on Appropriations	1,135	1,412	1,412	-
Salaries, Officers and Employees	174	220	220	-
Allowances and Expenses	1,184	1,294	1,294	-
	38	60	60	-
<b>Total House of Representatives</b>	<b>10,067</b>	<b>12,933</b>	<b>12,933</b>	<b>-</b>
<b>Joint Items-House</b>				
Joint Committee on Taxation	63	77	77	-
Office of the Attending Physician	[18]	[18]	[18]	-
<b>Total Joint Items</b>	<b>63</b>	<b>77</b>	<b>77</b>	<b>-</b>
<b>Total House and Joint</b>	<b>10,130</b>	<b>13,010</b>	<b>13,010</b>	<b>-</b>

SCHEDULE A – PAYMENT TO WIDOWS AND HEIRS OF DECEASED MEMBERS OF

HOUSE OF REPRESENTATIVES  
 PAYMENT TO WIDOWS AND HEIRS OF DECEASED MEMBERS OF  
 BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	-	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	-	-	-	-	-
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	-	-

**SCHEDULE C – PAYMENT TO WIDOWS AND HEIRS OF DECEASED MEMBERS OF**  
**HOUSE OF REPRESENTATIVES**  
**DETAILED ANALYSIS OF CHANGE BY ORGANIZATION**  
**PAYMENT TO WIDOWS AND HEIRS OF DECEASED MEMBERS OF**

	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
<b>A. MANDATORY CHANGE</b>	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	
<b>C. PROGRAM CHANGES</b>	-	-	-	
<b>TOTAL</b>	-	-	-	
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	

**Explanation of Changes Shown on Schedule C**

**PAYMENT TO WIDOWS AND HEIRS OF DECEASED MEMBERS OF**

No change reported.

## SCHEDULE A – SALARIES AND EXPENSES

**HOUSE OF REPRESENTATIVES  
SALARIES AND EXPENSES  
BY OBJECT CLASS**

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	705,423	699,492	691,849	(7,643)	-1.09%
1200 Personnel Benefits	257,819	264,917	270,960	6,043	2.28%
1300 Benefits to Former Personnel	6,259	482	482	-	-
2100 Travel	24,257	26,464	26,155	(309)	-1.17%
2200 Transportation of Things	132	133	133	0	0.08%
2300 Rent, Communications, Utilities	70,304	83,016	83,647	631	0.76%
2400 Printing and Reproduction	11,109	16,190	16,191	1	0.01%
2500 Other Services	51,569	64,450	64,816	365	0.57%
2600 Supplies and Materials	27,952	26,965	26,574	(391)	-1.45%
3100 Equipment	36,935	43,515	44,818	1,302	2.99%
4200 Insurance Claims/Indemnities	9	55	55	-	-
<b>Total</b>	<b>1,191,767</b>	<b>1,225,680</b>	<b>1,225,680</b>	<b>(0)</b>	<b>-0.00%</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	10,067	12,933	12,933	-	-

## SCHEDULE C – SALARIES AND EXPENSES

**HOUSE OF REPRESENTATIVES  
DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
SALARIES AND EXPENSES**

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>964,340</b>	<b>962,711</b>	<b>-1,629</b>	<b>-0.17%</b>
Base Adjustment	-89	-8,121	-8,032	9,025.25%
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	111	111	-
Meritorious Increase	-	87	87	-
Overtime Pay	200	330	130	65.00%
Personnel Base	699,381	699,381	-	-
Personnel Benefits	264,848	270,905	6,057	2.29%
Reclassifications	-	-	-	-
Temporary Positions	-	19	19	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	<b>261,340</b>	<b>262,969</b>	<b>1,629</b>	<b>0.62%</b>
House Leadership Offices	1,243	994	-249	-20.00%
Members' Representational Allowances	158,220	158,220	-	-
Standing Committees, Special & Select Committees on Appropriations	8,015	8,415	400	4.99%
Salaries, Officers and Employees	2,466	2,466	-	-
Allowances and Expenses	67,149	66,376	-773	-1.15%
	24,248	26,498	2,251	9.28%
<b>TOTAL</b>	<b>1,225,600</b>	<b>1,225,600</b>	<b>-</b>	<b>-</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>12,933</b>	<b>12,933</b>	<b>-</b>	<b>-</b>

## SCHEDULE A – OFFICE OF THE SPEAKER

HOUSE OF REPRESENTATIVES  
OFFICE OF THE SPEAKER  
BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	3,863	8,148	6,519	(1,630)	-20.00%
1200 Personnel Benefits	19	31	25	(6)	-20.00%
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	27	94	75	(19)	-20.00%
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	6	26	21	(5)	-20.00%
2400 Printing and Reproduction	8	26	21	(5)	-20.00%
2500 Other Services	25	138	110	(28)	-20.00%
2600 Supplies and Materials	151	216	173	(43)	-20.00%
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>4,100</b>	<b>8,678</b>	<b>6,943</b>	<b>(1,736)</b>	<b>-20.00%</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	40	66	66	-	-

## SCHEDULE C – OFFICE OF THE SPEAKER

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 OFFICE OF THE SPEAKER

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>8,148</b>	<b>6,519</b>	<b>-1,630</b>	<b>-20.00%</b>
Base Adjustment	-	-1,630	-1,630	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	8,148	8,148	-	
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	
<b>C. PROGRAM CHANGES</b>	<b>530</b>	<b>424</b>	<b>-106</b>	<b>-20.00%</b>
Non-Personnel	499	399	-100	-20.00%
Official Expenses	31	25	-6	-20.00%
<b>TOTAL</b>	<b>8,678</b>	<b>6,943</b>	<b>-1,736</b>	<b>-20.00%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>66</b>	<b>66</b>	<b>-</b>	<b>-</b>

## Explanation of Changes Shown on Schedule C

HOUSE LEADERSHIP OFFICES  
OFFICE OF THE SPEAKER

For salaries and expenses of the Office of the Speaker, \$6,942,770. The fiscal year (FY) 2013 budget request is flat with the FY'12 Enacted Budget per P.L. 112-74 minus the transition funding that was appropriated in FY'12 in support of the House Leadership Offices transition to a Legislative Year budget cycle. This request will fund the Office of the Speaker Legislative Year 2013 budget cycle, January 3, 2013 – January 2, 2014.

In addition, per P.L. 112-74, SEC. 103 (a) The Speaker has authority to allocate funds among certain House Leadership Offices including the Office of the Speaker, Office for Legislative Floor Activities, Republican Steering Committee (if the Speaker is a member of the Republican Party) or the Democratic Steering and Policy Committee (if the Speaker is a member of the Democratic Party), Republican Policy Committee (if the Speaker is not a member of the Republican Party, the Minority Leader of the House), Training and program development – majority, and Cloakroom personnel. Therefore, the amounts previously appropriated separately for these offices have been allocated to the Office of the Speaker.

This amount includes \$6,518,672 for mandatory items, \$530,123 for program current services and a decrease of \$106,025 for program changes.

I. Personnel Details: FY'13 Request – \$6,518,672A. Base: \$8,148,341

- i. The estimated FY'12 personnel compensation will be \$8,148,341.

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%
- ii. FY'13 Cost of Living Prorated – 0%

C. Requested Changes:

- i. FY'12 Base Adjustment – (\$1,629,669)
  - This decrease includes the transition funds that were appropriated for FY'12 in support of the House Leadership Offices transition to a Legislative Year budget cycle. The budget request for FY'13 will fund the Legislative Year 2013 budget cycle.

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$424,098

**A. Current Services:**

- i. **Non- Personnel: \$498,873** – This account provides the necessary funding for the Office of the Speaker's non-personnel expenses. This amount includes the transition funds for October through December 2012.
- ii. **Official Expenses: \$31,250** – This funds the Speaker's allowance for official expenses. This amount includes the transition funds for October through December 2012.

**B. Proposed Changes:**

- i. **Non- Personnel: (\$99,775)** – This decrease includes the transition funds that were appropriated for FY'12 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY'13 will fund the Legislative Year 2013 budget cycle.  
**Official Expenses: (\$6,250)** – This decrease includes the transition funds that were appropriated for FY'12 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY'13 will fund the Legislative Year 2013 budget cycle.

## SCHEDULE A - OFFICE OF THE MAJORITY FLOOR LEADER

HOUSE OF REPRESENTATIVES  
OFFICE OF THE MAJORITY FLOOR LEADER  
BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	2,330	2,724	2,179	(545)	-20.00%
1200 Personnel Benefits	2	12	10	(2)	-20.00%
1300 Benefits to Former Personnel	-	-	-	-	
2100 Travel	10	6	5	(1)	-20.00%
2200 Transportation of Things	-	-	-	-	
2300 Rent, Communications, Utilities	2	1	1	(0)	-20.00%
2400 Printing and Reproduction	2	1	1	(0)	-20.00%
2500 Other Services	8	1	1	(0)	-19.94%
2600 Supplies and Materials	41	101	81	(20)	-20.00%
3100 Equipment	2	-	-	-	
4200 Insurance Claims/Indemnities	-	-	-	-	
<b>Total</b>	<b>2,396</b>	<b>2,847</b>	<b>2,278</b>	<b>(569)</b>	<b>-20.00%</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	25	32	32	-	-

## SCHEDULE C – OFFICE OF THE MAJORITY FLOOR LEADER

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 OFFICE OF THE MAJORITY FLOOR LEADER

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>2,724</b>	<b>2,179</b>	<b>-545</b>	<b>-20.00%</b>
Base Adjustment	-	-545	-545	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	2,724	2,724	-	-
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	<b>-</b>	<b>-</b>	<b>-</b>	
<b>C. PROGRAM CHANGES</b>	<b>123</b>	<b>98</b>	<b>-25</b>	<b>-20.00%</b>
Non-Personnel	110	88	-22	-20.00%
Official Expenses	12	10	-2	-20.00%
<b>TOTAL</b>	<b>2,847</b>	<b>2,278</b>	<b>-569</b>	<b>-20.00%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>32</b>	<b>32</b>	<b>-</b>	<b>-</b>

## Explanation of Changes Shown on Schedule C

HOUSE LEADERSHIP OFFICES  
OFFICE OF THE MAJORITY FLOOR LEADER

For salaries and expenses of the Office of the Majority Floor Leader, \$2,277,595. The fiscal year (FY) 2013 budget request is flat with the FY'12 Enacted Budget per P.L. 112-74 minus the transition funding that was appropriated in FY'12 in support of the House Leadership Offices transition to a Legislative Year budget cycle. This request will fund the Office of the Majority Floor Leader Legislative Year 2013 budget cycle, January 3, 2013 – January 2, 2014.

This amount includes \$2,179,294 for mandatory items, \$122,876 for program current services and a decrease of \$24,575 for program changes.

I. Personnel Details: FY'13 Request – \$2,179,294A. Base: \$2,724,118

- i. The estimated FY'12 personnel compensation will be \$2,724,118

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%
- ii. FY'13 Cost of Living Prorated – 0%

C. Requested Changes:

- i. FY'12 Base Adjustment – (\$544,824)
  - This decrease includes the transition funds that were appropriated for FY'12 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY'13 will fund the Legislative Year 2013 budget cycle.

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$98,301A. Current Services:

- i. Non-Personnel: \$110,376 – This account provides the necessary funding for the Office of the Majority Leader's non-personnel expenses. This amount includes the transition funds for October through December 2012.
- ii. Official Expenses: \$12,500 – This funds the Majority Leader's allowance for official expenses. This amount includes the transition funds for October through December 2012.

B. Proposed Changes:

- i. Non-Personnel: (\$22,075) – This decrease includes the transition funds that were appropriated for FY'12 in support of the House Leadership

- Offices transition to a Legislative Year budget cycle. The budget request for FY'13 will fund the Legislative Year 2013 budget cycle.
- ii. Official Expenses: (\$2,500) – This decrease includes the transition funds that were appropriated for FY'12 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY'13 will fund the Legislative Year 2013 budget cycle.

## SCHEDULE A – OFFICE OF THE MINORITY FLOOR LEADER

HOUSE OF REPRESENTATIVES  
OFFICE OF THE MINORITY FLOOR LEADER  
BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	3,268	9,199	7,359	(1,840)	-20.00%
1200 Personnel Benefits	2	12	10	(2)	-20.00%
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	84	6	5	(1)	-20.00%
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	5	2	2	(0)	-20.00%
2400 Printing and Reproduction	12	-	-	-	-
2500 Other Services	81	1	1	(0)	-20.00%
2600 Supplies and Materials	263	71	56	(14)	-20.00%
3100 Equipment	4	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>3,720</b>	<b>9,291</b>	<b>7,433</b>	<b>(1,858)</b>	<b>-20.00%</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>30</b>	<b>55</b>	<b>55</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – OFFICE OF THE MINORITY FLOOR LEADER

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 OFFICE OF THE MINORITY FLOOR LEADER

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>9,199</b>	<b>7,359</b>	<b>-1,840</b>	<b>-20.00%</b>
Base Adjustment	-	-1,840	-1,840	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	9,199	9,199	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>C. PROGRAM CHANGES</b>	<b>92</b>	<b>74</b>	<b>-18</b>	<b>-20.00%</b>
Non-Personnel	80	64	-16	-20.00%
Official Expenses	12	10	-2	-20.00%
<b>TOTAL</b>	<b>9,291</b>	<b>7,433</b>	<b>-1,858</b>	<b>-20.00%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>55</b>	<b>55</b>	<b>-</b>	<b>-</b>

## Explanation of Changes Shown on Schedule C

HOUSE LEADERSHIP OFFICES  
OFFICE OF THE MINORITY FLOOR LEADER

For salaries and expenses of the Office of the Minority Floor Leader, \$7,432,812. The fiscal year (FY) 2013 budget request is flat with the FY'12 Enacted Budget per P.L. 112-74 minus the transition funding that was appropriated in FY'12 in support of the House Leadership Offices transition to a Legislative Year budget cycle. This request will fund the Office of the Minority Floor Leader Legislative Year 2013 budget cycle, January 3, 2013 – January 2, 2014.

In addition, per P.L. 112-74, SEC. 103(b), The Minority Leader has authority to allocate funds among certain House Leadership Offices including the Minority Leader, Nine Minority Employees, Democratic Steering and Policy Committee (if the Minority Leader is a member of the Democratic Party) or the Republican Steering Committee and Republican Policy Committee (if the Minority Leader is a member of the Republican Party), Training and program development – minority, and Cloakroom personnel. Therefore, the amounts previously appropriated for these offices have been allocated to the Office of the Minority Floor Leader.

This amount includes \$7,358,853 for mandatory items, \$92,449 for program current services and a decrease of \$18,490 for program changes.

I. Personnel Details: FY'13 Request – \$7,358,853A. Base: \$9,198,568

- i. The estimated FY'12 personnel compensation will be \$9,198,568.

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%
- ii. FY'13 Cost of Living Prorated – 0%

C. Requested Changes:

- i. FY'12 Base Adjustment – (\$1,839,715)
  - This decrease includes the transition funds that were appropriated for FY'12 in support of the House Leadership Offices transition to a Legislative Year budget cycle. The budget request for FY'13 will fund the Legislative Year 2013 budget cycle.

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$73,959A. Current Services:

- i. Non-Personnel: \$79,949 – This account provides the necessary funding for the Office of the Minority Floor Leader's non-personnel expenses. This amount includes the transition funds for October through December 2012.

- ii. Official Expenses: \$12,500 – This funds the Minority Leader’s allowance for official expenses. This amount includes the transition funds for October through December 2012.

**B. Proposed Changes:**

- i. Non-Personnel: (\$15,990) – This decrease includes the transition funds that were appropriated for FY’12 in support of the House Leadership Offices transition to a Legislative Year budget cycle. The budget request for FY’13 will fund the Legislative Year 2013 budget cycle.
- ii. Official Expenses: (\$2,500) – This decrease includes the transition funds that were appropriated for FY’12 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY’13 will fund the Legislative Year 2013 budget cycle.

## SCHEDULE A – OFFICE OF THE MAJORITY WHIP

HOUSE OF REPRESENTATIVES  
OFFICE OF THE MAJORITY WHIP  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	1,843	2,327	1,862	(465)	-20.00%
1200 Personnel Benefits	-	6	5	(1)	-20.00%
1300 Benefits to Former Personnel	-	-	-	-	
2100 Travel	2	15	12	(3)	-20.00%
2200 Transportation of Things	-	-	-	-	
2300 Rent, Communications, Utilities	3	1	1	(0)	-20.00%
2400 Printing and Reproduction	2	1	1	(0)	-20.00%
2500 Other Services	2	9	7	(2)	-20.00%
2600 Supplies and Materials	179	104	83	(21)	-20.00%
3100 Equipment	9	-	-	-	
4200 Insurance Claims/Indemnities	-	-	-	-	
<b>Total</b>	<b>2,040</b>	<b>2,464</b>	<b>1,971</b>	<b>(493)</b>	<b>-20.00%</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	19	23	23	-	-

## SCHEDULE C – OFFICE OF THE MAJORITY WHIP

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 OFFICE OF THE MAJORITY WHIP

	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
<b>A. MANDATORY CHANGE</b>	<b>2,327</b>	<b>1,862</b>	<b>-465</b>	<b>-20.00%</b>
Base Adjustment	-	-465	-465	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	2,327	2,327	-	
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	<b>-</b>	<b>-</b>	<b>-</b>	
<b>C. PROGRAM CHANGES</b>	<b>137</b>	<b>110</b>	<b>-27</b>	<b>-20.00%</b>
Non-Personnel	131	105	-26	-20.00%
Official Expenses	6	5	-1	-20.00%
<b>TOTAL</b>	<b>2,464</b>	<b>1,971</b>	<b>-493</b>	<b>-20.00%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>23</b>	<b>23</b>	<b>-</b>	<b>-</b>

## Explanation of Changes Shown on Schedule C

**HOUSE LEADERSHIP OFFICES  
OFFICE OF THE MAJORITY WHIP**

For salaries and expenses of the Office of the Majority Whip, \$1,971,050. The fiscal year (FY) 2013 budget request is flat with the FY'12 Enacted Budget per P.L. 112-74 minus the transition funding that was appropriated in FY'12 in support of the House Leadership Offices transition to a Legislative Year budget cycle. This request will fund the Office of the Majority Whip Legislative Year 2013 budget cycle, January 3, 2013 – January 2, 2014.

This amount includes \$1,861,514 for mandatory items, \$136,920 for program current services and a decrease of \$27,384 for program changes.

**I. Personnel Details: FY'13 Request – \$1,861,514**

**A. Base: \$2,326,893**

- i. The estimated FY'12 personnel compensation will be \$2,326,893.

**B. Budget Calculations:**

- i. FY'12 Cost of Living Annualized – 0%  
ii. FY'13 Cost of Living Prorated – 0%

**C. Requested Changes:**

- i. FY'12 Base Adjustment – (\$465,379)
- This decrease includes the transition funds that were appropriated for FY'12 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY'13 will fund the Legislative Year 2013 budget cycle.

**II. Price Level Details: FY'13 Request – \$0**

None.

**III. Program Details: FY'13 Request – \$109,536**

**A. Current Services:**

- i. **Non-Personnel: \$130,670** – This account provides the necessary funding for the Office of the Majority Whip's non-personnel expenses. This amount includes the transition funds for October through December 2012.
- ii. **Official Expenses: \$6,250** – This funds the Majority Whip's allowance for official expenses. This amount includes the transition funds for October through December 2012

**B. Proposed Changes:**

- i. **Non-Personnel: (\$26,134)** – This decrease includes the transition funds that were appropriated for FY'12 in support of the House Leadership Offices transition to a Legislative Year budget cycle. The budget request for FY'13 will fund the Legislative Year 2013 budget cycle.
- ii. **Official Expenses: (\$1,250)** – This decrease includes the transition funds that were appropriated for FY'12 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY'13 will fund the Legislative Year 2013 budget cycle.

## SCHEDULE A – OFFICE OF THE MINORITY WHIP

HOUSE OF REPRESENTATIVES  
OFFICE OF THE MINORITY WHIP  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	1,442	1,746	1,397	(349)	-20.00%
1200 Personnel Benefits	1	6	5	(1)	-20.00%
1300 Benefits to Former Personnel	-	-	-	-	
2100 Travel	2	15	12	(3)	-20.00%
2200 Transportation of Things	-	-	-	-	
2300 Rent, Communications, Utilities	5	1	1	(0)	-20.00%
2400 Printing and Reproduction	27	4	3	(1)	-19.99%
2500 Other Services	5	1	1	(0)	-20.00%
2600 Supplies and Materials	95	133	106	(27)	-20.00%
3100 Equipment	-	-	-	-	
4200 Insurance Claims/Indemnities	-	-	-	-	
<b>Total</b>	<b>1,577</b>	<b>1,906</b>	<b>1,525</b>	<b>(381)</b>	<b>-20.00%</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>20</b>	<b>27</b>	<b>27</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – OFFICE OF THE MINORITY WHIP

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 OFFICE OF THE MINORITY WHIP

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>1,746</b>	<b>1,397</b>	<b>-349</b>	<b>-20.00%</b>
Base Adjustment	-	-349	-349	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	1,746	1,746	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>C. PROGRAM CHANGES</b>	<b>160</b>	<b>128</b>	<b>-32</b>	<b>-20.00%</b>
Non-Personnel	154	123	-31	-20.00%
Official Expenses	6	5	-1	-20.00%
<b>TOTAL</b>	<b>1,906</b>	<b>1,525</b>	<b>-381</b>	<b>-20.00%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>27</b>	<b>27</b>	<b>-</b>	<b>-</b>

## Explanation of Changes Shown on Schedule C

HOUSE LEADERSHIP OFFICES  
OFFICE OF THE MINORITY WHIP

For salaries and expenses of the Office of the Minority Whip, \$1,524,951. The fiscal year (FY) 2013 budget request is flat with the FY'12 Enacted Budget per P.L. 112-74 minus the transition funding that was appropriated in FY'12 in support of the House Leadership Offices transition to a Legislative Year budget cycle. This request will fund the Office of the Minority Whip Legislative Year 2013 budget cycle, January 3, 2013 – January 2, 2014.

This amount includes \$1,396,691 for mandatory items, \$160,325 for program current services and a decrease of \$32,065 for program changes.

I. Personnel Details: FY'13 Request – \$1,396,691A. Base: \$1,745,864

- i. The estimated FY'12 personnel compensation will be \$1,745,864.

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%
- ii. FY'13 Cost of Living Prorated – 0%

C. Requested Changes:

- i. FY'12 Base Adjustment – (\$349,173)
  - This decrease includes the transition funds that were appropriated for FY'12 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY'13 will fund the Legislative Year 2013 budget cycle.

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$128,260A. Current Services:

- i. **Non-Personnel: \$154,075** – This account provides the necessary funding for the Office of the Minority Whip non-personnel expenses. This amount includes the transition funds for October through December 2012.
- ii. **Official Expenses: \$6,250** – This funds the Minority Whip's allowance for official expenses. This amount includes the transition funds for October through December 2012.

B. Proposed Changes:

- i. **Non-Personnel: (\$30,815)** – This decrease includes the transition funds that were appropriated for FY'12 in support of the House Leadership

Offices transition to a Legislative Year budget cycle. The budget request for FY'13 will fund the Legislative Year 2013 budget cycle.

- ii. Official Expenses: (\$1,250) – This decrease includes the transition funds that were appropriated for FY'12 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY'13 will fund the Legislative Year 2013 budget cycle.

## SCHEDULE A – SPEAKER'S OFFICE FOR LEGISLATIVE FLOOR ACTIVITIES

HOUSE OF REPRESENTATIVES  
SPEAKER'S OFFICE FOR LEGISLATIVE FLOOR ACTIVITIES  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	282	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>282</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>2</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>

SCHEDULE C – SPEAKER'S OFFICE FOR LEGISLATIVE FLOOR ACTIVITIES

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 SPEAKER'S OFFICE FOR LEGISLATIVE FLOOR ACTIVITIES

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	-	-	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	-	-	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	-	-	-	-
<b>TOTAL</b>	-	-	-	-
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	-

## Explanation of Changes Shown on Schedule C

HOUSE LEADERSHIP OFFICES  
SPEAKER'S OFFICE FOR LEGISLATIVE FLOOR ACTIVITIES

For salaries and expenses of the Speaker's Office for Legislative Floor Activities, \$0.

Amounts previously appropriated for the Speaker's Office for Legislative Floor Activities have been allocated to the Office of the Speaker per P.L. 112-74, SEC. 103 (a) which reads, *The Speaker has authority to allocate funds among certain House Leadership Offices including the Office of the Speaker, Office for Legislative Floor Activities, Republican Steering Committee (if the Speaker is a member of the Republican Party) or the Democratic Steering and Policy Committee (if the Speaker is a member of the Democratic Party), Republican Policy Committee (if the Speaker is not a member of the Republican Party, the Minority Leader of the House), Training and program development – majority, and Cloakroom personnel.*

## SCHEDULE A -- REPUBLICAN STEERING COMMITTEE

HOUSE OF REPRESENTATIVES  
 REPUBLICAN STEERING COMMITTEE  
 BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	687	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>687</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>4</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>

SCHEDULE C – REPUBLICAN STEERING COMMITTEE

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 REPUBLICAN STEERING COMMITTEE

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	-	-	-	
Base Adjustment	-	-	-	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	-	-	-	
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	
<b>C. PROGRAM CHANGES</b>	-	-	-	
<b>TOTAL</b>	-	-	-	
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	

## Explanation of Changes Shown on Schedule C

HOUSE LEADERSHIP OFFICES  
REPUBLICAN STEERING COMMITTEE

For salaries and expenses of the Republican Steering Committee, \$0.

Amounts previously appropriated for the Republican Steering Committee have been allocated to the Office of the Speaker per P.L. 112-74, SEC. 103 (a) which reads, *The Speaker has authority to allocate funds among certain House Leadership Offices including the Office of the Speaker, Office for Legislative Floor Activities, Republican Steering Committee (if the Speaker is a member of the Republican Party) or the Democratic Steering and Policy Committee (if the Speaker is a member of the Democratic Party), Republican Policy Committee (if the Speaker is not a member of the Republican Party, the Minority Leader of the House), Training and program development – majority, and Cloakroom personnel.*

## SCHEDULE A – REPUBLICAN CONFERENCE

HOUSE OF REPRESENTATIVES  
REPUBLICAN CONFERENCE  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	1,273	1,883	1,506	(377)	-20.00%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	4	9	7	(2)	-20.00%
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	5	15	12	(3)	-20.00%
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	0	6	5	(1)	-20.00%
2600 Supplies and Materials	122	53	42	(11)	-20.00%
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>1,404</b>	<b>1,966</b>	<b>1,573</b>	<b>(393)</b>	<b>-20.00%</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	17	20	20	-	-

## SCHEDULE C – REPUBLICAN CONFERENCE

**HOUSE OF REPRESENTATIVES  
DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
REPUBLICAN CONFERENCE**

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>1,883</b>	<b>1,506</b>	<b>-377</b>	<b>-20.00%</b>
Base Adjustment	-	-377	-377	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	1,883	1,883	-	
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	<b>-</b>	<b>-</b>	<b>-</b>	
<b>C. PROGRAM CHANGES</b>	<b>83</b>	<b>66</b>	<b>-17</b>	<b>-20.00%</b>
Non-Personnel	83	66	-17	-20.00%
<b>TOTAL</b>	<b>1,966</b>	<b>1,573</b>	<b>-393</b>	<b>-20.00%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>20</b>	<b>20</b>	<b>-</b>	<b>-</b>

## Explanation of Changes Shown on Schedule C

HOUSE LEADERSHIP OFFICES  
REPUBLICAN CONFERENCE

For salaries and expenses of the Republican Conference, \$1,572,788. The fiscal year (FY) 2013 budget request is flat with the FY'12 Enacted Budget per P.L. 112-74 minus the transition funding that was appropriated in FY'12 in support of the House Leadership Offices transition to a Legislative Year budget cycle. This request will fund the Office of the Republican Conference Legislative Year 2013 budget cycle, January 3, 2013 – January 2, 2014.

This amount includes \$1,506,317 for mandatory items, \$83,088 for program current services and a decrease of \$16,617 for program changes.

I. Personnel Details: FY'13 Request – \$1,506,317A. Base: \$1,882,897

- i. The estimated FY'12 personnel compensation will be \$1,882,897.

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%
- ii. FY'13 Cost of Living Prorated – 0%

C. Requested Changes:

- i. FY'12 Base Adjustment – (\$376,580)
  - This decrease includes the transition funds that were appropriated for FY'12 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY'13 will fund the Legislative Year 2013 budget cycle.

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$66,471A. Current Services:

- i. Non-Personnel: \$83,088 – This account provides the necessary funding for the Office of the Republican Conference non-personnel expenses. This amount includes the transition funds for October through December 2012.

B. Proposed Changes:

- i. Non-Personnel: (\$16,617) – This decrease includes the transition funds that were appropriated for FY'12 in support of the House Leadership Offices transition to a Legislative Year budget cycle. The budget request for FY'13 will fund the Legislative Year 2013 budget cycle.

## SCHEDULE A – REPUBLICAN POLICY COMMITTEE

HOUSE OF REPRESENTATIVES  
 REPUBLICAN POLICY COMMITTEE  
 BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	248	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	0	-	-	-	-
2600 Supplies and Materials	0	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>248</b>				
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>2</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – REPUBLICAN POLICY COMMITTEE

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 REPUBLICAN POLICY COMMITTEE

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	-	-	-	
Base Adjustment	-	-	-	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	-	-	-	
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	
<b>C. PROGRAM CHANGES</b>	-	-	-	
<b>TOTAL</b>	-	-	-	
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	

**Explanation of Changes Shown on Schedule C****HOUSE LEADERSHIP OFFICES  
REPUBLICAN POLICY COMMITTEE**

**For salaries and expenses of the Republican Policy Committee, \$0.**

Amounts previously appropriated for the Republican Policy Committee have been allocated to the Office of the Speaker per P.L. 112-74, SEC. 103 (a) which reads, *The Speaker has authority to allocate funds among certain House Leadership Offices including the Office of the Speaker, Office for Legislative Floor Activities, Republican Steering Committee (if the Speaker is a member of the Republican Party) or the Democratic Steering and Policy Committee (if the Speaker is a member of the Democratic Party), Republican Policy Committee (if the Speaker is not a member of the Republican Party, the Minority Leader of the House), Training and program development – majority, and Cloakroom personnel.*

## SCHEDULE A – DEMOCRATIC STEERING AND POLICY COMMITTEE

HOUSE OF REPRESENTATIVES  
DEMOCRATIC STEERING AND POLICY COMMITTEE  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	1,297	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>1,297</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>12</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – DEMOCRATIC STEERING AND POLICY COMMITTEE

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 DEMOCRATIC STEERING AND POLICY COMMITTEE

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	-	-	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	-	-	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	-	-	-	-
<b>TOTAL</b>	-	-	-	-
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	-

## Explanation of Changes Shown on Schedule C

HOUSE LEADERSHIP OFFICES  
DEMOCRATIC STEERING AND POLICY COMMITTEE

For salaries and expenses of the Democratic Steering and Policy Committee, \$0.

Amounts previously appropriated for the Office of the Democratic Steering and Policy Committee have been allocated to the Office of the Minority Leader per P.L. 112-74, SEC. 103(b) which reads, *The Minority Leader has authority to allocate funds among certain House Leadership Offices including the Minority Leader, Nine Minority Employees, Democratic Steering and Policy Committee (if the Minority Leader is a member of the Democratic Party) or the Republican Steering Committee and Republican Policy Committee (if the Minority Leader is a member of the Republican Party), Training and program development – minority, and Cloakroom personnel.*

## SCHEDULE A – DEMOCRATIC CAUCUS

HOUSE OF REPRESENTATIVES  
DEMOCRATIC CAUCUS  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	1,352	1,825	1,460	(365)	-20.00%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	19	7	6	(1)	-20.00%
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	1	15	12	(3)	-20.00%
2400 Printing and Reproduction	1	4	3	(1)	-19.99%
2500 Other Services	5	12	9	(2)	-20.00%
2600 Supplies and Materials	50	80	64	(16)	-20.00%
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>1,428</b>	<b>1,942</b>	<b>1,554</b>	<b>(388)</b>	<b>-20.00%</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	18	22	22	-	-

## SCHEDULE C – DEMOCRATIC CAUCUS

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 DEMOCRATIC CAUCUS

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>1,825</b>	<b>1,460</b>	<b>-365</b>	<b>-20.00%</b>
Base Adjustment	-	-365	-365	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	1,825	1,825	-	-
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	<b>-</b>	<b>-</b>	<b>-</b>	
<b>C. PROGRAM CHANGES</b>	<b>117</b>	<b>94</b>	<b>-23</b>	<b>-20.00%</b>
Non-Personnel	117	94	-23	-20.00%
<b>TOTAL</b>	<b>1,942</b>	<b>1,554</b>	<b>-388</b>	<b>-20.00%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>22</b>	<b>22</b>	<b>-</b>	

HOUSE LEADERSHIP OFFICES  
DEMOCRATIC CAUCUS

For salaries and expenses of the Democratic Caucus, \$1,553,807. The fiscal year (FY) 2013 budget request is flat with the FY'12 Enacted Budget per P.L.112-74 minus the transition funding that was appropriated in FY'12 in support of the House Leadership Offices transition to a Legislative Year budget cycle. This request will fund the Office of the Democratic Caucus Legislative Year 2013 budget cycle, January 3, 2013 – January 2, 2014.

This amount includes \$1,460,186 for mandatory items, \$117,026 for program current services and a decrease of \$23,405 for program changes.

I. Personnel Details: FY'13 Request – \$1,460,186

A. Base: \$1,825,233

- i. The estimated FY'12 personnel compensation will be \$1,825,233.

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%  
ii. FY'13 Cost of Living Prorated – 0%

C. Requested Changes:

- i. FY'12 Base Adjustment – (\$365,047)
- This decrease includes the transition funds that were appropriated for FY'12 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY'13 will fund the Legislative Year 2013 budget cycle

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$93,621

A. Current Services:

- i. Non-Personnel: \$117,026 – This account provides the necessary funding for the Office of the Democratic Caucus' non-personnel expenses. This amount includes the transition funds for October through December 2012.

B. Proposed Changes:

- i. Non-Personnel: (\$23,405) – This decrease includes the transition funds that were appropriated for FY'12 in support of the House Leadership Offices' transition to a Legislative Year budget cycle. The budget request for FY'13 will fund the Legislative Year 2013 budget cycle.

## SCHEDULE A – NINE MINORITY EMPLOYEES

HOUSE OF REPRESENTATIVES  
NINE MINORITY EMPLOYEES  
BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	1,404	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>1,404</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>9</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>

## SCHEDULE C - NINE MINORITY EMPLOYEES

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 NINE MINORITY EMPLOYEES

	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
<b>A. MANDATORY CHANGE</b>	-	-	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	-	-	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	-	-	-	-
<b>TOTAL</b>	-	-	-	-
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	-

## Explanation of Changes Shown on Schedule C

HOUSE LEADERSHIP OFFICES  
NINE MINORITY EMPLOYEES

For salaries and expenses of the Nine Minority Employees, \$0.

Amounts previously appropriated for the Office of Nine Minority Employees have been allocated to the Office of the Minority Leader per P.L 112-74, SEC. 103(b) which reads, *The Minority Leader has authority to allocate funds among certain House Leadership Offices including the Minority Leader, Nine Minority Employees, Democratic Steering and Policy Committee (if the Minority Leader is a member of the Democratic Party) or the Republican Steering Committee and Republican Policy Committee (if the Minority Leader is a member of the Republican Party), Training and program development – minority, and Cloakroom personnel.*

## SCHEDULE A - TRAINING AND PROGRAM DEVELOPMENT-MAJORITY

HOUSE OF REPRESENTATIVES  
TRAINING AND PROGRAM DEVELOPMENT-MAJORITY  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	265	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>265</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>3</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – TRAINING AND PROGRAM DEVELOPMENT-MAJORITY

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 TRAINING AND PROGRAM DEVELOPMENT-MAJORITY

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	-	-	-	
Base Adjustment	-	-	-	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	-	-	-	
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	
<b>C. PROGRAM CHANGES</b>	-	-	-	
<b>TOTAL</b>	-	-	-	
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	

## Explanation of Changes Shown on Schedule C

HOUSE LEADERSHIP OFFICES  
TRAINING AND PROGRAM DEVELOPMENT-MAJORITY

For salaries and expenses of the Training and Program Development-Majority, \$0.

Amounts previously appropriated for the Office of the Majority Training and Program Development have been allocated to the Office of the Speaker per P.L. 112-74, SEC. 103 (a) which reads, *The Speaker has authority to allocate funds among certain House Leadership Offices including the Office of the Speaker, Office for Legislative Floor Activities, Republican Steering Committee (if the Speaker is a member of the Republican Party) or the Democratic Steering and Policy Committee (if the Speaker is a member of the Democratic Party), Republican Policy Committee (if the Speaker is not a member of the Republican Party, the Minority Leader of the House), Training and program development – majority, and Cloakroom personnel.*

## SCHEDULE A – TRAINING AND PROGRAM DEVELOPMENT-MINORITY

HOUSE OF REPRESENTATIVES  
TRAINING AND PROGRAM DEVELOPMENT-MINORITY  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	117	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>117</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>2</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – TRAINING AND PROGRAM DEVELOPMENT-MINORITY

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 TRAINING AND PROGRAM DEVELOPMENT-MINORITY

	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
<b>A. MANDATORY CHANGE</b>	-	-	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	-	-	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	-	-	-	-
<b>TOTAL</b>	-	-	-	-
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	-

## Explanation of Changes Shown on Schedule C

HOUSE LEADERSHIP OFFICES  
TRAINING AND PROGRAM DEVELOPMENT-MINORITY

For salaries and expenses of the Training and Program Development-Minority, \$0.

Amounts previously appropriated for the Office of the Minority Training and Program Development have been allocated to the Office of the Minority Leader per P.L. 112-74, SEC. 103(b) which reads, *The Minority Leader has authority to allocate funds among certain House Leadership Offices including the Minority Leader, Nine Minority Employees, Democratic Steering and Policy Committee (if the Minority Leader is a member of the Democratic Party) or the Republican Steering Committee and Republican Policy Committee (if the Minority Leader is a member of the Republican Party), Training and program development – minority, and Cloakroom personnel.*

## SCHEDULE A – CLOAKROOM PERSONNEL-MAJORITY

HOUSE OF REPRESENTATIVES  
CLOAKROOM PERSONNEL-MAJORITY  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	367	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>367</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>4</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – CLOAKROOM PERSONNEL-MAJORITY

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 CLOAKROOM PERSONNEL-MAJORITY

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	-	-	-	
Base Adjustment	-	-	-	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	-	-	-	
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	
<b>C. PROGRAM CHANGES</b>	-	-	-	
<b>TOTAL</b>	-	-	-	
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	

## Explanation of Changes Shown on Schedule C

HOUSE LEADERSHIP OFFICES  
CLOAKROOM PERSONNEL-MAJORITY

For salaries and expenses of the Cloakroom Personnel-Majority, \$0.

Amounts previously appropriated for the Office of the Majority Cloakroom Personnel have been allocated to the Office of the Speaker per P.L. 112-74, SEC. 103 (a) which reads, *The Speaker has authority to allocate funds among certain House Leadership Offices including the Office of the Speaker, Office for Legislative Floor Activities, Republican Steering Committee (if the Speaker is a member of the Republican Party) or the Democratic Steering and Policy Committee (if the Speaker is a member of the Democratic Party), Republican Policy Committee (if the Speaker is not a member of the Republican Party, the Minority Leader of the House), Training and program development – majority, and Cloakroom personnel.*

## SCHEDULE A – CLOAKROOM PERSONNEL-MINORITY

HOUSE OF REPRESENTATIVES  
CLOAKROOM PERSONNEL-MINORITY  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	456	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>456</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>4</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – CLOAKROOM PERSONNEL-MINORITY

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 CLOAKROOM PERSONNEL-MINORITY

	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
<b>A. MANDATORY CHANGE</b>	-	-	-	
Base Adjustment	-	-	-	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	-	-	-	
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	
<b>C. PROGRAM CHANGES</b>	-	-	-	
<b>TOTAL</b>	-	-	-	
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	

## Explanation of Changes Shown on Schedule C

HOUSE LEADERSHIP OFFICES  
CLOAKROOM PERSONNEL-MINORITY

For salaries and expenses of the Cloakroom Personnel-Minority, \$0.

Amounts previously appropriated for the Office of Minority Cloakroom Personnel have been allocated to the Office of the Minority Leader per P.L. 112-74, SEC. 103(b) which reads, *The Minority Leader has authority to allocate funds among certain House Leadership Offices including the Minority Leader, Nine Minority Employees, Democratic Steering and Policy Committee (if the Minority Leader is a member of the Democratic Party) or the Republican Steering Committee and Republican Policy Committee (if the Minority Leader is a member of the Republican Party), Training and program development – minority, and Cloakroom personnel.*

## SCHEDULE A – TOTAL HOUSE LEADERSHIP OFFICES

HOUSE OF REPRESENTATIVES  
TOTAL – HOUSE LEADERSHIP OFFICES  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	20,494	27,852	22,282	(5,570)	-20.00%
1200 Personnel Benefits	25	69	55	(14)	-20.00%
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	148	152	122	(30)	-20.00%
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	28	62	50	(12)	-20.00%
2400 Printing and Reproduction	52	35	28	(7)	-20.00%
2500 Other Services	125	168	134	(34)	-20.00%
2600 Supplies and Materials	901	757	605	(151)	-20.00%
3100 Equipment	14	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>21,787</b>	<b>29,095</b>	<b>23,276</b>	<b>(5,819)</b>	<b>-20.00%</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	211	245	245	-	-

## SCHEDULE C – TOTAL HOUSE LEADERSHIP OFFICES

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY APPROPRIATIONS  
 TOTAL – HOUSE LEADERSHIP OFFICES

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>27,852</b>	<b>22,282</b>	<b>-5,570</b>	<b>-20.00%</b>
Base Adjustment	-	-5,570	-5,570	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	27,852	27,852	-	-
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	<b>-</b>	<b>-</b>	<b>-</b>	
<b>C. PROGRAM CHANGES</b>	<b>1,243</b>	<b>994</b>	<b>-249</b>	<b>-20.00%</b>
Office of the Speaker	530	424	-106	-20.00%
Office of the Majority Floor Leader	123	98	-25	-20.00%
Office of the Minority Floor Leader	92	74	-18	-20.00%
Office of the Majority Whip	137	110	-27	-20.00%
Office of the Minority Whip	160	128	-32	-20.00%
Republican Conference	83	66	-17	-20.00%
Democratic Caucus	117	94	-23	-20.00%
<b>TOTAL</b>	<b>29,095</b>	<b>23,276</b>	<b>-5,819</b>	<b>-20.00%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>245</b>	<b>245</b>	<b>-</b>	<b>-</b>

## SCHEDULE A - MEMBERS' REPRESENTATIONAL ALLOWANCES

HOUSE OF REPRESENTATIVES  
MEMBERS' REPRESENTATIONAL ALLOWANCES  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	437,531	415,720	415,720	-	-
1200 Personnel Benefits	1	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	22,055	24,341	24,341	-	-
2200 Transportation of Things	6	2	2	-	-
2300 Rent, Communications, Utilities	57,107	67,406	67,406	-	-
2400 Printing and Reproduction	10,882	15,915	15,915	-	-
2500 Other Services	24,670	21,533	21,533	-	-
2600 Supplies and Materials	20,297	18,724	18,724	-	-
3100 Equipment	9,131	10,298	10,298	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>581,680</b>	<b>573,939</b>	<b>573,939</b>	<b>-</b>	<b>-</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	7,326	9,702	9,702	-	-

## SCHEDULE C -- MEMBERS' REPRESENTATIONAL ALLOWANCES

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 MEMBERS' REPRESENTATIONAL ALLOWANCES

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>415,720</b>	<b>415,720</b>	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	415,720	415,720	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	<b>158,220</b>	<b>158,220</b>	-	-
Official Expenses	143,220	143,220	-	-
Official Mail	15,000	15,000	-	-
<b>TOTAL</b>	<b>573,939</b>	<b>573,939</b>	-	-
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>9,702</b>	<b>9,702</b>	-	-

## Explanation of Changes Shown on Schedule C

## MEMBERS' REPRESENTATIONAL ALLOWANCES

For salaries and expenses of the Members' Representational Allowances, \$573,939,282. The fiscal year 2013 budget request is flat with the FY'12 Enacted Budget per P.L. 112-74. This amount includes \$415,719,610 for mandatory items, \$158,219,672 for program current services and no program changes.

I. Personnel Details: FY'13 Request – \$415,719,610A. Base: \$415,719,610

- i. The estimated FY'12 personnel compensation will be \$415,719,610.

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%
- ii. FY'13 Cost of Living Prorated – 0%

C. Requested Changes:

None.

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$158,219,672A. Current Services:

- i. Official Mail: \$15,000,000 – The Official Mail program covers all MRA mailing expenses from both the district and DC offices of all Members.
- ii. Official Expenses: \$143,219,672 – Official Expenses of the MRA are composed of non-personnel items such as equipment, federal and private rent, telecommunications, printing and contract services.

B. Proposed Changes:

None.

## SCHEDULE A – STANDING COMMITTEES, SPECIAL &amp; SELECT

HOUSE OF REPRESENTATIVES  
STANDING COMMITTEES, SPECIAL & SELECT  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	117,767	117,950	117,950	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	644	500	500	-	-
2200 Transportation of Things	0	-	-	-	-
2300 Rent, Communications, Utilities	1,615	1,325	1,325	-	-
2400 Printing and Reproduction	99	90	90	-	-
2500 Other Services	1,468	1,100	1,100	-	-
2600 Supplies and Materials	2,785	1,900	1,900	-	-
3100 Equipment	3,437	3,100	3,100	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>127,816</b>	<b>125,965</b>	<b>125,965</b>	<b>-</b>	<b>-</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>1,135</b>	<b>1,412</b>	<b>1,412</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – STANDING COMMITTEES, SPECIAL &amp; SELECT

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 STANDING COMMITTEES, SPECIAL & SELECT

	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
<b>A. MANDATORY CHANGE</b>	<b>117,950</b>	<b>117,950</b>	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	117,950	117,950	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	<b>8,015</b>	<b>8,015</b>	-	-
Official Expenses	8,015	8,015	-	-
<b>TOTAL</b>	<b>125,965</b>	<b>125,965</b>	-	-
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>1,412</b>	<b>1,412</b>	-	-

## Explanation of Changes Shown on Schedule C

## STANDING COMMITTEES, SPECIAL &amp; SELECT

For salaries and expenses of the Standing Committees, Special & Select, \$125,964,870. The fiscal year 2013 budget request is flat with the FY'12 Enacted Budget per P.L. 112-74. This amount includes \$117,949,870 for mandatory items, \$8,015,000 for program current services and no program changes.

I. Personnel Details: FY'13 Request – \$117,949,870A. Base: \$117,949,870

- i. The estimated FY'12 personnel compensation will be \$117,949,870.

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%
- ii. FY'13 Cost of Living Prorated – 0%

C. Requested Changes:

- i. FY'12 Cost of Living Annualized – \$0
- ii. FY'13 Cost of Living Prorated – \$0

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$8,015,000

## A. Current Services:

- i. Official Expenses: \$8,015,000 – Official Expenses of the Standing Committees, Special and Select are composed of non-personnel items such as equipment, telecommunications, printing, contract services, supplies and travel.

## B. Proposed Changes:

- i. Official Expenses: \$0 - None.

## SCHEDULE A – HEARING ROOM RENOVATIONS

**HOUSE OF REPRESENTATIVES  
HEARING ROOM RENOVATIONS  
BY OBJECT CLASS**

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	-	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	126	-	400	400	
2600 Supplies and Materials	72	-	-	-	
3100 Equipment	2,088	-	-	-	
4200 Insurance Claims/Indemnities	-	-	-	-	
<b>Total</b>	<b>2,286</b>	<b>-</b>	<b>400</b>	<b>400</b>	
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	-	-

## SCHEDULE C – HEARING ROOM RENOVATIONS

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 HEARING ROOM RENOVATIONS

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>				
Base Adjustment	-	-	-	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	-	-	-	
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	
<b>C. PROGRAM CHANGES</b>				
Hearing Room Renovations	-	400	400	
<b>TOTAL</b>	-	400	400	
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	

## Explanation of Changes Shown on Schedule C

## HEARING ROOM RENOVATIONS

For salaries and expenses of the Hearing Room Renovations, \$400,000. The fiscal year 2013 budget request is an increase of \$400,000 or 100% over the FY'12 Appropriation per P.L. 112-74. This amount includes \$0 for mandatory items, \$400,000 for program current services and \$400,000 program changes.

I. Personnel Details: FY'13 Request – \$0

- A. Base: \$0
- B. Budget Calculations: \$0
- C. Requested Changes: \$0

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$400,000

## A. Current Services:

i. Hearing Room Renovations: \$0 – This program provides funding for the remodeling/upgrade of all Main Committee Hearing Rooms and Subcommittee Hearing Rooms as well as operational costs associated with maintaining all the Committee Hearing Rooms.

## B. Proposed Changes:

i. Hearing Room Renovations: \$400,000 – This funding is required for expected equipment replacement.

## SCHEDULE A -- TOTAL -- STANDING COMMITTEES, SPECIAL AND SELECT

HOUSE OF REPRESENTATIVES  
TOTAL -- STANDING COMMITTEES, SPECIAL AND SELECT  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	117,767	117,950	117,950	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	644	500	500	-	-
2200 Transportation of Things	0	-	-	-	-
2300 Rent, Communications, Utilities	1,615	1,325	1,325	-	-
2400 Printing and Reproduction	99	90	90	-	-
2500 Other Services	1,594	1,100	1,500	400	36.36%
2600 Supplies and Materials	2,857	1,900	1,900	-	-
3100 Equipment	5,526	3,100	3,100	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>130,102</b>	<b>125,965</b>	<b>126,365</b>	<b>400</b>	<b>0.32%</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>1,135</b>	<b>1,412</b>	<b>1,412</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – TOTAL – STANDING COMMITTEES, SPECIAL AND SELECT

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 TOTAL – STANDING COMMITTEES, SPECIAL AND SELECT

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>117,950</b>	<b>117,950</b>	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	117,950	117,950	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	<b>8,015</b>	<b>8,415</b>	<b>400</b>	<b>4.99%</b>
Standing Committees, Special & Select	8,015	8,015	-	-
Hearing Room Renovations	-	400	400	
<b>TOTAL</b>	<b>125,965</b>	<b>126,365</b>	<b>400</b>	<b>0.32%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>1,412</b>	<b>1,412</b>	-	-

## SCHEDULE A - COMMITTEES ON APPROPRIATIONS

HOUSE OF REPRESENTATIVES  
COMMITTEES ON APPROPRIATIONS  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	20,223	24,200	24,200	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	62	200	200	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	307	240	240	-	-
2400 Printing and Reproduction	9	9	9	-	-
2500 Other Services	1,802	1,530	1,530	-	-
2600 Supplies and Materials	303	200	200	-	-
3100 Equipment	706	287	287	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>23,412</b>	<b>26,666</b>	<b>26,666</b>	-	-
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	174	220	220	-	-

## SCHEDULE C – COMMITTEES ON APPROPRIATIONS

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 COMMITTEES ON APPROPRIATIONS

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>24,200</b>	<b>24,200</b>	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	200	200	-	-
Personnel Base	24,000	24,000	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	<b>2,466</b>	<b>2,466</b>	-	-
Administration	2,466	2,466	-	-
<b>TOTAL</b>	<b>26,666</b>	<b>26,666</b>	-	-
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>220</b>	<b>220</b>	-	-

## Explanation of Changes Shown on Schedule C

## COMMITTEES ON APPROPRIATIONS

For salaries and expenses of the Committees on Appropriations, \$26,665,785. The fiscal year 2013 budget request is flat with the FY'12 Enacted Budget per P.L. 112-74. This amount includes \$24,200,000 for mandatory items, \$2,465,785 for program current services and no program changes.

I. Personnel Details: FY'13 Request – \$24,200,000A. Base: \$24,000,000

- i. The estimated FY'12 personnel compensation will be \$24,000,000.

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%
- ii. FY'13 Cost of Living Prorated – 0%
- iii. FY'13 Meritorious Increases – 0%

C. Requested Changes:

- i. FY'12 Cost of Living Annualized – \$0
- ii. FY'13 Cost of Living Prorated – \$0
- iii. FY'13 Meritorious Increases – \$0
- iv. Overtime Pay - \$200,000

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$2,465,785

## A. Current Services:

- i. Official Expenses: \$2,465,785 – The Official Expenses program of the Committee on Appropriations is composed of non-personnel items such as equipment, travel, telecommunications, printing and contract services.

## B. Proposed Changes:

- i. Official Expenses: \$0.

## SCHEDULE A – OFFICE OF THE CLERK

**HOUSE OF REPRESENTATIVES  
OFFICE OF THE CLERK  
BY OBJECT CLASS**

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	20,399	21,025	19,106	(1,919)	-9.13%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	57	48	71	23	48.84%
2200 Transportation of Things	1	-	-	-	-
2300 Rent, Communications, Utilities	174	218	192	(27)	-12.23%
2400 Printing and Reproduction	30	29	40	12	40.00%
2500 Other Services	1,838	2,975	1,083	(1,892)	-63.60%
2600 Supplies and Materials	380	1,180	1,153	(27)	-2.25%
3100 Equipment	403	640	725	85	13.33%
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>23,241</b>	<b>26,114</b>	<b>22,370</b>	<b>(3,744)</b>	<b>-14.34%</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>252</b>	<b>298</b>	<b>298</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – OFFICE OF THE CLERK

HOUSE OF REPRESENTATIVES  
DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
OFFICE OF THE CLERK

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>21,025</b>	<b>19,106</b>	<b>-1,919</b>	<b>-9.13%</b>
Base Adjustment	-	-2,103	-2,103	
Cost of Living Adjustment Annualized	-	-	-	
Longevity Increase	-	69	69	
Meritorious Increase	-	-	-	
Overtime Pay	-	116	116	
Personnel Base	21,025	21,025	-	-
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
Cost of living Adjustment	-	-	-	
Personnel Benefits	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	
<b>C. PROGRAM CHANGES</b>	<b>5,089</b>	<b>3,264</b>	<b>-1,826</b>	<b>-35.87%</b>
Immediate Office	208	224	16	7.60%
Clerk Legislative Operations	32	33	1	4.13%
Legislative Computers	533	574	41	7.63%
Official Reporters	94	100	5	5.29%
Legislative Resource Center	294	300	5	1.70%
Service Group	22	18	-5	-21.26%
Page Program	114	-	-114	-100.00%
Stenographic Reporting	600	700	100	16.67%
House Employment Counsel	175	191	16	9.15%
Closed Caption	816	850	34	4.17%
Office of Communications	28	28	0	0.35%
Arts and Archives	120	168	49	40.83%
Office of the Historian's Staff	53	79	26	49.33%
LIMMS	2,000	-	-2,000	-100.00%
<b>TOTAL</b>	<b>26,114</b>	<b>22,370</b>	<b>-3,744</b>	<b>-14.34%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>298</b>	<b>298</b>	<b>-</b>	<b>-</b>

## Explanation of Changes Shown on Schedule C

SALARIES, OFFICERS AND EMPLOYEES  
OFFICE OF THE CLERK

For salaries and expenses of the Office of the Clerk, \$22,370,252. The fiscal year 2013 budget request is a decrease of \$3,744,148 or 14.3% less than the FY'12 Enacted Budget per P.L. 112.74.

This amount includes \$19,106,336 for mandatory items, \$5,089,464 for program current services and a decrease of \$1,825,548 for program changes.

I. Personnel Details: FY'13 Request – \$19,106,336A. Base: \$21,024,936

- i. The estimated FY'12 personnel compensation will be \$21,024,936

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%
- ii. FY'13 Cost of Living Prorated – 0%
- iii. FY'13 Longevity Increase – .36%
- iv. FY'13 Meritorious Increase – 0%

C. Requested Changes:

- i. FY'13 Base Adjustment – (\$2,103,328)
  - This adjustment reflects the discontinuation of the Page Program.
- ii. FY'13 Cost of Living Prorated – \$0
- iii. FY'13 Longevity Increase – \$68,728
- iv. FY'13 Meritorious Increase – \$0
- v. FY'13 Overtime Pay – \$116,000

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$3,263,916A. Current Services:

- i. Immediate Office: \$208,464 – The Immediate Office (IO) provides overall management of the functional areas, including coordination with House Inspector General for audits and various boards and commissions. It directly administers many of the official processes critical to the organization of a new Congress, including receipt of Certificates of Election, Oaths of Office and Oaths for Access to Classified Information. The IO also supervises vacant congressional offices, processes orders for reproduction of public and private laws, and manages the official vehicle leases.

- ii. Legislative Operations: \$31,500 – The Office of Legislative Operations provides support pertaining to the Clerk’s legislative duties. Among those duties are receiving and processing official papers; compiling and publishing the daily minutes of the House proceedings; operating the electronic voting system and overseeing the recording of votes; preparing messages to the Senate regarding passed legislation; and reading the bills, resolutions, amendments, motions and Presidential messages that come before the House. The Office of Legislative Operations also prepares the summaries and schedules of House activities published in the Daily Digest section of the Congressional Record.
- iii. Legislative Computer Systems: \$533,100 – Legislative Computer Systems provides the technical support for all elements of the Office of the Clerk. Legislative Computer Systems interfaces with other electronic information service providers critical to House operations. This office provides technical support for initiatives including the Document Management System Initiative, the House Electronic Voting System (EVS) and develops and maintains the Clerk’s websites.
- iv. Official Reporters: \$94,500 – The Office of Official Reporters is responsible for the daily reporting and transcribing of the debates and proceedings that constitute the House portion of the Congressional Record as well as the reporting and transcribing of House Committee hearings.
- v. Legislative Resource Center (LRC): \$294,500 – The Legislative Resource Center (LRC) is the Clerk’s hub for statutory registrations and filings, public information and legislative documents, and library services. It manages a library in excess of 125,000 volumes of congressional publications. The LRC annually responds to approximately 100,000 inquiries, processes over 30,000 official filings, and distributes congressional documents.
- vi. Service Group: \$22,300 – The Service Group administers the Members and Family Room, the Congresswomen’s Suite, and the Capitol Prayer Room.
- vii. Page Program: \$113,600 – As early as the 20th Congress (1827-1829), young messengers, now known as Pages, have been employed as support staff to assist Members of the House in performing their daily legislative business. Pages are male and female students in their junior year of high school, who come to Washington, D.C. to live, work and study. The program includes the House Page Residence Hall, the House Page School and work responsibilities within the House, which is supervised by the House Page Board and administered by the Clerk of the House.
- viii. Stenographic Reporting: \$600,000 – Stenographic Reporting provides funding for any supplemental costs associated with stenographic reporting for House committees. Stenographic Reporting was a new category in FY 2010 as these funds were previously included under Official Reporters.
- ix. House Employment Counsel: \$174,800 – The Office of House Employment Counsel provides House employing offices with legal advice and guidance relating to employment policies and practices, in addition

to representation in federal courts and before the Office of Compliance concerning complaints filed under the Congressional Accountability Act. The Office of House Employment Counsel also provides training on a wide array of employment law related issues. This office is administered by the Clerk under the bipartisan direction of the Chairman and Ranking Minority Member of the Committee on House Administration.

- x. **Closed Captioning:** \$816,000 – The Closed Captioning contract provides closed captioning services for the House Floor.
- xi. **Office of Communications:** \$28,350 – The Office of Communications is charged with driving internal and external communications strategies for the Office of the Clerk. It provides creative services to all divisions. Support includes messaging and brand positioning; web, video, and print content development; graphic and interactive web design; event and architectural photography; event support; email communications; and social media management.
- xii. **Arts and Archives:** \$119,644 – The Office of Arts and Archives collects, preserves, and interprets the heritage of the House through curatorial and archival services. The Office curates the House Collection, activities which include acquisition and care of collection objects, processing of artifact loans, and services to members and staff. This office also processes the records of the House, oversees their eventual safe transfer to the National Archives, and provides advice to Committee staff and Member office staff on records management.
- xiii. **Historian's Staff:** \$52,706 – Rule II, Clause 7, of the Rules of the House of Representatives, provides for the Office of the Historian. The mission of the Historian's Office is to research, interpret, and promote the institution's distinctive history and heritage. Historian programs include providing historical reference services to Members, staff committees and the general public; researching, writing and updating the House's ongoing print and Web historical publications; conducting oral histories; and engaging in educational outreach.
- xiv. **Public Access Projects:** \$2,000,000 – Projects in this category are designed to provide greater access and transparency to House proceedings and documents. These projects can be, i.e., new or enhanced public disclosure (LD, FD, etc); new or enhanced document availability (Phase II of the Committee Project); new Clerk website development or redesign; and HouseLive streaming video enhancements.

**B. Proposed Changes:**

- i. **Immediate Office:** \$15,836 – This is due to increases in service and maintenance contracts.
- ii. **Legislative Operations:** \$1,300 – This is due to increases in communication equipment charges.
- iii. **Legislative Computer Systems:** \$40,700 – This is a result of scheduled increases in equipment maintenance costs.

- iv. Official Reporters: \$5,000 – This is a due to anticipated increases in maintenance contracts.
- v. Legislative Resource Center (LRC): \$5000 – This is due to a \$2,000 projected increase in printing and reproduction costs and \$3,000 increase in equipment maintenance.
- vi. Service Group: (\$4,740) – The decrease is a result of reduced supply usage and equipment maintenance costs.
- vii. Page Program: (\$113,600) – The program has been discontinued.
- viii. Stenographic Reporting: \$100,000 – The increase is the result of an anticipated increase in committee and field hearings.
- ix. House Employment Counsel: \$16,000 – The increase is due to a projected increase in transcription, investigation and travel costs.
- x. Closed Captioning: \$34,000 – Scheduled increase in the contract.
- xi. Office of Communications: \$100 – Scheduled increase in equipment contract.
- xii. Arts and Archives: \$48,856 – This due to anticipated increases in photographic and outside preservation costs.
- xiii. Historian's Staff: \$26,000 – Increases in travel, transcription and recording services.
- xiv. Public Access Projects: (\$2,000,000) – This project was funded to date in the previous year.

## SCHEDULE A – OFFICE OF THE SERGEANT AT ARMS

HOUSE OF REPRESENTATIVES  
OFFICE OF THE SERGEANT AT ARMS  
BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	8,992	8,925	9,220	295	3.30%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	217	174	132	(42)	-24.14%
2200 Transportation of Things	0	-	-	-	-
2300 Rent, Communications, Utilities	157	186	181	(5)	-2.69%
2400 Printing and Reproduction	2	9	7	(2)	-22.22%
2500 Other Services	1,500	2,571	2,801	230	8.95%
2600 Supplies and Materials	75	206	110	(96)	-46.60%
3100 Equipment	271	514	1,377	863	167.90%
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>11,216</b>	<b>12,585</b>	<b>13,828</b>	<b>1,243</b>	<b>9.87%</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>116</b>	<b>134</b>	<b>134</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – OFFICE OF THE SERGEANT AT ARMS

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 OFFICE OF THE SERGEANT AT ARMS

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>8,925</b>	<b>9,220</b>	<b>295</b>	<b>3.30%</b>
Base Adjustment	-	247	247	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	18	18	
Meritorious Increase	-	20	20	
Overtime Pay	-	10	10	
Personnel Base	8,925	8,925	-	
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	
<b>C. PROGRAM CHANGES</b>	<b>3,660</b>	<b>4,608</b>	<b>948</b>	<b>25.90%</b>
Immediate Office	611	494	-116	-19.07%
House Garages/Parking Security	9	9	-	
House Security Office	-	5	5	
Office of Information Services	164	298	134	82.26%
Office of Emergency Management	2,876	3,802	925	32.16%
<b>TOTAL</b>	<b>12,585</b>	<b>13,828</b>	<b>1,243</b>	<b>9.87%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>134</b>	<b>134</b>	<b>-</b>	<b>-</b>

## Explanation of Changes Shown on Schedule C

**SALARIES, OFFICERS AND EMPLOYEES  
OFFICE OF THE SERGEANT AT ARMS**

For salaries and expenses of the Office of the Sergeant at Arms, \$13,827,732. The fiscal year 2013 budget request is an increase of \$1,243,000 or 10% above the FY'12 Enacted Budget per P.L. 112-74. This amount includes \$9,219,732 for mandatory items, \$4,608,000 for program current services and \$948,000 in program changes.

**I. Personnel Details: FY'13 Request – \$9,219,732**

**A. Base: \$8,925,000**

- i. The estimated FY'12 personnel compensation will be \$8,925,000

**B. Budget Calculations:**

- i. FY'12 Cost of Living Annualized – 0%  
 ii. FY'13 Cost of Living Prorated – 0%  
 iii. FY'13 Longevity Increase – 0.20%  
 iv. FY'13 Meritorious Increases – 0.22%

**C. Requested Changes:**

- i. FY'12 Cost of Living Annualized – \$0  
 ii. FY'13 Cost of Living Prorated – \$0  
 iii. FY'13 Longevity Increase \$18,000  
 iv. FY'13 Meritorious Increases – \$20,000  
 v. FY'13 Base Adjustment – \$247,000 - This increase will fund existing vacant positions throughout Sergeant At Arms in areas of security to Members of Congress and Congressional Staff and visitors.  
 vi. FY'13 Overtime - \$10,000

**II. Price Level Details: FY'13 Request – \$0**

None.

**III. Program Details: FY'12 Request – \$4,608,000**

**A. Current Services:**

- i. Office of the Sergeant At Arms Immediate Office: \$611,000 - The Sergeant at Arms Immediate Office oversees and administers all divisions within the organization. The divisions of Police Services/Special Events and Protocol and the House Appointments Desks fall under the Immediate Office. Staff in the division of Police Services/Special Events and Protocol provide logistical and security support at on and off campus events involving Members of Congress.

- Appointments Desk staff assists visitors on official business with access to the Capitol Building.
- ii. Sergeant At Arms House Garages/Parking Security: \$9,000 - The division of House Garages and Parking Security is responsible for the safety and security of all vehicles and pedestrians in the House garages and parking areas. The division enforces the parking policies and allocations set forth by the Committee on House Administration.
  - iii. Sergeant At Arms Information Services: \$164,000 - The division of Information Services is comprised of the following two sections: Information Technology and Identification Services. The Information Technology section provides technical support for the entire Office of the Sergeant at Arms relating to information technology infrastructure, telecommunications, and end user support. The Identification Services section assists with the security of the Capitol complex by issuing ID badges to all authorized personnel within the House and the Architect of the Capitol.
  - iv. Sergeant At Arms Office of Emergency Management: \$2,876,000 - The division of Emergency Management serves as the focal point for the House of Representatives emergency planning and continuity programs. The division manages the House of Representatives life safety support programs, specialized emergency Member support programs, the House Operations Center, and internal continuity activities for the Office of the Sergeant at Arms.

**B. Proposed Changes:**

- i. Office of the Sergeant At Arms: \$0 – None.
- ii. Office of the Sergeant At Arms Immediate Office: (\$116,000) – This decrease is a result of applying historical trends in spending for non personnel items such as rent, communications and utilities (RCU) and printing. The decrease in non personnel funding necessary to execute this program is also due to the cyclical nature of our budget in which we request supplies and materials for each new Congress in even number fiscal years only as well as a decrease in travel funding in FY12 to advance and support the upcoming Presidential conventions.
- iii. Sergeant At Arms House Garages/Parking Security: \$0 – None.
- iv. Sergeant At Arms Information Services: \$134,000 - This increase will provide compulsory funding for staff training and contracted services to assist with identification badge production for the 113th Congress. This is a net increase that is offset by decreases in other non-personnel object class categories such as supplies and materials and equipment within this functional component.
- v. Sergeant At Arms Office of Emergency Management: \$925,000 – This increase will adequately fund cyclical lifecycle replacement of office equipment, various security related equipment hardware, software, and maintenance; contingency/unplanned projects; and anticipated increases associated with staff training, travel, and contracted services

related to business continuity and disaster recovery initiatives under the SAA's purview.

- vi. Sergeant At Arms House Security Office: \$5,000 - The Office of House Security (OHS) serves as a central location to oversee the issuance, administration, and verification of all House of Representatives security clearances. OHS serves as a central repository for classified materials and is responsible for the receiving, controlling, transmitting, storing, and destroying of classified information. This increase is due to lifecycle replacement of office equipment.

## SCHEDULE A – OFFICE OF THE CHIEF ADMINISTRATIVE OFFICER

HOUSE OF REPRESENTATIVES  
OFFICE OF THE CHIEF ADMINISTRATIVE OFFICER  
BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	61,420	62,514	62,096	(418)	-0.67%
1200 Personnel Benefits	0	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	265	334	200	(134)	-40.09%
2200 Transportation of Things	92	110	111	0	0.45%
2300 Rent, Communications, Utilities	6,033	7,172	6,417	(755)	-10.53%
2400 Printing and Reproduction	9	42	43	1	1.79%
2500 Other Services	12,382	24,741	26,445	1,704	6.89%
2600 Supplies and Materials	1,811	2,919	2,617	(302)	-10.35%
3100 Equipment	14,560	18,950	18,853	(97)	-0.51%
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>96,571</b>	<b>116,782</b>	<b>116,782</b>	<b>0</b>	<b>0.00%</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>676</b>	<b>713</b>	<b>713</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – OFFICE OF THE CHIEF ADMINISTRATIVE OFFICER

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 OFFICE OF THE CHIEF ADMINISTRATIVE OFFICER

	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
<b>A. MANDATORY CHANGE</b>	<b>62,514</b>	<b>62,096</b>	<b>-418</b>	<b>-0.67%</b>
Base Adjustment	-	-418	-418	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	62,514	62,514	-	-
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	<b>-</b>	<b>-</b>	<b>-</b>	
<b>C. PROGRAM CHANGES</b>	<b>54,268</b>	<b>54,686</b>	<b>418</b>	<b>0.77%</b>
Administration	8,640	6,360	-2,280	-26.39%
Applications Support Operations	2,437	1,899	-538	-22.08%
CVC Operations	146	146	0	0.26%
Enterprise Operations	5,972	7,165	1,193	19.97%
Furniture and Furnishings	5,335	5,258	-77	-1.44%
House IT Training	510	457	-53	-10.39%
House Technical Support	1,721	1,590	-131	-7.63%
Information Systems Security	5,201	6,345	1,144	22.00%
Mail and Package Delivery	5,269	8,543	3,274	62.12%
Strategic Initiatives/CAO-Wide	4,730	3,937	-793	-16.76%
Telecommunications Data	9,471	8,434	-1,037	-10.95%
Telecommunications Voice	3,103	2,904	-199	-6.41%
Web Services and Support	1,733	1,648	-85	-4.91%
<b>TOTAL</b>	<b>116,782</b>	<b>116,782</b>	<b>-</b>	<b>-</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>713</b>	<b>713</b>	<b>-</b>	<b>-</b>

## Explanation of Changes Shown on Schedule C

SALARIES, OFFICERS AND EMPLOYEES  
OFFICE OF THE CHIEF ADMINISTRATIVE OFFICER

For salaries and expenses of the Office of the Chief Administrative Officer, \$116,782,000. The fiscal year 2013 budget request is flat with the FY'12 Appropriation per P.L. 112-74. This amount includes \$62,096,000 for mandatory items, \$54,686,000 for program current services and no net program changes. The CAO has realigned funding internally across its services to meet operational needs while remaining flat overall.

I. Personnel Details: FY'13 Request – \$62,096,000

- A. Base: \$62,514,000
  - i. The estimated FY'12 personnel compensation will be \$62,514,000.
  - ii. The estimated FY'12 personnel benefits will be \$0.
- B. Budget Calculations:
  - i. FY'12 Cost of Living Annualized – (0%) 0%
  - ii. FY'13 Cost of Living Prorated – (0%) 0%
  - iii. FY'13 Longevity Increases – 0%
  - iv. FY'13 Meritorious Increases – 0%
- C. Requested Changes:
  - i. FY'12 Base Adjustment – (\$418,000)
    - The FY'12 base is adjusted down for vacant positions.
  - ii. FY'12 Cost of Living Annualized – \$0
  - iii. FY'13 Cost of Living Prorated – \$0
  - iv. FY'13 Longevity Increases – \$0
  - v. FY'13 Meritorious Increase – \$0
  - vi. FY'13 Overtime Pay – \$0
  - vii. FY'13 Personnel Benefits – \$0

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$54,686,000

- A. Current Services:
  - i. Administration: \$8,640,000 – Provides funding for activities and services including training, travel, office equipment, contractor support, communications, legal services, procurement services, graphics, supplies, and other related expenses.
  - ii. Applications Support Operations: \$2,437,000 – Provides funding for management, maintenance and support of House financial and non-financial applications including contractor support and licensing.

- iii. CVC Operations: \$146,000 – Provides operational funding for carpet cleaning and furniture and wiring maintenance agreements, equipment replacement, ad hoc wiring requests, and contractor support.
- iv. Enterprise Operations: \$5,972,000 – Provides funding for storage system expansion, lifecycle replacement, and infrastructure maintenance, as well as funding for the purchase, upgrade, and maintenance of enterprise software systems.
- v. Furniture and Furnishings: \$5,335,000 – Provides funding for furnishings including carpeting, upholstery, drapery, picture framing and engraving. Furniture is manufactured by the House, provided from House inventory, or obtained through third party vendors. This includes traditional and modular furnishings, Finish Schedules, refurbishment, and warehousing.
- vi. House IT Training Support: \$510,000 – Provides funding for training classes offered to the House community.
- vii. House Technical Support: \$1,721,000 – Provides funding for the Technology Call Center, including contractor support, phone maintenance, software purchases and upgrades as well as the CAO Seat Management program.
- viii. Information Systems Security: \$5,201,000 – Provides funding for the House's information systems security program, which includes: security awareness training; information security policy and procedure development; administration of House access control systems; and incident management response.
- ix. Mail and Package Delivery: \$5,269,000 – Provides funding for electronic and physical mail processing services for incoming and outgoing mail through consistent, high quality contracted services in the area of mail operations. Mail operations are conducted in accordance with guidance from the House Science Advisor, and procedures for ensuring the safe and secure receipt, processing, and delivery of mail to the House campus.
- x. Strategic Initiatives/CAO-Wide: \$4,730,000 – Provides funding for key initiatives in support of the CAO Mission to provide the House community access to efficient, effective, and sustainable operational and financial support services.
- xi. Telecommunications Data: \$9,471,000 Provides funding to support the House community with a highly reliable, fault tolerant campus network for access to information services inside and outside of the House.
- xii. Telecommunications Voice: \$3,103,000 – Provides funding for local telephone services (e.g., voice mail, PBX, facilities configuration, secure voice units), contractor support, and maintaining the system infrastructure.
- xiii. Web Services and Support: \$1,733,000 – Provides funding for portal integration, content management and web assistance. This program also acquires and delivers required newswire data subscriptions to Member Offices and Committees including Factiva Newswire Subscription service, National Journal, and Associated Press.

B. Proposed Changes:

- i. Administration:(\$2,280,000) – The CAO is working on reducing contractor support by re-purposing staff to meet operational needs and reducing equipment costs across all business units.
- ii. Applications Support Operations: (\$538,000) – The CAO is currently upgrading the Lawson payroll system as a result the contractor support requirement for FY 2013 has been decreased.
- iii. CVC Operations: \$0.
- iv. Enterprise Operations: \$1,193,000 – Enterprise Operations requires additional funding for hardware and software lifecycle replacements.
- v. Furniture and Furnishings: (\$77,000) – This decrease in core furniture stock and replacement will have a manageable impact on operations.
- vi. House IT Training Support: (\$53,000) – Contract costs for classroom training courses have been reduced.
- vii. House Technical Support: (\$131,000) – The CAO is working on reducing contractor support by re-purposing staff to meet operational needs.
- viii. Information Systems Security: \$1,144,000 – The InfoSec group is increasing contractor support as a direct result from an OIG finding.
- ix. Mail and Package Delivery: \$3,274,000 – In FY 2012, the mail contract was renegotiated to a firm fixed price contract. This increase is required to provide twelve months of funding for this contract.
- x. Strategic Initiatives/CAO-Wide: (\$793,000) – This service is being scaled back to provide adequate funding for required operational needs such as the mail contract.
- xi. Telecommunications Data: (\$1,037,000) – This decrease in lifecycle hardware replacement and contractor support costs will have a manageable impact on operations.
- xii. Telecommunications Voice: (\$199,000) – The CAO is working on reducing contractor support by re-purposing staff to meet operational needs.
- xiii. Web Services and Support: (\$85,000) – The CAO is working on reducing contractor support by re-purposing staff to meet operational needs.

## SCHEDULE A – OFFICE OF THE INSPECTOR GENERAL

HOUSE OF REPRESENTATIVES  
OFFICE OF THE INSPECTOR GENERAL  
BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	2,871	3,421	3,371	(50)	-1.46%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	44	12	8	(4)	-33.33%
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	32	19	35	16	84.21%
2400 Printing and Reproduction	1	3	1	(2)	-66.67%
2500 Other Services	870	1,500	1,202	(298)	-19.87%
2600 Supplies and Materials	25	45	29	(16)	-35.56%
3100 Equipment	67	45	46	1	2.22%
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>3,909</b>	<b>5,045</b>	<b>4,692</b>	<b>(353)</b>	<b>-7.00%</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>23</b>	<b>24</b>	<b>24</b>	<b>-</b>	<b>-</b>

## SCHEDULE C - OFFICE OF THE INSPECTOR GENERAL

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 OFFICE OF THE INSPECTOR GENERAL

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>3,421</b>	<b>3,371</b>	<b>-50</b>	<b>-1.46%</b>
Base Adjustment	-	-50	-50	
Cost of Living Adjustment Annualized	-	-	-	
Cost of Living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	3,421	3,421	-	-
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	<b>-</b>	<b>-</b>	<b>-</b>	
<b>C. PROGRAM CHANGES</b>	<b>1,624</b>	<b>1,321</b>	<b>-303</b>	<b>-18.66%</b>
Administration	112	123	11	9.82%
Audit, Advisory, and Investigative Services	1,450	1,140	-310	-21.38%
Training	62	58	-4	-6.45%
<b>TOTAL</b>	<b>5,045</b>	<b>4,692</b>	<b>-353</b>	<b>-7.00%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>24</b>	<b>24</b>	<b>-</b>	<b>-</b>

## Explanation of Changes Shown on Schedule C

SALARIES, OFFICERS AND EMPLOYEES  
OFFICE OF THE INSPECTOR GENERAL

For salaries and expenses of the Office of the Inspector General, \$4,692,000. The fiscal year 2013 budget request is a decrease of (\$353,000) or 7% below the FY'12 Enacted Budget per P.L. 112-74. This amount includes \$3,371,000 for mandatory items, \$1,321,000 for program current services and a decrease of (\$303,000) in proposed changes.

I. Personnel Details: FY'13 Request – \$3,371,000A. Base: \$3,421,000

- i. The estimated FY'12 personnel compensation will be \$3,421,000

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%
- ii. FY'13 Cost of Living Prorated – 0%
- iii. FY'13 Meritorious Increases – 0%

C. Requested Changes:

- i. FY'13 Base Adjustment – (\$50,000) - This decrease represents a more accurate forecast of Personnel salaries.
- ii. FY'12 Cost of Living Annualized – \$0
- iii. FY'13 Cost of Living Prorated – \$0
- iv. FY'13 Meritorious Increases – \$0

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$1,321,000A. Current Services:

- i. Administration Program: \$112,000 – The Office of Inspector General's (OIG) Administration Program (ADM) provides overall administrative support to ensure advisors, auditors, investigators, and management have the necessary resources and services available to effectively and efficiently perform and oversee advisory services, investigations, reviews and audits. Support for the ADM Program includes purchase of office supplies, equipment (including maintenance agreements) and office furnishings, computer software, hardware, and/or licensing agreements; trade journal subscriptions, relevant publications; communications equipment and service subscriptions, as well as payment for transportation of shipping of these items.

- ii. Audit, Advisory and Investigative Services Program: \$1,450,000 – Through the use of in-house and contracted management reviews, audits, investigations, and advisory services, the OIG Audit, Advisory, and Investigative Services Program (AAIS) provides objective, value-added recommendations to the Committee on House Administration, House Leadership, House Officers, Joint entities, and managers in the areas of financial management, House administrative processes; workplace issues related to health, safety, and security; and the security, control, and integrity of computer networks, operating and application systems, and the data they contain. Support for the audit, advisory, and investigative services program mission includes contracting qualified subject matter experts to provide support on certain management advisory and audit services. Additionally, included in the AAIS Program is the purchase of audit specific supplies (e. g. computer hardware, software, and forensic tools for audits and investigations). Finally, included in AAIS Program funding is audit-related subscriptions and publications used as guides, references, and resources in the performance and planning of audits and investigations.
- iii. Training Program: \$62,000 – The OIG follows Government Auditing Standards, which require that auditors, and specialists supporting auditors, receive 80 hours of training every two years. In addition to Government Auditing Standards requirements for auditors, specialized training for Information Systems Auditors is needed to stay current with rapidly changing technology. To meet these requirements, the OIG uses various government and industry training providers, such as public accounting firms and technical training institutions. Travel and travel expenses are covered under the OIG training program when it is necessary to receive timely or specialized training not offered in the local commuting area. Purchase of computer hardware, software, or accessories for OIG in-house training is also covered under this training program, as well as shipping cost of these items.

**B. Proposed Changes:**

- i. Administration Program: \$11,000 – Based on research of our expenditure trends resulting from applying Zero-Based Budgeting principals, this increase will adequately fund office phones and service plans for mobile phones used for business continuity. NOTE: this increase is offset by subsequent decreases in other OIG programs.
- ii. Audit, Advisory, and Investigative Services Program: (\$310,000) – This reduction reflects the OIG's initiative to produce savings by decreasing its overall budget request by 7 percent below the FY'12 House Resolution passed amount. Investments in staff training and recruitment should allow the OIG to rely less upon contract support for some program work. However, the reduction in this program could also decrease the number of audits and advisories performed in FY'13.

The approved projects not executed in FY'13 will be postponed to succeeding fiscal years.

- iii. Training Program: (\$4,000) – This decrease reflects the OIG's research of historical travel expenditures in support of the OIG's Training Program.

## SCHEDULE A -- OFFICE OF GENERAL COUNSEL

HOUSE OF REPRESENTATIVES  
OFFICE OF GENERAL COUNSEL  
BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	1,027	1,297	1,297	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	3	20	20	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	8	14	14	-	-
2400 Printing and Reproduction	0	1	1	-	-
2500 Other Services	402	7	7	-	-
2600 Supplies and Materials	34	40	44	4	10.00%
3100 Equipment	30	36	32	(4)	-11.11%
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>1,505</b>	<b>1,415</b>	<b>1,415</b>		
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>9</b>	<b>11</b>	<b>11</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – OFFICE OF GENERAL COUNSEL

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 OFFICE OF GENERAL COUNSEL

	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
<b>A. MANDATORY CHANGE</b>	<b>1,297</b>	<b>1,297</b>	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	1,297	1,297	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	<b>118</b>	<b>118</b>	-	-
Legal Representation	117	117	-	-
Miscellaneous	1	1	-	-
<b>TOTAL</b>	<b>1,415</b>	<b>1,415</b>	-	-
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>11</b>	<b>11</b>	-	-

## Explanation of Changes Shown on Schedule C

SALARIES, OFFICERS AND EMPLOYEES  
OFFICE OF GENERAL COUNSEL

For salaries and expenses of the Office of General Counsel, \$1,415,000. The fiscal year 2013 budget request is flat with the FY'12 Enacted Budget per 112-74. This amount includes \$1,297,000 for mandatory items, \$118,000 for program current services and no program changes.

I. Personnel Details: FY'13 Request – \$1,297,000A. Base: \$1,297,000

- i. The estimated FY'12 personnel compensation will be \$1,297,000.

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%
- ii. FY'13 Cost of Living Prorated – 0%
- iii. FY'13 Meritorious Increases – 0%

C. Requested Changes:

- i. FY'12 Cost of Living Annualized – \$0
- ii. FY'13 Cost of Living Prorated – \$0
- iii. FY'13 Meritorious Increase – \$0

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$118,000A. Current Services:

- i. Legal Representation and Advice: \$117,000 – Pursuant to Rule II (8) of the Rules of the House of Representatives for the 113th Congress and 2 U.S.C. §130 (f), the OGC provides legal advice and assistance to Members, committees, officers and employees of the House, without regard to political affiliation, on matters related to their official duties. The OGC represents Members, committees, officers and employees, both as parties and witnesses, in litigation arising from or relating to the performance of their official duties and responsibilities. The OGC also represents the House itself in litigation, both as a party and as amicus curie in cases in which the House has an institutional interest.
- ii. Miscellaneous: \$1,000 – Administrative functions of the Office of General Counsel (OGC) that are not directly covered under the Legal Representation and Advice program.

**B. Proposed Changes:**

- i. Legal Representation and Advice: \$0 – None.
- ii. Miscellaneous: \$0 – None.

SCHEDULE A – OFFICE OF THE CHAPLAIN

HOUSE OF REPRESENTATIVES  
OFFICE OF THE CHAPLAIN  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	161	179	179	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	0	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>161</b>	<b>179</b>	<b>179</b>	<b>-</b>	<b>-</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>-</b>	<b>-</b>

SCHEDULE C – OFFICE OF THE CHAPLAIN

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 OFFICE OF THE CHAPLAIN

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>179</b>	<b>179</b>	<b>-</b>	<b>-</b>
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	179	179	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>C. PROGRAM CHANGES</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>TOTAL</b>	<b>179</b>	<b>179</b>	<b>-</b>	<b>-</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>1</b>	<b>1</b>	<b>-</b>	<b>-</b>

Explanation of Changes Shown on Schedule C

SALARIES, OFFICERS AND EMPLOYEES  
OFFICE OF THE CHAPLAIN

For salaries and expenses of the Office of the Chaplain, \$179,000. The fiscal year 2013 budget request is flat with the FY'12 Enacted Budget per P.L. 112-74. This amount includes \$179,000 for mandatory items, \$0 for program current services and no program changes.

I. Personnel Details: FY'13 Request – \$179,000

A. Base: \$179,000

i. The estimated FY'12 personnel compensation will be \$179,000

B. Budget Calculations:

i. FY'12 Cost of Living Annualized – 0%

ii. FY'13 Cost of Living Prorated – 0%

C. Requested Changes:

None.

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$0

None.

## SCHEDULE A – OFFICE OF THE PARLIAMENTARIAN

HOUSE OF REPRESENTATIVES  
OFFICE OF THE PARLIAMENTARIAN  
BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	1,157	1,315	1,315	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	23	24	24	-	-
2400 Printing and Reproduction	0	-	-	-	-
2500 Other Services	12	56	56	-	-
2600 Supplies and Materials	10	16	16	-	-
3100 Equipment	20	55	55	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>1,223</b>	<b>1,466</b>	<b>1,466</b>	-	-
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>9</b>	<b>9</b>	<b>9</b>	-	-

## SCHEDULE C – OFFICE OF THE PARLIAMENTARIAN

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 OFFICE OF THE PARLIAMENTARIAN

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	1,315	1,315	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	1,315	1,315	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	151	151	-	-
Daily Procedural Services	45	45	-	-
Precedent and Rule Compilation Services	105	105	-	-
Representational Fund	1	1	-	-
<b>TOTAL</b>	1,466	1,466	-	-
<b>FULL TIME EQUIVALENT POSITIONS</b>	9	9	-	-

## Explanation of Changes Shown on Schedule C

SALARIES, OFFICERS AND EMPLOYEES  
OFFICE OF THE PARLIAMENTARIAN

For salaries and expenses of the Office of the Parliamentarian, \$1,466,000. The fiscal year 2013 budget request is flat with the FY'12 Enacted Budget per P.L. 112-74. This amount includes \$1,315,000 for mandatory items, \$151,000 for program current services and no program changes.

I. Personnel Details: FY'13 Request – \$1,315,000

- A. Base: \$1,315,000
  - i. The estimated FY'12 personnel compensation will be \$1,315,000.
- B. Budget Calculations:
  - i. FY'12 Cost of Living Annualized –0.0%
  - ii. FY'13 Cost of Living Prorated –0.0%
- C. Requested Changes:
  - i. FY'12 Cost of Living Annualized – \$0
  - ii. FY'13 Cost of Living Prorated – \$0

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request - \$151,000

- A. Current Services:
  - i. Daily Procedural Services: \$45,000 – The Parliamentarian and his staff are available at all times to the Speaker, the Members of the House, and its committees for consultation on legislative and parliamentary procedure.
  - ii. Precedent and Rule Compilation Services: \$105,000 – The Parliamentarian compiles and publishes various sources of the parliamentary law of the House (see sections 28, 28a, and 29 of Title 2, United States Code).
  - iii. Representational Fund: \$1,000 – The Office of the Parliamentarian periodically participates in a variety of international parliamentary exchanges arranged through the Office of Interparliamentary Affairs, the Department of State, or a nongovernmental organization or directly with another national legislature. On occasion these visits by officials of other parliaments occur under circumstances that warrant the extension of a modicum of hospitality, such as a luncheon or dinner.

**B. Proposed Changes:**

- i. Daily Procedural Services: \$0 – None.
- ii. Precedent and Rule Compilation Services: \$0 – None.
- iii. Representational Fund: \$0 – None.

## SCHEDULE A – COMPILATION OF PRECEDENTS

HOUSE OF REPRESENTATIVES  
 COMPILATION OF PRECEDENTS  
 BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	403	594	594	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	403	594	594	-	-
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	3	4	4	-	-

## SCHEDULE C – COMPILATION OF PRECEDENTS

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 COMPILATION OF PRECEDENTS

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>594</b>	<b>594</b>	<b>-</b>	<b>-</b>
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	594	594	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>C. PROGRAM CHANGES</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>TOTAL</b>	<b>594</b>	<b>594</b>	<b>-</b>	<b>-</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>4</b>	<b>4</b>	<b>-</b>	<b>-</b>

## Explanation of Changes Shown on Schedule C

SALARIES, OFFICERS AND EMPLOYEES  
COMPILATION OF PRECEDENTS

For salaries and expenses of the Compilation of Precedents, \$594,000. The fiscal year 2013 budget request is flat with the FY'12 Enacted Budget per P.L 112-74. This amount includes \$594,000 for mandatory items.

I. Personnel Details: FY'13 Request – \$594,000A. Base: \$594,000

- i. The estimated FY'12 personnel compensation will be \$594,000.

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized –0%
- ii. FY'13 Cost of Living Prorated – 0%

C. Requested Changes:

- i. FY'12 Cost of Living Annualized – \$0
- ii. FY'13 Cost of Living Prorated – \$0

## SCHEDULE A - TOTAL OFFICE OF THE PARLIAMENTARIAN

HOUSE OF REPRESENTATIVES  
TOTAL - OFFICE OF THE PARLIAMENTARIAN  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	1,560	1,909	1,909	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	23	24	24	-	-
2400 Printing and Reproduction	0	-	-	-	-
2500 Other Services	12	56	56	-	-
2600 Supplies and Materials	10	16	16	-	-
3100 Equipment	20	55	55	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>1,625</b>	<b>2,060</b>	<b>2,060</b>	<b>-</b>	<b>-</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>12</b>	<b>13</b>	<b>13</b>	<b>-</b>	<b>-</b>

## SCHEDULE C - TOTAL OFFICE OF THE PARLIAMENTARIAN

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY APPROPRIATIONS  
 TOTAL - OFFICE OF THE PARLIAMENTARIAN

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>1,909</b>	<b>1,909</b>	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	1,909	1,909	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	<b>151</b>	<b>151</b>	-	-
Daily Procedural Services	45	45	-	-
Precedent and Rule Compilation Services	105	105	-	-
Representational Fund	1	1	-	-
<b>TOTAL</b>	<b>2,060</b>	<b>2,060</b>	-	-
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>13</b>	<b>13</b>	-	-

## SCHEDULE A – OFFICE OF THE LAW REVISION COUNSEL OF THE HOUSE

HOUSE OF REPRESENTATIVES  
OFFICE OF THE LAW REVISION COUNSEL OF THE HOUSE  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	2,210	2,254	2,321	67	2.97%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	1	1	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	9	12	12	-	-
2400 Printing and Reproduction	0	1	1	-	-
2500 Other Services	87	764	723	(41)	-5.37%
2600 Supplies and Materials	48	86	78	(8)	-9.30%
3100 Equipment	41	140	122	(18)	-12.86%
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>2,394</b>	<b>3,258</b>	<b>3,258</b>	<b>-</b>	<b>-</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	20	21	21	-	-

## SCHEDULE C – OFFICE OF THE LAW REVISION COUNSEL OF THE HOUSE

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 OFFICE OF THE LAW REVISION COUNSEL OF THE HOUSE

	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
<b>A. MANDATORY CHANGE</b>	<b>2,254</b>	<b>2,321</b>	<b>67</b>	<b>2.97%</b>
Base Adjustment	-89	-89	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	67	67	
Overtime Pay	-	-	-	-
Personnel Base	2,343	2,343	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	<b>1,004</b>	<b>937</b>	<b>-67</b>	<b>-6.67%</b>
Codification of the US Code Titles	248	233	-15	-6.05%
Miscellaneous	14	14	-	-
Publication of the US Code	742	690	-52	-7.01%
<b>TOTAL</b>	<b>3,258</b>	<b>3,258</b>	<b>-</b>	<b>-</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>21</b>	<b>21</b>	<b>-</b>	<b>-</b>

## Explanation of Changes Shown on Schedule C

SALARIES, OFFICERS AND EMPLOYEES  
OFFICE OF THE LAW REVISION COUNSEL OF THE HOUSE

For salaries and expenses of the Office of the Law Revision Counsel of the House, \$3,258,000. The fiscal year 2013 budget request is flat in accordance with the FY'13 Enacted Budget per P.L. 112-74. This amount includes \$2,321,000 for mandatory items, \$937,000 for program current services and a decrease of (\$67,000) for proposed program changes.

I. Personnel Details: FY'13 Request – \$2,321,000A. Base: \$2,343,000

- i. The estimated FY'12 personnel compensation will be \$2,343,000.

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%
- ii. FY'13 Cost of Living Prorated – 0%
- iii. FY'13 Meritorious Increase – 3%

C. Requested Changes:

- i. FY'13 Base Adjustment – (\$89,000) - This decrease materialized as a result of savings realized from staffing changes: the retirement of the former Law Revision Counsel and the resignations of two mid-level Assistant Counsels.
- ii. FY'12 Cost of Living Annualized – \$0
- iii. FY'13 Cost of Living Prorated – \$0
- iv. FY'13 Meritorious Increase – \$67,000 - This increase is for staff raises. These are vital to retention of employees, especially our junior attorneys upon whom the OLRC increasingly relies. The amount for these raises was derived from savings realized in non-personnel categories. Please reference proposed program changes for more information.

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$937,000A. Current Services:

- i. Codification of United States Code Titles: \$248,000 – Codification of United States Code titles involves drafting bills to enact individual titles of the Code as positive law and to repeal laws incorporated in the new title. This requires determining which laws should be included in the title to be enacted because they relate to the subject matter of the title. It then entails

reorganizing and redrafting those laws as a cohesive package without making any substantive change in existing law. Provisions that have become obsolete or superseded by later law are omitted and repealed. Along with the bill, a draft committee report is prepared containing a section-by-section explanation of the bill and tables showing the disposition of existing laws affected by the bill.

- ii. Miscellaneous: \$14,000 – Miscellaneous covers administrative functions of the OLRC that are not directly covered under other programs. These expenses include the budget object categories of Travel, Rent, Communications, and Utilities, and Printing.
- iii. Publication of the United States Code: \$742,000 – Publication of the United States Code involves maintaining an updated database of the official Code, which is a consolidation and codification of the general and permanent laws of the United States organized into titles by subject matter. This database is used to print a complete edition of the Code every 6 years and annual cumulative supplements in each of the 5 intervening years. It also is used to produce Internet versions of the Code, including *USCprelim*. Maintaining the United States Code database involves analyzing each new law to determine whether it affects any existing provisions in the Code or contains any provisions that should be added to the Code. Changes are then incorporated into the Code database, along with editorial matter to document the changes. The tables, index, and non-statutory materials also must be updated. All work is carefully reviewed multiple times to ensure the accuracy of the Code.

**B. Proposed Changes:**

- i. Codification of United States Code Titles: (\$15,000) – This decrease is a result of applying the zero-based budgeting principles that identified non-recurring expenses in FY'12 involving the purchase of equipment necessary to transition the OLRC's Codification team into an XML drafting environment and the work necessary to customize their programs.
- ii. Miscellaneous: \$0 – None.
- iii. Publication of the United States Code: (\$52,000) – This reduction reflects cuts in funding a variety of technical services contracts for the OLRC's Internet site and its enhancements and for editorial support in publishing the Code. It also reflects non-recurring FY'12 supply and equipment purchases due to the completion of a newly outfitted Alternate Computing Facility in Virginia.

## SCHEDULE A – OFFICE OF THE LEGISLATIVE COUNSEL OF THE HOUSE

HOUSE OF REPRESENTATIVES  
OFFICE OF THE LEGISLATIVE COUNSEL OF THE HOUSE  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	7,341	7,900	7,894	(6)	-0.08%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	4	4	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	41	63	63	-	-
2400 Printing and Reproduction	0	0	0	-	-
2500 Other Services	359	579	584	5	0.86%
2600 Supplies and Materials	49	114	116	2	1.32%
3100 Equipment	81	153	153	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>7,872</b>	<b>8,814</b>	<b>8,814</b>	-	-
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	65	67	67	-	-

## SCHEDULE C - OFFICE OF THE LEGISLATIVE COUNSEL OF THE HOUSE

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 OFFICE OF THE LEGISLATIVE COUNSEL OF THE HOUSE

	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
<b>A. MANDATORY CHANGE</b>	<b>7,900</b>	<b>7,894</b>	<b>-6</b>	<b>-0.08%</b>
Base Adjustment	-	-30	-30	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	4	4	
Personnel Base	7,900	7,900	-	
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	19	19	
<b>B. PRICE LEVEL INCREASES</b>	<b>-</b>	<b>-</b>	<b>-</b>	
<b>C. PROGRAM CHANGES</b>	<b>914</b>	<b>920</b>	<b>6</b>	<b>0.71%</b>
Transparency Initiatives	473	473	-	
Drafting Legislation	174	174	-	
Technical and Other Support	266	273	6	2.44%
<b>TOTAL</b>	<b>8,814</b>	<b>8,814</b>	<b>-</b>	
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>67</b>	<b>67</b>	<b>-</b>	

## Explanation of Changes Shown on Schedule C

SALARIES, OFFICERS AND EMPLOYEES  
OFFICE OF THE LEGISLATIVE COUNSEL OF THE HOUSE

For salaries and expenses of the Office of the Legislative Counsel of the House, \$8,814,000. The fiscal year 2013 budget request is flat with the FY'12 Enacted Budget per P.L. 112-74. This amount includes \$7,894,000 for mandatory items, \$920,000 for program current services and an increase of \$6,000 in program level changes.

I. Personnel Details: FY'13 Request – \$7,894,000

A. Base: \$7,901,000.

- i. The estimated FY'12 personnel compensation will be \$7,901,000.

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%  
ii. FY'13 Cost of Living Prorated – 0%  
iii. FY'13 Meritorious Increase – 0%

C. Requested Changes:

- i. FY'12 Cost of Living Annualized – \$0  
ii. FY'13 Cost of Living Prorated – \$0  
iii. FY'13 Meritorious Increase – \$0  
iv. FY'13 Overtime Pay – \$4,000  
v. FY'13 Personnel Based Adjustment - (\$30,000) – This decrease materialized because of senior attorneys' retirement.  
vi. FY'13 Temporary Positions – \$19,000

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$920,000

A. Current Services:

- i. Transparency Initiatives: \$473,000 – This program involves several elements, previously included under the heading of Committee Assistance. We've expanded this program because, at its core, it involves increasing the transparency of legislative drafts for Members and House staff. The compilation part of the program involves preparing, updating, and formatting for electronic distribution current compilations of Federal laws not codified in the U.S. Code for use in drafting by the Office and for providing information to Members of the House. This compilation part covers ongoing maintenance of highly customized software that is instrumental in efficiently maintaining those compilations. Using these

- current compilations of existing law, which do not exist elsewhere, the Office prepares, upon the request of House committees, committee report materials showing changes in existing law contained in bills reported by the committees. All committee reports are required to show these changes under the Rules of the House (i.e. the "Ramseyer" rule). This program also includes the construction of a "drafter's toolbox" consisting of a diverse number of drafting tools in order to improve the accuracy and speed in drafting amendments to law and to bills and permitting an almost instant visualization of how amendments would impact the law or bills—an invaluable tool that would allow for those Members and staff to see the impact of a proposed amendment either to a law or to a bill. The program also is engaged in developing and adapting sophisticated tools to convert and compare text among and across varying formats, such as XML, PDF, and Word formats. The entire program is designed to make it easier for Members to see and communicate the impact of the legislation and amendments thereto. Resources are needed to continue to perfect the reliability and usability of these tools both inside and outside of the Office.
- ii. Drafting Legislation: \$174,000 – The principal function of the office, performed by attorneys with the assistance of support staff, is "to advise and assist the House, its committees, and Members in the achievement of a clear, faithful, and coherent expression of legislative policies" (2 U.S.C. 281a). This encompasses the drafting of resolutions, bills, amendments, motions, committee prints, and conference reports for Members of Congress, committees, and their staffs. In order to perform these functions for our clients accurately and efficiently, we purchase subscriptions to online publications and other publications. It is occasionally necessary to obtain the assistance of retired former employees with special expertise in certain areas. Because of changes in House rules in the 112th Congress, the office also provides assistance to Members in preparing statements of constitutional authority.
- iii. Technical and Other Support: \$267,000 – This program includes the following: The purchase of computer equipment, software, and supplies, including necessary periodic upgrades, other major office furniture, equipment, and supplies, and licensing and equipment maintenance fees. This program also includes our telecommunications costs, including video-conferencing capability. Technical support is also provided by our Systems Administrator and his assistants who need training to keep abreast of developments in the IT field in order to keep our office functioning as effectively as possible. This program also covers maintenance and upgrades for our computer servers, both on campus and off-site (in case of an attack or other calamity that destroys our on-site server). For the present, the servers' memory can continue to handle the enormous amount of data our office produces through the purchase of incremental RAM upgrades. This program also includes travel and related expenses related to our effort to recruit qualified law school students from a variety of law schools. This program also covers miscellaneous items

including water, miscellaneous periodicals, and other small office purchases.

B. Proposed Changes:

- i. Transparency Initiatives: \$0 - None.
- ii. Drafting Legislation: \$0 - None.
- iii. Technical and Other Support: \$6,000 - This increase will provide funding for information technology training and anticipated increases in the cost of supplies and materials.

## SCHEDULE A – OFFICE OF INTERPARLIAMENTARY AFFAIRS

HOUSE OF REPRESENTATIVES  
OFFICE OF INTERPARLIAMENTARY AFFAIRS  
BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	259	548	548	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	0	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	7	25	25	-	-
2400 Printing and Reproduction	3	10	10	-	-
2500 Other Services	1	-	-	-	-
2600 Supplies and Materials	83	236	236	-	-
3100 Equipment	6	40	40	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>359</b>	<b>859</b>	<b>859</b>	<b>-</b>	<b>-</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>2</b>	<b>5</b>	<b>5</b>	<b>-</b>	<b>-</b>

## SCHEDULE C - OFFICE OF INTERPARLIAMENTARY AFFAIRS

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 OFFICE OF INTERPARLIAMENTARY AFFAIRS

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>548</b>	<b>548</b>	<b>-</b>	<b>-</b>
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	548	548	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>C. PROGRAM CHANGES</b>	<b>311</b>	<b>311</b>	<b>-</b>	<b>-</b>
Office of Interparliamentary Affairs	311	311	-	-
<b>TOTAL</b>	<b>859</b>	<b>859</b>	<b>-</b>	<b>-</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>5</b>	<b>5</b>	<b>-</b>	<b>-</b>

## Explanation of Changes Shown on Schedule C

SALARIES, OFFICERS AND EMPLOYEES  
OFFICE OF INTERPARLIAMENTARY AFFAIRS

For salaries and expenses of the Office of Interparliamentary Affairs, \$859,000. The fiscal year 2013 budget request is flat with the FY'12 Enacted Budget per P.L. 112-74. This amount includes \$548,000 for mandatory items, \$311,000 for program current services and no program level changes.

I. Personnel Details: FY'13 Request – \$548,000A. Base: \$548,000.

- i. The estimated FY'12 personnel compensation will be \$548,000.

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%
- ii. FY'13 Cost of Living Prorated – 0%
- iii. FY'13 Meritorious Increase – 0%

C. Requested Changes:

- i. FY'12 Cost of Living Annualized – \$0
- ii. FY'13 Cost of Living Prorated – \$0
- iii. FY'13 Meritorious Increase – \$0

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$311,000

## A. Current Services:

- i. Interparliamentary Affairs: \$311,000 – The Office of Interparliamentary Affairs is responsible for providing direct support for the Speaker's Washington meetings with foreign dignitaries; for coordinating official visits to the House of Representatives by parliamentarians, officers or employees of foreign legislative bodies; for providing direct support for the Speaker's overseas travel; and for providing interparliamentary and overseas travel services to Members of Congress and to foreign governments as well as support for established parliamentary exchanges.

## B. Proposed Changes:

- i. Interparliamentary Affairs: \$0 – None.

## SCHEDULE A – TECHNICAL ASSISTANTS

HOUSE OF REPRESENTATIVES  
TECHNICAL ASSISTANTS  
BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	434	347	435	88	25.36%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>434</b>	<b>347</b>	<b>435</b>	<b>88</b>	<b>25.36%</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>3</b>	<b>3</b>	<b>3</b>	<b>-</b>	<b>-</b>

## SCHEDULE C - TECHNICAL ASSISTANTS

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 TECHNICAL ASSISTANTS

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>347</b>	<b>435</b>	<b>88</b>	<b>25.36%</b>
Base Adjustment	-	88	88	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	347	347	-	-
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	
<b>C. PROGRAM CHANGES</b>	-	-	-	
<b>TOTAL</b>	<b>347</b>	<b>435</b>	<b>88</b>	<b>25.36%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>3</b>	<b>3</b>	<b>-</b>	<b>-</b>

## Explanation of Changes Shown on Schedule C

SALARIES, OFFICERS AND EMPLOYEES  
TECHNICAL ASSISTANTS

For salaries and expenses of the Technical Assistants, \$435,000. The fiscal year 2013 budget request is an increase of \$88,000 or 25% over the FY'12 Enacted Budget per P.L. 112-74. This amount includes \$435,000 for mandatory items.

I. Personnel Details: FY'13 Request – \$435,000A. Base: \$347,000

- i. The estimated FY'12 personnel compensation will be \$347,000.

B. Budget Calculations:

- i. FY'11 Cost of Living Annualized –0%
- ii. FY'12 Cost of Living Prorated –0%

C. Requested Changes:

- i. FY'12 Cost of Living Annualized – \$0
- ii. FY'13 Cost of Living Prorated – \$0
- iii. FY'13 Base Adjustment – \$88,000 - This adjustment is required to increase the FY'12 personnel compensation which will adequately fund the additional position approved in the FY'11 budget.

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$0

## A. Current Services:

None.

## B. Proposed Changes:

None.

## SCHEDULE A - FORMER SPEAKER'S STAFF

HOUSE OF REPRESENTATIVES  
FORMER SPEAKER'S STAFF  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	255	-	42	42	
1200 Personnel Benefits	-	-	-	-	
1300 Benefits to Former Personnel	-	-	-	-	
2100 Travel	0	-	1	1	
2200 Transportation of Things	-	-	-	-	
2300 Rent, Communications, Utilities	32	-	5	5	
2400 Printing and Reproduction	0	-	-	-	
2500 Other Services	9	-	2	2	
2600 Supplies and Materials	0	-	0	0	
3100 Equipment	0	-	-	-	
4200 Insurance Claims/Indemnities	-	-	-	-	
<b>Total</b>	<b>297</b>	<b>-</b>	<b>50</b>	<b>50</b>	
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>2</b>	<b>3</b>	<b>3</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – FORMER SPEAKER'S STAFF

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 FORMER SPEAKER'S STAFF

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>				
Base Adjustment	-	-	-	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	-	-	-	
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	
<b>C. PROGRAM CHANGES</b>				
Office of the Former Speaker	-	50	50	
<b>TOTAL</b>	-	50	50	
<b>FULL TIME EQUIVALENT POSITIONS</b>	3	3	-	

## Explanation of Changes Shown on Schedule C

SALARIES, OFFICERS AND EMPLOYEES  
FORMER SPEAKER'S STAFF

For salaries and expenses of the Former Speaker's Staff, \$49,832. The fiscal year 2013 budget request is an increase of \$49,832 or 100% over the FY'12 Enacted Budget per P.L. 112-74. This amount includes \$0 for mandatory items, \$0 for program current services and \$49,832 in proposed changes.

I. Personnel Details: FY'13 Request – \$0A. Base: \$0

- i. The estimated FY'12 personnel compensation will be \$0.

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%
- ii. FY'13 Cost of Living Prorated – 0%

C. Requested Changes:

- i. FY'12 Cost of Living Annualized – \$0
- ii. FY'13 Cost of Living Prorated - \$0

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$49,832A. Current Services:

- i. Former Speaker Entitlements: \$0 – Provides funding for Former Speaker Entitlements as provided under 2 U.S.C. 31b. In FY'12, this Office was funded via a reprogramming during execution.

B. Proposed Changes:

- i. Former Speaker Entitlements: \$49,832 – This Office will close effective December 1, 2012. The funding requested supports the necessary expenses to close out this Office during the first two months of this fiscal year.

## SCHEDULE A – TOTAL OTHER AUTHORIZED EMPLOYEES

HOUSE OF REPRESENTATIVES  
TOTAL – OTHER AUTHORIZED EMPLOYEES  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	689	347	477	130	37.60%
1200 Personnel Benefits	-	-	-	-	
1300 Benefits to Former Personnel	-	-	-	-	
2100 Travel	0	-	1	1	
2200 Transportation of Things	-	-	-	-	
2300 Rent, Communications, Utilities	32	-	5	5	
2400 Printing and Reproduction	0	-	-	-	
2500 Other Services	9	-	2	2	
2600 Supplies and Materials	0	-	0	0	
3100 Equipment	0	-	-	-	
4200 Insurance Claims/Indemnities	-	-	-	-	
<b>Total</b>	<b>731</b>	<b>347</b>	<b>485</b>	<b>138</b>	<b>39.72%</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>5</b>	<b>6</b>	<b>6</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – TOTAL OTHER AUTHORIZED EMPLOYEES

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY APPROPRIATIONS  
 TOTAL – OTHER AUTHORIZED EMPLOYEES

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>347</b>	<b>435</b>	<b>88</b>	<b>25.36%</b>
Base Adjustment	-	88	88	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	347	347	-	-
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	<b>-</b>	<b>-</b>	<b>-</b>	
<b>C. PROGRAM CHANGES</b>	<b>-</b>	<b>50</b>	<b>50</b>	
Office of the Former Speaker	-	50	50	
<b>TOTAL</b>	<b>347</b>	<b>485</b>	<b>138</b>	<b>39.72%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>6</b>	<b>6</b>	<b>-</b>	<b>-</b>

## SCHEDULE A – OFFICE OF THE HISTORIAN

HOUSE OF REPRESENTATIVES  
OFFICE OF THE HISTORIAN  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	290	160	160	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	7	10	10	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	15	-	-	-	-
2400 Printing and Reproduction	1	-	-	-	-
2500 Other Services	30	-	-	-	-
2600 Supplies and Materials	5	-	-	-	-
3100 Equipment	5	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>353</b>	<b>170</b>	<b>170</b>	<b>-</b>	<b>-</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>3</b>	<b>1</b>	<b>1</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – OFFICE OF THE HISTORIAN

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 OFFICE OF THE HISTORIAN

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>160</b>	<b>160</b>	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	160	160	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	<b>10</b>	<b>10</b>	-	-
Miscellaneous	10	10	-	-
<b>TOTAL</b>	<b>170</b>	<b>170</b>	-	-
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>1</b>	<b>1</b>	-	-

## Explanation of Changes Shown on Schedule C

SALARIES, OFFICERS AND EMPLOYEES  
OFFICE OF THE HISTORIAN

For salaries and expenses of the Office of the Historian, \$170,000. The fiscal year 2013 budget request is flat with the FY'12 Enacted Budget per P.L. 112-74. This amount includes \$160,000 for mandatory items, \$10,000 for program current services and no program changes.

I. Personnel Details: FY'13 Request – \$160,000A. Base: \$160,000

- i. The estimated FY'12 personnel compensation will be \$160,000.

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%
- ii. FY'13 Cost of Living Prorated – 0%

C. Requested Changes:

- i. FY'12 Cost of Living Annualized – \$0
- ii. FY'13 Cost of Living Prorated – \$0

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$10,000A. Current Services:

- i. Miscellaneous: \$10,000 – Rule II, Clause 7, of the Rules of the House of Representatives, provides for the Office of the Historian. The mission of the Historian's Office is to research, interpret, and promote the institution's distinctive history and heritage. Historian programs include researching, writing, and updating the House's ongoing print and Web historical publications, conducting oral histories, engaging in educational outreach, and providing historical reference services to Members, staff, and the general public.

B. Proposed Changes:

- i. Miscellaneous: \$0 - None.

## SCHEDULE A - TOTAL - SALARIES, OFFICERS AND EMPLOYEES

HOUSE OF REPRESENTATIVES  
TOTAL - SALARIES, OFFICERS AND EMPLOYEES  
BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	107,179	110,479	108,579	(1,901)	-1.72%
1200 Personnel Benefits	0	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	594	602	446	(156)	-25.90%
2200 Transportation of Things	93	110	111	0	0.45%
2300 Rent, Communications, Utilities	6,532	7,734	6,968	(766)	-9.90%
2400 Printing and Reproduction	46	95	104	8	8.64%
2500 Other Services	17,490	33,193	32,903	(290)	-0.87%
2600 Supplies and Materials	2,522	4,842	4,399	(443)	-9.15%
3100 Equipment	15,484	20,573	21,403	831	4.04%
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>149,939</b>	<b>177,628</b>	<b>174,912</b>	<b>(2,717)</b>	<b>-1.53%</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>1,184</b>	<b>1,294</b>	<b>1,294</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – TOTAL – SALARIES, OFFICERS AND EMPLOYEES

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 TOTAL – SALARIES, OFFICERS AND EMPLOYEES

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>110,479</b>	<b>108,536</b>	<b>-1,943</b>	<b>-1.76%</b>
Base Adjustment	-89	-2,355	-2,266	2,546.16%
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	87	87	-
Meritorious Increase	-	87	87	-
Overtime Pay	-	130	130	-
Personnel Base	110,568	110,568	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	19	19	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	<b>67,149</b>	<b>66,376</b>	<b>-773</b>	<b>-1.15%</b>
Office of the Clerk	5,089	3,264	-1,826	-35.87%
Office of the Sergeant at Arms	3,660	4,608	948	25.90%
Office of the Chief Administrative Officer	54,268	54,686	418	0.77%
Office of the Inspector General	1,624	1,321	-303	-18.66%
Office of General Counsel	118	118	-	-
Office of the Parliamentarian-	151	151	-	-
Office of the Law Revision Counsel of the House	1,004	937	-67	-6.67%
Office of the Legislative Counsel of the House	914	920	6	0.71%
Office of Interparliamentary Affairs	311	311	-	-
Other Authorized Employees	-	50	50	-
Office of the Historian	10	10	-	-
<b>TOTAL</b>	<b>177,628</b>	<b>174,912</b>	<b>-2,717</b>	<b>-1.53%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>1,294</b>	<b>1,294</b>	<b>-</b>	<b>-</b>

SCHEDULE A – SUPPLIES, MATERIALS, ADMINISTRATIVE COSTS AND FEDERAL TORT CLAIMS

HOUSE OF REPRESENTATIVES  
SUPPLIES, MATERIALS, ADMINISTRATIVE COSTS AND FEDERAL TORT CLAIMS  
BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	-	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	359	-	-	-	-
2200 Transportation of Things	32	-	-	-	-
2300 Rent, Communications, Utilities	616	705	705	-	-
2400 Printing and Reproduction	17	37	37	-	-
2500 Other Services	1,235	824	824	-	-
2600 Supplies and Materials	344	328	328	-	-
3100 Equipment	380	1,747	1,747	-	-
4200 Insurance Claims/Indemnities	9	55	55	-	-
<b>Total</b>	<b>2,993</b>	<b>3,696</b>	<b>3,696</b>	-	-
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	-	-

SCHEDULE C – SUPPLIES, MATERIALS, ADMINISTRATIVE COSTS AND FEDERAL TORT CLAIMS

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 SUPPLIES, MATERIALS, ADMINISTRATIVE COSTS AND FEDERAL TORT CLAIMS

	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
<b>A. MANDATORY CHANGE</b>	-	-	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	-	-	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	<b>3,696</b>	<b>3,696</b>	-	-
Administrative Costs	1,125	1,125	-	-
Technology	2,571	2,571	-	-
<b>TOTAL</b>	<b>3,696</b>	<b>3,696</b>	-	-
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	-

## Explanation of Changes Shown on Schedule C

ALLOWANCES AND EXPENSES  
SUPPLIES, MATERIALS, ADMINISTRATIVE COSTS AND FEDERAL TORT CLAIMS

For salaries and expenses of the Supplies, Materials, Administrative Costs and Federal Tort Claims, \$3,696,118. The fiscal year 2013 budget request is flat with the FY'12 Enacted Budget per P.L. 112-74. This amount includes \$0 for mandatory items, \$3,696,118 for program current services and no program changes.

I. Personnel Details: FY'13 Request – \$0

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$3,696,118

A. Current Services:

- i. Administrative Costs: \$1,125,313 – Provides non-personnel funding for supplies, insurance, and printing and graphics for certain Leadership offices.
- ii. Technology: \$2,570,805 - Provides non-personnel funding for hardware, software, certain telecommunications and contract support for implementation of automated solutions for certain Leadership offices.

B. Proposed Changes:

None.

SCHEDULE A – OFFICIAL MAIL (NON MEMBERS)

HOUSE OF REPRESENTATIVES  
OFFICIAL MAIL (NON MEMBERS)  
BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	-	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	101	201	201	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>101</b>	<b>201</b>	<b>201</b>	<b>-</b>	<b>-</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	-	-

## SCHEDULE C – OFFICIAL MAIL (NON MEMBERS)

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 OFFICIAL MAIL (NON MEMBERS)

	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
<b>A. MANDATORY CHANGE</b>	-	-	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	-	-	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	201	201	-	-
Nonmember Special and Select Committees	95	95	-	-
Nonmember Other House Offices	106	106	-	-
<b>TOTAL</b>	201	201	-	-
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	-

## Explanation of Changes Shown on Schedule C

ALLOWANCES AND EXPENSES  
OFFICIAL MAIL (NON MEMBERS)

For salaries and expenses of the Official Mail (non members), \$201,000. The fiscal year 2012 budget request is flat with the FY'13 Enacted Budget per P.L. 112-74. This amount includes \$0 for mandatory items, \$201,000 for program current services and no program changes.

I. Personnel Details: FY'13 Request – \$0

None.

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$201,000

## A. Current Services:

- i. Official Mail (Non-Members): \$201,000 – This account pays for the official frank for non-Member offices. Examples of items that are charged to this account include the monthly earning statements and open season information mailed to employees. This account was established at the same time the three component parts of the MRA were consolidated into one allowance. Previously, there was one Official Mail account for the House; however, it became necessary to break out the Member mail account from the non-Member mail account for better tracking purposes.

## B. Proposed Changes:

- i. Official Mail (Non-Members): \$0 - None.

## SCHEDULE A – GOVERNMENT CONTRIBUTIONS

**HOUSE OF REPRESENTATIVES  
GOVERNMENT CONTRIBUTIONS  
BY OBJECT CLASS**

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	22	-	-	-	-
1200 Personnel Benefits	257,793	264,848	270,905	6,057	2.29%
1300 Benefits to Former Personnel	5,948	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	424	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>264,187</b>	<b>264,848</b>	<b>270,905</b>	<b>6,057</b>	<b>2.29%</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	-	-

## SCHEDULE C – GOVERNMENT CONTRIBUTIONS

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 GOVERNMENT CONTRIBUTIONS

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>264,848</b>	<b>270,905</b>	<b>6,057</b>	<b>2.29%</b>
Base Adjustment	-	-	-	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	-	-	-	
Personnel Benefits	264,848	270,905	6,057	2.29%
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	
<b>C. PROGRAM CHANGES</b>	-	-	-	
<b>TOTAL</b>	<b>264,848</b>	<b>270,905</b>	<b>6,057</b>	<b>2.29%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	

## Explanation of Changes Shown on Schedule C

**ALLOWANCES AND EXPENSES  
GOVERNMENT CONTRIBUTIONS**

For salaries and expenses of the Government Contributions, \$270,905,284. The fiscal year 2013 budget request is an increase of \$6,057,065 or 2.29% over the FY'12 Appropriation per P.L.112-74. This amount includes \$270,905,284 for mandatory items, \$0 for program current services and no program changes.

**I. Personnel Details: FY'13 Request – \$270,905,284**

**A. Base: \$264,848,219**

- i. The estimated FY'12 personnel benefits will be \$264,848,219.

**B. Budget Calculations:**

- i. Cost estimates are based on 33 centers in benefit costs for every personnel dollar estimated to be earned in FY'12, which is \$708,492,000.

**C. Requested Changes:**

- i. FY'13 Personnel Benefits – \$6,057,065
- This increase is required for anticipated Student Loan and unemployment compensation expenses.

**II. Price Level Details: FY'13 Request – \$0**

None.

**III. Program Details: FY'13 Request – \$0**

**A. Current Services:**

- i. Federal Employee's Retirement System (FERS): FERS contributions were deemed mandatory coverage for employees hired after January 1, 1984.
- ii. Civil Service Retirement System (CSRS)/Civil Service Retirement Offset (CSRO): Due to mandatory FERS coverage for new employees, the number of CSRS and CSRO employees continues to decrease each year. Some returning employees with a break in federal service of less than 365 days are eligible to return under CSRS. If an employee's break in service is greater than 365 days, they have 5 years of federal service and have not taken a refund of their deposit, they are eligible for the CSRO system.
- iii. Thrift Savings Plan (TSP): The percentage of government contributions to the Thrift Savings Plan continues to grow as employees shift to the FERS retirement program. Per P.L. 111-31 passed on June 22, 2009, all employees will be automatically enrolled in the Thrift Savings Plan at a 1% contribution of their gross pay. Employees will have the option to increase their contributions or cancel their contributions.
- iv. Federal Insurance Contributions Act (FICA): Like FERS, FICA was also deemed mandatory for employees hired after January 1, 1984.

- v. Medicare: The House has withheld the employees' portion of Medicare since January 1, 1983.
- vi. Federal Employee Health Benefit Program (FEHB): This program provides health care benefits to employees who enroll in the program. The House has adopted the FEHB program, the same as the Executive branch.
- vii. Life Insurance: This program covers the cost of Basic Life insurance for active employees and is based on the Basic Life insurance amount. The employee pays two-thirds of the total cost and the government pays one-third. The employee pays the total cost of additional optional insurance.
- viii. Unemployment Compensation: This covers the House's share of unemployment costs for employees who are terminated or because their Member is not re-elected to Congress.
- ix. Flexible Spending Accounts: Provides funding for a third party administration fee for managing the Flexible Spending Accounts (FSAFEDS) program. Effective April 1, 2005, the House adopted the Office of Personnel Management's FSAFEDS program. The program includes two types of accounts. The first can be used to pay for eligible health care expenses not covered under an employee's insurance plan. The second is for dependent care expenses for childcare and for adult dependents.
- x. Student Loan Repayment Program (SLRP): The House authorized the SLRP in P.L. 108-7. The Committee on House Administration, in conjunction with the Chief Administrative Officer, implemented the SLRP in May 2003. Under this program, an employing office of the House of Representatives may agree to repay any federally insured student loan previously taken out by the employee.
- xi. House Fitness Center Program: Authorized by the Committee on House Administration in March 2003, this program provides access to physical fitness services through local providers. This partnership provides for a sharing of costs between the House and its staff who choose to enroll.
- xii. Centralized Transit Benefits: To encourage Members, Officers and employees of the U.S. House of Representatives to use public transportation systems to commute to and from work, House offices are required to offer qualified employees a transit pass transportation benefit (transit benefit). This is provided as a tax-free benefit. The value of a qualified transit pass may not exceed an amount equal to the employee's actual commuting costs or the maximum level allowed by Title 26, U.S.C. 132(f)(2), *whichever is less*.

**B. Proposed Changes:**

- i. Student Loan Repayment Program (SLRP): \$2,000,000 – This increase is above the \$15,000,000 provided in FY'12 to fund the existing SLRP, bringing the total cost to \$17,000,000.
- ii. Unemployment Compensation: \$4,057,065 – This increase is required based on FY 2011 expenses for unemployment compensation.

## SCHEDULE A – BUSINESS CONTINUITY/DISASTER RECOVERY

HOUSE OF REPRESENTATIVES  
BUSINESS CONTINUITY/DISASTER RECOVERY  
BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	-	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	69	129	136	7	5.17%
2200 Transportation of Things	0	20	20	(0)	-1.96%
2300 Rent, Communications, Utilities	3,321	5,309	5,920	611	11.51%
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	1,901	4,031	2,976	(1,055)	-26.18%
2600 Supplies and Materials	254	146	182	36	25.00%
3100 Equipment	3,990	7,476	7,877	402	5.37%
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>9,535</b>	<b>17,112</b>	<b>17,112</b>	<b>-</b>	<b>-</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	-	-

## SCHEDULE C – BUSINESS CONTINUITY/DISASTER RECOVERY

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 BUSINESS CONTINUITY/DISASTER RECOVERY

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>				
Base Adjustment	-	-	-	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	-	-	-	
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>				
<b>C. PROGRAM CHANGES</b>				
Business Continuity/Disaster Recovery	17,112	17,112	-	
<b>TOTAL</b>	<b>17,112</b>	<b>17,112</b>	<b>-</b>	<b>-</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>				
	-	-	-	

## Explanation of Changes Shown on Schedule C

ALLOWANCES AND EXPENSES  
BUSINESS CONTINUITY/DISASTER RECOVERY

For salaries and expenses of the Business Continuity/Disaster Recovery, \$17,112,072. The fiscal year 2013 budget request is flat with the FY'12 Appropriation per P.L. 112-74. This amount includes \$0 for mandatory items, \$17,112,072 for program current services and no program changes.

I. Personnel Details: FY'13 Request – \$0

- A. Base: \$0
- B. Budget Calculations: \$0
- C. Requested Changes: \$0

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$17,112,072

## A. Current Services:

- i. Business Continuity/Disaster Recovery (BC/DR): \$17,112,072 – BC/DR provides for the planning and implementation of improvements in infrastructure, systems, information security, emergency response capabilities, and business continuity capabilities. This program covers the sustainment costs for capabilities implemented post 9/11.

## B. Proposed Changes:

None.

## SCHEDULE A - TRANSITION ACTIVITIES

**HOUSE OF REPRESENTATIVES  
TRANSITION ACTIVITIES  
BY OBJECT CLASS**

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	-	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	1	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	543	-	781	781	
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	2,159	1,722	3,107	1,385	80.48%
2600 Supplies and Materials	429	-	167	167	
3100 Equipment	1,696	-	70	70	
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>4,828</b>	<b>1,722</b>	<b>4,125</b>	<b>2,403</b>	<b>139.61%</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	-	-

## SCHEDULE C – TRANSITION ACTIVITIES

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 TRANSITION ACTIVITIES

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	-	-	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	-	-	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	1,722	4,125	2,403	139.61%
Transition Activities	1,722	4,125	2,403	139.61%
<b>TOTAL</b>	1,722	4,125	2,403	139.61%
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	-

## Explanation of Changes Shown on Schedule C

ALLOWANCES AND EXPENSES  
TRANSITION ACTIVITIES

For salaries and expenses of the Transition Activities, \$4,125,000. The fiscal year 2013 budget request is an increase of \$2,403,000 or 139.61% over the FY'12 Appropriation per P.L. 112-74. This amount includes \$0 for mandatory items, \$4,125,000 for program current services and \$2,403,000 for program changes.

I. Personnel Details: FY'13 Request – \$0

- A. Base: \$0
- B. Budget Calculations: \$0
- C. Requested Changes: \$0

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$4,125,000

## A. Current Services:

- i. Transition Activities: \$1,722,000 – This request provides funding for transition operations activities. Transition occurs every other year (odd years). Transition operations include furniture purchases, replacement of drapes and carpeting, rental of warehouse space for furniture storage, transition contractor support in telecommunications and financial services, and office supplies.

## B. Proposed Changes:

- i. Transition Activities: \$2,403,000 – This increase is primarily comprised of contractor support for office moves and staff augmentation. This increase supports a transition of 60 offices.

## SCHEDULE A – WOUNDED WARRIOR PROGRAM

**HOUSE OF REPRESENTATIVES  
WOUNDED WARRIOR PROGRAM  
BY OBJECT CLASS**

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	1,354	2,250	2,054	(196)	-8.71%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	78	229	100	(129)	-56.33%
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	2	2	-	-
2400 Printing and Reproduction	2	4	4	-	-
2500 Other Services	0	10	10	-	-
2600 Supplies and Materials	4	4	4	-	-
3100 Equipment	0	1	1	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>1,439</b>	<b>2,500</b>	<b>2,175</b>	<b>(325)</b>	<b>-13.00%</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>30</b>	<b>50</b>	<b>50</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – WOUNDED WARRIOR PROGRAM

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 WOUNDED WARRIOR PROGRAM

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>2,250</b>	<b>2,054</b>	<b>-196</b>	<b>-8.71%</b>
Base Adjustment	-	-196	-196	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	2,250	2,250	-	-
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	
<b>C. PROGRAM CHANGES</b>	<b>250</b>	<b>121</b>	<b>-129</b>	<b>-51.60%</b>
Wounded Warrior Program	250	121	-129	-51.60%
<b>TOTAL</b>	<b>2,500</b>	<b>2,175</b>	<b>-325</b>	<b>-13.00%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>50</b>	<b>50</b>	<b>-</b>	<b>-</b>

## Explanation of Changes Shown on Schedule C

ALLOWANCES AND EXPENSES  
WOUNDED WARRIOR PROGRAM

For salaries and expenses of the Wounded Warrior Program, \$2,175,000. The fiscal year 2013 budget request is a decrease of \$325,000 or -13.0% under the FY'12 Appropriation per P.L. 112-74. This amount includes \$2,054,000 for mandatory items, \$121,000 for program current services and (\$129,000) for program changes.

I. Personnel Details: FY'13 Request – \$2,054,000

A. Base: \$2,250,000

- i. The estimated FY'12 personnel compensation will be \$2,250,000.
- ii. The estimated FY'12 personnel benefits will be \$0.

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%
- ii. FY'13 Cost of Living Prorated – 0%
- iii. FY'13 Longevity Increases – 0%
- iv. FY'13 Meritorious Increases – 0%

C. Requested Changes:

- i. FY'12 Base Adjustment – (\$196,000)
  - The FY'12 base is adjusted down based on the average fellow's salary.
- ii. FY'12 Cost of Living Annualized – \$0
- iii. FY'13 Cost of Living Prorated – \$0
- iv. FY'13 Longevity Increases – \$0
- v. FY'13 Meritorious Increase – \$0
- vi. FY'13 Overtime Pay – \$0
- vii. FY'13 Personnel Benefits – \$0

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$121,000

A. Current Services:

i. Wounded Warrior Program: \$250,000 – This initiative, as established by the Office of the Speaker, creates a career orientation program that will give severely wounded service men and women the opportunity to be considered for employment by the House of Representatives. This program will not only help ease the transition of injured military personnel back into civilian life, it will also make the House a model for other

federal, state and municipal agencies to employ these talented, patriotic Americans to whom we are all greatly indebted.

B. Proposed Changes:

i. Wounded Warrior Program: (\$129,000) – During the zero based budgeting process, savings in administrative costs were realized for this program.

## SCHEDULE A - CONGRESSIONAL ETHICS

HOUSE OF REPRESENTATIVES  
CONGRESSIONAL ETHICS  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	853	1,041	1,065	24	2.30%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	53	85	85	-	-
2200 Transportation of Things	-	0	0	-	-
2300 Rent, Communications, Utilities	33	23	40	17	73.91%
2400 Printing and Reproduction	2	4	4	-	-
2500 Other Services	145	331	290	(41)	-12.37%
2600 Supplies and Materials	22	30	30	-	-
3100 Equipment	9	34	34	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>1,117</b>	<b>1,548</b>	<b>1,548</b>	<b>-</b>	<b>-</b>
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>8</b>	<b>10</b>	<b>10</b>	<b>-</b>	<b>-</b>

## SCHEDULE C – CONGRESSIONAL ETHICS

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 CONGRESSIONAL ETHICS

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	1,041	1,065	24	2.30%
Base Adjustment	-	-	-	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	24	24	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	1,041	1,041	-	-
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	
<b>C. PROGRAM CHANGES</b>	507	483	-24	-4.72%
Office of Congressional Ethics	507	483	-24	-4.72%
<b>TOTAL</b>	1,548	1,548	-	-
<b>FULL TIME EQUIVALENT POSITIONS</b>	10	10	-	-

## Explanation of Changes Shown on Schedule C

ALLOWANCES AND EXPENSES  
CONGRESSIONAL ETHICS

For salaries and expenses of the Congressional Ethics, \$1,548,000. The fiscal year 2013 budget request is flat with the FY'12 Enacted Budget per 112-74. This amount includes \$1,064,943 for mandatory items, \$483,057 for program current services and a decrease of (\$24,000) in program changes.

I. Personnel Details: FY'13 Request – \$1,064,943A. Base: \$1,041,000

- i. The estimated FY'12 personnel compensation will be \$1,041,000.

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%
- ii. FY'13 Cost of Living Prorated – 0%
- iii. FY'13 Longevity Increase – 2%

C. Requested Changes:

- i. FY'12 Cost of Living Annualized - \$0
- ii. FY'13 Cost of Living Prorated - \$0
- iii. FY'13 Longevity Increase – \$24,000

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$483,057A. Current Services:

- i. Administration: \$507,000 – According to Section 1(a) of H. Res. 895, the Office of Congressional Ethics (OCE) has been established “for the purpose of assisting the House in carrying out its responsibilities under article I, section 5, clause 2 of the Constitution (commonly referred to as the ‘Discipline Clause),...”.

B. Proposed Changes:

- i. Administration: (\$24,000) – This decrease is a result of an anticipated “blackout period”. In 2012 and again in 2013, the OCE will have a “blackout period” before an election. There will be no Board travel in September or October 2012. This decrease offsets the cost of longevity increases scheduled for 2013. The work performed by the OCE is “demand-driven” so it is not possible to accurately predict what travel needs or forensic investigative needs will arise.

## SCHEDULE A – ENERGY DEMONSTRATION PROJECTS

**HOUSE OF REPRESENTATIVES  
ENERGY DEMONSTRATION PROJECTS  
BY OBJECT CLASS**

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	-	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	-	-	-	-	-
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Estimated	FY 13 vs. FY 12 Net Change	FY 13 vs. FY 12 Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	-	-

SCHEDULE C – ENERGY DEMONSTRATION PROJECTS

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 ENERGY DEMONSTRATION PROJECTS

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	-	-	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	-	-	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	-	-	-	-
<b>TOTAL</b>	-	-	-	-
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	-

## Explanation of Changes Shown on Schedule C

ALLOWANCES AND EXPENSES  
ENERGY DEMONSTRATION PROJECTS

For salaries and expenses of the Energy Demonstration Projects, \$0. The fiscal year 2013 budget request is flat with the FY'12 Appropriation per P.L. 112-74. This amount includes \$0 for mandatory items, \$0 for program current services and no program changes.

I. Personnel Details: FY'13 Request – \$0

- A. Base: \$0
- B. Budget Calculations: \$0
- C. Requested Changes: \$0

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$0

## A. Current Services:

- i. Energy Demonstration Projects: \$0 – No additional funding is required for this project at this time.

## B. Proposed Changes:

None.

## SCHEDULE A - MISCELLANEOUS ITEMS

HOUSE OF REPRESENTATIVES  
MISCELLANEOUS ITEMS  
BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	-	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	311	482	482	-	-
2100 Travel	195	225	225	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	0	9	9	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	22	9	9	-	-
2600 Supplies and Materials	19	35	35	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>546</b>	<b>760</b>	<b>760</b>	<b>-</b>	<b>-</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	-	-

## SCHEDULE C – MISCELLANEOUS ITEMS

**HOUSE OF REPRESENTATIVES  
DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
MISCELLANEOUS ITEMS**

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	-	-	-	
Base Adjustment	-	-	-	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	-	-	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	-	-	-	
Personnel Benefits	-	-	-	
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	
<b>C. PROGRAM CHANGES</b>	<b>760</b>	<b>760</b>	-	
Gratuities to Beneficiaries of Deceased Staff	482	482	-	
House Autos	239	239	-	
Interparliamentary Receptions	39	39	-	
<b>TOTAL</b>	<b>760</b>	<b>760</b>	-	
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	

## Explanation of Changes Shown on Schedule C

ALLOWANCES AND EXPENSES  
MISCELLANEOUS ITEMS

For salaries and expenses of the Miscellaneous Items, \$760,000. The fiscal year 2013 budget request is flat with the FY'12 Appropriation per P.L. 112-74. This amount includes \$0 for mandatory items, \$760,000 for program current services and no program changes.

I. Personnel Details: FY'13 Request – \$0

- A. Base: \$0
- B. Budget Calculations: \$0
- C. Requested Changes: \$0

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$760,000

## A. Current Services:

- i. Gratuities to Heirs of Deceased Employees: \$482,000 – This category funds and pays gratuities to heirs of deceased House employees.
- ii. House Automobiles: \$239,000 – This item includes the purchase, exchange, maintenance, repair and operation of House motor vehicles.
- iii. Interparliamentary Receptions: \$39,000 – The purpose of this category, pursuant to House Resolution 348 (June 29, 1961), is “to enable the House of Representatives more properly to discharge and coordinate its activities and responsibilities in connection with participation in various interparliamentary institutions and to facilitate the interchange and reception in the United States of members of foreign legislative bodies and permanent officials of foreign government”.

## B. Proposed Changes:

None.

## SCHEDULE A - TOTAL - ALLOWANCES AND EXPENSES

HOUSE OF REPRESENTATIVES  
TOTAL - ALLOWANCES AND EXPENSES  
BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	2,229	3,291	3,119	(172)	-5.23%
1200 Personnel Benefits	257,793	264,848	270,905	6,057	2.29%
1300 Benefits to Former Personnel	6,259	482	482	-	-
2100 Travel	755	668	546	(122)	-18.30%
2200 Transportation of Things	32	21	20	(0)	-1.91%
2300 Rent, Communications, Utilities	4,716	6,249	7,658	1,409	22.55%
2400 Printing and Reproduction	22	45	45	-	-
2500 Other Services	5,887	6,927	7,216	289	4.17%
2600 Supplies and Materials	1,072	543	746	204	37.50%
3100 Equipment	6,074	9,258	9,729	472	5.09%
4200 Insurance Claims/Indemnities	9	55	55	-	-
<b>Total</b>	<b>284,847</b>	<b>292,387</b>	<b>300,522</b>	<b>8,136</b>	<b>2.78%</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>38</b>	<b>60</b>	<b>60</b>	<b>-</b>	<b>-</b>

## SCHEDULE C - TOTAL - ALLOWANCES AND EXPENSES

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 TOTAL - ALLOWANCES AND EXPENSES

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>268,139</b>	<b>274,024</b>	<b>5,885</b>	<b>2.19%</b>
Base Adjustment	-	-196	-196	
Cost of Living Adjustment Annualized	-	-	-	
Cost of living Adjustment	-	-	-	
Longevity Increase	-	24	24	
Meritorious Increase	-	-	-	
Overtime Pay	-	-	-	
Personnel Base	3,291	3,291	-	-
Personnel Benefits	264,848	270,905	6,057	2.29%
Reclassifications	-	-	-	
Temporary Positions	-	-	-	
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	
<b>C. PROGRAM CHANGES</b>	<b>24,248</b>	<b>26,498</b>	<b>2,251</b>	<b>9.28%</b>
Supplies, Materials, Administrative Costs and Federal Tort Claims	3,696	3,696	-	-
Official Mail (non members)	201	201	-	-
Business Continuity/Disaster Recovery	17,112	17,112	-	-
Transition Activities	1,722	4,125	2,403	139.61%
Wounded Warrior Program	250	121	-129	-51.60%
Congressional Ethics	507	483	-24	-4.72%
Miscellaneous Items	760	760	-	-
<b>TOTAL</b>	<b>292,387</b>	<b>300,522</b>	<b>8,136</b>	<b>2.78%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>60</b>	<b>60</b>	-	-

## SCHEDULE A - JOINT COMMITTEE ON TAXATION

HOUSE OF REPRESENTATIVES  
JOINT COMMITTEE ON TAXATION  
BY OBJECT CLASS

	FY 2011 Actual Dollars (\$000)	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
1100 Personnel Compensation	8,208	9,000	9,000	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	15	30	30	-	-
2200 Transportation of Things	0	-	-	-	-
2300 Rent, Communications, Utilities	119	115	115	-	-
2400 Printing and Reproduction	3	3	3	-	-
2500 Other Services	348	196	196	-	-
2600 Supplies and Materials	524	540	540	-	-
3100 Equipment	596	120	120	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>9,814</b>	<b>10,004</b>	<b>10,004</b>		
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	63	77	77	-	-

## SCHEDULE C – JOINT COMMITTEE ON TAXATION

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

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>9,000</b>	<b>9,000</b>	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	9,000	9,000	-	-
Personnel Benefits	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	-	-	-	-
<b>C. PROGRAM CHANGES</b>	<b>1,004</b>	<b>1,004</b>	-	-
Joint Committee on Taxation Miscellaneous	1,004	1,004	-	-
<b>TOTAL</b>	<b>10,004</b>	<b>10,004</b>	-	-
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>77</b>	<b>77</b>	-	-

## Explanation of Changes Shown on Schedule C

## JOINT COMMITTEE ON TAXATION

For salaries and expenses of the Joint Committee on Taxation, \$10,004,000. The fiscal year 2013 budget request is flat with the FY'12 Enacted Budget per P.L. 112-74. This amount includes \$9,000,000 for mandatory items, \$1,004,000 for program current services and no program changes.

I. Personnel Details: FY'13 Request – \$9,000,000A. Base: \$9,000,000

- i. The estimated FY'12 personnel compensation will be \$9,000,000.

B. Budget Calculations:

- i. FY'12 Cost of Living Annualized – 0%
- ii. FY'13 Cost of Living Prorated – 0%
- iii. FY'13 Meritorious Increase – 0%

C. Requested Changes:

- i. FY'12 Cost of Living Annualized – \$0
- ii. FY'13 Cost of Living Prorated – \$0
- iii. FY'13 Meritorious Increase – \$0

II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$1,004,000A. Current Services:

- i. Miscellaneous: \$1,004,000 – The Joint Committee on Taxation provides support to the House and Senate with respect to revenue legislation. The staff prepares background materials for committee hearings, markup documents, committee reports, statements of managers, revenue estimates, and other economic analysis for all tax legislation considered by Congress. The Joint Committee prepares special reports as may be requested by the Chairman and Vice Chairman, and reviews income tax treaties for the Senate Foreign Relations Committee. The Joint Committee staff also reviews all tentative large income tax refunds prior to their payments by the Internal Revenue Service.

B. Proposed Changes:

- i. Miscellaneous: \$0.

## SCHEDULE A – OFFICE OF THE ATTENDING PHYSICIAN

HOUSE OF REPRESENTATIVES  
OFFICE OF THE ATTENDING PHYSICIAN  
BY OBJECT CLASS

	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	-	-	-	-	-
1200 Personnel Benefits	153	162	162	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	27	28	45	17	60.71%
2200 Transportation of Things	-	8	8	-	-
2300 Rent, Communications, Utilities	67	70	102	32	46.43%
2400 Printing and Reproduction	2	-	-	-	-
2500 Other Services	1,532	2,436	2,613	177	7.27%
2600 Supplies and Materials	404	501	298	(203)	-40.52%
3100 Equipment	18	195	204	10	4.87%
4200 Insurance Claims/Indemnities	-	-	-	-	-
<b>Total</b>	<b>2,202</b>	<b>3,400</b>	<b>3,433</b>	<b>33</b>	<b>0.97%</b>
	FY 2011	FY 2012	FY 2013	FY 13 vs. FY 12	FY 13 vs. FY 12
	Actual	Enacted	Estimated	Net Change	Net Change %
<b>FULL TIME EQUIVALENT POSITIONS</b>	-	-	-	-	-

## SCHEDULE C – OFFICE OF THE ATTENDING PHYSICIAN

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

	FY 2012 Enacted Dollars (\$000)	FY 2013 Estimated Dollars (\$000)	FY 13 vs. FY 12 Net Change Dollars (\$000)	FY 13 vs. FY 12 Net Change Percent %
<b>A. MANDATORY CHANGE</b>	<b>162</b>	<b>162</b>	<b>-</b>	<b>-</b>
Cost of Living Adjustment Annualized	-	-	-	-
Cost of living Adjustment	-	-	-	-
Personnel Benefits	162	162	-	-
Base Adjustment	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Overtime Pay	-	-	-	-
Personnel Base	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
<b>B. PRICE LEVEL INCREASES</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>C. PROGRAM CHANGES</b>	<b>3,238</b>	<b>3,271</b>	<b>33</b>	<b>1.02%</b>
Capability Enhancement	327	329	2	0.61%
Emergency Preparedness	82	120	38	46.95%
Miscellaneous	258	60	-198	-76.94%
Preventive Health Maintenance	145	159	14	9.66%
Reimbursement to the Navy	2,426	2,603	177	7.30%
<b>TOTAL</b>	<b>3,400</b>	<b>3,433</b>	<b>33</b>	<b>0.97%</b>
<b>FULL TIME EQUIVALENT POSITIONS</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>

## Explanation of Changes Shown on Schedule C

## OFFICE OF THE ATTENDING PHYSICIAN

For salaries and expenses of the Office of the Attending Physician, \$3,433,000. The fiscal year 2013 budget request is an increase of \$33,000 or 1% over the FY'12 Enacted Budget per P.L. 112-74. This amount includes \$162,000 for mandatory items, \$3,271,000 for program current services and an increase of \$33,000 for program changes.

I. Personnel Details: FY'13 Request – \$162,000A. Base: \$162,000

- i. The estimated FY'12 personnel benefits will be \$162,000.

B. Budget Calculations: \$0C. Requested Changes: \$0II. Price Level Details: FY'13 Request – \$0

None.

III. Program Details: FY'13 Request – \$3,271,000

## A. Current Services:

- i. Reimbursement to the Navy: \$2,426,000 – The Office of the Attending Physician (OAP) has an ongoing contract with the Department of the Navy for services including medical staff and equipment.
- ii. Emergency Preparedness: \$82,000 – Emergency Preparedness refers to the consumable supplies of medicines (injection and oral) for chemical/biological warfare, continuing education and associated travel costs, required supplies for House and Senate staff/OEC, CPR/AED & First Aid training, cost of maintenance of MeRV and cost of drivers' training, and equipment to directly support continuity of operations and enduring constitutional government.
- iii. Preventive Health Maintenance: \$145,000 - Preventive Health Maintenance refers to prophylactic medications, immunizations, physical exams, dietary information, physical therapy supplies, consumable supplies for all health units on Capitol Hill; laboratory chemicals and reagents, equipment purchases, contracts for equipment maintenance and service, and administrative supplies.
- iv. Miscellaneous: \$258,000 – This program contains items that are either not part of the other programs or support all programs. These items include training, telephone charges, wireless communications capabilities, and other costs incurred with training.

- v. Capability Enhancement: \$327,000 - Capability Enhancement refers to on-going training to maintain licensure and certifications, and to increase knowledge of clinical issues. Costs incurred with communication devices, X-ray, laboratory, maintenance of electronic medical records, computers, contracts for maintenance and user fees, and mobile capability upkeep.

B. Proposed Changes:

- i. Reimbursement to the Navy: \$177,000 - This is due to an increase in the Department of the Navy invoice to the OAP for contracted staff. Please note that this increase is largely offset by a decrease in the subsequent Miscellaneous program.
- ii. Emergency Preparedness: \$39,000 - This is due to anticipated increases in costs of travel as well as Congressional staff and medical training. Please note that this increase is completely offset by a decrease in the subsequent Miscellaneous program.
- iii. Preventative Health Maintenance: \$14,000 - This is due to anticipated increases in the cost training and travel associated with medical training in allergy and immunizations, vaccinations, etc. Please note that this increase is completely offset by a decrease in the subsequent Miscellaneous program.
- iv. Miscellaneous: (\$199,000) - This decrease is due to program requirements/definition redefined from FY'12. And the savings produced from this internal review have been allocated to offset increases throughout various OAP programs.
- v. Capability Enhancement: \$2,000 - This increase is due to program requirements/definition redefined from FY'12. Please note that this increase is completely offset by a decrease in the previously depicted Miscellaneous program.

Zero Based Budgeting

Appendix to the Memorandum  
The Office of the Clerk

FY 13 Budget Request	
FY 13 Request	FY 13 Request
<p>21-Program Operations</p> <p>21-1-Travel 31,000,000.00</p> <p>21-2-Information Technology 47,200,000.00</p> <p>21-3-News, Communications, Visitors 224,400,000.00</p> <p>21-4-Printing 25,750,000.00</p> <p>21-5-Office Services 2,875,248.00</p> <p>21-6-Information Technology 5,079,200.00</p> <p>21-7-Information Technology 643,000.00</p> <p>21-8-Information Technology</p> <p>Subtotal: 25,314,400.00</p>	<p>22-370,352.00</p>

On April 1, 1789, the House of Representatives convened with its first quorum. Its initial order of business was the election of the Speaker, Frederick Augustus Conrad Muhlenberg, a Representative from Pennsylvania. The next order of business was the adoption of the original House Rules. The House then elected the Clerk of the House, John Jay, and the Secretary of the House, John Adams. The Clerk of the House of Representatives, the Clerk of the House of Commons, the Clerk of the House of Lords, and the Clerk of the House of Burgesses are similar to those prescribed for the Secretary of the Continental Congress in March 1788.

Legislative History

The relation of the Office of the Clerk to its predecessor institution and its role in the development of the U.S. House of Representatives.

Mission Statement

The Office of the Clerk delivers services through eight functional areas, encompassing House Floor and reporting services, technical and publications services, information and support services, and auxiliary services.

1976 report to the FY 2013 budget negotiation process for the U.S. House of Representatives, the Chief of each organization within the Clerk's office was instructed to formulate their individual budget requests using the zero based budgeting method as directed in Report 133-048 which was passed in July 2011. Each organization was required to provide a detailed explanation of their budget request and to identify the specific programs and services that would be eliminated or reduced if their budget request were not approved. The result is a report of 133-048 for FY 2013. One year consideration. The zero based budgeting method and additional budgetary procedures were originally established for FY 2011, but have been postponed until FY 2014. The cost of all these items was estimated at \$975.

\$12,370,352

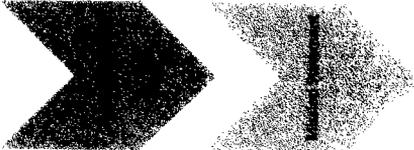
FY 13 Budget Request



FY'13 Budget Request Table

Description		Amount	Narrative
<b>Tier 1: Flat FY'13 Budget</b>			
<b>House Passed Resolution Appropriations</b>			
11-Personnel Compensation	\$ 8,925,000		
21-Travel	\$ 174,000		
23-Rent, Communications, Utilities	\$ 186,000		
24-Printing	\$ 9,000		
25-Other Services	\$ 2,571,000		
26-Supplies and Materials	\$ 206,000		
31-Equipment	\$ 514,000		
<b>Subtotal Tier 1</b>	<b>\$ 12,585,000</b>		
<b>Tier 2: Zero-based budgeting applied to Flat FY'13 Budget</b>			
The increase identified while applying 250 principles will fund essential vacant positions, funding the President's Special Events/Protocol position is necessary to adequately fulfill the logistical and security support necessary for on and off campus events involving Members of Congress, funding the Chamber Support Services position is necessary to provide adequate post coverage in the CIV, House Gallery, and House Steps; funding for the House Security Office Staff Assistant position is necessary to ensure efficient and effective operational and logistical services to the House community. Lastly funding both the Program Manager and Emergency Management Specialist positions within the Community Planning section is necessary for OSH to fulfill its obligations to the House Constituency Program particularly related to Leadership and Committee readiness.			
11-Personnel Compensation	\$ 295,000		Researching our historical trends in spending, we identified the need to decrease our request under the overall travel budget object category due to funding in FY12 for staff reimbursement associated with the upcoming Presidential conventions.
21-Travel	\$ (42,000)		Researching our historical trends in spending, we identified the need to decrease our request under the overall HCU budget object category.
23-Rent, Communications, Utilities	\$ (5,000)		Researching our historical trends in spending, we identified the need to decrease our request under the overall Printing budget object category.
24-Printing	\$ (2,000)		funding for contractor support and to adequately fund the Office's effort to provide efficient and effective security and business continuity and disaster recovery support to the Members of Congress, Congressional Staff and Visitors to Capitol Hill. The formula can also be pertained to funding requested for staff training.
25-Other Services	\$ 230,000		Researching our historical trends in spending and recognizing that the Office usually purchases necessary supplies and materials for each new Congress on a cyclical basis (during every three years) savings were identified and therefore we are requesting a decrease under this budget object class category.
26-Supplies and Materials	\$ (96,000)		increase is due to the purchase of new hardware, software and related maintenance to support the Office's mission relating to safety and security as well as funding for contingency and related projects relating to emergency preparedness.
31-Equipment	\$ 863,000		
<b>Grandtotal Tiers 1&amp;2</b>	<b>\$ 13,828,000</b>		

Appendix to the Narrative of Schedule C  
Office of the Chief Administrative Officer



FY'13 Budget Request Table		Amount	Narrative
<b>Tier 1: Flat FY'13 Budget</b>			
11-Personnel Compensation	\$	62,514,000.00	
21-Travel	\$	334,000.00	
22-Transportation of Things	\$	110,000.00	
23-Rent, Communications, Utilities	\$	7,172,000.00	
24-Printing	\$	42,000.00	
25-Other Services	\$	24,744,000.00	
26-Supplies and Materials	\$	2,919,000.00	
31-Equipment	\$	18,950,000.00	
<b>Subtotal Tier 1</b>	<b>\$</b>	<b>116,782,000.00</b>	
<b>Tier 2: Zero-based budgeting applied to Flat FY'13 Budget</b>			
11-Personnel Compensation	\$	(418,000.00)	
21-Travel	\$	(134,043.00)	
22-Transportation of Things	\$	500.00	
23-Rent, Communications, Utilities	\$	(754,622.00)	
24-Printing	\$	755.00	
25-Other Services	\$	1,704,176.00	
26-Supplies and Materials	\$	(301,512.00)	
31-Equipment	\$	(97,254.00)	
<b>Subtotal Tiers 1&amp;2</b>	<b>\$</b>	<b>116,782,000.00</b>	
<b>Tier 3: Zero-based budgeting applied to Tier 1 &amp; 2</b>			
11-Personnel Compensation	\$	(418,000.00)	
21-Travel	\$	(134,043.00)	
22-Transportation of Things	\$	500.00	
23-Rent, Communications, Utilities	\$	(754,622.00)	
24-Printing	\$	755.00	
25-Other Services	\$	1,704,176.00	
26-Supplies and Materials	\$	(301,512.00)	
31-Equipment	\$	(97,254.00)	
<b>Subtotal Tiers 1,2,3</b>	<b>\$</b>	<b>116,782,000.00</b>	

\*The Chief Administrative Officer will continue to provide the best services to the public by ensuring that the state's public programs and services are delivered in a cost-effective and efficient manner. The Chief Administrative Officer will continue to provide the best services to the public by ensuring that the state's public programs and services are delivered in a cost-effective and efficient manner.

\*The continuation of the Office of the Chief Administrative Officer will be providing financial information technology reports and operations to the House community.

\*The state's growth in public services and support for the House's legislative members, their staffs, and other personnel requires additional funding. The state's growth in public services and support for the House's legislative members, their staffs, and other personnel requires additional funding. The state's growth in public services and support for the House's legislative members, their staffs, and other personnel requires additional funding.

\*The state's growth in public services and support for the House's legislative members, their staffs, and other personnel requires additional funding. The state's growth in public services and support for the House's legislative members, their staffs, and other personnel requires additional funding. The state's growth in public services and support for the House's legislative members, their staffs, and other personnel requires additional funding.

Strategic Plan

Brief Synopsis

Addendum of Office of the Chief Administrative Officer  
FY13 Zero-based Budget

**Explanation of Programs  
And  
Highlights of Variances**

**OFFICE MISSION**

The Chief Administrative Officer (CAO) position was created by H. Res. 6 during the first session of the 104th Congress. The CAO is elected by majority vote of Members at the start of each Congress and oversees the non-legislative, financial and administrative functions of the House. Under current House Rule II, the Chief Administrative Officer has "operational and financial responsibility for functions as assigned by the Committee on House Administration and shall be subject to the oversight of the Committee on House Administration." According to Committee on House Administration records, the Chief Administrative Office has been designated as the disbursing officer for the House of Representatives since July 1, 1995. The core mission of the Office of the Chief Administrative Officer (OCAO) is providing financial, information technology, logistics, and other support services to the House community.

**ORGANIZATION - Functional Components**

The OCAO supports the House community by operating the financial and administrative functions of the House. The OCAO staff consists of 635 dedicated professionals who have extensive public and private sector work experience. The staff is divided among seven divisions: CAO Immediate Office, Acquisitions Management, Finance, House Information Resources, House Recording Studio, Human Resources, and Logistics and Support. During the zero based budgeting process, personnel budgets were allocated to all divisions. However, our personnel budget request is consolidated across all divisions. Below is a summary of our request:

	FY2013 Appropriation	FY2013 Budget Request	FY13 Requested vs. FY12 Allotment \$	FY13 Requested vs. FY12 Allotment %
<b>Chief Administrative Officer</b>				
Personnel	\$ 62,514,000	\$ 62,096,000	\$ (418,000)	-0.7%
Acquisitions Management	\$ 5,378,568	\$ 8,676,000	\$ 3,297,432	61.3%
CAO Immediate Office and Galleries	\$ 1,045,000	\$ 825,000	\$ (220,000)	-21.1%
Finance	\$ 2,056,658	\$ 1,020,000	\$ (1,036,658)	-50.4%
House Information Resources	\$ 31,712,152	\$ 31,431,000	\$ (281,152)	-0.9%
House Recording Studio	\$ 1,381,000	\$ 1,134,000	\$ (247,000)	-17.9%
Human Resources	\$ 769,000	\$ 665,000	\$ (104,000)	-13.5%
Logistics and Support	\$ 7,196,000	\$ 6,998,000	\$ (198,000)	-2.8%
Strategic Initiatives - CAOWide	\$ 4,729,622	\$ 3,937,000	\$ (792,622)	-16.8%
<b>Total CAO Budget</b>	<b>\$ 116,782,000</b>	<b>\$ 116,782,000</b>	<b>\$ -</b>	<b>0.0%</b>

Addendum of Office of the Chief Administrative Officer  
FY13 Zero-based Budget

**ZERO-BASED BUDGETING – Internal Process Overview**

The Office of the Chief Administrative Officer (OCAO) strived to formulate a budget to achieve the goal of doing more with less. To execute Zero-Based Budgeting, the OCAO performed an internal analysis over a period of several months and conducted a detailed line-by-line review of all operational expenses. Each CAO business unit reviewed all projects, programs, and activities (PPAs) under their purview and provided PPA lists to Finance. All PPA lists were reviewed for adherence to the CAO's mission, vision, and goals and then revised as needed. The OCAO began the process with 219 PPAs and ended with 127 PPAs.

Each CAO business unit worked on assigning costs to each approved PPA in two categories: current operations and zero based operations. Each PPA included an overview of services provided, requirement for services (e.g., CHA regulation, public law, and Member request), impact if service was not funded, and performance measures associated with meeting the expected goal or target for that particular PPA.

Over the course of two months, PPA packages were submitted on a rolling basis via weekly meetings where each CAO business unit presented, discussed, and revised its submissions. Final packages were then submitted and prioritized from an individual CAO business unit view. Subsequently, executive level meetings were held to discuss and prioritize all approved PPAs from a CAO-wide perspective. During this review, some PPAs were removed from the request while others were elevated in priority level.

The Zero-Based Budgeting effort allowed the CAO to focus on the core mission in relationship to its overall goals and take a strategic and critical look at the services provided. The CAO met its goals through internal redistribution and realignment of funds, which allowed for improvements in areas such as internal controls, information security, digital mail, and the PeopleSoft financial system. As a result, the CAO budget remained flat while minimizing impacts to the services provided to the House community.

Addendum of Office of the Chief Administrative Officer  
 FY13 Zero-based Budget

**DIVISION – Chief Administrative Officer Immediate Office**

The Chief Administrative Officer Immediate Office provides legal counsel and administrative support for the CAO, manages audit and internal controls, and provides ADA assistance to Members. This division also includes the three Galleries: Radio TV Gallery, Press Gallery, and Periodical Press Gallery.

**CAO Immediate Office Summary - FY'13 Budget Request**

Description	Amount	Narrative
<b>Tier 1: Flat FY'13 Budget</b>		
11-Personnel Compensation	\$ -	
21-Travel	\$ 44,500.00	
22-Transportation of Things	\$ 500.00	
23-Rent, Communications, Utilities	\$ 77,000.00	
24-Printing	\$ 19,000.00	
25-Other Services	\$ 741,000.00	
26-Supplies and Materials	\$ 48,000.00	
31-Equipment	\$ 115,000.00	
Subtotal Tier 1	\$ 1,045,000.00	
<b>Tier 2: Zero-based budgeting applied to Flat FY'13 Budget</b>		
11-Personnel Compensation	\$ -	
21-Travel	\$ (8,500.00)	
22-Transportation of Things	\$ 500.00	The CAO Immediate Office decreased \$228,000 overall to get to its ZBB funding level. Funding was removed for one-time FY'12 costs including HouseNet redesign and Leadership training. Funding was also reduced for equipment purchases and contractor support.
23-Rent, Communications, Utilities	\$ 11,000.00	
24-Printing	\$ -	
25-Other Services	\$ (199,000.00)	
26-Supplies and Materials	\$ (1,000.00)	
31-Equipment	\$ (23,000.00)	
Subtotal Tiers 1&2	\$ 825,000.00	
<b>Tier 3: Original Budget across Tiers 1 &amp; 2</b>		
11-Personnel Compensation	\$ -	
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ -	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tiers 1,2,3	\$ 825,000.00	

Addendum of Office of the Chief Administrative Officer  
 FY13 Zero-based Budget

**DIVISION – Acquisitions Management**

Acquisitions Management procures goods and services for the House, operates the House Purchase Card Program, and manages House service contracts including Food Services, Shoe Shine Services, the Barber Shop and Salon, and traditional and digital mail operations.

**Acquisitions Management Summary - FY13 Budget Request**

Description	Amount	Narrative
<b>Tier 1: Flat FY13 Budget</b>		
11-Personnel Compensation	\$ -	
21-Travel	\$ 18,760.00	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ 66,395.00	
24-Printing	\$ 2,294.00	
25-Other Services	\$ 5,135,797.00	
26-Supplies and Materials	\$ 26,735.00	
31-Equipment	\$ 128,707.00	
Subtotal Tier 1	\$ 5,378,568.00	
<b>Tier 2: Zero-based budgeting applied to Flat FY13 Budget</b>		
11-Personnel Compensation	\$ -	Acquisitions has a net increase of \$3,297,000. In FY12, the mail contract was renegotiated to a firm fixed price contract. In FY13, twelve months of funding is requested for the mail contract. This increase is partially offset by decreasing funding for office supplies and equipment and reducing funding for mail archiving and replacement mail equipment.
21-Travel	\$ 3,240.00	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ (42,395.00)	
24-Printing	\$ (294.00)	
25-Other Services	\$ 3,384,204.00	
26-Supplies and Materials	\$ 10,263.00	
31-Equipment	\$ (71,707.00)	
Subtotal Tier 2	\$ 3,576,000.00	
<b>Total</b>		
	\$ 8,954,568.00	

Addendum of Office of the Chief Administrative Officer  
FY13 Zero-based Budget

**DIVISION - Finance**

The Office of Finance provides financial support services to the House community including accounting services, financial counseling regarding official expenses, voucher processing, benefits counseling, payroll processing, and House budget management. Additionally, the Office of Finance provides Members' Services which manages all activities relating to payroll and benefits for the Members of Congress.

**Finance Summary - FY'13 Budget Request**

Description	Amount	Narrative
<b>Tier 1: Flat FY'13 Budget</b>		
11-Personnel Compensation	\$ -	
21-Travel	\$ 22,662.00	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ 97,024.00	
24-Printing	\$ 10,011.00	
25-Other Services	\$ 1,725,762.00	
26-Supplies and Materials	\$ 77,158.00	
31-Equipment	\$ 124,041.00	
Subtotal Tier 1	\$ 2,056,658.00	
<b>Tier 2: Zero-based budgeting applied to Flat FY'13 Budget</b>		
11-Personnel Compensation	\$ -	
21-Travel	\$ (4,662.00)	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ (11,024.00)	
24-Printing	\$ (1,011.00)	
25-Other Services	\$ (970,762.00)	
26-Supplies and Materials	\$ (9,158.00)	
31-Equipment	\$ (40,041.00)	
Subtotal Tiers 1&2	\$ 1,020,000.00	Finance decreased by \$1,037,000 overall to get to its ZBB funding level. In FY'12, Finance is purchasing software for the CAO Scanning and Workflow project which will provide a House-wide solution for electronic voucher submission (E-Voucher) and digital document management that will work in tandem with the PeopleSoft financial system. Since this software is a one-time purchase, this funding is not required in FY'13.
<b>Tier 2: Optional Funding above Tiers 1 &amp; 2</b>		
11-Personnel Compensation	\$ -	
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ -	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tiers 1,2, & 3	\$ 1,020,000.00	

Addendum of Office of the Chief Administrative Officer  
FY13 Zero-based Budget

**DIVISION – House Information Resources**

House Information Resources (HIR) manages the technology solutions for the House community. HIR provides information security products and services, campus voice and data services, active directory management, mobile communications support, website development, MPLS and VPN connection support, and video teleconferencing through the House's public wireless network. HIR is also responsible for managing large scale software/hardware implementations including the House's conversion to the PeopleSoft financial system.

**House Information Resources Summary - FY'13 Budget Request**

Description	Amount	Narrative
<b>Tier 1: Flat FY'13 Budget</b>		
11-Personnel Compensation	\$ -	
21-Travel	\$ 124,679.00	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ 6,592,873.00	
24-Printing	\$ -	
25-Other Services	\$ 8,419,947.00	
26-Supplies and Materials	\$ 436,847.00	
31-Equipment	\$ 16,137,806.00	
Subtotal Tier 1	\$ 31,712,152.00	
<b>Tier 2: Zero-based budgeting applied to Flat FY'13 Budget</b>		
11-Personnel Compensation	\$ -	House Information Resources (HIR) decreased by \$281,000 to reach its ZBB funding level. While increases were required in the areas of Information Security and Enterprise Operations, offsetting reductions were taken in contractor support, lifecycle replacement, campus data networking, wide area networking, and hardware and software maintenance. Most reductions are expected to be manageable either by schedule/response delays or by hiring into vacant positions.
21-Travel	\$ (65,679.00)	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ (712,873.00)	
24-Printing	\$ -	
25-Other Services	\$ 552,053.00	
26-Supplies and Materials	\$ 31,153.00	
31-Equipment	\$ (85,806.00)	
Subtotal Tiers 1&2	\$ 31,431,000.00	
<b>Tier 3: Optimal funding above Tiers 1 &amp; 2</b>		
11-Personnel Compensation	\$ -	
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ -	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tiers 1,2,&3	\$ 31,431,000.00	

Addendum of Office of the Chief Administrative Officer  
 FY13 Zero-based Budget

**DIVISION – House Recording Studio**

The House Recording Studio provides House floor coverage through Committee broadcast operations and studio operations. House Recording Studio also manages Committee Hearing Room Renovations and Committee Hearing Room equipment replacement.

**House Recording Studio Summary - FY'13 Budget Request**

Description	Amount	Narrative
<b>Tier 1: Flat FY'13 Budget</b>		
11-Personnel Compensation	\$ -	
21-Travel	\$ 20,000.00	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ 173,350.00	
24-Printing	\$ -	
25-Other Services	\$ 675,050.00	
26-Supplies and Materials	\$ 269,600.00	
31-Equipment	\$ 243,000.00	
Subtotal Tier 1	\$ 1,381,000.00	
<b>Tier 2: Zero-based budgeting applied to Flat FY'13 Budget</b>		
11-Personnel Compensation	\$ -	House Recording Studio has decreased by \$247,000 to reach its ZBB funding level. During FY'12, the House Recording Studio is working on lowering its contract costs through re-negotiations with current vendors or utilizing vacant positions. As a result, their contract support requirement has decreased for FY'13.
21-Travel	\$ (5,000.00)	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ (350.00)	
24-Printing	\$ -	
25-Other Services	\$ (280,050.00)	
26-Supplies and Materials	\$ 400.00	
31-Equipment	\$ 38,000.00	
Subtotal Tiers 1&2	\$ 1,134,000.00	
<b>Tier 3: Zero-based budgeting applied to Flat FY'13 Budget</b>		
11-Personnel Compensation	\$ -	
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ -	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tier 3	\$ -	
<b>Total Budget Request</b>		
	\$ 1,134,000.00	

Addendum of Office of the Chief Administrative Officer  
 FY13 Zero-based Budget

**DIVISION – Human Resources**

Human Resources provides personnel services to the OCAO, including Training and Development, and Diversity and Inclusion programs. The Division also includes the Office of Employee Assistance and the Wounded Warrior Program, which serve the entire House community

**Human Resources Summary - FY'13 Budget Request**

Description	Amount	Narrative
<b>Tier 1: Flat FY'13 Budget</b>		
11-Personnel Compensation	\$ -	
21-Travel	\$ 39,442.00	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ 25,040.00	
24-Printing	\$ 7,000.00	
25-Other Services	\$ 507,646.00	
26-Supplies and Materials	\$ 62,172.00	
31-Equipment	\$ 127,700.00	
Subtotal Tier 1	\$ 769,000.00	
<b>Tier 2: Zero-based budgeting applied to Flat FY'13 Budget</b>		
11-Personnel Compensation	\$ -	Human Resources has decreased by \$104,000 to reach its ZBB funding level. On-site training costs are being reduced and equipment and office supply purchases are being scaled back.
21-Travel	\$ (12,442.00)	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ 960.00	
24-Printing	\$ 2,000.00	
25-Other Services	\$ (62,646.00)	
26-Supplies and Materials	\$ (15,172.00)	
31-Equipment	\$ (16,700.00)	
Subtotal Tiers 1&2	\$ 665,000.00	
<b>Tier 3: Optimal funding above Tiers 1 &amp; 2</b>		
11-Personnel Compensation	\$ -	
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ -	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tiers 1,2,&3	\$ 665,000.00	

Addendum of Office of the Chief Administrative Officer  
FY13 Zero-based Budget

**DIVISION – Logistics and Support**

Logistics and Support manages furniture and furnishings for the House community including providing core furniture, furniture refurbishment, carpeting, draperies, upholstery, cabinet making, and finish schedule activities as well as warehousing additional furniture stock. Additionally, Logistics and Support oversees the operation of the Office Supply Store, the House Gift Shop, Photography, Graphics, and First Call.

**Logistics and Support Summary - FY'13 Budget Request**

Description	Amount	Narrative
<b>Tier 1: Flat FY'13 Budget</b>		
11-Personnel Compensation	\$ -	
21-Travel	\$ 64,000.00	
22-Transportation of Things	\$ 110,000.00	
23-Rent, Communications, Utilities	\$ 140,000.00	
24-Printing	\$ 4,000.00	
25-Other Services	\$ 2,806,000.00	
26-Supplies and Materials	\$ 1,998,000.00	
31-Equipment	\$ 2,074,000.00	
Subtotal Tier 1	\$ 7,196,000.00	
<b>Tier 2: Zero-based budgeting applied to Flat FY'13 Budget</b>		
11-Personnel Compensation	\$ -	
21-Travel	\$ (41,000.00)	
22-Transportation of Things	\$ -	Logistics and Support has decreased \$198,000 to reach its ZBB funding level. Standard core furniture stock and furniture replacement will be managed to meet this reduction. While this reduction is expected to be manageable, there may be some availability delays.
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ 59,000.00	
26-Supplies and Materials	\$ (318,000.00)	
31-Equipment	\$ 102,000.00	
Subtotal Tiers 1&2	\$ 6,998,000.00	
<b>Tier 3: Optimal funding above Tiers 1 &amp; 2</b>		
11-Personnel Compensation	\$ -	
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ -	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tiers 1,2,&3	\$ 6,998,000.00	

Addendum of Office of Inspector General  
FY13 Zero-based Budget

## **Explanation of Programs And Highlights of Variances**

### **OFFICE MISSION**

The Office of Inspector General (OIG) was established by the U.S. House of Representatives in the 103rd Congress, pursuant to the House Administrative Reform Resolution of 1992 (HR 423, 102nd Congress) to conduct periodic audits of the financial and administrative functions of the House and of joint entities. As a result of changing needs in the House, Rule 2 was expanded in the 111th Congress to specifically state that the OIG will provide advisory and investigative services to the House and joint entities in a manner consistent with government-wide standards (Section 6).

### **ORGANIZATION - Functional Components**

The OIG provides support to House governance activities by performing audits, advisory, and investigative services subject to the policy direction and oversight of the Committee on House Administration. The OIG staff consists of twenty-four experienced and dedicated professionals who have extensive public and private sector work experience. The staff is divided among executive management, the Performance and Financial Audits and Investigations, Information Systems Audits, Management Advisory Services, and Support Services divisions.

### **RECURRING PROGRAM – Audit, Advisory, and Investigative Services (AAIS)**

The Office of Inspector General provides objective, value-added recommendations to House Leadership, the Committee on House Administration the House Officers, and joint entities in the areas of financial management, administrative operations, workplace issues (i.e. health, safety, and security) and the security, control, and integrity of information system networks, the operations of application systems, and management of the data they contain.

The OIG executes these activities through deliberate and defined processes using highly skilled professional staff. All audit, advisory, investigative, and quality assurance staff hold advanced degrees or one or more professional certifications. Based upon specific job requirements, the OIG may augment its staff with specialized technical consultants or subject matter experts.

The OIG prepares an Annual Work Plan which is reviewed and approved by the Committee on House Administration. This plan consists of requested projects from the House Officers and the Committee on House Administration. The OIG also assesses areas of potential risk to the House and recommends additional audits and advisories. The scope, depth, and number of total audits and advisories vary from year to year because of changes in the House operations, emerging trends, and the continual reassessment of risk.

Because investigations are ad hoc in nature and are done on an "as needed" basis, the number, scope, and level of effort of investigative projects varies significantly and is impossible to predict.

Addendum of Office of Inspector General  
FY13 Zero-based Budget

FY13 Zero Based Budget – AAIS Program

Previously, personnel salaries were not allocated specifically to any of our three programs in the budgeting process. The OIG is taking the opportunity presented by Zero-based Budgeting to align personnel salaries with the associated program within the OIG, as well as reflect all relevant budgeted items by BOC in the associated program and right-sized budgeted items.

The AAIS Program personnel budget includes the salaries of 18 FTEs in our Audits and Advisory Divisions, as well 3 FTEs for the two Deputy IGs, and the Inspector General.

Aside from personnel, the OIG AAIS Program includes the purchase of audit-specific supplies or equipment (e.g. computer hardware, software, and forensics tools for audits and investigations). The external Financial Statement Audit and contracted subject matter experts are also included in this Program. Any travel expenses related to audit, investigative and advisory activities are also covered when they become necessary.

The reduction of \$334,000 in the Other Services budget for the AAIS Program, and reduction by 7 percent of the overall OIG budget, is based on several factors. First, we have invested in our staff in enhancing their technical skills, and can therefore rely less on contractor information technology subject matter experts. Secondly, we plan to restructure the Financial Statement Audit contract so that portions of the control testing can be performed by internal OIG staff. This mandatory audit represents 46 percent of the Other Services budget for FY13. Finally, we are also sensitive to the current economic climate and want to reduce our budget as much as possible without adversely impacting our ability to meet our core mission.

OIG Audit, Advisory, and Investigative Services (AAIS) Program FY13 Budget Request		
Tier 1: Flat FY'13 Budget		
11-Personnel Compensation	\$ -	In previous fiscal years, the Personnel budget was an item budgeted separately from the OIG Programs. Therefore, specific staff positions and salaries were not reflected in any of the three OIG Programs. Instead, the three programs, General Administration (ADM), Audit, Advisory, and Investigative Services (AAIS), and Training (TRN) were only budgeted for non-mandatory items.
21-Travel	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ 1,450,000	For the AAIS Program, the Other Services BOC includes consultant, technical, and non-technical service contracts that support the OIG's primary mission of performing audits, management advisories, and investigations.
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tier 1	\$ 1,450,000	

Addendum of Office of Inspector General  
FY13 Zero-based Budget

Tier 2: Zero-based budgeting applied to Flat FY13 Budget		
		For forecasting and planning the FY13 Budget using Zero-based Budgeting (ZBB) we are showing personnel salaries aligned with the associated programs. The AAIS Program personnel budget includes the salaries of 18 FTEs in our Audits and Advisory Divisions, as well 3 FTEs for the two Deputy IGs, and the Inspector General. Positions are budgeted at their highest approved grade at the step 6 level (e.g. HS-06).
11-Personnel Compensation	\$ 3,007,000	
21-Travel	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
		The reduction in the Other Services budget for the AAIS Program, and reduction by 7 percent of the overall OIG budget is based on several factors. First, we have invested in our staff in enhancing their technical skills, and can therefore rely less on contractor information technology subject matter experts. Secondly, we plan to restructure the Financial Statement Audit contract so that portions of the control testing can be performed by internal OIG staff. This mandatory audit represents 46 percent of the Other Services budget for FY13. Finally, we are also sensitive to the current economic climate and want to reduce our budget as much as possible without adversely impacting our ability to meet our core mission.
25-Other Services	\$ (334,000)	
		Supplies, publications, and subscriptions to online resources that are specifically used for audits, advisories, and investigations are being budgeted in the AAIS Program. This is a move between BOCs to accurately reflect program costs, and does not represent an increase in the budget.
26-Supplies and Materials	\$ 7,000	
		Forensic tools and software used specifically for audits, advisories, and investigations are being budgeted to the AAIS Program. This is a move between BOCs to accurately reflect program costs, and does not represent an increase in the budget.
31-Equipment	\$ 17,000	
	\$ 4,110,000	TOTAL AAIS Program Budget for FY13

#### RECURRING PROGRAM – Training (TRN)

Rule 2 states that the Office of Inspector General will conduct its audit, investigative, and advisory work in a manner consistent with government-wide auditing standards. Government Auditing Standards (GAS) are published by the Comptroller General and have been adopted by the OIG and all Federal Inspectors General. To comply with these professional standards, all auditors, and specialists supporting auditors, are required to have 80 hours of training every two years. To meet these training requirements and to ensure we develop overall staff expertise to meet our important mission, the OIG relies upon various government training programs and private training providers (e.g. technical training institutions and national and local chapters of professional associations) for training. In addition, the OIG has also become a National Association of State Boards of Accountancy (NASBA) certified training provider so that some training can be developed and delivered internally.

## Addendum of Office of Inspector General

## FY13 Zero-based Budget

The majority of this training is done locally but in some instances, travel and travel expenses are covered under the OIG Training Program. Purchases of computer hardware, software, accessories or publications associated with OIG training are also covered under this training Program.

FY13 Zero Based Budget – TRN Program

The reduction in funding for travel under the TRN Program more accurately reflects historic expenditures which have been used as a factor to forecast travel budget needs.

**OIG Training (TRN) Program FY13 Budget Request**

<b>Description</b>	<b>Appropriations</b>	<b>Narrative</b>
<b>Tier 1: Flat FY'13 Budget</b>		
11-Personnel Compensation	\$ -	
21-Travel	\$ 12,000	Travel and travel expenses are covered under the OIG training program when it is necessary to receive timely or specialized training not offered in the local commuting area.
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ 50,000	
26-Supplies and Materials		To meet the Government Auditing Standards requirements in respect to training, the OIG uses various government training programs and private training providers, such as public accounting firms and technical training institutions.
31-Equipment		
Subtotal Tier 1	\$ 62,000	
<b>Tier 2: Zero-based budgeting applied to Flat FY'13 Budget</b>		
11-Personnel Compensation		
21-Travel	\$ (4,000)	The reduction in funding more accurately reflects historic expenditures which has been used as a factor to forecast travel budget needs.
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ -	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	

Addendum of Office of Inspector General  
FY13 Zero-based Budget

**RECURRING PROGRAM – General Administration (ADM)**

The Office of Inspector General's administrative program supports overall administrative management to ensure the necessary resources and services available to effectively and efficiently perform and oversee audits, advisory services, reviews, and investigations. This program includes staff performing Human Resources, Contracting, IT Support, Budget, and Quality Assurance activities for the OIG. Support for this program includes purchase of office supplies, equipment (including maintenance agreements), office furnishings, computer software, hardware and/or licensing agreements, trade journal subscriptions and relevant publications, communications equipment and service subscriptions and transportation or shipment of these items.

FY13 Zero Based Budget – ADM Program

Previously, personnel salaries were not allocated specifically to any of our three programs in the budgeting process. The OIG is taking the opportunity presented by Zero-based Budgeting to align personnel salaries with the associated program within the OIG, as well as reflect all relevant budgeted items by BOC in the associated program and right-sized budgeted items. The ADM Program personnel budget includes the salaries of 3 FTEs in our Support Services Division.

OIG General Administration (ADM) Program FY13 Budget Request		
Tier 1: Flat FY13 Budget		
11-Personnel Compensation	\$ -	In previous fiscal years, the Personnel budget was an item budgeted separately from the OIG Programs. Therefore, specific staff positions and salaries were not reflected in any of the three OIG Programs. Instead, the three programs, General Administration (ADM), Audit, Advisory, and Investigative Services (AAS), and Training (TRN) were only budgeted for non-mandatory items.
21-Travel	\$ -	
23-Rent, Communications, Utilities	\$ 19,000	Funds office phones and cell phones and service plans as part of the OIG's BCDR Plan.
24-Printing	\$ 3,000	Includes printing through House Graphics and private vendors of booklets, guides, handbooks, training materials, etc.
25-Other Services	\$ -	
26-Supplies and Materials	\$ 45,000	Traditionally the entire amount had been allocated to the ADM program. For FY13 this item is being allocated to the associated programs.
31-Equipment	\$ 45,000	Traditionally the entire amount had been allocated to the ADM program. For FY13 this item is being allocated to the associated programs.
<b>Subtotal Tier 1</b>	<b>\$ 112,000</b>	

Addendum of Office of Inspector General  
 FY13 Zero-based Budget

Tier 2: OIG ADM Program Zero-based budgeting applied to Flat FY13 Budget		
11-Personnel Compensation	\$ 364,000	For forecasting and planning the FY13 Budget using Zero-based Budgeting (ZBB) we are showing personnel salaries aligned with the appropriate programs. The ADM Program includes the salaries of 3 FTEs in the Support Services Division. Positions are budgeted at their highest approved grade at the step 6 level (e.g. HS-9/6).
21-Travel	\$ -	
23-Rent, Communications, Utilities	\$ 16,000	The OIG's RCU budget class has been historically under-budgeted. The ZBB exercise provided the opportunity to right-size this budget item. The additional \$16,000 budgeted, for a total of \$35,000 represents the actual cost of office phone service, as well as cell phones and data service plans for all OIG staff.
24-Printing	\$ (2,000)	We are reducing the budgeted amount for printing to more closely reflect historical expenditures.
25-Other Services	\$ 36,000	On the internal OIG budget sheets we have historically classified the LMIT Desktop Solutions (equipment maintenance plan) under the 3100 BOC. Under the ZBB we are rectifying this, and properly budgeting this expense to the 2500 BOC. This represents a move between BOCs and does not create an increase in the budget.
26-Supplies and Materials	\$ (23,000)	The reduction in BOC 2600 reflects forecasts of office supply purchases for FY13, and takes into account that software programs, subscriptions, or online resources which specifically support audits, advisories, and investigations are being budgeted in the AAIS Program budget.
31-Equipment	\$ (16,000)	This reduction represents properly aligning only equipment purchases, warranties, software licenses, etc. that are applicable to the ADM Program, as well as budgeting for replacement of 1/3 of our information systems equipment (laptops, servers); other licenses and specialized equipment is attributed to the AAIS Program.



Appendix to the Narrative of Schedule C  
Office of Congressional Ethics Zero-Based Budgeting for FY13 Submission

Descriptions	Amount	Narrative
<b>FY13 Budget Request Table</b>		
<b>Tier 1: Flat FY13 Budget</b>		
<b>Appropriations</b>		
11-Personnel Compensation	\$ 1,041,000	This is the estimated personnel compensation for FY12.
21-Travel	\$ 85,000	Object classes 2100 through 3100 depict the Office of Congressional Ethics (OCE) planned execution using FY12 House
23-Rent, Communications, Utilities	\$ 500	Passed obligation authority as the basis for OCE's projected expenditures and
22-Transportation of Things	\$ 23,000	threshold for necessary investigations and
24-Printing	\$ 3,500	travel related to the mission of the Office of Congressional Ethics.
25-Other Services	\$ 331,000	
26-Supplies and Materials	\$ 30,000	
31-Equipment	\$ 34,000	
<b>Subtotal Tier 1</b>	<b>\$ 1,548,000</b>	
<b>Tier 2: Zero-based budgeting applied to Flat FY13 Budget</b>		
11-Personnel Compensation	\$ 23,943	
21-Travel		
22-Transportation of Things		
23-Rent, Communications, Utilities		
24-Printing		
25-Other Services	\$ (23,943)	In the spirit of Zero-based Budgeting principles, OCE researched its prior year expenditures and discovered non-recurring costs that will result in FY13 due to the mandated blackout period (October) in election years. This savings offset the required personnel compensation increase to retain seasoned staff thus avoiding attrition.
26-Supplies and Materials		
31-Equipment		
<b>Subtotal Tiers 1&amp;2</b>	<b>\$ 1,548,000</b>	

### Legislative History

- The Office of Congressional Ethics was established by the U.S. House of Representatives under the authority granted by H. Res. 895, of the 110th Congress section 316(R). The Office has jurisdiction to investigate allegations that a Member, officer or employee of the House (on or after March 11, 2008) has violated a law, rule, regulation, or other standard of conduct in effect at the time the conduct occurred and applicable to the subject in the performance of his or her duties or the discharge of his or her responsibilities.

The Office of Congressional Ethics is an independent, non-partisan entity charged with reviewing allegations of misconduct against Members, officers and staff of the House of Representatives and when appropriate, referring matters to the committee on Standards of Official Conduct (commonly referred to as the Ethics Committee).

The Board will authorize a preliminary review of an allegation when it determines there is a reasonable basis to believe an allegation based on all information known to the Board. Two Board members (one appointed by the Speaker, one by the Minority leader) may submit written request to initiate a preliminary review if there is reasonable cause to believe allegations of wrongdoing. Upon initiation, OCE must inform subject of the review and the subject has 14 days to respond. The Board and staff will conduct a preliminary review for 14 days. With the authorization of the Chair and Co-Chair, staff will conduct an initial investigation. Staff must complete all preliminary reviews within 30 calendar days, and if needed, a second phase review within 45 calendar days after the Board commences a second phase review.

The Board and staff of the Office of Congressional Ethics (OCE) will endeavor to uphold the highest ethics standards and will discharge all official duties in a non-partisan manner. The Board and staff will maintain objectivity in the review of all allegations against any Member, officer or staff person and will act in a manner that is faithful to the letter and spirit of the Transparency and Confidentiality provisions of the Code of Ethics. The Board and staff will serve as good stewards of public funds and House resources and will remain free of conflicts of interest.

The committee's 2 reports and 1 letter were ordered from 2011 through 2013. We have been told that we will not need to purchase new equipment before 2014. Additionally, the OCE orders supplies that would be staffed through 2014 and into 2015.

### Strategic Plan

### Office Functional Components

### Brief synopsis

## SENATE

ROBERT P. CASEY, JR., PENNSYLVANIA  
 CHAIRMAN  
 JEFF BINGAMAN, NEW MEXICO  
 AMY KLOBUCHAR, MINNESOTA  
 JIM WEBB, VIRGINIA  
 MARY R. WANNER, VIRGINIA  
 BERNARD SANDERS, VERMONT

JIM DEMINT, SOUTH CAROLINA  
 DAN COATS, INDIANA  
 MIKE LEE, UTAH  
 PAT TOOMEY, PENNSYLVANIA

WILLIAM E. HANSEN  
 EXECUTIVE DIRECTOR

## HOUSE OF REPRESENTATIVES

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 VICE CHAIRMAN  
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MAURICE D. HINCHAY, NEW YORK  
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 LORETTA SANCHEZ, CALIFORNIA  
 ELLIOTT CUMMINGS, MARYLAND

## Congress of the United States

## JOINT ECONOMIC COMMITTEE

(CREATED PURSUANT TO SEC. 304 OF PUBLIC LAW 304, 79TH CONGRESS)

Washington, DC 20510-6602

January 26, 2012

The Honorable Ander Crenshaw  
 Chairman  
 Committee on Appropriations  
 Subcommittee on Legislative Branch  
 HT-2 The Capitol  
 Washington, DC 20515

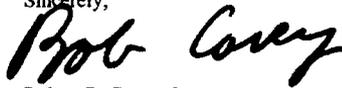
Dear Mr. Chairman:

I am pleased to submit to the Subcommittee on Legislative Branch the budget request of the Joint Economic Committee for Fiscal Year 2013.

The Joint Economic Committee will be chaired by a Member of the House of Representatives in the 113<sup>th</sup> Congress. I am forwarding a Fiscal Year 2013 budget request of \$4,219,000.

Thank you for your consideration.

Sincerely,



Robert P. Casey, Jr.  
 Chairman  
 Joint Economic Committee

Schedule A  
Fiscal Year 2013

Joint Economic Committee  
Summary by Organization and By Object Class

Categories	FY2011 Actual		FY2012 Estimate		FY2013 Estimate		Net Change 2012/2013	
	Staff	Dollars	Staff	Dollars	Staff	Dollars	Staff	Dollars
<b>1. Breakdown by Organization</b>								
Joint Economic Committee	48	\$ 3,696,403	48	\$ 4,203,000	48	\$ 4,219,000	--	\$ 16,000
<b>2. Breakdown by Object Class</b>								
Personnel Compensation	48	\$ 3,416,282	48	\$ 4,003,000	48	\$ 4,019,000	--	
Communications & Miscellaneous		\$ 29,159		\$ 36,000		\$ 36,000		
Other Services (Printing, Advisory and Supplies and Materials)		\$ 250,962		\$ 164,000		\$ 164,000		
<b>Total</b>	<b>48</b>	<b>\$ 3,696,403</b>	<b>48</b>	<b>\$ 4,203,000</b>	<b>48</b>	<b>\$ 4,219,000</b>	<b>--</b>	<b>\$ 16,000</b>

**Schedule B  
Fiscal Year 2013**

**Joint Economic Committee  
Analysis of Change to Budget Base by Organization and Object Class**

Categories	Mandatory Pay		Price Level Changes		Workload		Total Changes	
	Staff	Dollars	Staff	Dollars	Staff	Dollars	Staff	Dollars
<b>1. Breakdown by Organization</b>								
Joint Economic Committee		48 \$ 16,000						
<b>2. Breakdown by Object Class</b>								
Annualization of COLA (FY12)								
Budget Year COLA Est. (FY13)		\$ 16,000						
Budget Year COLA Locality Est. (FY13)								
<b>Total</b>		48 \$ 16,000						\$ 16,000

Schedule C  
Fiscal Year 2013

Joint Economic Committee  
Detailed Analysis of Change by Organization

	Calculation of Base	
	Staff	Amount
<b>Appropriation, FY2012</b>	<b>48</b>	<b>\$ 4,203,000</b>
	<b>FY2013</b>	<b>Budget Request</b>
	<b>Staff</b>	<b>Amount</b>
<b>I Adjustments to Base</b>		
A. Mandatory Pay		
1. Annualization of COLA (FY12)		\$ -
2. Budget Year COLA Est. (FY13)		\$ 16,000
3. Budget Year COLA Locality Est. (FY13)		\$ -
B. Price Level Changes		
C. Program Type Changes		
<b>II Net Increase</b>		<b>\$ 16,000</b>
<b>III Total FY2013 Budget Request</b>	<b>48</b>	<b>\$ 4,219,000</b>

**Schedule D  
Fiscal Year 2013**

**Joint Economic Committee  
Summary of Committee Request  
FY2013 Budget Request**

	<b>Calculation of Base</b>	
	<b>Staff</b>	<b>Amount</b>
<b>Appropriation, FY2012</b>	<b>48</b>	<b>\$ 4,203,000</b>
	<b>FY2013</b>	<b>Budget Request</b>
	<b>Staff</b>	<b>Amount</b>
<b>I Proposed Changes for FY2013</b>		
<b>A. Mandatory Pay</b>		
1. Annualization of COLA (FY12)		\$ -
2. Budget Year COLA Est. (FY13)		\$ 16,000
3. Budget Year COLA Locality Est. (FY13)		\$ -
<b>B. Price Level Changes</b>		
<b>C. Program Type Changes</b>		
<b>II Net Increase</b>		<b>\$ 16,000</b>
<b>III Total FY2013 Budget Request</b>	<b>48</b>	<b>\$ 4,219,000</b>

### Joint Economic Committee

	2011 actual	2012 estimate	2013 estimate
<b>Appropriation or estimate</b>	\$ 4,490,002	\$ 4,203,000	\$ 4,219,000
<b>Personnel compensation:</b>			
Payroll	\$ 3,416,282	\$ 4,003,000	\$ 4,019,000
Sub-total compensation	\$ 3,416,282	\$ 4,003,000	\$ 4,019,000
<b>Nonpersonnel expenses:</b>			
Metro Subsidy	\$ 17,009	\$ 20,000	\$ 20,000
Travel and Transportation of Persons	2,164	5,000	5,000
Communications, Utilities & Misc. Charges	29,159	36,000	36,000
Printing and Reproduction	5,213	8,000	8,000
Advisory & Assistance & Other Services	7,318	13,000	13,000
Equipment/software	2,135	10,000	10,000
Supplies & Materials	217,122	108,000	108,000
Sub-total nonpersonnel expenses	\$ 280,121	\$200,000	\$200,000
<b>Total</b>	\$ 3,696,403	\$ 4,203,000	\$4,219,000
<b>Personnel Summary</b>			
	2011 actual	2012 estimate	2013 estimate
<b>Number of Positions</b>	48	48	48

### Joint Economic Committee

Robert P. Casey, Jr., Pennsylvania, *Chairman*  
 Kevin Brady, Texas, *Vice Chairman*

#### Senate

Jeff Bingaman, New Mexico  
 Amy Klobuchar, Minnesota  
 Jim Webb, Virginia  
 Mark R. Warner, Virginia  
 Bernard Sanders, Vermont

Jim DeMint, South Carolina  
 Dan Coats, Indiana  
 Mike Lee, Utah  
 Pat Toomey, Pennsylvania

#### House of Representatives

Michael C. Burgess, M.D., Texas  
 John Campbell, California  
 Sean P. Duffy, Wisconsin  
 Justin Amash, Michigan  
 Mick Mulvaney, South Carolina

Maurice D. Hinchey, New York  
 Carolyn B. Maloney, New York  
 Loretta Sanchez, California  
 Elijah E. Cummings, Maryland

**United States Capitol Police**



**FY 2013 Budget Request  
January 25, 2012**

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## **I. Executive Summary**

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### **A. OVERVIEW**

With the continued understanding and appreciation for the fiscal constraints facing the Federal government, the Department's FY 2013 budget request represents the necessary funding requirements needed to meet the Department's core mission. This request includes limited salaries increases to support mandatory salaries requirements, and necessary sworn and civilian staffing levels, as well as minimal increases of our general expenses (GE). There are also four "new initiatives" in FY 2013 that focus on Capitol security based on existing requirements designed to mitigate or address existing risks and threats.

An emphasis has been made in this budget request to ensure the proper level of training for the Department's staff in FY 2013. Over the previous fiscal years, the Department has greatly reduced its training activities in order to meet other fiscal requirements within available appropriations to only those that are critical and mandatory as required by law, rule, or regulation; or necessary to meet core mission activities. In this request, we are requesting overtime funding that specifically relates to the training needs of sworn staff to give them the time needed to be offline and receive necessary training. In addition, training costs are being requested for what the Department has deemed as mandatory or mission essential training. This includes resources to develop a qualified pool of eligible succession sworn and civilian candidates. With this emphasis, the Department will be well suited to address leadership needs into the future.

### **B. ZERO BASED BUDGET APPROACH**

In 2007, the USCP developed and implemented a standardized management process referred to as the Force Development Business Process, which was used in formulating the FY2013 Budget Request. The Force Development Business Process implements consistent management and planning processes akin to zero-based budget development. It incorporates the principles of threat-based planning into our Concept of Operations (ConOps), investment decisions and resource requests. The cardinal rules of this standardized approach are the concepts of consistent planning and budget formulation, execution and performance evaluation.

In developing the FY 2013 budget, all major organizational elements of the Department were required to develop current, program-specific operational and administrative mission capabilities in light of existing, emerging, and potential threats and risks to the USCP mission: the security of the legislative process and the Congressional community. In the course of analyzing existing capabilities against threats and risks, requirements for new or enhanced programs were identified; in addition, selected existing programs were evaluated to determine continued need, effectiveness, funding levels, etc. Where possible, the Department has applied cost-savings from these evaluations and reallocated resources to identified requirements rather than requesting additional resources.

Using data and information gathered and assessed as part of the Force Development Business Process coupled with known and potential continued fiscal restraints, the Department's FY 2013 resource requirements were developed based on these essential needs and are funded through two appropriations: Salaries (which funds both sworn and civilian personnel) and General Expenses. Each of the functional components within both of these appropriations is closely inter-connected in support of the overall mission.

The sworn components of salary are generally organized in to components (Bureaus) most suited to carry out the functions in such a way as to match the expertise of staff with the requirements while retaining the flexibility to re-deploy resources as the requirements change. Functional components serve a variety of needs such as law enforcement, dignitary protection, threat analysis, vulnerabilities review, etc. Staffing for these functional components is based on evolving security requirements resulting from threats and risks, and does change from year to year. Such changes on demands on any one functional component are met through realignment of resources with other components that have comparable capabilities.

The Department also utilizes overtime to offset operational requirements that exceed available sworn staffing. While the Department could reduce the amount of overtime needed by requesting additional staff, there are other cost factors, such as the dual payment of overtime to existing officers and salary to new officers as they are trained, additional general expense costs to equip and outfit the additional officers, and the actual physical capacity of the Department's facilities, that preclude us from doing so in this fiscal environment. The Department has utilized a "zero based" approach in its projection of the overtime requirements since the FY 2009 budget submission. This includes the Department submitting separate budget line items to identify and apply cost to requirements that are outside its normal base operation requirements; such as conventions, inaugurations and new initiatives. Like sworn staffing allocations, overtime requirements throughout the year may have to be adjusted, based on continuous risk and threat assessments, unscheduled events and attrition and hiring of backfill USCP Officers. The Department also conducts continuous monitoring of its overtime execution against projections and adjusts the distribution of resources and scalable response levels to meet these changes. This continuous analysis allows the Department to re-validate mission requirements, look for efficiencies and ensure assets are deployed effectively. Utilization of this process allows the Department to maintain a continuous level of security and protection of Congress.

The civilian functional component is notably comprised of mission support (information technology, human resources, financial management, facilities and asset management, policy, etc.), but also includes certain operational activities that can be staffed by civilians (hazardous materials technicians, physical and technological security, intelligence analysis, emergency management, etc.). Vacancies in the civilian ranks are reviewed biweekly to prioritize the positions that need to be filled from any one of the operational or mission support functions that are vacant. Through this process, the Department continually monitors and justifies the needs of every civilian position as it becomes available.

The General Expense request is also formulated using a zero-based like approach. Each year, the bureaus and offices re-evaluate their budget request against fixed mission requirements and draw up requirements for the budget year starting from a zero-base evaluation of mission requirements and projecting for those requirements. These requirements go through multiple layers of scrutiny from within the Department, including a Training Review Board, an Investment Review Board

(consisting of bureau commanders, office directors and other key high level staff that focus on the needs of the Department at a "corporate" level) and the Executive Team (the Chief, the Assistant Chief and the Chief Administrative Officer) before finalization and presentation to the Capitol Police Board in its oversight role.

In FY 2012, the Department will operate at a sworn staffing level of 1,775 and a civilian staffing level of 370, rather than our authorized strengths of 1,800 and 443 respectively. Under this budget request, the Department is respectfully requesting funding to maintain the operating sworn and civilian staffing levels cited above, as well as funding to support eight new sworn positions for a new Threat Assessment initiative, nine new sworn positions for the Federal Office Building 8 (FOB 8), (details for both provided in the new initiatives section, which begins on page 33) and two new civilian positions for the USCP Office of the Inspector General (OIG) (details provided behind the OIG Tab).

For the FY 2013 Budget, the Department, for a second year, has determined that a "total salary" approach will provide the greatest risk mitigation from identified inherent budget formulation risks.

Under a "total salary" approach, the Department is requesting a full year of funding for each encumbered onboard position without offset for potential attrition and resulting backfill; funding for the eight new sworn for the new Threat Assessment initiative and the nine new sworn for the FOB 8 are based on Federal Law Enforcement Training Center (FLETC) class schedule; and a full year of funding is requested for the two new OIG positions.

Under this approach, funding for sworn and civilian attrition would not offset. Further, funding for sworn official promotions, as well as sworn and civilian backfill, would not be included as a supplemental request, as they are already within the base.

This approach, while mitigating unanticipated potential budgetary shortfalls from unknown factors, such as attrition variables and unanticipated overtime, requires the Department to carefully manage the sworn official promotions and the sworn and civilian backfill, in order to avoid resulting salary lag. However, because this approach will provide a certain level of salary lag, the Department plans to utilize this lag to fund its annual workers' compensation liability, rather than requesting funding for this purpose.

Further, this budget submission contains a request for \$36.5<sup>1</sup> Million in overtime funding necessary to meet core mission requirements not covered by onboard sworn personnel availability, to meet unanticipated requirements, and to support security requirements for the Presidential Inauguration. In addition, \$1.5 Million is requested for the overtime needed to take staff offline for additional training requirements and \$0.4 Million is being requested for the overtime needed for the FOB 8 staffing. Therefore, the total request for overtime is \$38.4 Million.

### **C. REQUEST**

Based on our annual threat and risk analysis and Environmental Assessment conducted as a part of our Force Development budget formulation process, this request includes new initiatives that

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<sup>1</sup> This Overtime funding amount does not include benefits.

are the products of the ever-evolving safety and security concerns for the Capitol. It also includes annual general expense increases to meet the escalating operational demands on USCP, which cannot be addressed by internal offsets resulting from reviews and evaluations of existing programs and projects, as well as funding to support ongoing operations of the new radio system, which will go on-line in FY 2013, and critical lifecycle replacement activities across the Department, some of which have been deferred in previous fiscal years.

In support of the priorities of the Department, this budget request focuses upon USCP's capabilities to:

- **Assess the Threat:** Provide a comprehensive internal assessment capability to identify and validate threats to Members of Congress; the legislative process; and the buildings, staff, and visitors that make up the Capitol Community.
- **Prevent criminal or terrorist activity** from disrupting the legislative process and normal business operations.
- **Respond promptly** and with the right resources to threats, disruptions, or other unlawful activities in order to quickly and safely return Congress to normal operations.
- **Support the Mission:** Improve the efficiency and effectiveness of internal business processes and procedures in support of delivering mission responsibilities at the highest possible level.

Detailed discussions on the below three sections are provided in the section "Budget Details" (see page 16).

**Personnel Costs:** The Personnel Costs section provides details of the personnel salaries, benefits, and overtime requirements to support a personnel strength of 1,775 sworn and 370 civilians, as well as eight new sworn positions for Threat Assessment initiative, nine new sworn FOB 8 security of occupied space, and two additional civilian positions for the OIG. Additional overtime is also being requested to take sworn personnel offline for them to achieve greater proficiency via training opportunities.

	FY 2012 Authorized Strength (#'s)	Increase (Decrease)	FY 2013 Authority Request
Sworn	1,800	0	1,800
Sworn – Threat Assessment	0	8	8
Sworn – FOB 8	0	9	9
<b>Subtotal Sworn</b>	<b>1,800</b>	<b>17</b>	<b>1,817</b>
Civilian	439	0	439
OIG	4	2	6
<b>Subtotal Civilian</b>	<b>443</b>	<b>2</b>	<b>445</b>
<b>Total</b>	<b>2,243</b>	<b>19</b>	<b>2,262</b>

**General Expenses:** The Department's General Expenses represent all non-personnel expenses - travel, training, supplies, uniforms, weapons and ammunitions, and mission critical programs. This submission provides details on the budget request for each of the Programs and restores critical lifecycle replacement activities that were deferred in prior years to address salaries

shortfall impacts. Additional details within the Programs are provided in the Budget Details section FY 2013 Differences from FY2012 chart on pages 24-32.

**New Initiatives:** New Initiatives are characterized as projects identified through a threat and risk analysis and environmental assessment with special focus on overall Capitol Security or Member Security of new mission requirements, which will take a year or multiple years to implement. For FY 2013, USCP is requesting funding for four new initiatives for a total of \$1.57 Million of salary funds and \$4.95 Million of General Expense funds.

### Overall Budget Request

The budget request for FY 2013 includes \$373,769,000 and 2,164 (1,792 sworn and 372 civilian) budgetary funded positions. It reflects an increase of \$33,632,000 and seventeen new sworn positions to staff the operational requirements associated with the threat assessment and the FOB 8 initiatives, as well as two new civilian positions for the USCP Office of Inspector General.

This request includes funding for:

- \$303.132 Million for salaries and benefits for 2,164 positions
- \$70.637 Million for General Expenses
- Of the \$70.637 Million General Expense request, \$4.95 Million is for various new initiatives supporting Capitol Security and new mission requirements.

**FY 2013 Budget Request - Summary Chart**  
Dollars in Millions

Funding Levels	FY 2011	FY 2012	FY 2013	Increase over FY	
	Actual	Enacted	Request	2012 Enacted	%
Salaries and benefits	273.023	277.133	303.132	25.999	9.38%
General Expenses	63.998	63.004	70.637	7.633	12.12%
<b>Total</b>	<b>337.021</b>	<b>340.137</b>	<b>373.769</b>	<b>33.632</b>	<b>9.89%</b>

Staffing Levels (#s)	FY 2011	FY 2012	FY 2013	Increase over FY	
	Actual	Enacted	Request	2012 Enacted	%
Sworn	1775	1775	1792	17	0.96%
Civilian	376	366	366	0	0.00%
OIG Civilian Staff	4	4	6	2	50.00%
<b>Total</b>	<b>2155</b>	<b>2145</b>	<b>2164</b>	<b>19</b>	<b>0.89%</b>

## Authorized Staffing (#'s)

	FY 2011	FY 2012	FY 2013	Increase over FY	
	Actual	Enacted	Request	2012 Enacted	%
Sworn	1800	1800	1817	17	0.94%
Civilian	439	439	439	0	0.00%
OIG Civilian Staff	4	4	6	2	50.00%
<b>Total</b>	<b>2243</b>	<b>2243</b>	<b>2262</b>	<b>19</b>	<b>0.85%</b>

## FY 2013 Requested New Sworn Positions (funding request based on class schedule):

- Eight sworn officers for Threat Assessment initiative
- Nine sworn officers for FOB 8 Security

## FY 2013 Requested New Civilian Positions (full year funding):

- OIG - Auditor - Financial Management / Internal Controls
- OIG - Criminal Investigator

Overtime

## Dollars in Millions/ Hours

	FY 2012 Enacted	FY 2013 Requested	FY 2011 Actual Hours	FY 2013 Requested Hours
Base mission requirements, plus Inauguration planning, Inaugural events, FOB 8, 48,000 hours training (32 hours for 1,500 officers), additional specialized training, and LOC Non-Reimbursable Events.	\$35.11	\$38.38	507,101	668,989

General Expenses

The FY 2013 request is \$64.935 Million Regular GE, \$0.756 Million for Inaugural Support, and \$4.946 Million for New Initiatives.

We are also providing for consideration four new initiatives resulting from our review of threats and risks with the potential to impact our ability to complete our mission. Only those considered to be the most critical are presented for your consideration, as we realize the fiscal constraints on the Legislative Branch.

**New Initiatives:**

1. Threat Assessment
2. FOB 8 Security Design
3. Garage Security Phase 1A
4. Alternate Computer Facility Security Upgrade

## II. Strategic and Human Capital Planning

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### MISSION

*To protect the Congress, its legislative processes, Members, employees, visitors, and facilities from crime, disruption, or terrorism.*

*We protect and secure Congress so it can fulfill its constitutional responsibilities in a safe and open environment.*

### A. STRATEGIC GOALS AND OBJECTIVES

Every year since building our Strategic Plan in 2004, the USCP has taken steps to integrate our strategic, human capital and budget planning into a cohesive process as a part of our Force Development Business Process. The ultimate goal of these efforts is to link our approaches to efficiently use our resources and produce desired results. As a part of this process, the Department is continuing its effort to fully implement the remaining elements of this integration – performance measurement and evaluation. Key components to this cohesive process center on the Department's strategic goals.

In FY 2012, the Department will update and enhance its Strategic Plan in order to continue its focus on efficient and effective execution of its mission.

#### Assess the Threat

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

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

- A.1. Inter-Agency Collaboration:** To collaborate with other federal agencies and local law enforcement to increase the collection and sharing of intelligence information.
- A.2. Intelligence Collection & Analysis:** To maximize the collection and use of intelligence and counter-surveillance information for identifying threats. This includes process improvement internally and externally both for counter-surveillance and the dissemination of threat warnings.

**Prevent**

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

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

- P.3. Congressional Community Protection:** To prevent criminal, terrorist and other disruptive activities from reaching the Capitol Buildings and Grounds and protect the people, legislative processes, and the facilities from criminal and other disruptive activities within the Capitol Complex.
- P.4. Event Management:** To enable individuals to safely participate in major events and demonstrations while not disrupting legislative operations.
- P.5. Member Protection:** To protect Members of Congress and visiting officials against criminal and terrorist activities.

**Respond**

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

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

- R.6. Law Enforcement:** To patrol areas of statutory responsibility and diligently investigate and prosecute persons who commit criminal acts.
- R.7. Incident Management & Communication:** To coordinate decisively and efficiently all activities and communications in response to a critical incident.
- R.8. Specialized Response Capabilities:** To enhance our specialized response capabilities to ensure readiness to all types of incidents.
- R.9. Continuity of Operations:** To ensure Continuity of Operations (COOP) for USCP while supporting the Congressional community in the execution of their COOP plans and, when necessary, assist in the implementation of Legislative Branch Continuity of Government (COG) plans.

**Support the Mission**

Improve the efficiency and effectiveness of internal business processes and procedures in support of delivering mission responsibilities at the highest possible level with the proper controls.

Mission support provides the infrastructure to ensure the USCP is able to achieve its three mission-focused goals. This infrastructure is integrated within the USCP, but independent from other legislative organizations. The primary areas of USCP's mission support are focused on people, technology, facilities management, financial management, logistics management, vehicles and continuous improvement.

- S.10. Human Capital:** To create and sustain a vigorous and motivated diverse workforce that is highly trained and armed with the necessary knowledge, skills and abilities to achieve the mission.
- S.11. Technology:** To provide responsive, high quality, cost-effective information technology services and solutions in a timely manner.
- S.12. Facilities Management:** To provide USCP employees with facilities that will enhance productivity and effectiveness while helping the Department to meet its mission.
- S.13. Financial Management:** To provide timely, reliable, and responsive financial management services, and ensure accountability for assets and resources.
- S.14. Logistics Management:** To make resources available to those who need it, when they need it by improving the ordering, procurement, distribution, and tracking of USCP resources.
- S.15. Legal Counsel:** To ensure legal counsel for overall organizational legal compliance.
- S.16. Continuous Improvement:** To create a best practices organization that through an environment of continuous incremental improvement encourages innovation and creativity while balancing practical considerations.

## **B. STRATEGIC HUMAN CAPITAL PLAN**

In FY 2009, the Department undertook its first structured strategic human capital planning process necessary to define the key workforce planning components needed to facilitate the success and performance of operational and administrative programs and processes. The current plan is under review and will be enhanced to ensure our planning efforts are current and meaningful. This effort is a necessary part of the Department's standard and repeatable business processes, so that we may possess the skills, competencies and tools needed to establish premier standards, best practices, and inspired leadership up and down the chain-of-command.

Combined with the Strategic Plan and Concept of Operations, the *Strategic Human Capital Plan* ensures that the Department has the right people, in the right places, at the right time. It also helps us to better execute our daily duties while keeping us connected to long-term strategic goals and objectives with a greater emphasis on workforce inclusion and succession planning.

This *Plan* has five major categories of Human Capital goals. Within each of these five overarching goals are subordinate goals and actionable Strategic Human Capital objectives and metrics, with an implementation plan summary that ties all of the elements together. While the Department has made significant strides to achieve these goals, much work remains to make the Department's Human Capital processes best practices.

**1) Strategic Alignment**

- USCP's Human Capital strategy is aligned with mission, goals, and organizational objectives and integrated into its strategic plans, performance plans, and budgets.

**2) Leadership and Knowledge Management**

- USCP's leaders and managers effectively manage people, ensure continuity of leadership, and sustain a learning environment that drives continuous improvement in performance.

**3) Results Oriented Performance Culture**

- USCP has a diverse, results-oriented, high-performing workforce, and has a performance management system that effectively differentiates between high and low performance and links individual / team / unit performance to organizational goals and desired results.

**4) Talent Management**

- USCP has closed most mission-oriented skills, knowledge, and competency gaps/deficiencies.

**5) Accountability**

- USCP's Human Capital decisions are guided by a data-driven results-oriented planning and accountability system.

Since its initial implementation, the Department has utilized this *Plan* as guidance in developing and formulating our annual fiscal budget, especially in areas such as sworn and civilian accession management, sworn recruitment and training planning and civilian position and workload management. The plan is currently under review and enhancement in order to provide up-to-date and relevant information against which the Department can make key leadership decisions related to the workforce.

### III. Budget Request Summary

FY 2013 Capitol Police Budget Request in Millions	
Personnel Costs	303.132
General Expenses	70.637
<b>Budget Request</b>	<b>\$ 373.769</b>

The United States Capitol Police FY 2013 budget estimate is \$373.769 Million which includes personnel costs of \$303.132 Million and General Expenses of \$70.637 Million. Compared to the FY 2012 Enacted of \$340.137 Million, there is an overall increase of \$33.632 Million (9.89%). This includes an increase of \$25.999 Million (9.38%) for personnel costs and \$7.633 Million (12.12%) for General Expenses.

#### Request Compared to Prior Years Dollars in Millions

Appropriation	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	Change 2012 vs. 2013	% Change
Personnel	273.023	277.133	303.132	25.999	9.38%
General Expenses	63.998	63.004	70.637	7.633	12.12%

#### Personnel Costs

The Personnel Costs portion of the request \$303.132 Million supports 1,775 of the current authorized position level of 1,800 sworn and 370 of the 443 authorized civilian positions, as well as a request for seventeen new sworn positions for the new Threat Assessment and FOB 8 initiatives. The request also includes two new civilian positions for the USCP Office of Inspector General. With the new officers, the FY 2013 funded sworn staffing level would be 1,792, while the funded civilian staffing level would be 372 for a total funded Department position level of 2,164. Salaries and benefits to support these positions include, but are not limited to, overtime, mandatory cost increases for health benefit and retirement costs, promotions, and with-in-grade increases.

#### General Expenses

The General Expense request of \$70.637 Million will support core mission requirements associated with law enforcement, physical security for the Capitol Complex, dignitary protection, intelligence analysis, event management, hazardous material/devices and other specialized responses, as well as administrative and technical support. In addition, the fiscal year request includes requirements for security at the 2013 Presidential Inauguration.

FY 2012 Enacted  
 FY 2013 Request  
**Increase**

63.004 Million  
70.637 Million  
**\$7.633 Million**

The FY 2013 budget of \$70.637 Million supports USCP general expenses for:

- Security Services for physical security operations, technical countermeasures, construction security and access control for the Capitol Complex: \$20.5 Million;
- Information Technology to support security and administrative system operations: \$19.7 Million;
- Protective Services for dignitary protection, intelligence operations, threat assessments, criminal investigations and convention support: \$9.9 Million;
- Logistical Operations that include property and asset management, vehicle maintenance, facilities, and occupational safety program: \$7.1 Million;
- Training Services which provides for recruit and in-service training, management development and maintenance activities at Cheltenham, MD: \$4.1 Million;
- Human Resources management, which provides for human capital management, time and attendance reporting and payroll: \$3.5 Million;
- Financial Management to ensure the stewardship of resources through accounting, budgeting, and procurement activities as well as departmental fuel costs, copier maintenance, and tort claim payments: \$2.5 Million;
- Operational Services, which provides for K-9, hazardous devices operations, offsite delivery, CERT, HMRT, and patrol operations: \$1.6 Million; and
- Other support components include the General and Employment Counsels, Mission Assurance, Uniformed Services, the Inspector General, Offices of the Chief of Police, Chief of Operations, Chief Administrative Officer, and Office of Policy and Management Systems: \$1.7 Million.

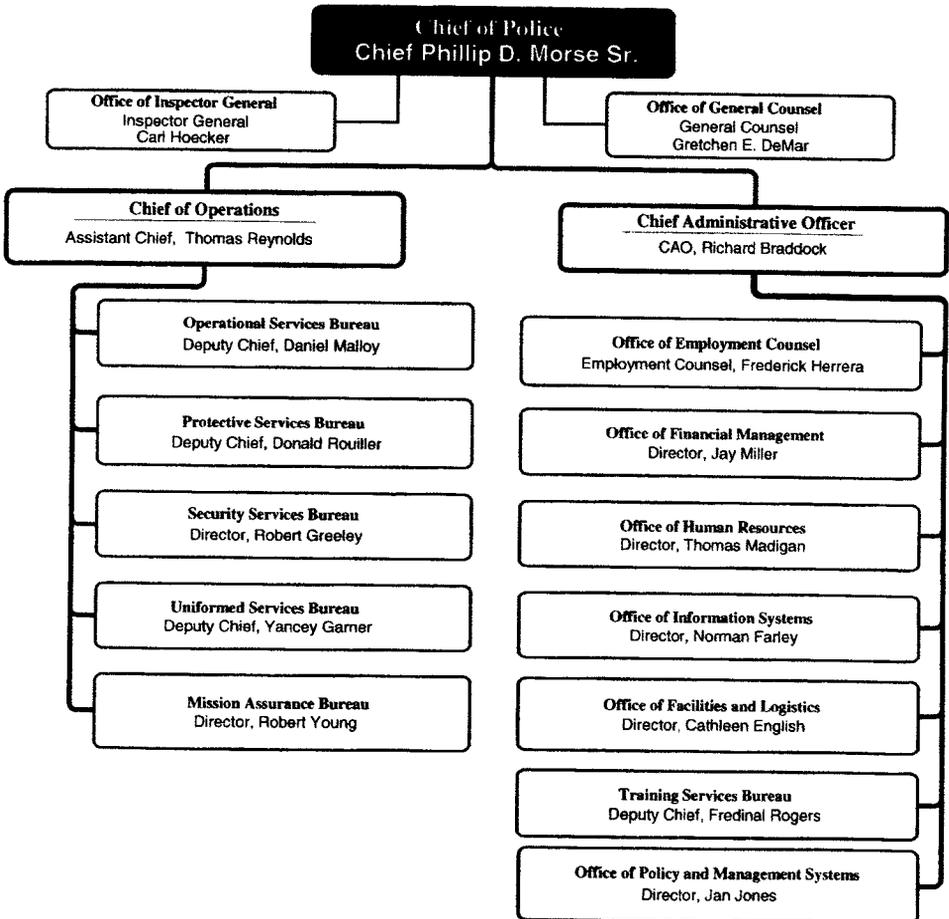
## IV. Organization Charts

This section provides three organizational views of the Capitol Police:

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

### A. CAPITOL POLICE MAJOR ORGANIZATION LEVELS

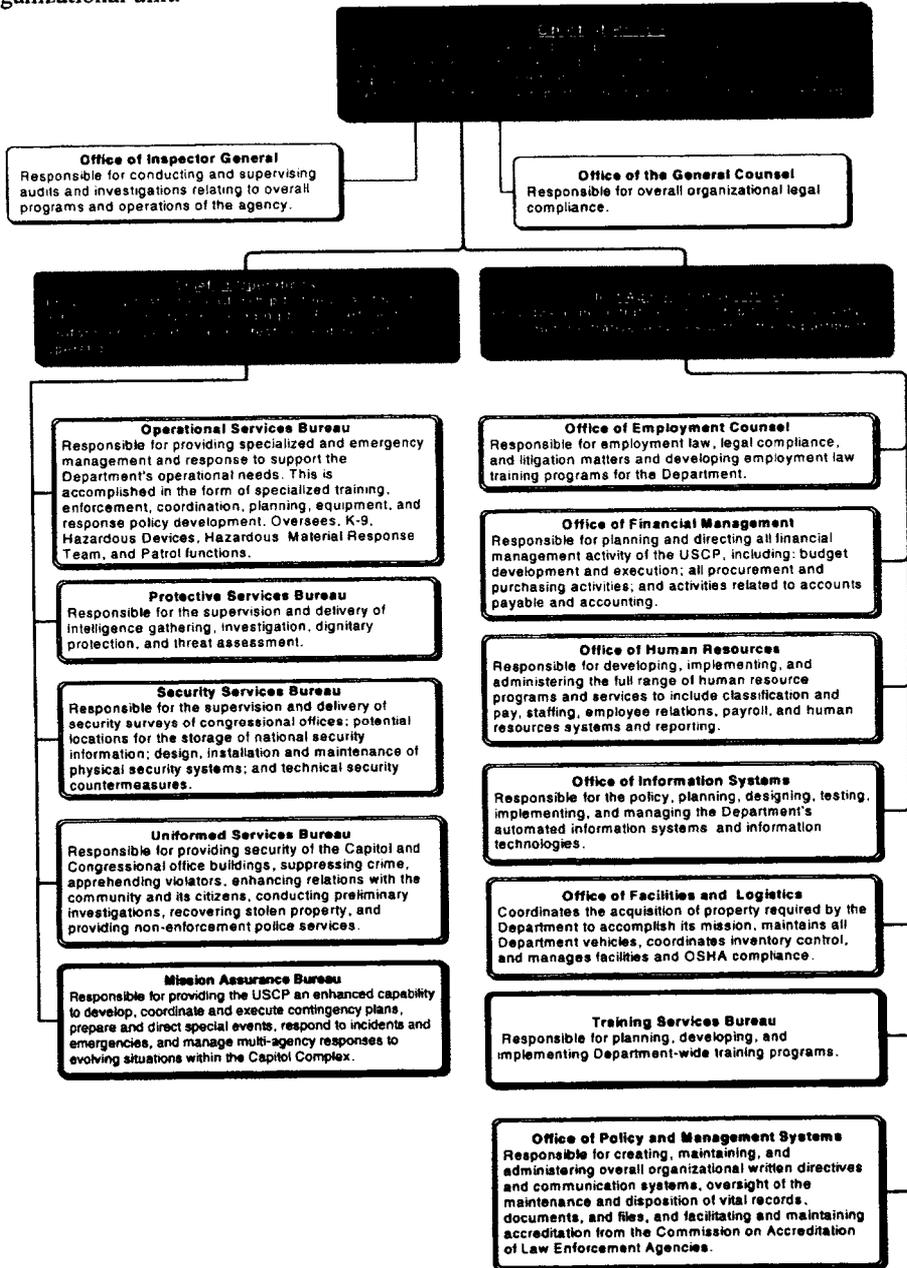
This chart illustrates the three major organizational levels: the Chief of Police, and the Operational and Administrative lines of operation. Each organizational element includes the name of the bureau commander or office director and the position title.



Note: The OIG is independent and reports to the Capitol Police Board.

## B. CAPITOL POLICE FUNCTIONAL ORGANIZATION CHART

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



### C. CAPITOL POLICE POSITIONS BY RANK AND GRADE

This chart is an analysis of the FY 2013 personnel request for positions, by rank and grade based on authorizations. Sworn and civilian employees are compensated under two separate pay tables: the civilian pay table (CP) is a graded system from levels 1 to 15; while, the sworn pay table is rank ordered from Private through Deputy Chief. Office of Inspector General staff is listed as appointed, and their compensation rates are determined by the Inspector General. The Chief of Police, Assistant Chief, Chief Administrative Officer, General Counsel and Inspector General are statutory/appointed employees and compensation is directed by statute/equivalent.

GRADE	Appointed FY13	Sworn FY13	Civilian FY13	Total USCP FY13
Chief	1			1
Assistant Chief	1			1
Deputy Chief		5		5
Inspector		10		10
Captain		18		18
Lieutenant		52		52
Sergeant/Special Technician		183		183
Officer/Equivalent		1547		1547
CAO, OGC, CP-14/15	2		11	13
CP-13			27	27
CP-11 to 12			75	75
CP-4 to 10			272	272
CP-3			52	52
OIG	6			6
<b>TOTAL</b>	<b>10</b>	<b>1815</b>	<b>437</b>	<b>2262</b>

\* Appointed includes the Chief, the Assistant Chief, the Chief Administrative Officer, General Counsel and six OIG positions (four current and two requested positions).

## V. Budget Details

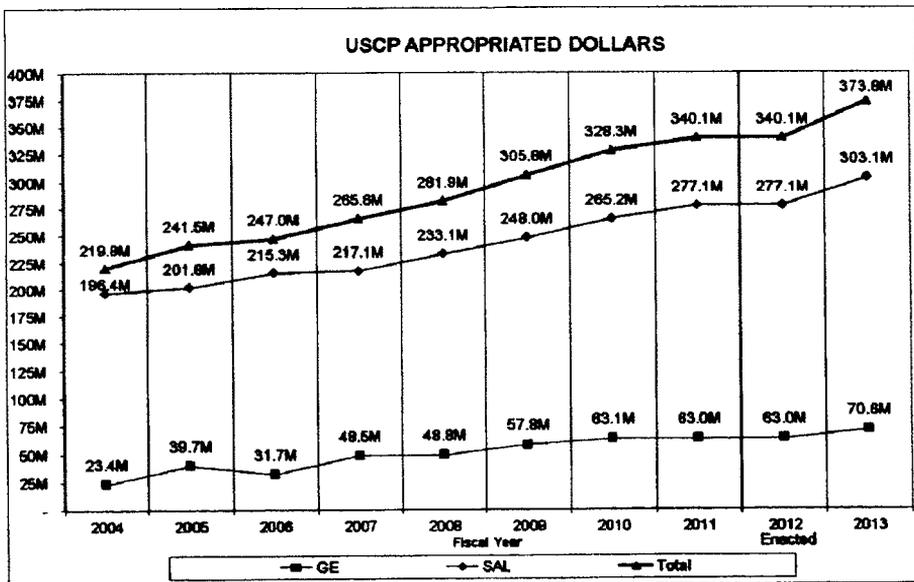
The USCP receives two annual appropriations: Salaries and General Expenses, for personnel and non-personnel expenses, respectively. The changes requested for the operations in FY 2013 are discussed in the relevant sections to follow.

**Personnel Costs:** The Personnel Costs section provides details of the cost of personnel salaries, benefits, overtime requirements, new positions requested, and to provide the proper level of training for the Department's staff in FY 2013.

**General Expenses:** The General Expenses section details expenses such as security equipment, uniforms, weapons, motor vehicles, communications and other equipment, supplies, materials, training, medical services, forensic services, professional services, the employee assistance program, the awards program, postage, communication services, travel and the relocation of instructor and liaison personnel for Federal Law Enforcement Training Center.

**New Initiatives:** Resources for four new initiatives are requested. The majority of the proposed initiatives are in support of Capitol Complex safety and security concerns. Other initiatives included will assist the Department to meet some of the challenges it faces in its day-to-day functions to provide support for security measures

The chart below demonstrates both the appropriated and requested levels of USCP for ten years for both Salaries and General Expenses. For FY 2013, the amounts reflect the total, as well as Salaries (SAL) and General Expenses (GE).



In the past decade, the USCP mission has changed due to the fact that the threat to which we have been expected to respond has changed in its nature, method, and intensity, thereby requiring a different approach in addressing threats. Additionally, the Department has assumed security operations for the Capitol Visitor Center and the Library of Congress. In response to this, USCP continues to evolve our operations, intelligence and investigative capabilities to ensure proper coordination with our counterterrorism partners, ensure adequate staffing directly proportional to the increasing demands, and introduce technology to mitigate threats and risks. Undertaking the upgrades to x-ray machines, barriers, radios, video monitoring, law enforcement fleet, Command Center and information technology equipment, to name a few, the USCP has, with the support of Congress and the Capitol Police Board, improved its operations to meet these new challenges. In addition, threat levels necessitated us to deploy additional officers to secure posts and mitigate threats and risks facing the Capitol Complex. Thus, the increased demands to ensure an acceptable level of security necessitated a growth rate consistent and proportionate with the mission requirements and threats. The chart below depicts the budget according to identified programs (highlighted in gray) and program components (above programs).

### FY13 Budget Request

Program	Dollars in 000's				
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	Change	% Change
Personnel Compensation	207,711	213,054	231,796	18,742	9%
Benefits	65,150	63,979	71,136	7,157	11%
Benefits to former personnel	163	100	200	100	100%
<b>United States Capitol Police Salaries</b>	<b>273,023</b>	<b>277,133</b>	<b>303,132</b>	<b>25,999</b>	<b>9%</b>
<b>Chief Administrative Officer</b>					
CAO Administration	1	12	4	-7	(64%)
<b>Chief of Operations</b>					
COO Administration-Command Ops		1	2	1	100%
Inauguration	1		210	210	-
<b>Chief of Police</b>					
COP Administration	9	16	19	3	17%
<b>Mission Assurance Bureau</b>					
MAB Administration	7	9	64	56	852%
MAB Operations	68	71	150	79	111%
<b>Office of Employment Counsel</b>					
OEC Administration	124	112	139	28	25%
<b>Office of Facilities &amp; Logistics</b>					
Administration - OFL	398	460	814	354	77%
Administration - VMD	23	35	36	2	5%
PMD Administration	14	9	34	25	278%
PMD Logistics Support	1,423	713	2,124	1,411	198%
VMD Fleet Management	2,516	2,573	3,740	1,167	45%
FMD Administration	358	275	337	62	23%
<b>Office of Financial Management</b>					
OFM Administration	35	34	83	49	142%
OFM Agency Services	835	1,169	1,076	-93	(8%)
OFM Financial Management & Accountability	2,222	959	1,376	417	43%

Program	FY 2011 Actual	FY 2012 Enacted*	FY 2013 Request	Change	Change
Office of General Counsel					
OGC Administration	93	111	131	20	18%
Office of Human Resources					
OHR Administration	1	1	5	4	409%
OHR Operations	357	462	379	-83	(18%)
OHR Recruiting and Staffing	2,673	2,603	3,155	551	21%
Office of Information Systems					
OIS Administration	704	118	801	683	578%
OIS Enterprise Applications (PROGRAMS & P	3,165	2,319	2,535	216	9%
OIS Information Security	760	381	497	116	30%
OIS Network Communications	13,431	9,090	12,109	3,019	33%
OIS Operations	3,598	2,720	3,760	1,040	38%
Office of Inspector General					
OIG Administration	731	738	762	24	3%
Office of Policy & Management Systems					
Administration OPOL	11	11	28	16	147%
Office of Professional Responsibility					
OPR Administration	27	41	56	15	38%
Operational Services Bureau					
OSB Administration	1	1	1	-	-
OSB Hazardous Incident Response	566	501	1,016	516	103%
OSB Patrol Mobile Response	215	249	576	327	132%
Protective Services Bureau					
PSB Administration	21	124	31	-93	(75%)
PSB Protective Detail Travel	7,454	7,266	8,275	1,009	14%
PSB Protective Services	524	4,205	1,572	-2,633	(63%)
Security Services Bureau					
SSB Access Control	3,304	3,236	3,375	139	4%
SSB Administration	111	148	214	66	45%
SSB Detection and Screening Systems	4,825	2,533	2,780	248	10%
SSB Inauguration			440	440	-
SSB Security Systems Maintenance	6,039	5,715	7,063	1,348	24%
SSB Special Projects	170	500	2,552	2,052	410%
SSB Technical Countermeasures	3,851	3,467	4,033	566	16%
Training Services Bureau					
TSB Administration	69	65	79	13	20%
TSB Training Services	3,204	2,894	4,036	1,142	39%
Uniformed Services Bureau					
USB Administration	59	59	168	109	183%
Z Salaries Offset					
Salaries Offset		7,000		-7,000	(100%)
United States Capitol Police General Expenses	63,998	63,004	70,637	7,633	12%
<b>GRAND TOTAL</b>	<b>337,021</b>	<b>340,137</b>	<b>373,769</b>	<b>33,632</b>	<b>10%</b>

Note: Totals may contain rounding variances

Note: Large percentages increases on individual lines result from the restoration of general expenses that were used in prior years to accommodate the Department's salary adjustments.

\*This reflects the Department's Operating Plan for FY 2012.

**A. PERSONNEL COSTS**

The Personnel costs portion of the request of \$303.132 Million supports 1775 of the authorized positions levels of 1,800 sworn and 370 civilians of the authorized positions levels of 443. It also includes the cost of additional request of 17 sworn for new initiatives and two civilians for the Office of the Inspector General. If the request for funding for new positions is granted, Capitol Police will operate at a staffing level of 1,792 for sworn and 372 for civilians for a total of 2,164. Salaries and benefits to support these positions include mandatory cost increases for civilian promotions, within-grade increases, health benefits and retirement costs. Included, but not limited to, in this request are the costs of all differentials, lump sum leave payments, overtime, hazardous duty pay, holiday pay, career ladder promotions, unemployment insurance, limited liability insurance, Specialty and Special Assignment Pay,

**FY 2013 Authorized Personnel**

	FY 2012 Enacted	Increase/Decrease	FY 2013 Request
Sworn	1,800	17	1,817
Civilian	439	0	439
OIG	4	2	6

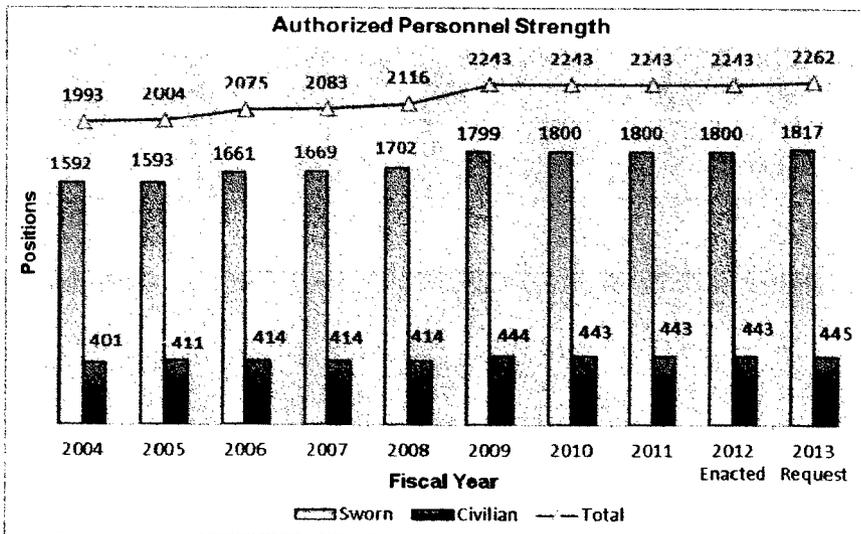
and Metro Transit Subsidy. In line with the Legislative Branch Financial Management Council's guidance, a 1.7% cost-of-living adjustment is included for all salary and overtime computations for calendar year 2013. Schedule B and the Analysis of

**Personnel Request  
Dollars in Thousands**

FY 2012 Enacted	FY 2013 Request	Difference	%
\$277.133	\$303.132	\$25.999	9.38%

Change Explanation in the Budget Schedules Section provide a detailed analysis of the personnel changes of \$25.999 Million (see pages 39-40). An analysis of Positions by Rank and Grade was provided in Section IV Organization Charts (see page 15). The chart below demonstrates the personnel strength for sworn and civilian categories for ten years.

Change Explanation in the Budget Schedules Section provide a detailed analysis of the personnel changes of \$25.999 Million (see pages 39-40). An analysis of Positions by Rank and Grade was provided in Section IV Organization Charts (see page 15). The chart below demonstrates the personnel strength for sworn and civilian categories for ten years.



Note: In 2009, the Department merged with the LOC police.

**1. New position request: Sworn – 17 positions:****a. Threat Assessment – 8 Sworn Officer position**

To identify warning behaviors associated with targeted violence directed at Congressional Leadership and USCP interests with existing credible threats.

The positions requested will be committed to receiving and investigate/assess internet (web based i.e., social networks) threats. This initiative will aid in the interagency collaboration, Intelligence collection and analysis, Congressional community protection, Member protection, and Law Enforcement. A more detailed explanation is provided in the New Initiatives section on page 33.

**b. FOB 8 - 9 Sworn Officer positions.**

An occupancy agreement for four floors of FOB 8, a General Services Administration (GSA) building, to expand Congressional office space has been signed by the Architect of the Capitol (AOC).

The Congress will occupy floors 3-6 upon completion of the renovation. In order to provide requisite law enforcement and security services on the Congressionally occupied space, nine full time sworn officers are required. The total cost for nine new recruits starting in pay period 23 is \$467,672 (excluding benefits) at the starting grade levels of Privates. Since there is a lag time in getting the officers trained and ready by the occupancy date, the salary funding is required in the beginning of FY 2013. A more detailed explanation is provided in the New Initiatives section on page 33.

**2. New Position request: Civilian – 2 positions**

BUREAU	POSITION TITLE	GRADE	FY 2013 Salary	# of Positions
OIG				
	Auditor (Fin. Mgt./Internal Controls)	CP-14	171,012	1
	Criminal Investigator	CP-14	171,012	1
OIG Total			342,024	2

\* Salary amount assumes step 6 and 1.7 percent cola.

**Office of the Inspector General (OIG):**

- A *Financial Management and Internal Control Auditor* is necessary to oversee the audit of the Department's financial statements, work jointly with Government Accountability Office (GAO) to follow up on prior and current findings and recommendations, and assist in making USCP internal controls organizationally mature.
- A *Criminal Investigator* is required to effectively manage the Hotline intake system, which includes proper evaluation of complaints, making referrals to management for appropriate action, initiating investigations, and tracking final dispositions.

**3. Overtime**

This budget submission contains a request for \$36.501 Million in overtime funding necessary to meet core mission requirements not covered by onboard sworn personnel availability, to meet

unanticipated requirements, and support security requirements for events associated with the Presidential Inauguration. In addition, \$1.530 Million is requested to support Civil Disturbance Unit (CDU), Field Training Officer (FTO) and other critical training requirements that cannot be accomplished through on-line training, roll call, and in-service training; and, therefore, requires sworn officers be backfilled to accomplish training. These funds are intended to begin to return the Department to its normal training cycles. Further, \$0.350 Million is requested for new initiatives (security related to FOB 8). Therefore the total request is \$38.382 Million.

### USCP Projected Overtime FY 2013

Average OT rates: (Does NOT include benefits)		
CY 12 = \$56.15 utilized for 1 <sup>st</sup> quarter FY13 , CY 13 = \$57.75 utilized for First 19 Pay Periods in CY 13		
Totals provided below do not include benefits.		
<b>FY 13 - Projection</b>	<b>Financial Estimates</b>	<b>Hours Estimates</b>
Base *	\$32,146,945	560,559
Unscheduled **	\$1,147,000	20,000
Training ***	\$1,376,400	24,000
<b>Subtotal</b>	<b>\$34,670,345</b>	<b>604,559</b>
<b>Additional Operational Requirements</b>		
Pre-Inaugural/Inaugural Support	\$1,617,000	28,000
LOC Non-Reimbursable Events ****	\$213,675	3,700
<b>Subtotal</b>	<b>\$1,830,675</b>	<b>31,700</b>
* Base Hours include: Core Mission, K-9 premium, Scheduled Special Events, DPD In/DPD Out of Session, Extended Sessions, and Promotion Backfill. LOC reimbursable not included in base.		
** Based on 5 year historical trend data, USCP projects the use of 5,000 hours per quarter to cover unscheduled protests, Demonstrations with civil disobedience, and unscheduled Congressional events such as special Joint Sessions, Gold Medal Ceremonies, and State/Congressional Funerals.		
*** USCP has added additional hours to support training requirements that cannot be accomplished through on-line training roll call in-service training and requires sworn officers be backfilled to accomplish training. (Active Shooter, Use of Force and Handgun/Rifle/Shotgun Qualification) (Provides average 16 hours for 1,500 officers)		
**** <u>Non-reimbursable events</u> - Request represents an estimate for LOC events scheduled throughout the year that require OT to support. These events are not included in the LOC core mission requirements and are therefore not reimbursable. USCP Tracks these events separately though Time and Attendance System.		
Projections based on FY12 Attrition 68 sworn and 73 new officers with a sworn staffing target at 1,775 and FY13 Attrition of 86 sworn and 84 new officers with a sworn staffing target of 1,775; provided by OHR.		

Additional Training Requirements		
CDU Refresher (24 hours for 80 Officers) *	\$110,880	1,920
Critical sworn training (16 hours per officer, 1,500 officers, to bring officers to an average of 32 hours annually) **	\$1,376,400	24,000
FTO Training (24 hours for 31 Officers) ***	\$42,966	744
<p>* Requesting the overtime needed to take officers offline for Civil Disturbance Unit (CDU) refresher training. This training will ensure that the CDU program is operating and meeting its mission to protect the Congressional Community and general public from criminal activity, civil disobedience, or disruptive activity.</p> <p>** Requesting the overtime needed to take officers offline to ensure that they remain proficient and certified in mandatory and mission critical training. The Department's In Service Training Program is a critical component to effectively maintaining a proactive, cutting edge law enforcement agency.</p> <p>*** Requesting the overtime needed to take officers offline for FTO training. A recertification course for all Field Training Officers is needed to ensure that they have been provided with the latest information to enhance their skills and abilities in training officers. Recruits who recently graduated from the police academy and returning officers for duty from an extended absence for training reasons as directed by competent authority are trained by the FTO program.</p>		

New Initiatives - Projections	Financial Estimates	Hours Estimates
FOB 8*	\$350,312	6,066
* Based on approval of 9 officer increase to authorized strength.		

Total Projected FY 2013 Overtime Requirement	Financial Estimates	Hours Estimates

Note: In accordance with Public Law 112-74, effective for fiscal year 2013, the Architect of the Capitol "shall transfer amounts made available for construction projects during a fiscal year to the applicable appropriations accounts of the United States Capitol Police in order to reimburse the Capitol Police for overtime costs incurred in connection with such projects." Therefore no costs for the Architect of the Capitol's construction projects have been included in the Department's request.

**B. GENERAL EXPENSES**

(Dollars in Millions)

FY 2012 Enacted	FY 2013 Request	Difference	%
63.004	70.637	7.63	12.12%

General Expenses of \$70.637 Million are requested to support the Capitol Police responsibilities for law enforcement, Capitol Complex physical security, dignitary protection, intelligence analysis, event management, hazardous material/devices, Radio Modernization, information technology, and other specialized responses, as well as administrative, logistical and administrative support.

This request reflects major increases for the following (for details see FY 2013 Differences from FY 2012 pages 24 - 32)

- \$5,073,000 for Information Systems
- \$4,859,000 for Security Services
- \$3,021,000 for Facilities and Logistics
- \$1,156,000 for Training Services

**Object Class Comparison**

The table below is an object class comparison of the FY 2012 Enacted versus the FY 2013 Request. The largest budget category is services, including outside technical and general support, professional services, maintenance and repair costs for outside contractors, etc.

Object Class	FY 2011 Actual	FY 2012 Enacted*	FY 2013 Request	Change	Change
Equipment	20,243,629	8,461,859	15,539,475	7,077,616	84%
Insurance Claims and Indemnities	22,564	112,500	125,000	12,500	11%
Other Contractual Services	27,508,541	34,728,737	34,155,017	(573,720)	(2%)
Printing & Reproduction	37,979	55,941	410,100	354,159	633%
Rent, Communications, and Utilities	3,003,913	3,676,880	3,892,133	215,253	6%
Supplies & Materials	3,805,185	3,483,672	5,495,738	2,012,066	58%
Travel & Transportation of Persons	9,317,918	12,439,012	10,997,404	(1,441,608)	(12%)
Travel & Transportation of Things	58,218	45,400	21,662	(23,738)	(52%)
<b>Grand Total</b>	<b>\$ 63,997,946</b>	<b>\$ 63,004,000</b>	<b>\$ 70,636,528</b>	<b>\$ 7,632,529</b>	<b>12%</b>

\*This reflects the Department's Operating Plan for FY 2012.

**FY 2013 Differences from FY 2012**

	<b>FY 2011 Actuals</b>	<b>FY 2012 Enacted*</b>	<b>FY 2013 Request</b>	<b>Change</b>	<b>% Change</b>
<b>Chief Administrative Officer</b>					
<i>CAO Administration</i>	608	11,570	4,200	(7,370)	(64%)
Description: This program provides funding for CAO Administrative costs for travel, training, supplies, printing and binding and office equipment required to operate the CAO's office.					
Program Changes Include: Decreases of (\$7,370) related to external training and subscriptions.					

<b>Chief of Operations</b>					
<i>COO Administration-Command Ops</i>	-	1,350	1,500	150	11%
Description: This program provides funding for official travel, training and supplies for COO staff.					
Program Changes Include: There is no major change.					

<b>Chief of Operations</b>					
<i>Inauguration</i>	1,498	-	210,000	210,000	0%
Description: This program provides funding to support for political conventions, as well as to support preparation activities associated with the Presidential Inauguration.					
Program Changes Include: An increase of \$210,000 for supplies, rental of equipment, and non-capitalized furniture, equipment and machinery in support of the inaugural task force.					

<b>Chief of Police</b>					
<i>COP Administration</i>	8,951	16,380	19,166	2,786	17%
Description: Provides funding for the Chief of Police (COP) and his immediate staff for official temporary duty travel, training, and to obtain operational supplies.					
Program Changes Include: An increase of \$2,786 primarily for office supplies, membership fees, and subscriptions.					

<b>Mission Assurance Bureau</b>					
<i>Administration</i>	6,589	8,550	64,295	55,745	652%
Description: This program provides funding for administrative costs such as: supplies, training and travel for the Mission Assurance Bureau. This office includes the Command Center, Emergency Management Division, Special Events, Reports Processing, Court Liaison and the Communications Division.					
Program Changes Include: An increase of \$55,745 related to external training.					

<b>Mission Assurance Bureau</b>					
<i>MAB Operations</i>	67,853	70,830	149,540	78,710	111%
Description: This program provides funding for the Command Center Operations, Command Vehicle Operations and Communications Center Operations.					
Program Changes Include: An increase of \$56,110 for training and travel, and an increase of \$15,500 for hardwiring for Command Vehicle for Inauguration. An increase of \$4,500 for capitalized and non-capitalized furniture and equipment.					

	FY 2011 Actuals	FY 2012 Enacted*	FY 2013 Request	Change	% Change
<b>Office of Employment Counsel</b>					
Description: The Employment Counsel provides legal services for employment related matters to the Chief of Police and Capitol Police Board. This program funds continued response to legal inquiries from all elements of the Department for printing & binding (reproduction services), court reporting, clerical/secretarial assistance, paralegals, document management, publications, supplies, management development, travel, equipment, and training to maintain professional certifications.					
Program Changes Include: An increase of \$27,600 related to supplies and materials, printing and binding of litigation documents, and training and travel.					
<b>Office of Facilities &amp; Logistics</b>					
<i>Administration - OFL</i>	398,407	459,653	813,743	354,091	77%
Description: The Office of Logistics incorporates Property and Asset Management, Vehicle Maintenance, Facilities Management and the immediate office of the Director. This program provides funding for administrative costs such as supplies, training and travel for the immediate office as well as monitoring of OSHA issues and medical monitoring as it relates to OSHA requirements.					
Program Changes Include: An increase of \$121,000 for contractor services for critical clean-up, evidence disposal, first aid supplies, fitness equipment repair and maintenance, contract support for occupational safety and health contractor, fitness center coordinator, and Rayburn firing range care maintenance and cleaning; an increase of \$203,000 for the medical monitoring contract.					
<b>Office of Facilities &amp; Logistics</b>					
<i>Administration - VMD</i>	23,266	34,560	36,200	1,640	5%
Description: The Vehicle Maintenance Division provides critical support and maintenance for the entire USCP fleet of operational and specialty vehicles as well as bicycles and motorcycles. This program supports training for mechanics and other Vehicle Maintenance Division (VMD) staff to keep the USCP fleet at a high level of readiness.					
Program Changes Include: Increases in training travel, membership fees, and uniform cleaning.					
<b>Office of Facilities &amp; Logistics</b>					
<i>FMD Administration</i>	358,047	274,640	336,890	62,250	23%
Description: Facilities management provides administration of space and facility requirements of the Department administrative costs for this Division include official travel, transportation of things, training, subscriptions, safety equipment and supplies. Provides equipment/supplies storage cabinets, high density filing system, lockers, bulletin/white marker boards that are generally located in common areas such as lobbies and hallways, break room furnishings, and other associated office furniture furnishings and equipment for the immediate needs of the Department and unique furniture furnishings and equipment specific to law enforcement.					
Program Changes Include: An increase of \$56,000 to support new facilities requirements for FOB8.					
<b>Office of Facilities &amp; Logistics</b>					
<i>PAMD Administration</i>	13,744	8,987	33,975	24,988	278%
Description: The Property Asset Management Division provides critical logistical support through the issuance of uniforms and equipment to officers and provides central receiving and inventory management service to the Department. This program provides funding for administrative costs such as supplies, training and travel for the Property Asset and Management Division.					
Program Changes Include: An \$8,000 increase for training and a \$16,000 increase for supplies					

	FY 2011 Actuals	FY 2012 Enacted*	FY 2013 Request	Change	% Change
<b>Office of Facilities &amp; Logistics</b>					
<i>PAMD Logistics Support</i>	1,423,178	712,609	2,124,010	1,411,401	198%
Description: This program provides funding for new uniforms and equipment for recruits, the Containment Emergency Response Team (CERT), the Canine unit, as well as other specialty units. The funding also supports uniform and equipment replacement for existing officers, dry cleaning, uniform alterations, and medal and ribbon purchasing.					
Program Changes Include: Increases will fund uniforms for 8 new recruits for the Threat Assessment initiative, and 9 new recruits for the FOB 8 initiative, as well as funding for tactical helmets, fire retardant clothing, and uniform replacement (\$935,000). Funding will also be used to cover Inauguration supplies such as: scanners, metal detectors, hand warmers, and flares (\$46,000) and inventory barcode scanners and systems upgrades (\$210,000).					

	FY 2011 Actuals	FY 2012 Enacted*	FY 2013 Request	Change	% Change
<b>Office of Facilities &amp; Logistics</b>					
<i>VMD Fleet Management</i>	2,516,179	2,573,360	3,740,400	1,167,040	45%
Description: The Vehicle Maintenance Division (VMD) is responsible for providing preventative maintenance, repairs and the procurement of 221 vehicles, 22 specialty vehicles, 48 motorcycles, and 144 pieces of equipment (mountain bikes, trailers, light towers, message centers). This program supports the maintenance activities of the VMD.					
Program Changes Include: Increases for vehicle lease and/or purchase, including out-of-state leases. In accordance with the 5 Year Fleet Plan, the FY 2013 request also includes funding for cyclical replacement of fleet vehicles for 30 electric fleet motorcycles, 2 Heavy Motorcycles, 1 Hazardous Response truck, 1 Medium Duty tow truck, 1 quick response truck, 1-45 passenger motor coach.					

	FY 2011 Actuals	FY 2012 Enacted*	FY 2013 Request	Change	% Change
<b>Office of Financial Management</b>					
<i>OFM Administration</i>	34,592	34,200	82,800	48,600	142%
Description: The Office of Financial Management is responsible for the overall management of all financial activity of the Department. The Office of Financial Management is responsible for planning and directing all financial activity of the USCP including budget development and execution, all procurement and purchasing activities, as well as the activities related to the accounts/payable and accounting. This program provides funds for travel, training, supplies, subscriptions and miscellaneous office equipment required to run the Office of Financial Management.					
Program Changes Include: An increase in temporary duty travel, training travel, and training.					

	FY 2011 Actuals	FY 2012 Enacted*	FY 2013 Request	Change	% Change
<b>Office of Financial Management</b>					
<i>OFM Agency Services</i>	834,510	1,168,650	1,076,000	(92,650)	(8%)
Description: Through the Agency-wide Services account, the Office of Financial Management administers the fleet card program, management of copiers, commercial faxes and multi-functional machines (copy/scan/print/fax), postage and fees, tort claims, and other agency-wide services.					
Program Changes Include: A decrease in contractor support, vehicle fluid supplies, and the contingency used to support Board declared emergencies.					

	FY 2011 Actuals	FY 2012 Enacted*	FY 2013 Request	Change	% Change
<b>Office of Financial Management</b>					
<i>OFM Financial Management &amp; Accountability</i>	2,222,309	959,092	1,376,250	417,158	43%
Description: This program includes funding requests for contractual support, which includes outsourcing contract support and the Cross Servicing Agreement for the Financial Management System.					
Program Changes Include: An increase in financial management contractual support for accounting, budget, and financial systems.					
<b>Office of Financial Management Total</b>	<b>3,000,000</b>	<b>2,000,000</b>	<b>2,000,000</b>	<b>0</b>	<b>0%</b>

	FY 2011 Actuals	FY 2012 Enacted*	FY 2013 Request	Change	% Change
<b>Office of General Counsel</b>					
<i>OGC Administration</i>	92,797	110,700	130,602	19,902	18%
Description: The Office of the General Counsel (OGC) is directly responsible to the Chief of Police and the Capitol Police Board for performing a wide range of legal duties and for overall organizational legal compliance, including advising operational and administrative elements in all legal matters pertaining to the administration and operation of the Department.					
Program Changes Include: An increase of \$20,000 primarily related to contractual support services for ongoing electronic systems (Lexis-Nexis, PACER, etc.), training, and the procurement of additional administrative services.					

	FY 2011 Actuals	FY 2012 Enacted*	FY 2013 Request	Change	% Change
<b>Office of Human Resources</b>					
<i>OHR Administration</i>	941	900	4,580	3,680	409%
Description: The Office of Human Resources provides human resource and payroll services to support the human capital activities of the Department. This program provides funding for training, travel, printing, binding, membership fees, operational supplies, and publications. Additionally, this program includes funding for employee benefit services such as the awards program.					
Program Changes Include: Increase for training and temporary travel training.					

	FY 2011 Actuals	FY 2012 Enacted*	FY 2013 Request	Change	% Change
<b>Office of Human Resources</b>					
<i>OHR Operations</i>	356,998	462,476	379,343	(83,133)	(18%)
Description: This program includes funding requests for contractual support, which includes outsourcing contract support for the time and attendance system and NFC.					
Program Changes Include: A decrease in operations systems contractual services.					

	FY 2011 Actuals	FY 2012 Enacted*	FY 2013 Request	Change	% Change
<b>Office of Human Resources</b>					
<i>OHR Recruiting and Staffing</i>	2,672,760	2,603,455	3,154,653	551,198	21%
Description: This program provides funding for background investigations, polygraph testing, credit checks, medical services and psychological screening. Additionally, the program supports recruiting, travel, advertising, and supplies. This program also supports annual licensing, user fees and new modules for the Human Resources Management System.					
Program Changes Include: An increase to support OHR recruitment systems costs (\$424,000) and applicant testing for the 8 new recruits associated with the Threat Assessment initiative, and the 9 new recruits associated with the FOB8 initiative.					

	FY 2011 Actuals	FY 2012 Enacted*	FY 2013 Request	Change	% Change
<b>Office of Information Systems</b>					
<i>OIS Administration</i>	704,419	118,055	800,900	682,845	578%
Description: This program provides for travel, operational supplies, subscriptions (CD Reference information), training and travel for the information technology (IT) operations of the Department. Training and travel are primarily for IT specialists, specifically in cyber security, program management, web content, database administration, records and document management, internal controls, Micro-Soft systems administration, Network engineering, MS SQL, and CMNI.					
Program Changes Include: An increase in contract support for the Program Management Office to manage large systems implementation in accordance with best practices. Increase primarily due to offsets in baseline.					

	FY 2011 Actuals	FY 2012 Enacted*	FY 2013 Request	Change	% Change
<b>Office of Information Systems</b>					
<i>OIS Enterprise Applications</i>	3,165,105	2,319,250	2,534,750	215,500	9%
Description: This program focuses on "software" support, managing applications through its entire lifecycle. It provides support to enterprise business applications and to law enforcement applications. It manages web applications including PoliceNet (intranet web site) and the USCP Internet web site. It develops IT policies, provides operational and managerial analysis and support; implements IT programs, capital planning and investment control and provides enterprise architecture support.					
Program Changes Include: Increases primarily to support prisoner processing and background check software (\$128,000) and increase for web applications development/programming contractor support (\$55,000).					

	FY 2011 Actuals	FY 2012 Enacted*	FY 2013 Request	Change	% Change
<b>Office of Information Systems</b>					
<i>OIS Information Security</i>	759,798	380,700	496,700	116,000	30%
Description: This program is responsible for IT security and information assurance for the department. It also supports the Privacy Program. It conducts Department wide training for Security Awareness, privacy and rule of behavior.					
Program Changes Include: An increase to fund information security contractual support.					

<b>Office of Information Systems</b>					
<i>OIS Network Communications</i>	13,431,315	9,090,410	12,108,960	3,018,550	33%
Description: The Radio, Network Wireless & Telecom Division provides services for all wireless devices such as Blackberries, Aircards, Cell Phones and PDAs. The Operational and Engineering support for the USCP Radio System are all network infrastructure to include routers, switches, firewalls, fiber optic backbone, Ethernet LAN cabling and all leased line Telco circuits.					
Program Changes Include: An increase of \$1,576,800 for FOB 8 initiative Radio DAS acquire and install and telecommunications equipment, \$1 million for radio equipment warranties, \$521,000 for an off-campus repeater site, \$336,000 for project management, \$184,000 for radio modernization project management support and \$106,000 for leased radio lines.					

<b>Office of Information Systems</b>					
<i>OIS Operations</i>	3,598,000	2,719,500	3,759,500	1,040,000	38%
Description: This program focuses on "hardware support" and front line customer service. Its functions include: Data Center support, server & storage administration, E-mail administration, PC & laptop support and services, IT customer helpdesk and IT customer service building support.					
Program Changes Include: Increase to fund lifecycle replacement for personal computers, laptops, printers, servers and storage area network.					

<b>Office of Inspector General</b>					
<i>OIG Administration</i>	731,076	738,000	762,000	24,000	3%
Description: The Inspector General has the authority and responsibility to supervise and conduct audits, inspections, and investigations involving USCP programs, functions, systems, or operations.					
Program Changes Include: An increase of \$24,000 for contractor support services, training, supplies and printing.					

<b>Office of Policy &amp; Management Systems</b>					
<i>Administration OPOL</i>	11,359	11,205	27,650	16,445	147%
Description: This program provides funding for the Office of Policy and Management Systems to create, maintain, and administer the written directive system, create, maintain, and administer the written communications system, administer the vital records, documents, and files system, and manage, facilitate and maintain accreditation from the Commission on Accreditation of Law Enforcement Agencies, Inc. (CALEA).					
Program Changes Include: An increase of \$16,445 primarily related to external training.					

	FY 2011 Actuals	FY 2012 Enacted*	FY 2013 Request	Change	% Change
<b>Office of Professional Responsibility</b>					
<i>OPR Administration</i>	27,137	40,793	56,153	15,360	38%
Description: The Office of Professional Responsibility is comprised of Internal Affairs Division (IAD) and the Inspection Division (ID). IAD conducts internal administrative investigations of allegations of misconduct made against members of the Department. IAD conducts reviews of Departmental operations, program facilities, personnel, documents, processes and activities for efficiency and effectiveness as well as legal and regulatory compliance. The OPR Administration program provides funding for administrative costs such as: supplies, training and travel.					
Program Changes Include: An increase of \$15,360 is primarily related to training and training travel.					

<b>Operational Services Bureau</b>					
<i>OSB Administration</i>	1,250	1,125	1,250	125	11%
Description: This program provides funding for Operational Services Bureau administrative costs such as official travel for the immediate office, contractor support services, and office supplies. OSB includes the Patrol Mobile Response Division, Hazardous Devices Section, the Hazardous Materials Response Team, K-9 and Offsite Delivery, and the Containment Emergency Response Team (CERT).					
Program Changes Include: There is no major change.					

<b>Operational Services Bureau</b>					
<i>OSB Hazardous Incident Response</i>	565,548	500,544	1,016,396	515,852	103%
Description: This program provides funding for operating supplies, controlled explosives, and required equipment to carry out the mission. The Hazardous incident response program is comprised the Hazardous Devices Section and the Hazardous Materials Response Team. These teams are responsible for prevention and mitigation of explosive devices.					
Program Changes Include: An increase of \$367,000 for training and travel used to attend critical training (i.e. Hazardous Devices recertifications, Advanced Explosive Destruction Techniques, Radiological Emergency Response Operations, etc.); an increase of \$185,000 for capitalized equipment and machinery for the Hazardous Devices and Hazardous Materials projects; an increase of \$10,000 for contractual support services; an increase of \$34,000 for office and miscellaneous supplies; a decrease of \$48,000 in non-capitalized furniture and equipment.					

<b>Operational Services Bureau</b>					
<i>OSB Patrol Mobile Response Division</i>	215,011	248,571	575,557	326,986	132%
Description: Patrol Mobile Response consists of Uniformed Patrol, the Motorcycle Unit, Mountain Bike Unit, CERT Operators, TIGER Team, Crime Scene Technicians, the Crash Investigation Team, the Intoxilyzer Unit, Offsite-Delivery and the K-9 Unit.					
Program Changes Include: An increase of \$67,000 for training and travel for CERT, PMRD, and K9 units; an increase of \$2,000 for veterinary services used to support 50 active teams and 15 retired canines; an increase of \$22,700 for governmental services related to an agreement between the USCP and the DC Office of the Chief Medical Examiner to provide laboratory and toxicological services to the USCP; an increase of \$10,000 for supplies and materials; an increase of \$54,000 for non-capitalized furniture and equipment; an increase of \$8,000 for K-9 supplies and controlled explosives; an increase of \$161,000 for non-capitalized equipment and machinery for the K-9 Unit, Offsite Delivery, Patrol Mobile Response Division and CERT projects.					

<b>Protective Services Bureau</b>					
<i>PSB Administration</i>	21,065	123,678	31,100	(92,578)	(75%)
Description: Protective Services Bureau includes Dignitary Protection, and the Investigations Division, which includes intelligence operations, threat assessments, and criminal investigations. This program provides funding for administrative costs such as supplies and contractual support for the Protective Services Bureau and training and travel for the immediate office.					
Program Changes Include: An increase to adequately fund supplies and materials for the bureau.					

	FY 2011 Actuals	FY 2012 Enacted*	FY 2013 Request	Change	% Change
<b>Protective Services Bureau</b>					
<i>PSB Protective Detail Travel</i>	7,454,480	7,265,837	8,275,000	1,009,163	14%
Description: This program provides funding for Dignitary Protection Division (DPD) travel. The DPD is responsible for protecting Members assigned to Leadership positions in the U.S. House of Representatives and U.S. Senate as well as Members who receive direct threats that have been assessed through PSB and approved by the Capitol Police Board. This program also provides protective escorts within the Capitol Complex for Heads of State, VIP's and other visiting dignitaries.					
Program Changes Include: A \$1 million increase for protective detail travel to meet identified requirements for existing details.					

<b>Protective Services Bureau</b>					
<i>PSB Protective Services</i>	523,785	4,205,269	1,571,978	(2,633,291)	(63%)
Description: Investigations support and Protective Intelligence contracts and operating expenses as well as training and travel for intelligence and investigations agents.					
Program Changes Include: \$3.8 million decrease for the Democratic and Republican National Conventions related lodging, travel, airfare, vehicle rentals, IT equipment and support. Increase of \$1,062,000 to support the Threat Assessment initiative.					

<b>Security Services Bureau</b>					
<i>SSB Access Control</i>	3,303,680	3,236,400	3,375,046	138,646	4%
Description: This program provides funding for numerous critical projects such as the security contract for the Alternate Computer Facility (ACF) which houses the back-up computer network for the U.S. House of Representatives, U.S. Senate, Architect of the Capitol, and the Library of Congress. Other projects include: vehicle barrier support, card access systems, command center operations, fire doors, kiosks, locks and keys, and podiums.					
Program Changes Include: An increase of \$269,000 in contractor support services related to renegotiated contract costs for the repair and maintenance of the 208 barriers across the Capitol Complex, technical support for Card Access, Fire Doors and Podiums; a decrease of (\$254,000) in contractor support services related to renegotiated contract costs for the Alternate Computer Facility. An increase of \$17,000 in system supplies and materials for the purchase of spare parts for all installed barriers, card access readers, and fire doors. An increase of \$55,000 in non-capitalized equipment for the planned life cycle replacement of parts.					

<b>Security Services Bureau</b>					
<i>SSB Administration</i>	110,808	147,960	214,029	66,069	45%
Description: This program provides funding for travel, training, maintenance and repairs of the security systems network, and supplies for each of the Divisions of security services.					
Program Changes Include: Increase primarily for training and travel needed for out of town training, vendor demonstrations and factory acceptance testings.					

<b>Security Services Bureau</b>					
<i>SSB Detection and Screening Systems</i>	4,824,796	2,532,600	2,780,200	247,600	10%
Description: This program provides funding for several projects for detection and screening throughout the Capitol Complex. Projects include Closed Circuit Television (CCTV), digital video recorder, duress, emergency call boxes, explosive detectors, intrusion alarm, metal detectors, pedestrian monitoring, Secure Compartmented Information Facilities (SCIF) alarms, and X-ray.					
Program Changes Include: An increase of \$70,600 for systems supplies and materials; an increase of \$44,800 for non-capitalized equipment and machinery; and, an increase of \$136,700 for capitalized equipment and machinery needed to support critical life-cycle replacement of parts for the VMS, Duress Systems, Emergency Call Boxes, Explosive Detectors, Intrusion Alarms, Metal Detectors, SCIF Alarms, and X-Rays.					

	FY 2011 Actuals	FY 2012 Enacted*	FY 2013 Request	Change	% Change
<b>SECURITY SERVICES BUREAU</b>					
<i>SSB Security Systems Maintenance</i>	6,038,625	5,715,000	7,063,394	1,348,394	24%
Description: This program provides funding for emergency annunciators, the public address system, and the comprehensive maintenance contract to support systems, repair and preventive maintenance of the security systems on the Capitol Complex. Also included are: security installation support, the security network, and specialized security equipment.					
Program Changes Include: An increase of \$1,313,000 for contractor support services related to renegotiated contracts for support staffing; the immediate maintenance response by staff technicians on-site 24-hours-a-day, 7-days-a-week; as well as, preventative maintenance, testing and repair of the integrated security management systems; an increase of \$41,700 for capitalized equipment and machinery for Security Installation Support, and Security Network; a decrease of (\$13,000) for non-capitalized furniture and equipment.					

<b>SECURITY SERVICES BUREAU</b>					
<i>SSB Special Projects</i>	170,469	500,000	2,552,119	2,052,119	410%
Description: This program funds the outcomes of our continued efforts to keep up with the changing security environment and threat level that the Capitol community faces every day. The projects within this program are a result of our collaboration with and support of our stakeholders, and they are designed to ensure that safety concerns are addressed. Multi-year funds are requested for these projects, as, in many cases, their execution is heavily dependent on variables over which the USCP has no direct control.					
Program Changes Include: An increase of \$1,509,000 for capitalized furniture, equipment and machinery for the Alternate Computer Facility (ACF) (\$965,000), Federal Office Building (FOB8) Security (\$100,000), and Garage Security projects (\$944,000). An increase of \$307,390 for the security fit-out of the Radio Modernization equipment rooms and an increase of \$235,000 for the Dome Rehabilitation Security Equipment. A decrease of (\$500,000) for Mirror Communication Center Fit-Out.					

<b>SECURITY SERVICES BUREAU</b>					
<i>SSB Technical Countermeasures</i>	3,851,345	3,466,800	4,033,240	566,440	16%
Description: This program provides funding for projects such as detection maintenance, equipment services and supplies, life cycle replacement and Technical Countermeasure (TCM) specialized security equipment.					
Program Changes Include: An increase of \$402,900 for contractor support services for individual countermeasures projects and to augment full-time equivalents; an increase of \$5,400 for systems supplies and materials; an increase of \$68,800 for non-capitalized equipment and machinery; an increase of \$89,300 for capitalized equipment and machinery for the TCM Equipment, services and supplies, TCM Life-Cycle Replacement, and TCM Specialized Security Equipment projects.					

<b>SECURITY SERVICES BUREAU</b>					
<i>SSB Inauguration</i>	-	-	440,000	440,000	-
Description: This program provides funding to support security requirements for political conventions, as well as to support preparation activities associated with the Presidential Inauguration.					
Program Changes Include: An increase of \$440,000 in contractor support services needed in preparation for the Presidential Inauguration.					

<b>TRAINING SERVICES BUREAU</b>					
<i>TSB Administration</i>	69,231	65,250	78,556	13,306	20%
Description: Training Services provides recruit and in-service training services for the Department. This program includes administrative costs for the Training Services Bureau (TSB) such as official travel, relocation moves for USCP personnel assigned to FLETC Georgia, office supplies as well as firing range simulation.					
Program Changes Include: An increase of \$6,150 for training and travel; an increase of \$45,000 for contractual support services; a decrease of (\$40,000) in travel and transportation of goods; an increase of \$6,800 for supplies and materials.					

	FY 2011 Actuals	FY 2012 Enacted*	FY 2013 Request	Change	% Change
<b>Training Services Bureau</b>					
<i>TSB Training Services</i>	3,204,154	2,893,839	4,036,145	1,142,306	39%
Description: Includes operational costs for recruit and in-service training for USCP sworn staff, costs for ammunition and firing range administration, Cheltenham usage (firing and driving range) and facility costs as well as costs for the Police Executive Leadership Program.					
Program Changes Include: An increase of \$117,000 for training and travel; an increase of \$130,000 for management development; a decrease of (\$270,000) in internal training; a decrease of (\$1,015,000) for contractor support services; an increase of \$426,500 for government support services; a decrease of (\$704,800) for supplies and materials; an increase of \$1,789,600 for controlled explosives and ammunition; and an increase of \$665,000 for weapons lifecycle replacement and replacement of weapon parts for the Firearms Training and Training Programs projects. Also included in these changes are the general expenses associated with the hiring of 9 new recruits for the Federal Office Building (FOB8) and 8 new recruits for the threat assessment business case.					

<b>Uniformed Services Bureau</b>					
<i>USB Administration</i>	58,672	59,472	168,346	108,874	183%
Description: This program provides funding for USB administrative costs, which include travel, training, supplies, and office equipment.					
Program Changes Include: An increase of \$102,000 for training and travel; an increase of \$11,500 for office supplies; and a decrease of (\$4,950) for non-capitalized equipment and machinery for the Bureau administration, and the Library of Congress, Capitol, House, and Senate Divisions.					

<b>Salary Offset</b>					
<i>Salary Offset</i>	-	7,000,000	-	(7,000,000)	(100%)
Description: General Expense funds needed in FY 2012 for transfer for salary cost.					
Program Changes Include: Based on request for full amount of salary needed in FY 2013, a transfer is not needed or projected at this time.					

\*This reflects the Department's Operating Plan for FY 2012.

### C. NEW INITIATIVES

The following new initiatives are derived from our FY 2013 Force Development threat and risk analysis and environmental assessment. The USCP's Force Development process incorporates the principles of threat based planning into our Concept of Operations (ConOps), investment decisions and resource requests. Only the most critical needs among the projects considered remain in this request and all of the initiatives below mitigate threats and risks. Multi-year funds are requested for some of these initiatives, as, in many cases, their execution is heavily dependent on variables over which the USCP has no direct control.

#### *New Initiatives (Dollars in Thousands)*

No.	Initiative	Description	Category	Amount	Duration
1	Threat Assessment	To identify warning behaviors associated with targeted violence directed at Congressional Leadership and USCP interests with existing credible threats.	GE SALARY TOTAL	\$1,174 \$563 \$1,737	1 year
2	FOB 8 Security Design	Design and install the security management systems for the new FOB 8 at a cost of \$100K. Includes funds to support a radio DAS, which was not a requirement in the original Radio Modernization Project scope. AOC was previously funded and paid GSA to support the installation of security infrastructure. AOC is required to facilitate the work with GSA throughout the project.	GE SALARY TOTAL	\$1,863 \$1,011 \$2,874	\$1,600 3 years* \$1,274 1 year
3	Garage Security – Phase 1A	To install fast acting doors, alarms, lock down hardware, CCTV cameras and card readers to secure the House of Representatives and Senate parking garages and facilities from the threat of incursion.	TOTAL (ALL GE)	\$944	3 years*
4	Alternate Computer Facility Security Upgrade	Provides security systems to protect the facility used to house the back-up computer networks of the House, Senate, AOC, and LOC. AOC is responsible for the installation of security hardware and infrastructure to support the security fit-out.	TOTAL (ALL GE)	\$965	3 years*

\*Multi-year funds are being requested since USCP cannot initiate installation of security equipment until the completion of the infrastructure portion of the project

#### **1. THREAT ASSESSMENT**

Electronic social media has been increasingly used as an outlet by individuals wanting to convey concerning communications to public officials particularly in the field of targeted violence. With the ease of access to the internet in both public and private venues offenders intent on engaging in harassing and threatening behavior can do so with minimal effort.

This continued increase in the need for law enforcement intervention and criminal investigation, coupled with the advance in technology allowing offenders broader media outlets to manifest criminal communications, sufficient investigators must be assigned to fully conduct criminal

investigations and to develop protective intelligence assessments to determine the dangerousness of such offenders.

This initiative will speed up identification of warning behaviors associated with targeted violence directed at Congressional Leadership and USCP interests with existing credible threats. Warning behavior such as "leakage" has been known to occur on web based forums by individuals who have engaged in lethal or near lethal attacks on public figures. Leakage is demonstrated when an offender reports an intent to engage in a violent activity to a third party. Some offenders choose to use social media networks and other similar outlets such as political soundboards and blogs. There have been many case studies of offenders who engaged in acts of targeted violence that demonstrated some type of leakage behavior in the recent past.

The USCP, committed to Member Protection, Congressional Community Protection and Law Enforcement thoroughly investigates all threats and assess these to determine a risk of attack. With the added capability through this initiative, reported complaints requiring investigative follow up can be expected to increase exponentially requiring team training in assessing such complaints. \$1,062,000 of General Expense funds are being requested for threat assessment contractors and threat assessment vendor services (reports, subscriptions, etc.) and an additional \$112,000 to support the hiring, training and outfitting of the eight new sworn officers. A separate request is included under the Salaries request for 8 sworn officers to be committed to receiving and to investigate/assess internet (web based i.e., social networks) threats.

## **2. FEDERAL OFFICE BUILDING 8 TENANT FIT-OUT**

This initiative includes a request for new sworn positions and overtime (for building coverage until the recruits are trained), as well as a General Expense request.

While the building is owned by the General Services Administration, as leased space, the Congressionally occupied portion of the building becomes Capitol Grounds for purposes of providing jurisdiction for the USCP. This initiative provides for nine new sworn positions to provide security and law enforcement and services to support the mission of Congress. Additionally, this initiative will provide \$1.5 Million for the infrastructure necessary to support the Department's digital radio system which will be required to provide proper security to the facility. This radio system requirement was not a part of the original scope of the Radio Modernization Project.

There are additional General Expense requirements of \$362,902 to support nine new sworn officers and this overall mission requirement. Of this total, \$100,000 is requested to design and install the security management systems for the Congressionally occupied space in the new FOB 8. This is a new requirement. This is a special capital improvement project which requires multi-year funding to complete.

FOB 8 will be occupied by the House of Representatives. The USCP will be responsible for the safety and security of Congressional staff, visitors, and assets on various floors comprising approximately 200,000 sq. feet. As such, the Security Services Bureau (SSB) requires funding to initiate the design for all security management systems in this space, to include but not limited to, Intrusion Detection, Access Control, CCTV, Public Address, Duress, etc.

This project supports strategic objective Congressional Community Protection by providing a means for the Department to secure and monitor the interior areas of FOB 8 consistent with the abilities of other Congressional facilities.

### **3. GARAGE SECURITY – Phase 1A**

\$944,000 is requested to install fast acting doors, alarms, lock down hardware, CCTV cameras and card readers to secure the House of Representatives and Senate parking garages and facilities from the threat of incursion. This is a special capital improvement project which requires multi-year funding to complete. Once completed, all future funding requests to support the continued maintenance and operation of the systems will be requested through increases in the Bureau's base funding projects. This funding request is for Phase 1A of the four (4) phase project.

The implementation of these systems will provide an increased level of situational awareness and will provide for more efficient and effective physical security of the Congressional Office Buildings by addressing the identified vulnerabilities related to the garage operation.

This project supports strategic objective Congressional Community Protection by providing a means for the Department to physically control and secure access to all Congressional Office Buildings.

### **4. ALTERNATE COMPUTER FACILITY SECURITY UPGRADE**

\$965,000 is requested for the Alternate Computer Facility Security Upgrade in FY 2013. These equipment funds are necessary to provide technical security systems to meet USCP standards. The security fit-out is detailed in a Security Survey dated August 8, 2006. This is a special capital improvement project which requires multi-year funding to complete.

This project supports strategic objective Congressional Community Protection by providing security systems to protect the facility used to house the back-up computer networks of the House, Senate, AOC and LOC.

## **VI. Budget Schedules**

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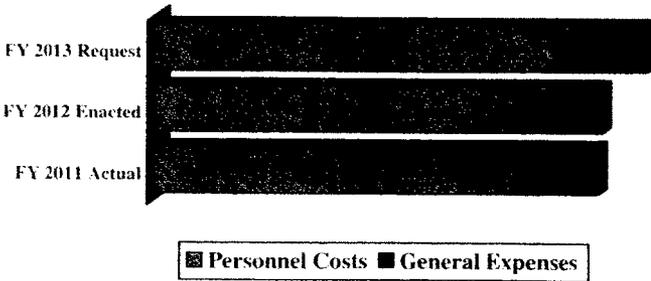
1. **FY 2013 Resource Summary**
2. **Schedule A: Details by Object Class**
3. **Schedule B: Analysis of Change**
4. **Analysis of Change Explanation: Personnel**
5. **Staffing Summary**
6. **Proposed Appropriations Language**

**1. FY 2013 RESOURCE SUMMARY**

United States Capitol Police FY 2013 Resource Summary (Dollars in Thousands)					
<b>Personnel</b>	<b>FY2011 Budget Authority</b>	<b>FY2012 Enacted*</b>	<b>FY2013 Request</b>	<b>Change FY12/FY13</b>	<b>% Change</b>
Appropriation	\$277,688	\$277,133	\$303,132	25,999	9.38%
Rescission	(\$555)	-	-	-	-
Transfers Out	(1,750)	-	-	-	-
<hr/>					
<b>General Expenses</b>	<b>FY2011 Budget Authority</b>	<b>FY2012 Enacted</b>	<b>FY2013 Request</b>	<b>Change FY12/FY13</b>	<b>% Change</b>
Appropriation	63,130	63,004	70,637	7,633	12.12%
Rescission	(126)	-	-	-	-
Transfer In	1,750	-	-	-	-
<hr/>					
<b>Total Appropriation</b>	<b>\$340,137</b>	<b>\$340,137</b>	<b>\$373,769</b>	<b>\$33,632</b>	<b>9.89%</b>

Note: Totals may contain rounding variances

**Comparison of Resources for  
FY 2011, 2012, 2013 Request  
(Dollars in Millions)**



## 2. SCHEDULE A: DETAILS BY OBJECT CLASS

United States Capitol Police FY 2013 Budget Request SCHEDULE A Details in Thousands				
Summary By Object Class				
Object Class	FY 2011 Actual	FY 2012 Enacted*	FY 2013 Request	Change FY12/FY13
11 Personnel Compensation	\$207,711	\$213,054	\$231,796	\$18,742
12 Personnel Benefits	65,149	63,979	71,136	7,157
13 Benefits for Former Personnel	163	100	200	100
21 Travel	9,318	12,439	10,997	(1,442)
22 Transportation of Things	58	45	22	(23)
23 Rent, Communications and Utilities	3,004	3,677	3,892	215
24 Printing and Reproduction	38	56	410	354
25 Other Contractual Services	27,508	34,729	34,155	(574)
26 Supplies and Materials	3,805	3,484	5,496	2,012
31 Equipment	20,244	8,462	15,540	7,078
42 Insurance Claims and Indemnities	23	112	125	13
<b>Total</b>	<b>\$337,021</b>	<b>\$340,137</b>	<b>\$373,769</b>	<b>+/- \$33,632</b>

\*This reflects the Department's Operating Plan for FY 2012.

## DETAILS BY OBJECT CATEGORY

Object Category	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	Change	Change
11.1 Full-time Permanent	176,575	175,498	187,497	11,999	7%
11.5 Other Personnel Compensation	31,136	37,556	44,299	6,743	18%
12.1 Civilian Personnel Benefits	65,149	63,979	71,136	7,157	11%
13.1 Benefits for Former Personnel	163	100	200	100	100%
21.0 Travel & Transportation of Persons	9,318	12,439	10,997	-1,442	(12%)
22.0 Transportation of Things	58	45	22	-23	(51%)
23.3 Rent, Communications, Utilities & Misc. Charges	3,004	3,677	3,892	215	6%
24.0 Printing & Reproduction	38	56	410	354	632%
25.1 Advisory & Assistance Services	21,957	28,876	29,438	562	2%
25.2 Other Services	3,022	2,834	2,705	-129	(5%)
25.3 Other Purchases of Goods & Svcs from Govt	2,192	2,545	1,423	-1,122	(44%)
25.6 Medical Care	96	194	389	195	101%
25.7 Operations & Maint Equipment	241	280	200	-80	(29%)
26.0 Supply & Materials	3,805	3,484	5,496	2,012	58%
31.0 Equipment	20,244	8,462	15,540	7,078	84%
42.0 Insurance Claims & Indemnities	23	112	125	13	12%
<b>Total USCP</b>	<b>337,021</b>	<b>340,137</b>	<b>373,769</b>	<b>33,632</b>	<b>10%</b>

\*This reflects the Department's Operating Plan for FY 2012.

## 3. SCHEDULE B: ANALYSIS OF CHANGE

## United States Capitol Police

FY 2013 Analysis of Change

Dollars in Thousands		FY2013 Agency Request	
		Positions	Amount
<b>FY 2012 Enacted</b>		2,243	\$340,137
<b>FY 2013 Changes:</b>			
<b>Non-recurring Costs</b>			
Security Services: Access Control (Card Access, Barriers, Fire Doors, Kiosk)			(4)
Security Services: Detection/Screening Systems-lifecycle replacement, contractor support, equipment			(129)
Information Systems: Operations			(30)
<b>Total, Non-recurring Costs</b>			<b>(163)</b>
<b>Pay and Related Costs</b>			
FY 2012 Salaries for Authorized FTEs Annualized for FY 2013			8,600
FY 2013 Civilian New Hires		2	342
FY 2013 Sworn New Hires		17	883
FY 2013 Within Grade Increases & Promotions			630
Overtime - Core Mission			5,648
Overtime - FOBB			350
Overtime - LOC non-reimbursable			214
Annualized Benefits			7,242
Specialty Pay, Lump Sum & Misc. Benefits			2,090
<b>Total, Pay and Related Costs</b>		<b>19</b>	<b>25,999</b>
<b>Price Level Changes</b>			<b>1,438</b>
<b>Program Changes (Net)</b>			
Security Services: Access Control (Card Access, Barriers, Fire Doors, Kiosk)			(90)
Administrative			1,384
Financial Management: Agency-wide Services (gas, internal training, and equipment)			(93)
Information Systems: Enterprise Applications			160
Information Systems: Information Security			116
Security Services: Detection/Screening Systems-lifecycle replacement, contractor support, equipment			376
Facilities Mgmt.: FFE Refreshment and Contracts			39
Financial Management & Accountability (Momentum/Maximo systems and contractor support)			417
Fleet Management: Vehicles, repairs, rental, supplies			1,167
Operational Services: Hazardous Response- external training, travel for training, ammunition, equipment			516
Human Resources: Operations and Systems			(83)
Human Resources: Recruiting and Employment			551
Information Systems: Network Communications			2,984
Mission Assurance Bureau: Operations - contractor support, training, travel for training, equipment			79
Operational Services: Patrol Mobile Response - training, travel for training, ammunition, equipment			327
Facilities Mgmt.: Uniforms, Cleaning and Alterations			1,411
Protective Services: Protective Detail - Travel and chartered flights			1,009
Protective Services: Protective service - contractor support, training, travel for training, equipment			(2,633)
Security services: Security Systems Maintenance - Life cycle replacement, contractor support, equipment			1,310
Security Services: Technical Countermeasures - lifecycle replacement, contractor support, equipment			567
Security Services: Special projects			2,052
Training Services: Training Programs			1,142
Inauguration			650
Salary Offset			(7,000)
<b>Total, Program Changes</b>			<b>6,358</b>
<b>Net Increase/Decrease</b>		<b>19</b>	<b>33,632</b>
<b>Total Appropriation</b>		<b>2,262</b>	<b>373,769</b>

## 4. ANALYSIS OF CHANGE EXPLANATION - PERSONNEL

**Analysis of Change Explanation**  
**FY 2013 Difference Compared to FY 2012 Enacted**  
**Personnel Expenses**  
(Dollars in Thousands)

FY 2013 Mandatory Pay and Related Cost Increases		
1	Annualization of FY 2012 Salaries for FY 2013 Adjustment to salary based on authorized strength.	8,600
2	FY 2013 New Civilian Hires Funding for 2 new civilians requested by the OIG. Full year funding.	342
3	FY 2013 Sworn New Hires Funding for 9 new officers to protect and serve the Congressional staff occupying the FOB8; and, 8 new officers to support the Threat Assessment initiative. Position calculations are based upon FLETC class schedule.	883
4	FY 2013 Within Grade Increases, Promotions Estimated within-grade increases, career ladder promotions for civilians, and automatic sworn promotion pay differentials. Items paid in accordance with the USCP Unified Pay Schedule.	630
5	Overtime For FY 2013, the overall estimated overtime will cost approximately \$38.4 million in support of the core mission, unscheduled events, training and LOC non reimbursable events.	6,212
6	Annualization of FY 2013 Benefits Funding of Department-wide benefits.	7,242
7	Specialty Pay, Lump Sum, and Misc. Benefits The total includes: specialty assignment pay, holiday pay, lump sum pay, FTO pay, hazardous duty, specialty pay, and death gratuity.	2,090

## 5. STAFFING SUMMARY

**United States Capitol Police  
Authorized Personnel Summary**

POSITION TYPE	Positions			Change
	FY11 Budget	FY12 Budget	FY13 Request	
<b>Appointed*</b>	8	8	10	2
<b>Sworn</b>				
Deputy Chief	5	5	5	
Inspector	10	10	10	
Captain	18	18	18	
Lieutenant	52	52	52	
Sergeant/Special Technician	183	183	183	
Officer/Equivalent	1,530	1,530	1,547	17
<b>Civilian</b>	437	437	437	

\* Appointed includes the Chief, the Assistant Chief, the Chief Administrative Officer, General Counsel and six OIG positions (four current and two requested positions).

## 6. PROPOSED APPROPRIATIONS LANGUAGE

### Salaries

For salaries of employees of the Capitol Police, including overtime, hazardous duty pay [differential], and Government contributions for health, retirement, social security, professional liability insurance, and other applicable employee benefits, [\$277,132,624] \$303,132,000 to be disbursed by the Chief of the Capitol Police or his designee. (*Legislative Branch Appropriations Act, 2012.*)

### General Expenses

For necessary expenses of the Capitol Police, including motor vehicles, communications and other equipment, security equipment and installation, uniforms, weapons, supplies, materials, training, medical services, forensic services, stenographic services, personal and professional services, the employee assistance program, the awards program, postage, communication services, travel advances, relocation of instructor and liaison personnel for the Federal Law Enforcement Training Center, and not more than \$5,000 to be expended on the certification of the Chief of the Capitol Police in connection with official representation and reception expenses, [\$63,003,740] \$70,637,000 of which \$3,509,000 shall remain available until September 30, 2015, to be disbursed by the Chief of the Capitol Police or his designee: Provided, that, notwithstanding any other provision of law, the cost of basic training for the Capitol Police at the Federal Law Enforcement Training Center for fiscal year [2012] 2013 shall be paid by the Secretary of Homeland Security from funds available to the Department of Homeland Security. (*Legislative Branch Appropriations Act, 2012.*)

## VII. Index of Acronyms

ACF	Alternate Computer Facility
AOC	Architect of the Capitol
CR	Continuing Resolution
CERT	Containment Emergency Response Team
CALEA	Commission on Accreditation of Law Enforcement Agencies
CAO	Chief Administrative Officer
CCTV	Closed Circuit TV
CDU	Civil Disturbance Unit
COG	Continuity of Government
COLA	Cost-of-Living Adjustment
CONOPS	Concept of Operations
COO	Chief of Operations
COOP	Continuity of Operations
COP	Chief of Police
DAS	Distributed Antenna System
DPD	Dignitary Protective Division
FFE	Furniture, Fixtures, and Equipment
FLETC	Federal Law Enforcement Training Center
FOB	Federal Office Building
FTO	Field Training Officer
GAO	Government Accountability Office
GE	General Expenses
GSA	General Services Administration
HDS	Hazardous Devices Section
HMRT	Hazardous Materials Response Team
IAD	Internal Affairs Division
ID	Inspection Division
IT	Information Technology
LAN	Local Area Network
LBT	Level 'B' Response Team
LOC	Library of Congress
MAB (OPOHS)	Mission Assurance Bureau ( <i>formerly Office of Plans, Operations and Homeland Security</i> )
MPDC	Metropolitan Police of DC
NAVAIR	Naval Air System Command
NFC	National Finance Center
NI	New Initiatives
OEC	Office of Employment Counsel
OFL	Office of Facilities and Logistics
OFL-FMD	OFL-Facilities Maintenance Division
OFL-PAMD	OFL-Property and Asset Management Division
OFL-VMD	OFL-Vehicle Maintenance Division
OFM	Office of Financial Management

OGC	Office of General Counsel
OHR	Office of Human Resources
OIG	Office of Inspector General
OIS	Office of Information Systems
OMB	Office of Management and Budget
OOC	Office of Compliance
OPOL(DAD)	Office of Policy and Management Services
OPR	Office of Professional Responsibility
OSB	Operational Services Bureau
OSB-PMRD	OSB-Patrol Mobile Response Division
OSDC	Off-Site Delivery Center
PECS	Performance Evaluation and Communications System
PSB	Protective Services Bureau
PWBS	Program Work Breakdown Structure
SCIF	Secure Compartmented Information Facilities
SSB	Security Services Bureau
TIGER	Transportation Interdiction Group Emergency Response Team
TSB	Training Services Bureau
USB	Uniformed Services Bureau
USB-CAPITOL	USB-Capitol Division
USB-HOUSE	USB-House Division
USB-LOC	USB-Library of Congress
USB-SENATE	USB-Senate Division
USCP	United States Capitol Police
VMS	Video Management System
WMATA	Washington Metropolitan Area Transit Authority



**SWORN AND CIVILIAN SALARY ESTIMATES**

Sworn salary		
Base PP 18 FY 2011		
	Positions	Salary
Total Salary-Sworn	1,769	143,428
Total Salary - Sworn - Appointed	2	342
Backfill for open positions (new recruit rates for 4)	4	223
<b>Backfill</b>		
FY 2012 COLA 0%	-	-
FY 12 WIGS	-	3,323
FY11 PP 18-20 Adjustments	-	317
FY13 Projected net decrease of higher graded privates	-	-39
<b>Total Sworn Salary Base for FY 2013</b>	<b>1,775</b>	<b>146,992</b>

\$ 000's

Civilian salary		
Base PP 18 FY 2011		
	Positions	Salary
Total Salary	362	31,676
Total Salary Appointed	6	955
2 Civilians to get to 370	2	155
<b>Backfill</b>		
FY 2012 COLA 0%	-	-
FY 12 WIGS	-	301
FY 12 Career-Ladder Promotions	-	197
<b>Total Civilian Salary Base for FY 2013</b>	<b>370</b>	<b>32,129</b>

New Recruit rates (\$ in thousands)

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United States Capitol Police  
FY 2013 Budget Request

Account	Activity	Quantity	Unit Price	Total	Activity	Quantity	Unit Price	Total
<b>Chief Administrative Officer</b>								
CAO Administration								
2512 External Training			7,070	(7,070)				
2610 Office & Miscellaneous Supplies		608	2,790	3,100	310			
2650 Subscriptions and Publications			1,710	1,100	(610)			
<b>CAO Administration Total</b>		<b>608</b>	<b>11,870</b>	<b>4,200</b>	<b>(7,370)</b>			
<b>Chief of Operations</b>								
COO Administration-Command Ops								
COO Administration								
2610 Office & Miscellaneous Supplies			1,950	1,500	150			
<b>COO Administration Total</b>			<b>7,950</b>	<b>1,500</b>	<b>150</b>			
Inauguration								
2310 Rental of Equipment				16,000	16,000			
2610 Office & Miscellaneous Supplies		1,488		24,000	24,000			
3110 Non-Capitalized Furniture, Equipment, and Machinery				170,000	170,000			
<b>Inauguration Total</b>		<b>1,488</b>		<b>216,000</b>	<b>216,000</b>			
<b>Chief of Police</b>								
COP Administration								
COP Administration								
2110 Temporary Duty (TDY) Travel			1,800	2,028	228			
2510 Membership Fees		194	2,160	2,175	15			
2610 Office & Miscellaneous Supplies		4,137	7,830	9,763	1,933			
2650 Subscriptions and Publications			90	200	110			
<b>COP Administration Total</b>		<b>4,331</b>	<b>11,880</b>	<b>14,166</b>	<b>2,286</b>			
COP Representation Fund								
2610 Office & Miscellaneous Supplies		2,189	4,500	5,000	500			
2615 Provisions		2,431						
<b>COP Representation Fund Total</b>		<b>4,620</b>	<b>4,500</b>	<b>5,000</b>	<b>500</b>			
<b>Mission Assurance Bureau</b>								
MAB Administration								
MAB Administration								
2110 Temporary Duty (TDY) Travel		42	450	500	50			
2111 Temp Travel Training			1,800	2,650	850			
2512 External Training				54,145	54,145			
2513 Management Development		749						
2610 Office & Miscellaneous Supplies		4,952	4,500	5,000	500			
2699 Credit Card Disputes		299						
<b>MAB Administration Total</b>		<b>6,042</b>	<b>6,750</b>	<b>62,295</b>	<b>55,541</b>			

Agency	FY 2012 Proposed Budget	FY 2011 Actual	FY 2010 Actual
<b>MAB Operations</b>			
MAB Command Ctr Ops Admin	547	1,800	2,000
<b>MAB Command Ctr Ops Admin Total</b>	<b>547</b>	<b>1,800</b>	<b>2,000</b>
MAB Command Center Operations			
2311 Temp Travel Training	735	1,350	25,724
2512 External Training	495	1,080	10,246
2326 Contractor Support Services non-Federal	6,100	5,400	6,000
2610 Office & Miscellaneous Supplies	2,150	6,750	7,500
<b>MAB Command Center Operations Total</b>	<b>14,480</b>	<b>14,580</b>	<b>49,470</b>
MAB Command Vehicle Operations	701	1,800	2,000
2526 Contractor Support Services non-Federal	-	-	15,500
2540 Miscellaneous Merchant & Vendor Services	-	-	15,500
2610 Office & Miscellaneous Supplies	535	2,700	3,000
2630 Subscriptions and Publications	112	-	-
3110 Non-Capitalized Furniture, Equipment, and Machinery	45,932	27,800	31,000
3120 Capitalized Furniture, Equipment, and Machinery	12,600	14,000	14,000
<b>MAB Command Vehicle Operations Total</b>	<b>57,780</b>	<b>45,000</b>	<b>63,000</b>
MAB Communications Center Operations	747	4,500	27,070
2512 External Training	5,346	6,750	7,500
2610 Office & Miscellaneous Supplies	1,629	11,250	14,570
<b>MAB Communications Center Operations Total</b>	<b>7,122</b>	<b>22,500</b>	<b>46,140</b>
<b>Office of Employment Control</b>			
OEC Administration			
2110 Temporary Duty (TDY) Travel	236	4,140	3,500
2111 Temp Travel Training	-	4,320	8,463
2410 Printing and Binding	-	9,900	20,700
2512 External Training	-	-	8,749
2526 Contractor Support Services non-Federal	104,621	67,500	75,000
2610 Office & Miscellaneous Supplies	5,558	3,420	9,000
2630 Subscriptions and Publications	12,681	22,500	15,000
3110 Non-Capitalized Furniture, Equipment, and Machinery	493	-	-
<b>Office of Employment Control Total</b>	<b>122,595</b>	<b>111,630</b>	<b>131,712</b>
<b>Office of Facilities &amp; Logistics</b>			
Administration - OFL			
Occupational Safety Health and Environme	1,334	-	3,000
2112 Local Travel	37	-	-
2310 Membership Fees	150	-	-
2312 External Training	127	-	6,048
2319 Health Services	-	185,513	389,735
2526 Contractor Support Services non-Federal	268,175	266,850	387,910
2610 Office & Miscellaneous Supplies	2,478	-	4,200
2630 Subscriptions and Publications	6,476	4,590	9,700
<b>Office of Facilities &amp; Logistics Total</b>	<b>484,177</b>	<b>457,253</b>	<b>800,653</b>

3110 Non-Capitalized Furniture, Equipment, and Machinery		30,743	2,700	14,000	11,500
<b>OFL Administration</b>					
2512 External Training		87,467	-	150	150
2519 Health Services		1,430	-	-	-
2699 Credit Card Disputes		-	-	-	-
<b>Administration - VMD</b>					
2111 Temp Travel Training		4,785	10,350	11,500	1,150
2510 Membership Fees		475	900	1,000	100
2512 External Training		-	5,310	3,700	(1,610)
2528 Cleaning and Alteration Services		14,837	13,500	15,000	1,500
2610 Office & Miscellaneous Supplies		3,681	4,500	5,000	500
2699 Credit Card Disputes		(512)	-	-	-
<b>PMD Administration</b>					
2510 Membership Fees		-	-	900	900
2512 External Training		-	-	8,075	8,075
2610 Office & Miscellaneous Supplies		13,744	8,987	25,000	16,013
2699 Credit Card Disputes		(0)	-	-	-
<b>PMD Logistics Support</b>					
2526 Contractor Support Services non-Federal		165,309	-	115,000	115,000
2528 Cleaning and Alteration Services		50,000	41,400	50,000	8,600
2640 Miscellaneous Merchant and Vendor Services		1,197	-	-	-
2610 Office & Miscellaneous Supplies		108,551	54,000	78,600	34,600
2837 Law Enforcement Uniforms		1,070,287	617,209	1,597,010	979,801
3110 Non-Capitalized Furniture, Equipment, and Machinery		17,509	-	35,000	35,000
3184 Capitalized Software		-	-	215,000	215,000
2615 Provisions		9,374	-	33,400	33,400
<b>VMD Fleet Management</b>					
2120 Vehicle Rental		1,675,165	1,458,160	2,086,400	638,240
2310 Rental of Equipment		-	4,500	21,000	16,500
2322 Rentals - Miscellaneous		6,541	-	-	-
2571 Vehicle Repair Services		228,087	270,000	200,000	(70,000)
2621 Vehicle Supplies		158,666	270,000	200,000	(70,000)
2622 Vehicle Fluid Supplies		11,259	20,700	23,000	2,300
3110 Non-Capitalized Furniture, Equipment, and Machinery		23,370	10,000	10,000	-
3170 Non-Capitalized Vehicles		30,455	270,000	-	(270,000)
3171 Capitalized Vehicles		-	-	940,000	940,000

	362,536	270,000	260,000	(10,000)
<b>3175 Non-Capitalized Vehicle Accessories</b>				
<b>FMD Administration</b>				
FMSB			56,740	56,740
<b>FMD Support</b>			400	400
<b>3110 Non-Capitalized Furniture, Equipment, and Machinery</b>				
2220 Transportation of Things	9,377	12,100	12,500	300
2310 Rental of Equipment		2,880	3,240	360
2322 Rentals - Miscellaneous	3,240			
2526 Contractor Support Services non-Federal	212,812	145,260	173,150	27,890
2610 Office & Miscellaneous Supplies	10,104	4,500	38,100	33,600
2630 Subscriptions and Publications			400	400
3110 Non-Capitalized Furniture, Equipment, and Machinery	62,515	109,900	52,760	(57,140)
3120 Capitalized Furniture, Equipment, and Machinery	60,000			
<b>OFM Agency Services Total</b>			7,500	7,500
<b>Office of Financial Management</b>				
<b>OFM Administration</b>				
2110 Temporary Duty (TDY) Travel			2,800	2,800
2111 Temp Travel Training			2,000	2,000
2410 Printing and Binding	291	300		(900)
2512 External Training			22,500	22,500
2526 Contractor Support Services non-Federal	8,045	2,000		(2,000)
2610 Office & Miscellaneous Supplies	8,614	20,400	30,400	9,600
2630 Subscriptions and Publications	17,641	9,000	18,000	9,000
3110 Non-Capitalized Furniture, Equipment, and Machinery		2,500	7,500	5,000
<b>OFM Agency Services Total</b>			2,800	2,800
<b>OFM Agency Services</b>				
2110 Temporary Duty (TDY) Travel	71			
2350 Postage and Fees	21,610	15,300	30,000	4,700
2512 External Training	52,725	59,850	91,000	31,150
2526 Contractor Support Services non-Federal	429,040	632,000	500,000	(122,000)
2571 Operations & Maint Equipment	12,000	10,000		(10,000)
2622 Vehicle Fluid Supplies	296,500	291,500	215,000	(76,500)
3110 Non-Capitalized Furniture, Equipment, and Machinery		57,500	125,000	67,500
3120 Tot Claims and Awards	22,564	112,500	135,000	17,500
<b>OFM Agency Services Total</b>			477,250	477,250
<b>OFM Financial Management &amp; Accountability</b>				
2526 Contractor Support Services non-Federal	719,283	12,896	99,000	86,104
2535 Government Support Services	779,624	518,696	477,250	(41,446)
3194 Non-Capitalized Software	21,402			

OHR Contractual Support		702,000	457,500	800,000	371,500
2526 Contractor Support Services non-Federal					
Office of General Counsel					
OSC Administration					
OGC Legal Services					
	2110 Temporary Duty (TDY) Travel	18	18,000	10,000	(8,000)
	2440 Advertising & Recruiting			2,202	2,202
	2512 External Training	88,054	58,500	90,000	31,500
	2526 Contractor Support Services non-Federal	4,158	9,000	6,000	(3,000)
	2610 Office & Miscellaneous Supplies	567	25,200	22,400	(2,800)
	2630 Subscriptions and Publications				
Office of Human Resources					
OHR Administration					
	2111 Temp Travel Training			1,500	1,500
	2512 External Training	2,441	900	2,080	2,080
	2610 Office & Miscellaneous Supplies	(1,500)		1,000	100
	2630 Subscriptions and Publications				
OHR Operations					
OHR Employee Relations Service Recogniti					
	2610 Office & Miscellaneous Supplies			13,475	13,475
OHR Operations Administration					
	2510 Membership Fees		929	750	(179)
	2512 External Training	224		11,640	11,640
	2610 Office & Miscellaneous Supplies	6,486	7,107	12,000	4,893
	2630 Subscriptions and Publications	2,586	2,200	3,600	1,400
	3110 Non-Capitalized Furniture, Equipment, and Machinery	2,050	354		(564)
OHR Operations Services					
	2326 Contractor Support Services non-Federal	29,772	24,756	24,200	(556)
OHR Operations Systems					
	2315 Rental of IT Software	4,334	4,575	11,068	6,493
	2526 Contractor Support Services non-Federal	23,136	116,345		(116,345)
	2538 Government Support Services	295,410	306,000	302,610	(3,390)
OHR Recruiting and Staffing					
	2610 Office & Miscellaneous Supplies	5,500	15,840		(15,840)
	2110 Temporary Duty (TDY) Travel		16,000		(16,000)

Agency	Program	2007	2008	2009	
Office of Information Systems	OIS Administration OIS Administration OIS Administration Enterprise Applications Enterprise Business Applications Enterprise Support Applications Team Law Enforcement Information Systems/Tec Law Enforcement Information Systems/Tech Team	2440 Advertising	27,641	29,400	1,759
		2510 Membership Fees	1,200	-	-
		2526 Contractor Support Services non-Federal	5,057	9,000	10,000
		2610 Office & Miscellaneous Supplies	1,440	5,850	6,500
			8,698	15,850	(12,591)
		2110 Temporary Duty (TDY) Travel	4,000	-	2,400
		2111 Temp Travel Training	-	929	900
		2510 Membership Fees	150	2,200	5,170
		2512 External Training	325,416	416,619	-
		2526 Contractor Support Services non-Federal	4,759	100,000	500,000
		2610 Office & Miscellaneous Supplies	26,004	8,071	38,009
		3110 Non-Capitalized Furniture, Equipment, and Machinery	12,120	-	2,500
		3120 Capitalized Furniture, Equipment, and Machinery	34,387	-	-
			633,334	1,117,619	1,117,619
		2517 Applicant Testing	730,794	676,990	27,688
2519 Health Services	8,973	8,000	(8,000)		
2610 Office & Miscellaneous Supplies	17,898	-	-		
2633 Barbeard Supplies	2,746	-	10,000		
	1,458,128	1,312,315	1,736,615		
2315 Rental of IT Software	-	-	424,310		
	-	-	-		
2512 External Training	6,295	6,750	19,750		
2526 Contractor Support Services non-Federal	673,000	76,000	742,000		
2573 Software and Technical Support Services & Maintenance Agreements	1,600	7,650	666,000		
2610 Office & Miscellaneous Supplies	4,708	12,555	1,500		
2630 Subscriptions and Publications	5,570	1,500	2,445		
2699 Credit Card Disputes	34	-	-		
3110 Non-Capitalized Furniture, Equipment, and Machinery	11,138	13,600	15,000		
3194 Non-Capitalized Software	1,674	-	-		
	1,707,444	1,707,444	1,707,444		
	760,790	335,000	360,000		
2573 Software and Technical Support Services & Maintenance Agreements	634,150	634,150	112,000		
	235,000	209,000	209,000		
2526 Contractor Support Services non-Federal	401,915	321,500	444,000		
3110 Non-Capitalized Furniture, Equipment, and Machinery	51,000	51,000	51,000		
	1,236,755	1,236,755	1,236,755		

<b>OIS Enterprise Applications Modernization 2526 Contractor Support Services non-Federal</b>			
3184 Capitalized Software	498,900	-	-
<b>208 Support Services Modernization Total</b>	<b>481,000</b>	-	-
<b>OIS Information Assurance / Privacy/Network 2526 Contractor Support Services non-Federal</b>			
Web /Policlter/Enterprise Architecture	734,000	790,500	845,000
2526 Contractor Support Services non-Federal	1,600	-	1,500
2573 Software and Technical Support Services & Maintenance Agreements	-	-	1,500
<b>208 Support Services Modernization Total</b>	<b>735,600</b>	<b>790,500</b>	<b>846,500</b>
<b>OIS Information Security</b>			
<b>OIS Information Assurance / Privacy/Network 2526 Contractor Support Services non-Federal</b>			
2573 Software and Technical Support Services & Maintenance Agreements	530,580	202,000	318,000
3110 Non-Capitalized Furniture, Equipment, and Machinery	102,100	122,700	158,700
3110 Non-Capitalized Furniture, Equipment, and Machinery	21,000	30,000	30,000
<b>208 Support Services Modernization Total</b>	<b>653,680</b>	<b>354,700</b>	<b>506,700</b>
<b>OIS Information Security Modernization 2573 Software and Technical Support Services &amp; Maintenance Agreements</b>			
3184 Capitalized Software	36,000	36,000	-
3184 Capitalized Software	69,118	-	-
<b>208 Support Services Modernization Total</b>	<b>105,118</b>	<b>36,000</b>	<b>36,000</b>
<b>OIS Network Communications</b>			
<b>Data Networks</b>			
2334 Local Telecommunications	17,000	278,000	278,000
2526 Contractor Support Services non-Federal	910,000	966,360	966,360
2573 Software and Technical Support Services & Maintenance Agreements	152,600	196,550	196,000
3120 Capitalized Furniture, Equipment, and Machinery	327,000	50,000	50,000
<b>Data Networks Total</b>	<b>1,406,600</b>	<b>1,490,910</b>	<b>1,490,910</b>
<b>FO88</b>			
2526 Contractor Support Services non-Federal	-	1,400	1,400
3110 Non-Capitalized Furniture, Equipment, and Machinery	-	1,500,000	1,500,000
3120 Capitalized Furniture, Equipment, and Machinery	-	7,900	7,900
<b>FO88 Total</b>	<b>-</b>	<b>1,508,900</b>	<b>1,509,300</b>
<b>OIS Network &amp; Communications Modernization 2526 Contractor Support Services non-Federal</b>			
Radio Communications	331,500	107,000	-
<b>208 Support Services Modernization Total</b>	<b>331,500</b>	<b>107,000</b>	<b>(107,000)</b>
<b>Radio Communications</b>			
2334 Local Telecommunications	45,000	166,000	272,000
2335 Rental of Telecommunications Equipment	-	33,200	-
2526 Contractor Support Services non-Federal	395,000	430,800	534,320
2573 Software and Technical Support Services & Maintenance Agreements	521,000	300,000	-
3110 Non-Capitalized Furniture, Equipment, and Machinery	328,382	100,000	1,800,000
<b>Radio Communications Total</b>	<b>1,297,382</b>	<b>930,000</b>	<b>1,706,320</b>
<b>Radio Modernization</b>			
2526 Contractor Support Services non-Federal	49,791	2,741,720	1,857,000
3120 Capitalized Furniture, Equipment, and Machinery	7,138,042	-	-
<b>Radio Modernization Total</b>	<b>7,187,833</b>	<b>2,741,720</b>	<b>(884,720)</b>
<b>Telephone/VTC</b>			
2334 Local Telecommunications	235,000	378,500	378,500
2526 Contractor Support Services non-Federal	807,000	361,280	361,280
2573 Software and Technical Support Services & Maintenance Agreements	55,000	37,000	-
3110 Non-Capitalized Furniture, Equipment, and Machinery	10,000	20,000	50,000
<b>Telephone/VTC Total</b>	<b>1,107,000</b>	<b>796,780</b>	<b>800,000</b>
<b>Wireless/BB Comms</b>			
2334 Local Telecommunications	1,200,000	1,101,000	1,101,000

Program	Division	Sub-Program	Item	2000	2001	2002	2003	2004
Washing & Cleaners	OIS Operations	Customer Support	2536 Contractor Support Services non-Federal	426,000	430,000	446,000	16,000	-
			2573 Software and Technical Support Services & Maintenance Agreements	188,000	197,000	197,000	-	-
			3110 Non-Capitalized Furniture, Equipment, and Machinery	85,000	70,000	105,000	35,000	-
			<b>Washing &amp; Cleaners Total</b>	<b>1,179,000</b>	<b>1,144,000</b>	<b>1,148,000</b>	<b>31,000</b>	<b>31,000</b>
			2335 Rental of Telecommunications Equipment	-	10,000	10,000	10,000	-
			2536 Contractor Support Services non-Federal	432,000	456,000	722,500	266,500	-
			2573 Software and Technical Support Services & Maintenance Agreements	-	20,000	10,000	(10,000)	-
			3110 Non-Capitalized Furniture, Equipment, and Machinery	280,000	250,000	470,000	220,000	-
			3120 Capitalized Furniture, Equipment, and Machinery	-	400,000	653,000	255,000	-
			<b>Washing &amp; Other Plant Total</b>	<b>712,000</b>	<b>1,126,000</b>	<b>1,823,500</b>	<b>741,500</b>	<b>741,500</b>
Customer Support	OIS Operations	Customer Support	2526 Contractor Support Services non-Federal	446,000	790,000	790,000	-	-
			2573 Software and Technical Support Services & Maintenance Agreements	25,000	28,000	28,000	-	-
			<b>Customer Support Total</b>	<b>471,000</b>	<b>818,000</b>	<b>818,000</b>	<b>0</b>	<b>0</b>
			Database/Storage	188,000	275,000	275,000	203,000	-
			3120 Capitalized Furniture, Equipment, and Machinery	400,000	-	-	203,000	203,000
			<b>Database/Storage Total</b>	<b>588,000</b>	<b>275,000</b>	<b>275,000</b>	<b>406,000</b>	<b>406,000</b>
			E-Mail, Operating Systems & Office Productivity Software Total	<b>339,000</b>	<b>430,000</b>	<b>430,000</b>	<b>460,000</b>	<b>30,000</b>
			E-Mail, Operating Systems & Office Productivity Software Total	<b>339,000</b>	<b>430,000</b>	<b>430,000</b>	<b>460,000</b>	<b>30,000</b>
			OIS IT Hardware Support & Administration	819,000	897,000	897,000	941,000	44,000
			2573 Software and Technical Support Services & Maintenance Agreements	142,000	176,500	176,500	176,500	-
OIS IT Hardware Support & Administration	462,000	93,000	885,000	793,000	-			
<b>OIS IT Hardware Support &amp; Administration Total</b>	<b>462,000</b>	<b>176,500</b>	<b>1,062,500</b>	<b>969,500</b>	<b>969,500</b>			
OIS-Operators Modernization	110,000	-	-	-	-			
2536 Contractor Support Services non-Federal	585,000	-	-	-	-			
3120 Capitalized Furniture, Equipment, and Machinery	80,000	30,000	-	-	(30,000)			
3184 Capitalized Software	-	-	-	-	-			
<b>OIS-Operators Modernization Total</b>	<b>775,000</b>	<b>30,000</b>	<b>0</b>	<b>0</b>	<b>(30,000)</b>			
Office of Inspector General	OIG Administration	OIG Administration	2110 Temporary Duty (TDY) Travel	(76)	8,000	8,000	-	-
			2111 Temp Travel Training	3,749	-	-	(1,000)	-
			2350 Postage and Fees	-	100	-	-	9,900
			2410 Printing and Binding	-	100	-	-	-
			2510 Membership Fees	63	-	-	-	-
			2512 External Training	4,750	33,000	33,000	-	-
			2526 Contractor Support Services non-Federal	714,622	677,000	679,000	2,000	-
			2535 Government Support Services	1,349	9,800	9,800	-	(9,800)
			2610 Office & Miscellaneous Supplies	2,518	10,000	32,000	22,000	-
			<b>OIG Administration Total</b>	<b>727,622</b>	<b>800,000</b>	<b>800,000</b>	<b>1,000</b>	<b>1,000</b>

Office of Policy & Management Systems		2650 Subscriptions and Publications	3,155	-	-	-
Administration OPOI		3110 Non-Capitalized Furniture, Equipment, and Machinery	346	-	-	-
<b>OPR Administration</b>						
OPR Administration		2111 Temp Travel Training	-	-	3,600	3,600
		2112 Local Travel	-	-	250	250
		2510 Membership Fees	6,052	6,060	7,000	940
		2512 External Training	-	-	11,600	11,600
		2610 Office & Miscellaneous Supplies	2,612	2,885	2,700	(185)
		2650 Subscriptions and Publications	1,687	1,860	1,700	(160)
		3110 Non-Capitalized Furniture, Equipment, and Machinery	1,029	400	830	400
<b>Office of Professional Responsibility</b>						
OPR Administration		2110 Temporary Duty (TDY) Travel	79	-	-	-
		2111 Temp Travel Training	2,610	1,374	33,207	31,333
		2350 Postage and Fees	8	-	-	-
		2512 External Training	1,195	1,062	15,675	14,613
		2526 Contractor Support Services non-Federal	908	540	1,104	564
		2650 Office & Miscellaneous Supplies	5,551	5,400	6,000	600
		2650 Subscriptions and Publications	606	-	188	188
		3110 Non-Capitalized Furniture, Equipment, and Machinery	-	3,000	-	(3,000)
<b>OPR Inspections</b>						
OPR Inspections		2111 Temp Travel Training	-	2,538	-	(2,538)
		2510 Membership Fees	-	27	-	(27)
		2512 External Training	-	2,903	-	(2,903)
<b>OPR Internal Affairs</b>						
OPR Internal Affairs		2111 Temp Travel Training	-	12,538	-	(12,538)
		2512 External Training	-	10,913	-	(10,913)
		2526 Contractor Support Services non-Federal	16,200	-	-	-
<b>Operational Services Bureau</b>						
OSB Administration		2610 Office & Miscellaneous Supplies	1,209	1,125	1,250	125
OSB Administration		2699 Credit Card Disputes (211)	-	-	-	-
OSB Administration		3110 Non-Capitalized Furniture, Equipment, and Machinery	251	-	-	-

OSB Hazardous Incident Response	2110 Temporary Duty (TDY) Travel	8,332	31,500	51,400	19,900
OSB Hazardous Devices	2111 Temp Travel Training	39,051	45,540	265,480	219,940
	2512 External Training	899	4,140	4,000	(1,440)
	2526 Contractor Support Services non-Federal	27,852	29,340	57,300	27,860
	2630 Office & Miscellaneous Supplies	1,060	-	-	-
	2620 System Supplies and Materials	4,237	11,700	16,600	4,900
	2634 Controlled Explosives & Ammunition	57,376	-	6,400	6,400
	3110 Non-Capitalized Furniture, Equipment, and Machinery	-	-	58,000	58,000
	3120 Capitalized Furniture, Equipment, and Machinery	-	-	-	-
<b>OSB Hazardous Devices Total</b>		<b>19,900</b>	<b>22,224</b>	<b>43,900</b>	<b>43,900</b>

OSB Hazardous Materials	2111 Temp Travel Training	52	-	58,300	58,300
	2510 Membership Fees	390	-	635	635
	2512 External Training	740	10,395	68,656	68,656
	2514 Internal Training	11,500	-	-	(10,395)
	2526 Contractor Support Services non-Federal	10,395	-	10,000	10,000
	2540 Miscellaneous Merchant & Vendor Services	104,629	89,888	76,875	(13,013)
	2610 Office & Miscellaneous Supplies	46,618	13,500	20,000	6,500
	2620 System Supplies and Materials	8,228	-	-	-
	2630 Subscription and Publications	1,948	1,350	6,500	5,150
	2633 Biohazard Supplies	79,980	72,000	52,000	(20,000)
	3110 Non-Capitalized Furniture, Equipment, and Machinery	80,206	108,708	54,350	(54,358)
	3120 Capitalized Furniture, Equipment, and Machinery	93,100	87,483	210,000	127,517
<b>OSB Hazardous Materials Total</b>		<b>62,942</b>	<b>222,224</b>	<b>439,200</b>	<b>439,200</b>

OSB Patrol Mobile Response	2111 Temp Travel Training	-	10,000	13,390	3,390
OSB CERT	2510 Membership Fees	-	-	390	390
	2512 External Training	-	28,000	7,540	(20,460)
	2610 Office & Miscellaneous Supplies	-	10,000	4,603	(5,397)
	2630 Subscription and Publications	-	40	40	40
	3110 Non-Capitalized Furniture, Equipment, and Machinery	-	51,604	256,864	205,260
	3120 Capitalized Furniture, Equipment, and Machinery	-	-	54,405	54,405
<b>OSB CERT Total</b>		<b>4,635</b>	<b>90,644</b>	<b>377,000</b>	<b>377,000</b>

OSB K-9 Unit	2111 Temp Travel Training	1,800	1,800	3,250	1,450
	2510 Membership Fees	567	540	573	33
	2526 Contractor Support Services non-Federal	42,564	19,013	21,126	2,113
	2527 Veterinary Services	-	-	2,270	2,270
	2610 Office & Miscellaneous Supplies	29,115	31,100	52,285	21,185
	2632 K-9 Supplies	2,144	1,710	2,400	690
	2634 Controlled Explosives & Ammunition	-	-	-	-

3110 Non-Capitalized Furniture, Equipment, and Machinery	16,000	35,500	18,000	(17,500)
OSB Offsite Delivery	5,427			
2526 Contractor Support Services non-Federal		11,169	12,423	1,254
2540 Miscellaneous Merchant & Vendor Services		7,770	8,843	1,073
2610 Office & Miscellaneous Supplies	15,938			
3110 Non-Capitalized Furniture, Equipment, and Machinery	675	1,350	2,002	653
OSB Patrol Mobile Response	245	5,000	4,324	(676)
2111 Temp Travel Training	356			
2510 Membership Fees	13,756	7,000	59,742	52,742
2512 External Training	30,181	5,515		(5,515)
2526 Contractor Support Services non-Federal		4,500	27,200	22,700
2535 Government Support Services		10,000	21,397	11,397
2610 Office & Miscellaneous Supplies	14,716			
3110 Non-Capitalized Furniture, Equipment, and Machinery	36,893	7,000	2,490	(4,510)
Protective Services Bureau				
PSB Administration				
2334 Local Telecommunications	1,010	1,178	1,100	(78)
2526 Contractor Support Services non-Federal		100,000		(100,000)
2610 Office & Miscellaneous Supplies	17,106	22,500	30,000	7,500
2699 Credit Card Disputes	(41)			
3110 Non-Capitalized Furniture, Equipment, and Machinery	2,990			
PSB Protective Detail Travel				
PSB Protective Detail Travel	7,324,135	7,226,507	8,200,000	973,493
2115 Protective Detail (TDY) Travel				
2120 Vehicle Rental	7,485	2,610	3,000	390
2325 Charter Flights	121,000	27,180	71,000	44,820
2322 Rentals - Miscellaneous	10,842	9,540		(9,540)
2571 Vehicle Repair Services	857			
2199 Disputes	(9,839)			
PSB Protective Services				
PSB Convention Support	4,003	3,403,365		(3,403,365)
2110 Temporary Duty (TDY) Travel		246,795		(246,795)
2322 Rentals - Miscellaneous		112,197		(112,197)
2335 Rental of Telecommunications Equipment		71,012		(71,012)
2610 Office & Miscellaneous Supplies		2,000		(2,000)
2699 Small Purchases				
PSB Dignitary Services				
PSB Dignitary Services		25,000	29,576	4,576
2111 Temp Travel Training			6,430	6,430
2512 External Training				

Agency	Project / Program / Center	Activity / Description	FY 2013 Budget	FY 2013 Actual	FY 2013 Variance	
SSB Security Services Bureau	SSB Operations Center	3110 Non-Capitalized Furniture, Equipment, and Machinery	1,200	1,200	0	
		2110 Temporary Duty (TDY) Travel	56,610	64,000	(11,000)	
		2111 Temp Travel Training	15,977	5,000	49,500	
		2510 Membership Fees	400	412	(12)	
		2512 External Training	2,400	10,800	(1,440)	
		2526 Contractor Support Services non-Federal	417,101	80,000	1,302,000	
		2535 Government Support Services	-	140,000	(140,000)	
		2540 Miscellaneous Merchant & Vendor Services	2,554	3,500	2,500	
		2610 Office & Miscellaneous Supplies	40	-	-	
		2690 Small Purchases	-	1,800	2,000	
		3110 Non-Capitalized Furniture, Equipment, and Machinery	25,000	28,800	(8,800)	
		<b>SSB Operations Center Total</b>	<b>1,109,712</b>	<b>1,049,100</b>	<b>1,099,492</b>	
		SSB Access Control	2526 Contractor Support Services non-Federal	1,109,712	1,049,100	1,099,492
		SSB Alternates Computer Facility	3110 Non-Capitalized Furniture, Equipment, and Machinery	75,632	249,600	(249,600)
		<b>SSB Alternates Computer Facility Total</b>	<b>75,632</b>	<b>249,600</b>	<b>(249,600)</b>	
SSB Barriers	2526 Contractor Support Services non-Federal	1,179,270	918,600	1,151,000		
	2620 System Supplies and Materials	-	120,000	60,000		
	3110 Non-Capitalized Furniture, Equipment, and Machinery	-	-	72,000		
<b>SSB Barriers Total</b>	<b>1,179,270</b>	<b>1,038,600</b>	<b>1,283,000</b>			
SSB Card Access	2526 Contractor Support Services non-Federal	161,315	86,400	120,131		
	2620 System Supplies and Materials	456,848	45,000	5,000		
	3110 Non-Capitalized Furniture, Equipment, and Machinery	114,606	358,200	373,869		
<b>SSB Card Access Total</b>	<b>732,769</b>	<b>489,600</b>	<b>909,000</b>			
SSB Command Center	2526 Contractor Support Services non-Federal	2,520	22,500	18,554		
	2620 System Supplies and Materials	30,916	13,500	1,500		
	3110 Non-Capitalized Furniture, Equipment, and Machinery	72,705	112,500	12,500		
<b>SSB Command Center Total</b>	<b>76,141</b>	<b>48,500</b>	<b>32,554</b>			
SSB Fire Doors	2526 Contractor Support Services non-Federal	42,518	36,000	4,000		
	2620 System Supplies and Materials	47,887	65,700	7,300		
	3110 Non-Capitalized Furniture, Equipment, and Machinery	-	-	-		
<b>SSB Fire Doors Total</b>	<b>90,405</b>	<b>101,700</b>	<b>11,300</b>			
SSB Problems	2526 Contractor Support Services non-Federal	-	23,400	2,600		
	2610 Office & Miscellaneous Supplies	9,852	18,000	2,000		
	3110 Non-Capitalized Furniture, Equipment, and Machinery	-	108,900	11,100		
<b>SSB Problems Total</b>	<b>9,852</b>	<b>149,300</b>	<b>15,700</b>			
SSB Administration	2110 Temporary Duty (TDY) Travel	3,096	9,000	20,000		
	2111 Temp Travel Training	4,802	9,000	4,915		
<b>SSB Administration Total</b>	<b>7,898</b>	<b>18,000</b>	<b>24,915</b>			

2512 External Training	18,973	43,560	115,114	75,154
2610 Office & Miscellaneous Supplies	28,029	41,400	20,000	(21,400)
3110 Non-Capitalized Furniture, Equipment, and Machinery	23,526	18,000	20,000	2,000
3194 Non-Capitalized Software	2,382	-	-	-
<b>SSB Security Survey/Tech Countermeasures</b>	<b>30,000</b>	<b>27,000</b>	<b>30,000</b>	<b>3,000</b>
2110 Temporary Duty (TDY) Travel	-	-	-	-
<b>SSB Detection and Screening Systems</b>	<b>163,385</b>	<b>176,400</b>	<b>195,200</b>	<b>18,800</b>
2526 Contractor Support Services non-Federal	80,036	47,700	53,000	5,300
2620 System Supplies and Materials	568,402	311,800	342,000	30,200
3110 Non-Capitalized Furniture, Equipment, and Machinery	598	-	10,000	10,000
3194 Non-Capitalized Software	-	5,000	-	(5,000)
<b>SSB Dursis</b>	<b>21,212</b>	<b>135,000</b>	<b>150,000</b>	<b>15,000</b>
2526 Contractor Support Services non-Federal	227,366	89,100	95,000	9,900
2620 System Supplies and Materials	16,282	18,000	20,000	2,000
3110 Non-Capitalized Furniture, Equipment, and Machinery	11,336	45,000	50,000	5,000
<b>SSB Employee Detectors</b>	<b>238,300</b>	<b>100,000</b>	<b>86,200</b>	<b>(13,800)</b>
2620 System Supplies and Materials	733,001	457,800	540,900	83,000
3120 Capitalized Furniture, Equipment, and Machinery	4,031	26,100	29,000	2,900
3110 Non-Capitalized Furniture, Equipment, and Machinery	10	40,500	45,000	4,500
3120 Capitalized Furniture, Equipment, and Machinery	2,729	-	-	-
<b>SSB Metal Detectors</b>	<b>3,179</b>	<b>6,900</b>	<b>7,000</b>	<b>700</b>
2620 System Supplies and Materials	313,165	128,700	143,000	(138,700)
3110 Non-Capitalized Furniture, Equipment, and Machinery	-	-	-	-
3120 Capitalized Furniture, Equipment, and Machinery	-	-	-	-
<b>SSB SCIF Alarms</b>	<b>314</b>	<b>4,500</b>	<b>5,000</b>	<b>500</b>
2620 System Supplies and Materials	13,923	27,500	31,000	3,100
3110 Non-Capitalized Furniture, Equipment, and Machinery	2,894	21,500	25,000	2,500
2620 System Supplies and Materials	141,336	58,500	65,000	6,500
3110 Non-Capitalized Furniture, Equipment, and Machinery	8,700	-	-	-
3120 Capitalized Furniture, Equipment, and Machinery	2,274,597	737,100	819,000	81,900
<b>SSB Inauguration</b>				

Program	Project/Program Name	BOD	2017 Operating Plan	2017 Actuals	2017 Request	Change
SSB Inauguration	2410 Printing and Binding		-	340,000	-	340,000
	2526 Contractor Support Services non-Federal		-	-	10,000	10,000
	3110 Non-Capitalized Furniture, Equipment, and Machinery		-	-	85,000	85,000
	3194 Non-Capitalized Software		-	-	5,000	5,000
<b>SSB Security Systems Maintenance</b>						
SSB Comprehensive Maintenance	2526 Contractor Support Services non-Federal		3,564,000	3,549,600	4,306,950	757,350
	2528 Contractor Support Services non-Federal		137,188	119,685	136,400	16,715
SSB Mass Notification Systems	2528 Government Support Services		13,251	10,815	-	(10,815)
	2620 System Supplies and Materials		3,760	7,200	8,000	800
SSB Mass Notification Support	3110 Non-Capitalized Furniture, Equipment, and Machinery		2,632	13,500	15,000	1,500
	2526 Contractor Support Services non-Federal		-	-	690,144	690,144
SSB Security Installation Support	3120 Capitalized Furniture, Equipment, and Machinery		453,004	818,000	388,000	(330,000)
	2526 Contractor Support Services non-Federal		211,158	138,600	205,330	66,730
SSB Security Network	2620 System Supplies and Materials		38,759	13,500	15,000	1,500
	3110 Non-Capitalized Furniture, Equipment, and Machinery		768,055	348,500	334,670	(13,830)
SSB Specialized Security Equipment	3120 Capitalized Furniture, Equipment, and Machinery		-	-	29,000	29,000
	3194 Non-Capitalized Software		28,269	25,000	-	(25,000)
SSB Support Staffing	2620 System Supplies and Materials		19,822	19,300	17,000	1,700
	3110 Non-Capitalized Furniture, Equipment, and Machinery		-	-	4,500	4,500
SSB Special Projects	2526 Contractor Support Services non-Federal		798,707	550,800	891,000	340,200
	3120 Capitalized Furniture, Equipment, and Machinery		-	-	965,000	965,000
SSB Alternate Computer Facility	3120 Capitalized Furniture, Equipment, and Machinery		-	-	100,000	100,000
	3120 Capitalized Furniture, Equipment, and Machinery		-	-	944,000	944,000
SSB FOBIS Security Design	3120 Capitalized Furniture, Equipment, and Machinery		-	-	500,000	500,000
	3120 Capitalized Furniture, Equipment, and Machinery		-	-	307,300	307,300
SSB Security Fit-Out Bedo Modification	3120 Capitalized Furniture, Equipment, and Machinery		170,469	-	235,723	235,723
	3120 Capitalized Furniture, Equipment, and Machinery		-	-	170,469	170,469
<b>SSB Technical Countermeasures</b>						

Program	Program Budget Name	606 - BOM Description (for SOP or Memorandum)	FY 2013 Actuals	FY 2013 Proposed Plan	FY 2013 Request	Change		
Security Services Bureau Training Services Bureau	TSB Administration	S58 TCM Equipment, Services and Supplies	1,543,897	1,745,300	2,398,240	652,940		
		2526 Contractor Support Services non-Federal	20,490	10,000	54,000	44,000		
		2620 System Supplies and Materials	3,136	289,800	322,000	32,000		
		3110 Non-Capitalized Furniture, Equipment, and Machinery	1,190,622	929,850	166,000	(763,850)		
		<b>S58 TCM Equipment, Services and Supplies Total</b>	<b>2,738,145</b>	<b>2,278,950</b>	<b>2,940,240</b>	<b>661,290</b>		
		S58 TCM Life-Cycle Replacement	215,000	-	-	-		
		2526 Contractor Support Services non-Federal	2,853	-	-	-		
		2610 Office & Miscellaneous Supplies	875,147	164,700	366,000	201,300		
		3120 Non-Capitalized Furniture, Equipment, and Machinery	327,150	327,150	727,000	399,850		
		<b>S58 TCM Life-Cycle Replacement Total</b>	<b>1,829,147</b>	<b>15,850,740</b>	<b>20,336,028</b>	<b>4,857,139</b>		
TSB Administration	TSB Administration	2110 Temporary Duty (TDY) Travel	4,629	1,350	7,500	6,150		
		2150 Reimbursement-Enroute Travel & House Hunting Trip	246	15,300	3,000	(14,300)		
		2210 Transportation of Household Goods and Personal Effects	48,841	35,300	9,162	(24,138)		
		2327 Utilities	3,200	10,800	9,000	(1,800)		
		2526 Contractor Support Services non-Federal	955	-	-	-		
		2535 Government Support Services	-	-	45,034	45,034		
		2540 Miscellaneous Merchant and Vendor Services	4,380	-	-	-		
		2610 Office & Miscellaneous Supplies	4,927	4,500	6,860	2,360		
		3110 Non-Capitalized Furniture, Equipment, and Machinery	2,052	-	-	-		
		<b>TSB Administration Total</b>	<b>72,240</b>	<b>20,336,028</b>	<b>20,336,028</b>	<b>-</b>		
		TSB Training Services	TSB Training Services	2111 Temp Travel Training	-	-	72,540	72,540
				2512 External Training	-	58,191	58,191	58,191
				2526 Contractor Support Services non-Federal	-	6,750	7,635	885
				2535 Government Support Services	55,866	81,991	91,500	10,509
				2610 Office & Miscellaneous Supplies	31,363	106,087	61,778	(44,309)
2634 Controlled Explosives & Ammunition	396,529			796,801	1,789,603	992,803		
3110 Non-Capitalized Furniture, Equipment, and Machinery	-			-	16,410	16,410		
3180 Weapons and Replacement Parts	850,319			-	664,585	(185,734)		
<b>TSB Training Services Training Qualification Total</b>	<b>14,983</b>			<b>38,880</b>	<b>51,423</b>	<b>12,543</b>		
TSB Training Programs	TSB Training Programs			2512 External Training	4,999	19,213	50,000	30,787
				2513 Management Development	38,880	63,000	130,875	67,875
				2526 Contractor Support Services non-Federal	679,900	270,000	531,316	261,316
				2535 Government Support Services	1,046,297	1,472,706	478,545	(994,161)
				2610 Office & Miscellaneous Supplies	46,552	38,412	30,133	(8,279)
				2630 Subscriptions and Publications	2,084	-	-	-
		3110 Non-Capitalized Furniture, Equipment, and Machinery	36,671	-	-	-		
		<b>TSB Training Programs Total</b>	<b>1,865,393</b>	<b>2,363,337</b>	<b>2,171,679</b>	<b>(693,714)</b>		

Program	Project Budget Balance	03 - BOL Description (Use SOP or Manual)	197015 Balance	197015 Planned	197015 Revised	Change
Training Services Bureau Total			1,114,885	1,114,885	1,114,885	0
Uniformed Services Bureau						
USB Administration						
2111 Temp Travel Training					4,100	4,100
2512 External Training					1,898	1,898
2610 Office & Miscellaneous Supplies			2,168	5,472	6,080	688
<b>USB Administration Total</b>			<b>2,168</b>	<b>5,472</b>	<b>12,078</b>	<b>4,438</b>
USB Capitol Division						
2111 Temp Travel Training					15,288	15,288
2512 External Training					9,576	9,576
2610 Office & Miscellaneous Supplies			14,396	13,500	15,000	1,500
<b>USB Capitol Division Total</b>			<b>14,396</b>	<b>13,500</b>	<b>39,864</b>	<b>25,864</b>
USB House Division						
2111 Temp Travel Training					14,542	14,542
2512 External Training			550		9,551	9,551
2610 Office & Miscellaneous Supplies			18,053	18,000	20,000	2,000
<b>USB House Division Total</b>			<b>18,603</b>	<b>18,000</b>	<b>44,093</b>	<b>26,093</b>
USB Library Of Congress						
2111 Temp Travel Training					14,542	14,542
2512 External Training					8,926	8,926
2610 Office & Miscellaneous Supplies			7,319	9,000	10,000	1,000
3110 Non-Capitalized Furniture, Equipment, and Machinery			2,275			
<b>USB Library Of Congress Total</b>			<b>10,294</b>	<b>9,000</b>	<b>33,468</b>	<b>24,468</b>
USB Senate Division						
2111 Temp Travel Training					14,542	14,542
2512 External Training					9,301	9,301
2610 Office & Miscellaneous Supplies			13,213	8,550	15,000	6,450
3110 Non-Capitalized Furniture, Equipment, and Machinery				4,950		(4,950)
<b>USB Senate Division Total</b>			<b>13,213</b>	<b>13,500</b>	<b>38,843</b>	<b>25,343</b>
<b>Uniformed Services Bureau Total</b>			<b>38,662</b>	<b>4,472</b>	<b>166,343</b>	<b>127,209</b>
Salaries Offset						
2 Salaries Offset				7,000,000		(7,000,000)
<b>Salaries Offset Total</b>				<b>7,000,000</b>		<b>(7,000,000)</b>
<b>Grand Total</b>			<b>1,114,885</b>	<b>1,114,885</b>	<b>1,114,885</b>	<b>0</b>

**FY 2013  
OFFICE OF INSPECTOR GENERAL (OIG)  
RESOURCE REQUIREMENTS**

**General Expense Budget**

Program	FY 2012 Request	FY 2013 Request	Increase	% Increase
Administration	\$762,000	\$762,000	\$ -	- %

The current Office of Inspector General (OIG) staffing resources are not sufficient to fully execute the IG mission. Public Law 109-55 established an Inspector General (IG) to conduct and supervise audits, and investigations of the programs and operations of the United States Capitol Police (USCP) to promote economy and efficiency. Further, the IG is to keep the head of the agency and Congress currently and fully informed of serious problems, abuses, and deficiencies within the Department. When established in 2006, OIG was authorized four positions: an IG, an auditor, an investigator, and one administrative staff.

In 2009, the Capitol Police Board commissioned an external staffing assessment of OIG. The assessment found that OIG needs additional resources to address immediate and ongoing vulnerabilities, including major projects, of the Department. The assessment further recommended that the USCP OIG be authorized, at a minimum, 5 additional positions and, ideally, increased to as many as 12 positions. According to the assessment report, an OIG staffing rule of thumb is the ratio of OIG staff to agency staff, with most OIGs at 1 to 100. The USCP OIG is at about 1 to 500. From FYs 2007 to 2010, the Department's budget, not including supplemental appropriations, has increased 28 percent and the authorized level of positions has grown by 160. Meanwhile, OIG staffing level has remained the same (four positions) and its general expenses have increased only by the inflationary increase for the annual financial statement audit (23 percent).

OIG has reported management challenges (Protection/Security, Information Security, Financial Management, Human Capital, Procurement, and Resolving Recommendations) for the Department for each of the past five years. These challenges represent OIG's view of the most serious risks/vulnerabilities facing the Department. OIG oversight activities levied against the challenges can provide information to managers and those charged with governance, regarding the economy, efficiency, and effectiveness of those programs and operations. However, OIG has conducted limited audits and reviews of these challenges due to its lack of sufficient resources.

Furthermore, OIG's staffing shortage poses an additional challenge. Should OIG be without one of its staff members for a prolonged period of time, the OIG's ability to carry out its current level of work would be severely impacted, if not completely shut down. Thus, to strengthen IG oversight of USCP, OIG respectfully requests an additional auditor and investigator for FY 2013.

**Office of Inspector General – 2 new Positions**

Additional Positions	FY 2013 Request	Cost
Auditor	1	171,012
Investigator	1	171,012
<b>Total</b>	<b>2</b>	<b>342,024</b>

\* Salary amount assumes step 6 and 1.7 percent COLA

**Auditor - 1 Position CP 14 – 15**

A *Financial Management and Internal Control Auditor* is necessary to oversee the audit of the Department's financial statements, work jointly with GAO to follow up on prior and current findings and recommendations, and assist in making USCP internal controls organizationally mature.

**Impact if not funded:** OIG will be unable to perform high priority audits to address management challenges in the areas of financial management, human capital, and recommendation resolution, which are critical to the Department's mission. In addition, OIG's capacity to effectively support management, accountability, and promote positive change throughout the Department will be diminished significantly.

**Criminal Investigator – 1 Position CP 14 – 15**

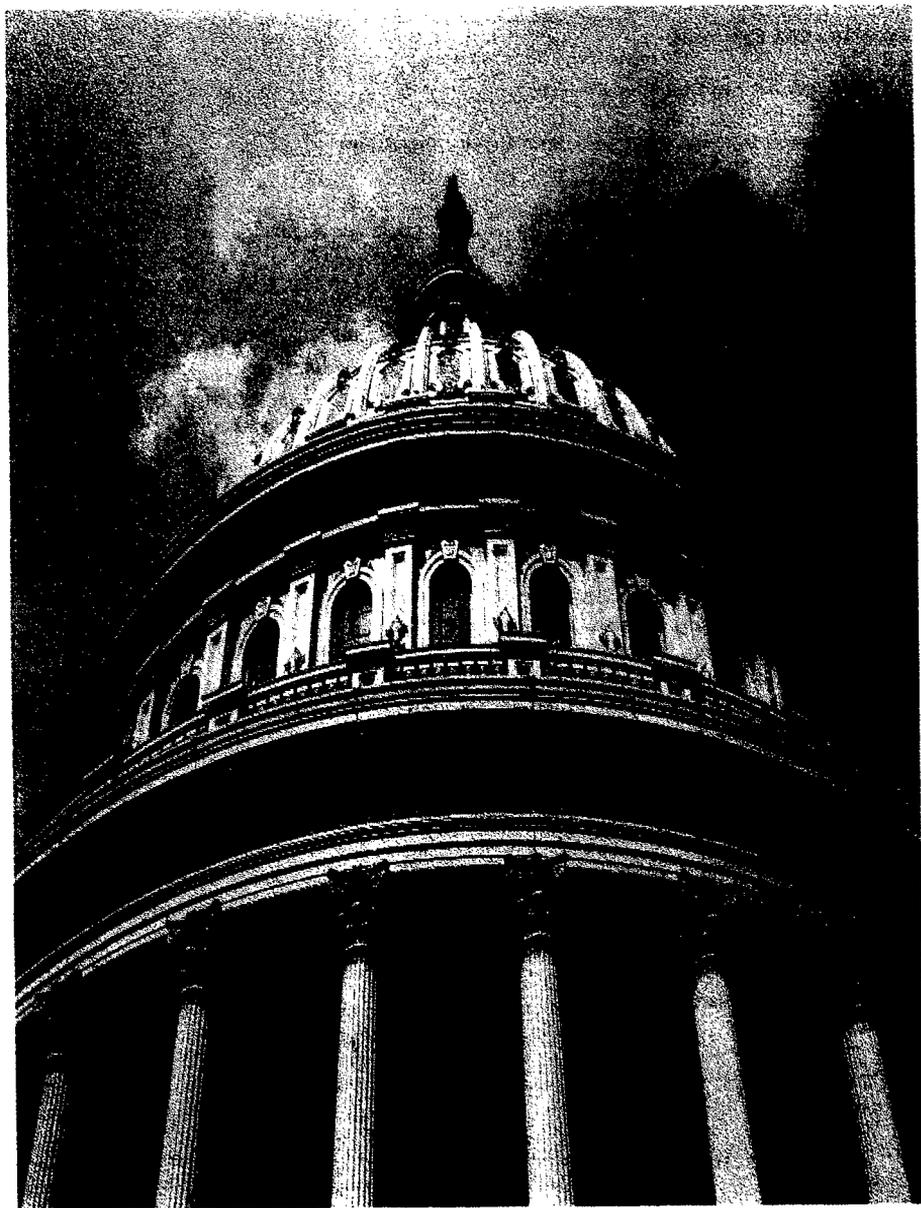
A *Criminal Investigator* is required to effectively manage the Hotline intake system, which includes proper evaluation of complaints, making referrals to management for appropriate action, initiating investigations, and tracking final dispositions.

**Impact if not funded:** As the complexity and multiplicity of complaints and investigations continues to grow, OIG's ability to identify violations of law and risks related to critical operational and support systems will be limited. In addition, OIG's capacity to effectively support management, accountability, and promote positive change throughout the Department will be diminished significantly.



**Budget Justification Request  
for the  
Committee on Appropriations**

**Fiscal Year 2013**



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### Statement of the Executive Director

On behalf of the Office of Compliance, I hereby submit the FY 2013 budget request and justification for your consideration. The Office of Compliance continues its effort to enhance its services in the mandated areas of dispute resolution, safety and health compliance, public accessibility, and education and outreach to our regulated community.

The Office of Compliance ("OOC" or "Agency") seeks to educate better the Congressional community, and to enable regulated employers to achieve greater voluntary compliance with the Congressional Accountability Act. Our 2010-2012 Strategic Plan reflects that goal. We are in early stage development of the 2013-2015 Strategic Plan. In light of the employment, security and safety challenges Legislative Branch agencies and employees face, our goal is to enable the regulated community to achieve substantial compliance with all requirements of the Act.

### THE CONGRESSIONAL MANDATE

The Congressional Accountability Act ("CAA") was passed in 1995, and the Office of Compliance opened its doors to its covered community for the first time on January 23, 1996. The CAA applies 13 workplace, employment, and safety laws to Congress and other agencies and instrumentalities of the Legislative Branch throughout the United States. These laws include:

- ❖ the Occupational Safety and Health Act of 1970;
- ❖ the Federal Service Labor Management Relations Act;
- ❖ Title VII of the Civil Rights Act of 1964;
- ❖ public access portions of the Americans with Disabilities Act;
- ❖ the Rehabilitation Act of 1970;
- ❖ the Family and Medical Leave Act;
- ❖ the Fair Labor Standards Act;
- ❖ the Age Discrimination in Employment Act;
- ❖ the Worker Adjustment and Retraining Notification Act;
- ❖ the Employee Polygraph Protection Act;
- ❖ the Uniformed Services Employment and Reemployment Rights Act at Chapter 43 of Title 38 of the U.S. Code;
- ❖ the Veteran's Employment Opportunities Act; and
- ❖ the Genetic Information Non-disclosure Act.

Currently, Congress has given the Agency regulatory responsibility for employers in the Legislative Branch employing approximately 30,000+ employees. The Agency's Board of Directors is charged by the Act to make recommendations to Congress as to whether additional employment and public services and accommodations laws should be made applicable to the employing offices within the Legislative Branch.

Under the direction of the Executive Director, the Agency administers a dispute resolution program to resolve disputes and complaints arising under the Act, and carries out an education and training program for the regulated community on the rights and responsibilities under the Act. The General Counsel has investigatory and enforcement authority with respect to the occupational health and safety laws, the public access provisions of the Americans with Disabilities Act, and the unfair labor practice

provisions of the Act. The General Counsel also represents the Agency and its Board of Directors in all judicial proceedings under the Act.

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

The Office of Compliance currently has 22 full-time equivalent employees and pays the part-time Board members on a "when-actually-employed" basis. This employee complement performs a multiplicity of functions under a variety of subject matters, including dispute resolution, anti-discrimination and diversity initiatives, occupational safety and health, disability access, labor relations, education, training, Congressional relations, professional support for the Board of Directors, and general administrative, information technology and fiscal functions. The Agency also regularly contracts for the part-time services of approximately 25 other individuals as mediators, hearing officers, and safety and health inspectors.

### **THE CURRENT OPERATION OF THE OFFICE OF COMPLIANCE**

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

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

With 21 employees and a part-time Board of Directors, we serve the same functions as multiple agencies in the Executive Branch, including, but not limited to, the Equal Employment Opportunity Commission, Occupational Safety and Health Administration, Occupational Safety and Health Review Commission, and the Federal Labor Relations Authority. With the CAA in its seventeenth year, the Office of Compliance continues to implement more collaborative enforcement strategies for carrying out the Agency's statutory functions without compromising the regulatory mandates of our Act. Our focus is on achieving continuous improvement of existing efforts while enhancing initiatives that will serve better our regulated community.

### **FY 2013 BUDGET REQUEST**

The Office of Compliance's FY 2013 budget request was formulated through zero based structured review and analysis of OOC's mission, strategic plan and agency goals. We are constantly analyzing our resource posture, present and future, in relation to the mission and obligations the OOC is required to perform. With that analysis, refinement is continual in the use of appropriated funds to achieve the highest value for each dollar expended. The Office of Compliance is requesting \$4,206,000 for fiscal year 2013 operations; a 12.04% decrease below the FY 2012 request and 10.19% above the FY 2012 enacted.

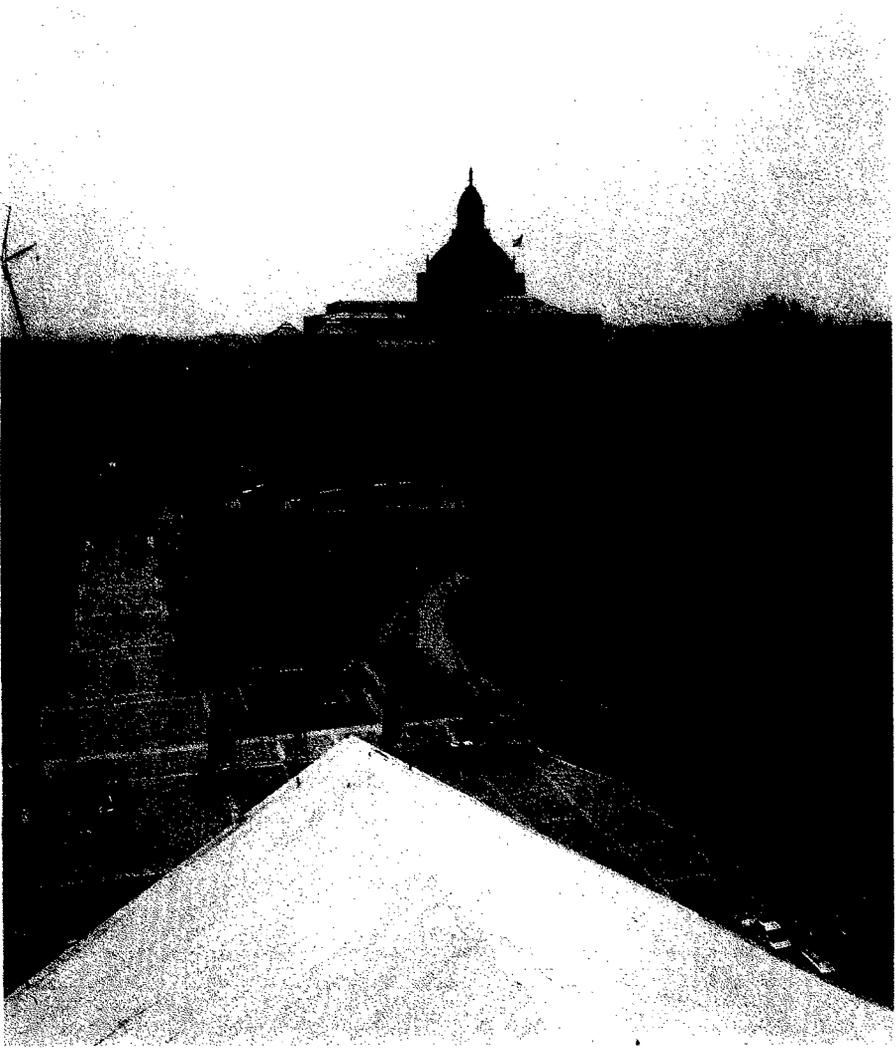
The budget is designed to support the Agency's continued effort to reduce the number of incidents giving rise to allegations of violations of the CAA, and to prevent expensive case settlements.

The FY2013 budget request focuses on supporting our most important statutory functions. Since FY2010, funding cuts have forced us to reduce significantly OSH inspector hours. During the same period, the inspection process became significantly more complex, as we developed and instituted the risk-based inspection approach directed by the FY2010 Legislative Branch Appropriations Conference Committee. This approach requires expertise in the identification and abatement of high-hazard workplaces and work operations, as well as specialized knowledge of safety and health programs and procedures. For FY2013, we propose to increase the proportion of resources that we target directly toward safety and health compliance (including biennial inspections, requester cases and fire and life safety matters), as well as ADA public access requirements.

Another critical budgetary issue for the Office of Compliance in FY 2013 is funding the dispute resolution program. Because the program can be unpredictable in the number of constituents served, the cost can fluctuate greatly over the course of the year. The Agency is seeking an increase in funding for this program to forestall any uptick in the customer requested services/assistance and to provide for continual development of the internal case management system.

The balance of the 10.19 % increase that is being requested is for staff safety equipment (escape hoods), contract services increases (cross servicing providers – Library of Congress, National Finance Center), and to maintain the high level of achievement of mission in the Office of Compliance. Also, this funding level will allow OOC to retain extremely high caliber employees to implement the Congressional Accountability Act.

We are proud of the level of services the Agency continues to provide during these fiscally challenging times, and I am equally proud of the highly professional and talented staff that the Agency has recruited and retained. The staff of the Office of Compliance and I will be available to answer any questions or address any concerns the Chair of the House or Senate Subcommittee or its Members may have.



## OFFICE OF COMPLIANCE APPROPRIATIONS LANGUAGE

### SALARIES AND EXPENSES

For salaries and expenses of the Office of Compliance, as authorized by section 305 of the Congressional Accountability Act of 1995 (2 U.S.C. 1385), \$4,206,000, of which \$527,500 shall remain available until September 30, 2013: *Provided*, That the Executive Director of the Office of Compliance may, within the limits of available appropriations, dispose of surplus or obsolete personal property by interagency transfer, donation, or discarding: *Provided further*, That not more than \$500 may be expended on the certification of the Executive Director of the Office of Compliance in connection with official representation and reception expenses.

### ADMINISTRATIVE PROVISIONS

#### RETIREMENT BENEFIT

The Office of Compliance is requesting to have its employees defined as "Congressional employees" so they may receive retirement benefits under Title II, instead of Title V. OOC wishes to offer prospective employees and current staff retirement benefits which are comparable to those accorded employees of the House and Senate, AOC, USCP, Botanic Garden and other Congressional agencies.

The OOC has a small number of position's, many of the current employees fulfill multiple functions, and are required to perform a broad assortment of tasks in addition to 'normal' operations. It is important that OOC be able to provide attractive benefits which will encourage staff to remain.

To this end, OOC requests that Section 2107 of title 5, U.S. Code, be amended as follows:

*Sec 1100. Section 2107 of title 5, United States Code, is amended ---*

*(1) By inserting after paragraph (9) the following new paragraph (10) "an employee of the Office of Compliance".*

**Office of Compliance  
Personnel summary (FTE)**

	FY 2011 Actual*	FY 2012 Actual*	Change	FY 2013 request
Average ES salary	\$167,960	\$170,430	\$0	\$170,430
Average GS/GM salary	\$81,015	\$81,353	\$1,222	\$82,575
Executive level**	6	6		6
GS/GM-15	2	2		2
GS/GM-14	4	4		4
GS/GM-13	0	0		0
GS-12	1	1		1
GS-9-11	6	6		6
GS-3-8	3	3		3
Staffing level (FTEs)	22	22		22

Notes: FY (fiscal year), FTEs (full-time equivalents), ES (Executive Schedule),  
GS/GM (General Schedule).

This schedule is for comparison purposes only. OOC does not use the formal government system of grading and salaries. Each salary is administratively determined pursuant to PL 104-1, 2 USC 1301 et seq as amended and OOC personnel policies and procedures.

\* The salary and grades reported reflect averages for the year.

\*\* The number of executive level staff for FY 2013 includes one FTE for Board members. OOC's authorizing legislation requires that members be paid the per diem equivalent of the rate provided for each day (including travel time) during which such member is engaged in the performance of the duties of the Board, at a rate equal to the daily equivalent of the lesser of:

- (i) the highest annual rate of compensation of any officer of the Senate; or
- (ii) the highest annual rate of compensation of any officer of the House of Representatives. The rate of pay of a Board member may be prorated based on the portion of the day during which the Board member is engaged in the performance of Board duties.

The other five FTEs are for the executive director, two deputy executive directors, the general counsel, and the deputy general counsel.

**OFFICE OF COMPLIANCE**  
**Appropriations History**

Salaries and Expense Account (Amounts in thousands of dollars)		
Fiscal Year	Requests	Budget Authority
1996		858
1997		2,609
1998		2,479
1999		2,086
2000	2,076	2,000
		1,992 (revised) <sup>1</sup>
2001	2,095	1,820
		1,816 (revised) <sup>2</sup>
		1,851 (revised) <sup>3</sup>
2002	2,059	2,059
2003	2,289	2,059
		2,157 (revised) <sup>4,5</sup>
2004	2,518	2,255
		2,242 (revised) <sup>6</sup>
2005	2,950	2,421
		2,402 (revised) <sup>7</sup>
2006	3,112	3,112
		3,081 (revised) <sup>8</sup>
2007	3,418	3,102
2008	4,106	3,350
		3,342 (revised) <sup>9</sup>
2009	4,308	4,072
2010	4,474	4,377
2011	4,675	4,077
2012	4,782	3,817
2013	4,206	

<sup>1</sup>FY 2000 amount reflects reductions pursuant to PL 106-113

<sup>2</sup>FY 2001 amount reflects reductions pursuant to PL 106-554

<sup>3</sup>FY 2001 amount reflects supplemental pursuant to PL 107-20

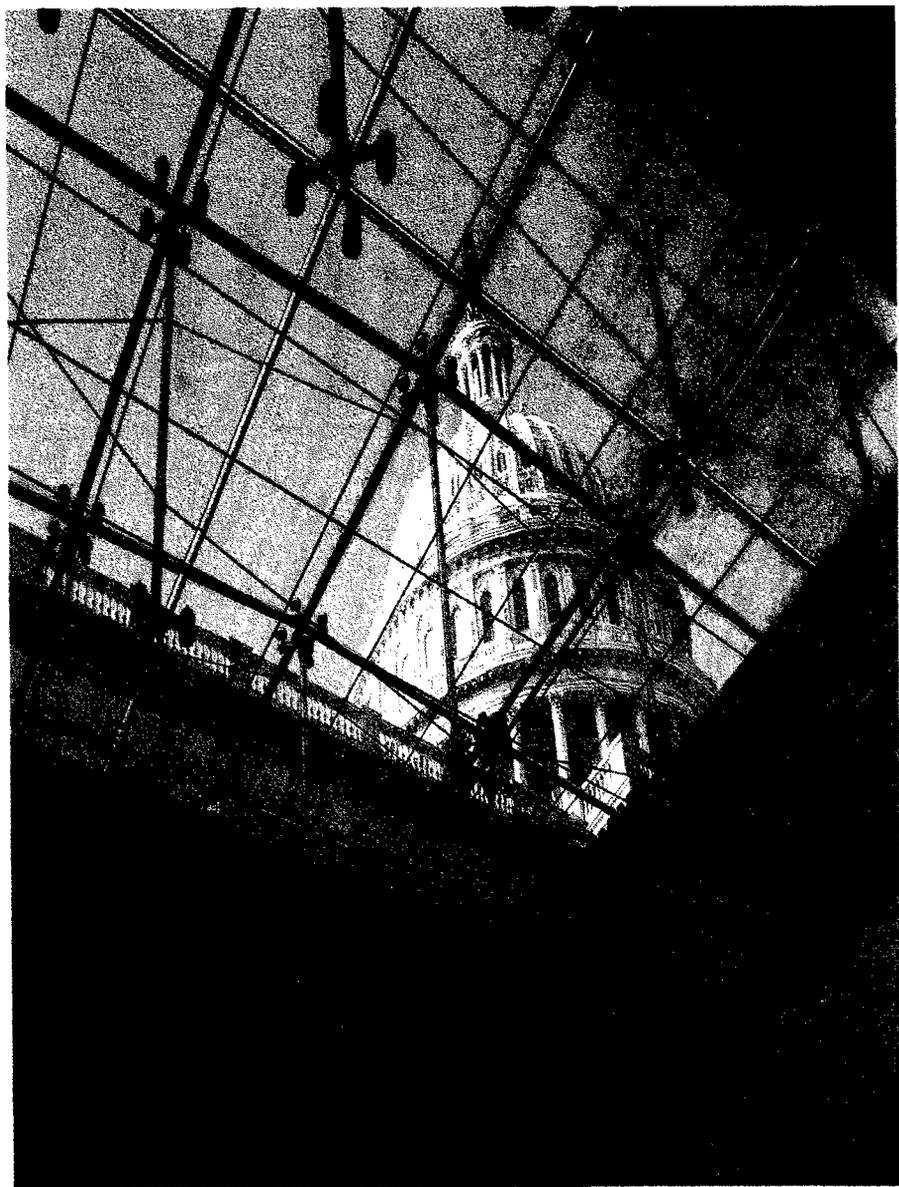
<sup>4,5</sup>FY 2003 amount reflects reductions and supplemental pursuant to PL 108-7, 11

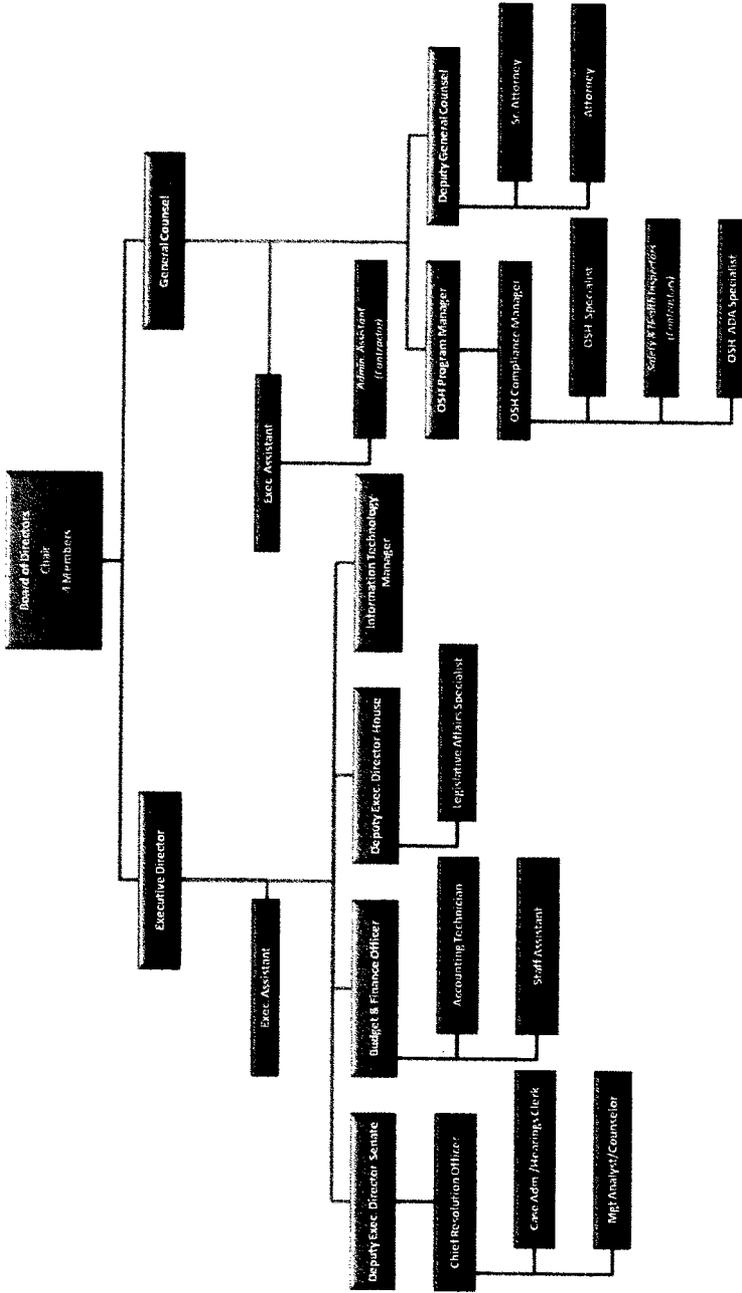
<sup>6</sup>FY 2004 amount reflects reductions pursuant to PL 108-99

<sup>7</sup>FY 2005 amount reflects reductions pursuant to PL 108-447

<sup>8</sup>FY 2006 amount reflects reductions pursuant to PL 108-148

<sup>9</sup>FY 2008 amount reflects reductions pursuant to PL 110-161





Proposed Office of Compliance FY 2013 ORG

**STRATEGIC PLAN and MEASURING SUCCESS****Introduction**

The Strategic Plan is established to guide the operations of the Office of Compliance from Fiscal Year 2010 through Fiscal Year 2012. During this time period, the Agency will regularly review the strategies and initiatives set forth in this Plan and modify them, as necessary, to respond to the changing demands on the Agency and its resources. To support the realization of the goals outlined in this Plan, the OOC will establish employee work-plans that are directly linked to the elements of the Strategic Plan.

The Plan marks the Agency's third triennial Strategic Plan, and sets out four strategic goals for fulfilling its mission under the Congressional Accountability Act ("CAA" or "Act"). Goal I addresses the responsibilities of the Agency to assist and enforce compliance with safety and health, disability access, and labor relations provisions; Goal II reviews the application of the dispute resolution program to resolve workplace conflicts, the operation of labor-management provisions relating to representation matters, and the Board's regulatory responsibilities; Goal III outlines the Agency's efforts to increase awareness and understanding of the Act, the Agency's processes, and the services available to the covered community from the Agency; Goal IV discusses the Agency's plan to provide its employees with a work environment that supports individual performance and advances the agency's mission.

The mission of the Office of Compliance is to advance safety, health, disability access, and workplace rights for employees, employers, and visitors of the Legislative Branch as mandated by the CAA. Since the passage of the CAA, the OOC has tirelessly pursued its mission to improve safety and health in Congressional facilities, and to provide a meaningful process to address and resolve employment disputes, ensure equal access for people with disabilities, and guarantee the right of employees represented by labor organizations.

In pursuit of this mission and throughout the term of this Plan, the OOC will foster relationships and leverage resources to accomplish the goals it has set. Success in some areas of this Plan may not be entirely within the Agency's control, however. Certain goals are contingent upon receiving budgetary approval for specific initiatives, and success in some areas is heavily reliant on cooperation from outside stakeholders (persons or entities sharing an interest in the actions of the OOC) and members of the covered community (Legislative Branch visitors, employing offices, and staff covered by the CAA).

**BUDGET REQUEST SUMMARY**

	FY 2011 Actual Appropriation	FY 2012 Enacted Appropriation	FY 2013 Request Appropriation	Change: 11 Enacted to 12 Enacted	Change: 12 Enacted to 13 Request
Salary & Benefits	\$2,815,772	\$2,739,600	\$3,087,750	-\$76,172	\$348,150
General Expenses	\$461,758	\$377,400	\$590,750	-\$84,358	\$213,350
Two Year (MH, SH)	\$799,450	\$700,000	\$527,500	-\$99,450	-\$172,500
<b>Grand Total</b>	<b>\$4,076,980</b>	<b>\$3,817,000</b>	<b>\$4,206,000</b>	<b>-\$259,980</b>	<b>\$389,000</b>
FTE's	22	22	22	0	0

**OVERVIEW OF FISCAL YEAR 2013 BUDGET REQUEST**

The Office of Compliance is requesting \$4,206,000 for fiscal year 2013 operations, reflecting:

- ❖ an increase of \$389,000 or 10.19% from the Agency's fiscal year 2012 enacted budget of \$3,817,000; and

The requested funding is necessary for the Agency's:

- ❖ mandated operations, including hearings, mediations, OSHA, ADA, and educational activities;
- ❖ funding for 22 full-time equivalent positions (FTEs);

The Agency is requesting that a total of \$527,500 remain available until September 30, 2014 for the services of essential contractors, including hearing officers, mediators, and safety and health inspectors.

**Summary of FY 2013 funding - \$4,206,000**

- 11: Personnel - \$2,406,550
- 12: Benefits and Other Personnel Compensation - \$680,449
- 13: Benefits for Former Personnel - \$751
- 21: Travel - \$26,750
- 23: Space Rental/Communications/Misc Charges - \$43,500
- 24: Printing and Reproduction - \$9,500
- 25: Contractual Services - \$939,100
- 26: Supplies, Materials and Publications - \$48,900
- 31: Equipment - \$50,500

**FUNDING REQUESTS (FY 2013)****OBJECT CLASS 11: Personnel**

For FY 2013, OOC requests a budget of \$2,406,550 for salary expenses associated with full-time employees. An increase of \$249,450 over FY 2012(enacted). The amount is the projected cost for a total of five Board member positions equal to one FTE, twenty full-time, and one part-time position inclusive of 1.7% annual salary increase, and inclusive of step increases/merit/promotions (.5% assumption), and performance awards (.83% of budget). Additionally a terminal leave amount is included for a known future payout and two contractors are proposed to be hired as full time staff. There will be a proportional reduction in the categories affected.

**OBJECT CLASS 12: Benefits and Other Personnel Compensation**

A total of \$680,449 is budgeted for other personnel compensation and benefits during FY 2013, an increase of \$97,949 above FY 2012 (enacted). Personnel benefits are a direct function of the amount of budgeted salary/wages and inclusive of employee transit subsidy, benefit program price increases and the growing rate of participation in the FERS retirement system.

**OBJECT CLASS 13: Benefits for Former Personnel**

A total of \$751 is budgeted for FY2013, an increase of \$751 from FY 2012 (enacted). This category covers unemployment benefits, and any other appropriate benefits costs.

**OBJECT CLASS 21: Travel**

The five OOC Board members receive, by law, reimbursement of travel expenses associated with the regular meetings required to conduct OOC business. OOC Board members are also reimbursed for travel to meetings, forums, conferences, and other official functions where they represent OOC. The amount of \$26,000 is budgeted for travel by OOC Board members in FY 2013. The balance for staff travel, local and long distance is budgeted at \$750 for a total of \$26,750 for FY 2013. The travel cost is reflective of the current GSA contract airline prices and per diem rates. OOC always uses coach tickets and government rate hotel accommodations. An increase of \$1,250 from FY 2012 (enacted).

**OBJECT CLASS 23: Communications/Misc Charges**

OOC's budget includes an estimated \$35,000 for telephone service during FY 2013. This estimate is based on historical data as well as costs associated with OOC's need to maintain responsibility for its total telephone expenditures. This amount also includes the cost of conference calls for Board activities, and any communications in support of OOC activities outside the Washington metro area. OOC's operations require the use of telephones and cellular phones for both local and long distance calling to maintain communications with OOC Board members, stakeholders, advisors, other agencies, private organizations, and members of the public. The staff and Board members provide outreach and information to our service constituency through a newsletter, e-mail and reports. Although OOC will be disseminating certain publications via electronic mail, postage is still needed for the dissemination of certain OOC informational reports. In addition, OOC business practices require the use of local delivery and messenger services to ensure prompt and secure delivery of documents to other agencies and stakeholders serviced by OOC. OOC is striving to reduce costs through technology and more efficient use of present systems. OOC is requesting \$8,500 for this purpose in FY 2013. This represents a total of \$43,500, an increase of \$2,900 from FY 2012(enacted).

**OBJECT CLASS 24: Printing and Reproduction**

OOC has budgeted \$9,500 in FY 2013 for printing costs. These costs will include: a) printing the newsletter sent to 30,000+ people; b) printing statutorily mandated reports, such as the Annual Report, and the Board of Directors' 102b report to the Congress; and c) other public information and materials for consumption by OOC's service constituency. OOC's safety and health activities will generate reports that will require publishing. In addition, it is OOC policy to produce, upon request, materials in braille, large print, compact disc, diskette and on cassette tape to accommodate members of the public who are visually and/or hearing impaired. OOC will continue to investigate and evaluate more efficient and cost effective ways, using technology, for dissemination of information to the service constituency and stakeholders. Decreasing costs are possible due to more in-house production of materials and increased use of technology. A decrease of \$2,500 from FY 2012 (enacted).

**OBJECT CLASS 25: Contractual Services****A. SUPPORT SERVICES**

As a small independent agency, OOC contracts with multiple agencies and private vendors for many of the services which are typically performed in-house at larger agencies. These contracts cover items such as payroll, financial services, human resources, information technology, web hosting, news services, mailing house, and internal control review. Specifically, the Agency incurs costs from:

- ❖ Library of Congress (Financial, custodial, information technology, \$90,000);
- ❖ National Finance Center (Payroll/Personnel services, \$5,000);
- ❖ Software Licenses (WEBTA/Tandberg Support Annual/Resilience Firewall Annual/Sophos Anti-virus Annual/Lumension Patch Mgt Annual/Fluk LinkRunner Pro/Adobe/Salesforce, \$20,500);
- ❖ Database Services (WebTA, FMA, WestLaw, Pacer, \$48,000);
- ❖ Staff Training (\$21,000);
- ❖ OCGC Administrative support (Contractor, \$26,000);
- ❖ Incidentals (Temporary services, etc., \$25,100).

The decrease in cost from LOC services has occurred through drastic reduction in service levels for cleaning and waste removal. These support services in total will cost OOC **\$235,600** in FY 2013.

**B. MISSION DIRECT SERVICES**

OOC has budgeted **\$703,500** (**\$176,000-1yr, \$527,500-2yr**) for program contracts. All proposed contracts in this category are described below.

OOC's priorities are derived from recommendations developed by OOC Board members and stakeholders, and are based upon the goals and objectives outlined in OOC's strategic plans. Given the limited size of our agency, the judicious use of external contractors substantially enhances our capability to meet our basic mandate of advancing safety, health, public access and workplace rights in the U.S. Congress and the Legislative Branch.

The Agency is requesting **\$176,000** for FY 2013, for the following:

- ❖ Web Site; Annual Report; Newsletter; 102B Report (Design/Production, \$37,000)
- ❖ Stenographic services (for hearings, \$8,000);
- ❖ Legal Consultants (\$29,500)
- ❖ Ongoing training internal/external; Mission related training of covered community and expansion of best practices to increase awareness of rights and OOC services (\$16,000);
- ❖ Funds are requested for continuing contracted services with a part-time industrial hygienist. This contractor has been and will continue to be instrumental in developing methods to determine the relative risk of health and safety hazards. The contractor's expertise in advancing occupational safety and health in complex organizations with multiple competing interests is critically important to OCGC's ongoing efforts to set and apply abatement priorities among the hazards present in the Legislative Branch. (\$85,500)

The Agency is requesting that a total of **\$527,500** remain available until **September 30, 2014** for the services of essential contractors, including hearing officers, mediators, and safety and health inspectors and consultants. The time period allows maximum flexibility given the changing environment associated with the OSH and Dispute Resolution mandates of the CAA. The safety and health duties of our OSH

program can be greatly affected by events from the OCGC's constituent base of member offices, or from the physical plant realities of everyday use within the capitol complex or outlying physical structures. In addition, dispute resolution can be especially unpredictable given the Agency's inability to deny services to constituents who seek service from OOC. In addition, costs of mediations and hearings can only be controlled in a limited manner.

**OBJECT CLASS 26: Supplies, Materials and Publications**

OOC's budget includes **\$48,900** for the purchase of supplies, materials and publications for FY 2013. This amount represents an increase of **\$35,600** from FY 2012 (enacted). The amount includes costs for supplies for mailing, copying, and ordinary office supplies such as paper, pens, and pencils. OOC is attempting to streamline use of paper and other resources in favor of technological solutions to report-generation, distribution and storage. Also budgeted are funds for the purchase of library materials, and for subscriptions to relevant scientific, technical, and policy-oriented publications. OOC subscribes to various electronic information services in order to provide Board members and staff with current technical information. The cost for these services is included in this category. Increase is mainly from re-categorization of items to their true class.

**OBJECT CLASS 31: Equipment**

OOC is requesting **\$50,500** for equipment in FY 2013. There is an increase of **\$25,000** from FY 2012 (enacted). The bulk of the funding will go toward modernizing the information technology and voice/data communication infrastructure.

- ❖ OOC will continue the modernization plan, from our information technology manager, to upgrade the IT capabilities of the Agency in an integrated, efficient and cost effective manner that reflects the Agency's growth and adherence to its strategic plan. OOC will continue to implement a system to improve security on each staff member's computer in line with government-wide security standards, albeit some plans may be slowed or halted as a reflection of funding availability.
- ❖ Agency-wide applicable equipment replacement and upgrades will be slowed or stopped as a ratio of needs to funding/resource availability.

**BUDGET DETAIL**

The Office of Compliance administers one major program, i.e., we administer the provisions of the Congressional Accountability Act. The Act has dual emphasis on dispute resolution and compliance activities.

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

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

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

**Non-personnel budget by program:**

Office of Compliance FY 2013 Annual General Expenses Budget Request Summary by Program (*Inclusive of 2 Yr Funds)							
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	11 to 13 Change	12 to 13 Change	11 to 13 % Change	12 to 13 % Change
OOC Salaries & Benefits	\$2,815,772	\$2,739,600	\$3,087,750	\$271,978	\$348,150	9.66%	12.71%
OCBD	\$35,689	\$26,100	\$27,500	(\$8,189)	\$1,400	-21.17%	5.36%
OCED	\$31,682	\$68,500	\$69,200	\$37,518	\$700	118.42%	1.02%
OCEI	\$62,206	\$28,500	\$55,500	(\$6,706)	\$27,000	-10.78%	94.74%
OCMH*	\$170,669	\$139,000	\$156,500	(\$14,169)	\$17,500	-8.30%	12.59%
OCGC	\$34,406	\$46,800	\$78,550	\$44,144	\$31,750	128.30%	67.84%
OCSH*	\$738,308	\$608,000	\$474,000	(\$264,308)	(\$134,000)	-35.80%	-22.04%
OCSY	\$162,774	\$160,500	\$257,000	\$94,226	\$96,500	57.89%	60.12%
Grand Total	\$4,051,506	\$3,817,000	\$4,206,000	\$154,494	\$389,000	3.81%	10.19%

**Personnel Costs**

Personnel Request (in millions)						
FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	11 to 13 Difference	12 to 13 Difference	11 to 13 %	12 to 13 %
\$2,815,772	\$2,739,600	\$3,087,750	\$271,978	\$348,150	9.66	12.71

**Non-Personnel Costs**

Non-Personnel Request (in millions)						
FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	11 to 13 Difference	12 to 13 Difference	11 to 13 %	12 to 13 %
\$1,235,734	\$1,077,400	\$1,118,250	\$(117,484)	\$40,850	-9.51	3.79

**Non-Personnel services increase/decrease by major Object Class.**

Object Class	FY 2011 Actual	FY 2012 Enacted	FY 2013 Budget Request	11 to 13 CHG	12 to 13 CHG	11 to 13 % CHG	12 to 13 % CHG
(21) Travel	\$ 34,676	\$25,500	\$26,750	(\$7,926)	\$1,250	-22.86	4.90
(23) Space Rental/Communica tions/Misc	\$ 37,425	\$40,600	\$43,500	\$6,075	\$2,900	16.23	7.14
(24) Printing and Reproduction	\$ 5,632	\$12,000	\$9,500	\$3,868	(\$2,500)	68.68	-20.83
(25) Contractual Services	\$1,122,731	\$960,500	\$939,100	(\$183,631)	(\$21,400)	-16.36	-2.23
(26) Supplies, Materials and Publications	\$ 14,317	\$13,300	\$48,900	\$34,583	\$35,600	241.55	267.67
(31) Equipment	\$ 21,442	\$25,500	\$50,500	\$29,058	\$25,000	135.52	98.04
<b>Grand Total</b>	<b>\$1,236,223</b>	<b>\$1,077,400</b>	<b>\$1,118,250</b>	<b>(\$117,973)</b>	<b>\$40,850</b>	<b>-9.54</b>	<b>3.79</b>

**BUDGET REQUESTS BY PROGRAM****OC Mediation and Hearings - OCMH****Mandate: Congressional Accountability Act, Sections 401-416**

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

**Overview**

*Requests for Information, Counseling, and Mediation:* An employee or employer covered by the CAA may, at any time, seek information and clarification from the Agency on its procedures, and on the protections, rights, and responsibilities provided by the CAA. Under the Act, employees must engage in counseling and mediation under the auspices of the Office of Compliance as a precursor to filing a formal administrative complaint or initiating a Court action. The Agency provides counseling and mediation in a neutral, confidential setting.

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

**Strategic Planning**

**Provide a fair, efficient, and high quality process for resolving workplace disputes that are presented to the Office of Compliance under the Congressional Accountability Act.**

**Initiatives**

- A. Effectively utilize alternative dispute resolution techniques in OOC proceedings to assist disputants in successfully resolving workplace disputes.
- B. Provide resources to parties coming before the Board of Directors - increasing their knowledge and understanding of the CAA, advancing the application of the CAA, and facilitating the appropriate resolution of matters before the Board.
- C. Support the implementation of the labor-management provisions of the CAA.
- D. Effectuate the Board of Directors' rulemaking authority by tracking and reviewing proposed legislation and regulation, amending the Agency's Procedural Rules, and recommending Congressional approval of substantive regulations adopted by the Board.

**VALUE ADDED**

The Office of Compliance provides skilled, efficient and cost-effective means to resolve alleged violations of the CAA. All claims to the Office go through a confidential multi-step process of counseling and mediation before a civil action can be filed in a United States district court or a formal complaint filed

with the OOC. The confidential processes administered by the OOC protect the rights of the parties to resolve their conflict on mutually agreeable terms without intrusion or influence from non-parties. Employees, Members and other employing offices share the same confidentiality protections in addressing sensitive disputes.

In administering the Act, the Office provides information on their rights and responsibilities directly to members of the covered community and explores settlement options with them. Claims not resolved in mediation may be raised in the confidential administrative hearing process. Through this administrative dispute resolution process, the OOC resolves an overwhelming majority of claims, confidentially and without the need for litigation. For example, in FY '11, the Office received almost 300 requests for advice and information and there were 142 claims initiated with the Office. Also in FY '11, only 5 civil actions were filed in district court in contrast to the twelve complaints that were filed through the Office's confidential administrative process. This saves taxpayers and all parties involved time, resources, and money that would otherwise be wasted on prolonged litigation and avoids exposing sensitive matters in a public forum, such as open court.

#### **Accomplishments in FY 2011**

In FY11, the Agency worked to promote voluntary compliance with the provisions of the Congressional Accountability Act through individualized and group outreach and training initiatives. In addition, the Agency published Board decisions, reports, studies and informational bulletins on its website to educate stakeholders on their rights and responsibilities under the Act.

To enhance its work with the agencies of the legislative branch, OOC staff served on the Legislative Branch Employment Dispute Resolution Council and the Legislative Branch Diversity Council to share best practices and develop branch-wide initiatives. During FY11, the OOC provided training tailored to the specific needs of Legislative Branch agencies, briefed Congressional Committees on the activities of the Agency, educated visiting dignitaries on the Act and the Office of Compliance, and participated in quarterly training sponsored by the Congressional Research Service.

The Agency enhanced its capacities while operating under increasingly limited resources. In FY11, the OOC mediated a significant number of claims "in-house" to reduce expenses, updated the functionality of its case management system to improve efficiency, and obtained the services of student interns.

Case activity in FY2011 was up significantly from the previous year. The number of counseling requests filed with the Agency rose sharply - up 35% from the previous year, requests for mediation also rose 35%, and the number of negotiated settlement agreements, both monetary and non-monetary, increased 35% over FY2010. The number of complaints filed increased by 33% over the previous year, and the Agency issued Board of Directors' decisions in eight cases, two of which were consolidated.

In FY11, Congress approved substantive regulations proposed and adopted by the Board of Directors to implement the Veteran's Employment Opportunities Act (VEOA). In addition to obtaining issuance of the VEOA regulations, the Board continued to review its Procedural Rules to propose amendments, and draft substantive regulations to implement the amended Family and Medical Leave Act.

**FY 1997 - FY 2011 Comparison**

	Calls for Information	Requests for Counseling	Requests for Mediation	Administrative Complaints Filed
FY 1997	1,716	165	158	6
FY 1998	961	68	56	8
FY 1999	1,098	323	49	14
FY 2000	611	75	329	3
FY 2001	595	430	386	10
FY 2002	543	77	54	12
FY 2003	497	92	70	8
FY 2004	593	84	76	5
FY 2005	476	60	45	9
FY 2006	511	54	52	7
FY 2007	475	52	50	7
FY 2008	476	82	39	13
FY 2009	263	108	75	10
FY 2010	277	105	86	9
FY 2011	299	142	116	12

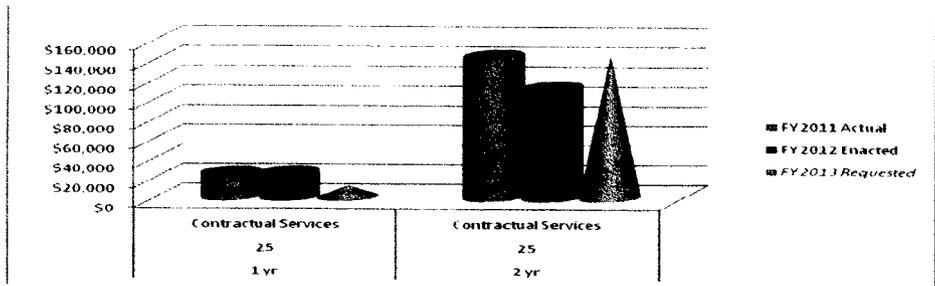
The OOC experienced mass filings of two series of related controversies.

**Fiscal Year 2013 Budget Request**

The Office of Compliance is requesting a total of \$156,500 for non-personnel services for FY 2013 for the OC Mediation and Hearings Program. This total reflects an analysis of the requirements to perform basic functions, and changes in requirements.

**FY 2013 Object Class Schedule A**

PROG	Object Class	OC Description	FY 2011 Actual	FY 2012 Enacted	FY 2013 Requested	Change FY11/FY13	Change FY12/FY13
<b>OCMH</b>							
1 yr	25	Contractual Services	\$25,669	\$26,000	\$11,500	(\$14,169)	(\$14,500)
2 yr	25	Contractual Services	\$145,000	\$113,000	\$145,000	\$0	\$32,000
<b>OCMH Total</b>			<b>\$170,669</b>	<b>\$139,000</b>	<b>\$156,500</b>	<b>-\$14,169</b>	<b>\$17,500</b>



**Analysis of Change**

	<b>Mediation and Hearings</b>
<b>FY 2011 Actual Appropriation</b>	\$170,669
<b>Legislative Increases</b>	\$0
<b>Inflationary Adjustments</b>	\$0
<b>Program Increases/Decreases</b>	-\$14,169
<b>FY 2013 New Initiatives</b>	\$0
<b>Non-recurring FY 2011 Expense</b>	\$0
<b>FY 2013 Request</b>	\$156,500

**Analysis of Change**

	<b>Mediation and Hearings</b>
<b>FY 2012 Enacted Appropriation</b>	\$139,000
<b>Legislative Increases</b>	\$0
<b>Inflationary Adjustments</b>	\$0
<b>Program Increases/Decreases</b>	\$17,500
<b>FY 2013 New Initiatives</b>	\$0
<b>Non-recurring FY 2012 Expense</b>	\$0
<b>FY 2013 Request</b>	\$156,500

**OC Safety and Health - OCSH**

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

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

**...The rights and protections against discrimination in the provision of public services and accommodations established by sections...of the Americans with Disabilities Act of 1990 shall apply to the entities listed...@ 2 U.S.C. 1331.**

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**Overview**

*Safety and Health--Periodic Inspections:* The Act requires the General Counsel of the Office of Compliance to inspect all covered facilities in the Legislative Branch for compliance with occupational safety and health standards at least once each Congress, and to report the findings to Congress. Approximately 30,000+ Legislative Branch employees are covered by the OSH standards in the Washington, DC metropolitan area.

*Requests for Safety and Health Inspections:* The Act's safety and health provisions give covered employees and offices the right to request inspections of potentially hazardous conditions in work areas. When a request for inspection is received, the Office of the General Counsel initiates an on-site investigation, after which it sends a detailed report to the employing office that describes the conditions found, reports the results of any tests performed, and explains steps that may be needed to remedy the problem. In the event the responsible employing office fails to correct the problem within a specified time, the OGC may issue a citation or notification, and, when necessary, a complaint.

*Safety and Health Technical Assistance:* Like the Occupational Safety and Health Administration, the OGC provides compliance assistance to employing offices and covered employees. The OGC also advises employing offices about interpretations of OSHA standards upon request, and provides information about proposed OSHA standards that affect their operations. In addition, the OGC assists in the development of programs to reduce occupational injuries in Legislative Branch agencies that have high lost-time injury and illness rates, and facilitates the development of emergency action plans by employing offices.

*Disability Access Inspections:* Pursuant to section 210 of the Act, the Office of the General Counsel is required to conduct inspections of all covered Legislative Branch facilities at least once each Congress to determine compliance with the rights and protections against discrimination, in the provision of public services and accommodations established by the Americans with Disabilities Act (ADA). Members of the public may request an investigation of conditions that they allege deny them equal access to Legislative Branch facilities and programs. The General Counsel is responsible for investigating charges of disability access discrimination. If, upon investigation, the General Counsel believes that a violation may have occurred, he can refer the parties to mediation to resolve the dispute. If mediation is unsuccessful, the General Counsel can file a complaint against the entity responsible for correcting the violation.

**ADA Technical Assistance:** The Act authorizes the OGC to provide employing offices with technical advice to assist them in complying with disability access requirements. In addition, the OGC routinely answers questions from congressional offices and Legislative Branch employees on disability access laws.

### **Strategic Planning**

**Protect the health and safety of Legislative Branch employees, assure equal access for individuals with disabilities, and provide for the prompt and fair resolution of labor relations disputes.**

#### **Initiatives**

- A. Prioritize OSH and ADA inspections and abatement enforcement according to risk and severity.
- B. Promote improved understanding of compliance requirements through targeted, effective education and technical assistance programs.
- C. Provide clarity to stakeholders respecting OOC protocols and procedures.

#### **Measures**

- A. Identify, prioritize and assure the creation of an efficient and cost-effective plan for the responsible employing offices to abate all RAC I and RAC II hazards found in all covered Washington area buildings and facilities.
- B. Resolve 80% of all RAC I and RAC II hazards within one year of their discovery.
- C. Facilitate, implement, and monitor inspection of pilot Member District and State offices; complete self-inspections by the end of FY 2011.
- D. Complete pilot self-inspection program and use survey results to develop a self-inspection program for all Member District and Senate State offices by the end of FY 2012.
- E. Secure ADA transition plans for all covered Washington DC area buildings and facilities.

### **VALUE ADDED**

OGC's efforts have led to safer workplaces for Members, staff and visitors. Since the OGC began its wall-to-wall safety and health inspections in 2006, the average number of hazards identified in Member Offices in Washington, D.C. declined from 8.16 to 1.75 per office. During the 111<sup>th</sup> Congress, 154 Members maintained hazard-free offices, and thus were rewarded with the OOC/National Safety Council's "Safe Office Award."

The number of hazards OGC identified during our biennial inspections decreased from 13,140 in the 109<sup>th</sup> Congress to 5,400 in the 111<sup>th</sup> Congress even as the total space inspected increased from about 16 million to nearly 18 million square feet. We have also learned from employing offices that most of the hazards found in prior inspections have been abated.

Our ADA inspections have led to increased access to Legislative Branch facilities. We continue to work with the AOC to develop cost-effective plans to address the most serious barriers to access that are uncovered by our inspections and by complaints made by members of the public.

### **Accomplishments in FY 2011**

During FY 2011, the General Counsel completed the design of our risk-based inspection program, which we undertook at the direction of the FY2010 Legislative Branch Appropriations Conference Committee. Thereafter, we reviewed the plan with stakeholders and made appropriate adjustments. The result was a carefully-crafted plan for a risk-based inspection process that prioritizes activities within our statutory responsibilities.

As a consequence of funding cuts, the OGC's safety and health inspector hours have dropped by 47% since FY 2010. During the same period, the complexity of the inspection process increased significantly as we developed and finalized our risk-based inspection processes. As we advised the Appropriations Committees last year, during FY 2011, we found that the risk-based process required more time than the wall-to-wall facilities inspections OCGC conducted during the 109<sup>th</sup> through 111<sup>th</sup> Congresses. This is because inspecting high-hazard areas requires determining which of many OSHA standards applies before the inspector can evaluate the extent of compliance with the relevant standard(s). Similarly, evaluating the effectiveness of OSHA-mandated safety and health programs requires the inspector to review the written program documents thoroughly, assess the extent to which the document meets the standard's requirements, and then interview employees to ascertain whether they understand and are complying with the program's provisions on the job.

Because risk-based inspections require both expertise and time, the drop in inspector resources forced us to reduce the time spent inspecting high-hazard areas such as electrical transformer rooms, as well as areas where we have repeatedly found the most dangerous violations in the past. Budget cuts also required us to limit our reviews of safety programs required by OSHA standards to two such programs: hazard communication and personal protective equipment. We lacked the resources to evaluate other mandated programs, even in those workplaces where additional procedures would be required by OSHA standards (e.g., blood-borne pathogen procedures in the Office of the Attending Physician and fall protection programs for Architect of the Capitol employees working on building roofs, among others). Among private sector workers, landscaping employees report the highest rate of injury and illness of all occupations; these workers must employ hazardous chemicals and machinery in the course of their work. In the legislative branch, these operations have not been systematically examined during past inspections. Nonetheless, funding cuts required OGC to reduce our planned landscaping inspections by over 50%.

Moreover, as noted last year, Legislative Branch work space increased significantly during FY2011. Despite funding limitations, we were able to inspect the two new book modules that came online at Ft. Meade. The FDA Building is scheduled to open in FY2013, and sufficient resources are necessary to conduct pre-inspections. In the past, our pre-inspections of the CVC resulted in significant cost savings. Because hazards and accessibility barriers were discovered before construction was complete, construction contractors were often available to correct the deficiencies in a more efficient and sometimes less costly manner than had the violations been identified after the CVC opened. However, absent additional resources, we anticipate substantial difficulties in conducting pre-inspections of the FDA Building.

The General Counsel issued citations in 2000 and 2001 concerning the life-threatening fire hazards in the Capitol, House and Senate office buildings, and Library of Congress facilities. The Citations remain unabated due in large part to fiscal constraints. Accordingly, the OOC remains focused on fire prevention efforts in these buildings. OCGC expects to work closely with the AOC to develop and monitor interim measures to help improve safety in these buildings until permanent abatement can be achieved.

In the past, Congress has benefited from OOC's technical assistance on occupational safety and health matters; requestor-initiated inspections; and educational materials including *Fast Facts* for posting on OOC's website, [www.compliance.gov](http://www.compliance.gov). In FY2011, budget cuts forced us to eliminate *Fast Facts*; dramatically reduce the technical assistance provided to Congress; and prolong our investigations of requestor-initiated inspections. Absent increased funding, we anticipate ongoing delays and further reductions in these critical activities.

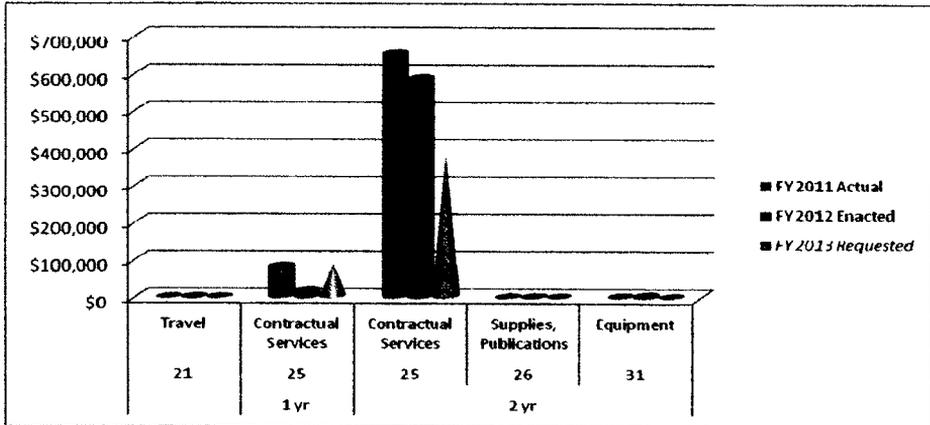
**Fiscal Year 2013 Budget Request**

The Office of Compliance is requesting a total of \$474,000 for non-personnel services for FY 2013 for the OC Safety and Health Program. In its FY 2011 and FY 2012 budget requests, OOC noted its need for an additional safety and health inspector but indicated that it was attempting to fill the need by obtaining a non-reimbursable detailee from the Department of Labor or other Executive Branch agencies. Fiscal and other constraints have prevented other agencies from supplying such a detailee, and OOC has been advised that no detailee will be available in the foreseeable future. OOC's need for an additional safety and health inspector has not diminished; to the contrary, the risk-based approach supported by Congress requires more time and expertise than the wall-to-wall inspections of the past, and additional square footage to inspect further increases OOC's workload. As a consequence, OOC may not be able to offer all of the services described above at the same level as in prior years; some services may be reduced, while others may need to be discontinued altogether. The extent of the service reduction depends on the degree to which necessary funding is lacking.

This total reflects an analysis of the requirements to perform basic functions, and changes in requirements.

**FY 2013 Object Class Schedule A**

PROG	Object Class	OC Description	FY 2011 Actual	FY 2012 Enacted	FY 2013 Rebudgeted	Change FY11/FY13	Change FY12/FY13
<b>OCSH</b>							
	21	Travel	\$0	\$0	\$100	\$100	\$100
1 yr	25	Contractual Services	\$82,356	\$17,500	\$86,000	\$3,644	\$68,500
2 yr	25	Contractual Services	\$654,555	\$587,000	\$382,500	(\$272,055)	(\$204,500)
	26	Supplies, Publications	\$0	\$0	\$2,400	\$2,400	\$2,400
	31	Equipment	\$1,396	\$3,500	\$3,000	\$1,604	(\$500)
<b>OCSH Total</b>			<b>\$738,307</b>	<b>\$608,000</b>	<b>\$474,000</b>	<b>(\$264,307)</b>	<b>(\$134,000)</b>



**Analysis of Change**

	<b>Safety and Health</b>
<b>FY 2011 Actual Appropriation</b>	<b>\$738,307</b>
<b>Legislative Increases</b>	\$0
<b>Inflationary Adjustments</b>	\$0
<b>Program Increases/Decreases</b>	-\$264,307
<b>FY 2013 New Initiatives</b>	\$0
<b>Non-recurring FY 2011 Expense</b>	\$0
<b>FY 2013 Request</b>	<b>\$474,000</b>

**Analysis of Change**

	<b>Safety and Health</b>
<b>FY 2012 Enacted Appropriation</b>	<b>\$608,000</b>
<b>Legislative Increases</b>	\$0
<b>Inflationary Adjustments</b>	\$0
<b>Program Increases/Decreases</b>	-\$134,000
<b>FY 2013 New Initiatives</b>	\$0
<b>Non-recurring FY 2012 Expense</b>	\$0
<b>FY 2013 Request</b>	<b>\$474,000</b>



## OC General Counsel - OCGC

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**Mandate: Congressional Accountability Act, Section 220**

**...The rights, protections, and responsibilities established under sections 7102, 7106, ...and 7131 of title 5, United States Code, shall apply to employing offices and to covered employees and representatives of those employees. @ 2 U.S.C. 1351.**

**...Assist the Board and the Executive Director in carrying out their duties and powers, including representing the Agency in any judicial proceeding. @ 2 U.S.C. 1383(c)(3).**

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**Overview**

The General Counsel is responsible for investigating allegations of unfair labor practices ("ULP") filed under section 220 of the Act, and for filing and prosecuting complaints of unfair labor practices. The General Counsel is also responsible for advising and providing representation to the Board of Directors and the Executive Director, including representing the Agency in federal court.

**Accomplishments in FY 2011**

Eight new unfair labor practice charges were filed during FY 2011. Four charges were open at the beginning of the fiscal year. By encouraging the parties to resolve disputes via negotiation, as well as working with the parties to ascertain the causes of their disagreements, the General Counsel helped to close eight unfair labor practice charges during FY 2011. Only four charges remained open at the beginning of FY 2012.

During FY 2012, upon request and when appropriate, the General Counsel will focus efforts on accelerating investigations in order to determine whether to dismiss charges without foundation, seek resolutions in the form of settlement between the parties, or file formal complaints.

**General Counsel Funding**

All employee salary/benefits, funding for Labor Relations investigation and enforcement, Occupational Safety and Health/Americans with Disabilities investigation and enforcement, and routine General Counsel functions are a cost within the OCGC organization.

**VALUE ADDED**

Under certain circumstances, the CAA gives an employee, union or employing office the right to appeal to the U.S. Court of Appeals for the Federal Circuit a decision issued by the Board of Directors. The General Counsel represents the Board of Directors in such appeals, which requires preparing and filing written briefs and presenting oral argument. The Board of Directors has prevailed in every case heard by the Federal Circuit to date.

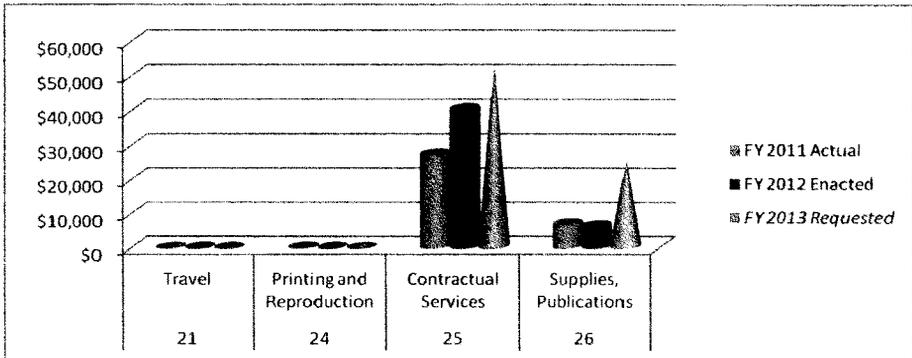
The CAA provides that the General Counsel is responsible for processing charges of unfair labor practices filed by individuals, unions or employing offices. Since the passage of the CAA, the General Counsel has successfully resolved -- via settlement or voluntary dismissal -- all such charges filed with the Office without resorting to formal unfair labor practice proceedings.

**Fiscal Year 2013 Budget Request**

The Office of Compliance is requesting a total of \$25,000 for non-personnel services for FY 2013 for the OC General Counsel Program. This total reflects an analysis of the requirements to perform basic functions, and changes in requirements.

**FY 2013 Object Class Schedule A**

PROG	Object Class	OC Description	FY 2011 Actual	FY 2012 Enacted	FY 2013 Requested	Change FY11/FY13	Change FY12/FY13
<b>OCGC</b>							
	21	Travel	\$0	\$0	\$50	\$50	\$50
	24	Printing and Reproduction	\$131	\$0	\$500	\$369	\$500
	25	Contractual Services	\$27,401	\$40,500	\$53,000	\$25,599	\$12,500
	26	Supplies, Publications	\$6,874	\$6,300	\$25,000	\$18,126	\$18,700
<b>OCGC Total</b>			<b>\$34,406</b>	<b>\$46,800</b>	<b>\$78,550</b>	<b>\$44,144</b>	<b>\$31,750</b>



**Analysis of Change**

	<b>General Counsel</b>
FY 2011 Actual Appropriation	\$34,406
Legislative Increases	\$0
Inflationary Adjustments	\$0
Program Increases/Decreases	\$44,144
FY 2013 New Initiatives	\$0
Non-recurring FY 2011 Expense	\$0
<b>FY 2013 Request</b>	<b>\$78,550</b>

**Analysis of Change**

	<b>General Counsel</b>
FY 2012 Enacted Appropriation	\$46,800
Legislative Increases	\$0
Inflationary Adjustments	\$0
Program Increases/Decreases	\$31,750
FY 2013 New Initiatives	\$0
Non-recurring FY 2012 Expense	\$0
<b>FY 2013 Request</b>	<b>\$78,550</b>

**OC Education and Information (Outreach) - OCEI**

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**Mandate: Congressional Accountability Act, Section 301(h)**

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...The Office shall...carry out a program of education for Members of Congress and other employing authorities of the Legislative Branch of the Federal Government respecting the laws made applicable to them and a program to inform individuals of their rights under laws made applicable to the Legislative Branch...@ 2 U.S.C. 1381.

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**Overview**

The Office of Compliance provides education and information to Congress, other employing offices of the Legislative Branch, and covered employees. Education and information activities include developing and distributing written materials and publications; conducting conferences, briefings, and workshops; maintaining a website on the Internet; and providing information and referrals to employees and employing offices on an individual or group basis.

**Strategic Planning**

**Improve knowledge of rights and responsibilities under the CAA, both on Capitol Hill and in State and District offices, and increase awareness of the OOC among Legislative Branch employees and employing offices as a primary resource when questions arise.**

**Initiatives**

- A. Increase visibility within the covered community and build relationships with those stakeholders who are unfamiliar with the OOC
- B. Become a vital resource for the covered community
- C. Acknowledge and promote the basic tenets of fair employment practices and workplace rights inherent in the Congressional Accountability Act
- D. Develop a "Model Office" program to recognize those employing offices that seek training and advice from the Office of Compliance
- E. Increase the effectiveness of the Office of Compliance website as an informational resource, and implement methods of mutual recognition between the Office of Compliance and various Legislative Branch agencies

**VALUE ADDED**

As mandated by the CAA, the OOC's education and outreach program creates and distributes information (through different mediums) about workplace rights to over 30,000 employees in the Legislative Branch. In accordance with CAA requirements, the OOC distributes annually information to the homes of all employees, including Members of Congress. In FY11, the response to the OOC's newly formatted mailer was overwhelmingly positive. Employees contacted the OOC to inquire about their rights and employing offices requested to meet with the OOC to learn more about compliance requirements. Several employing offices also requested that the OOC provide additional training and resources about the Family & Medical Leave Act, mediation strategies, and anti-harassment prevention. In addition, several employing offices displayed OOC workplace rights posters in their Capitol Hill and district offices.

The OOC also provides quarterly presentations and distributes materials during CRS training, which reaches hundreds of staff in district and state offices. In addition, the OOC works closely with the

Secretary of the Senate to provide educational materials to new Senate employees. In fiscal year 2011, the OOC distributed new materials to 3,000 new Senate employees.

In FY12, the OOC expects to gain access to the House email system and send brief educational materials to all House employees and employing offices on a quarterly basis.

### **Accomplishments in FY 2011**

In FY2011, there was a continued trend of increased demands for our educational resources. We were able to update and replenish our depleted publication inventories which benefit employees as well as employing offices. Indeed, demand for those publications started immediately thereafter, as several agencies requested them for employee distribution. In addition, the Senate distributed over 1,500 OOC brochures and publications to new Senate employees in their orientation packets.

The OOC is required to send information to the homes of Congressional employees. To reduce costs during FY 2011, the OOC distributed a "Notification of Rights" to the home of each Congressional employee, including Members of Congress, rather than the lengthier "newsletter" that was mailed in previous years. The notice was very effective in conveying information about workplace rights and dispute resolution of employment rights cases. The OOC received calls from employees inquiring about their rights and several employing offices contacted the OOC to request informational meetings and training on specific issues, such as the Family and Medical Leave Act.

Demand for our participation in employee training has also increased. The OOC has been asked to participate in periodic CRS training for employees of the House and Senate throughout the year. These training programs provide critical information to Congressional employees about their workplace rights under the CAA. The OOC also provided EEO training at the request of the Congressional Budget Office in FY 2011.

We continued to meet monthly with staffers from the Committee on House Administration, bridging the goals that both the Committee and our Agency seek to achieve. We continue to reach out and cultivate relationships with Members of both the House and Senate, Committee staff and Leadership.

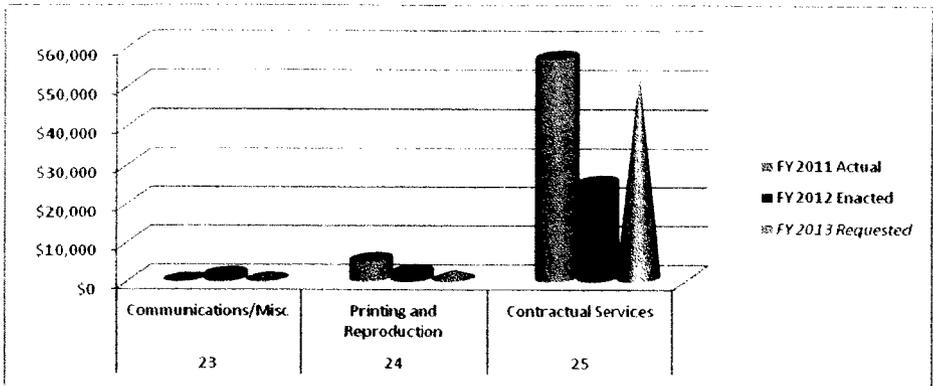
Performance measures we track include the number of hits to the OOC website (we also want to track the number of downloads of publications but we do not have the funds for a program to track downloads at this time). Prior to FY 2010, website data was tracked by a GPO program that included human hits and non-human hits called "spiders." Such data was included in prior budget requests and the OOC decided that such information was not meaningful in terms of tracking human interaction with our website resources because the spiders were included in the hits information provided by GPO. The OOC determined that more meaningful information could be drawn from hit data if they included only human hits and not spiders. Our new tracking system uses Google Analytics, now an industry standard and free of cost to the Agency that removes spider hits and provides information about actual human hits by users, such as Congressional employees and Members. Since using Google Analytics in July 2010, hits to our website averaged 2500 per month in August and September 2010 (FY10). In FY 2011, hits to our website increased to an average of 2995 per month. So far in FY 2012, the website had 3,762 hits in October 2011 and 3,324 in November 2011, another increase compared to prior years. Thus far, the increase in website traffic has not impaired or hindered our website hosting capabilities however additional website traffic may require updating website capabilities in future years.

**Fiscal Year 2013 Budget Request**

The Office of Compliance is requesting a total of \$55,500 for non-personnel services for FY 2013 for the OC Education & Information (Outreach) Program. This total reflects an analysis of the requirements to perform basic functions, and changes in requirements.

**FY 2013 Object Class Schedule A**

PROG	Object Class	OC Description		FY 2012 Enacted		Change FY11/FY13	Change FY12/FY13
<b>OCEI</b>							
	23	Communication s/Misc	\$0	\$1,500	\$1,500	\$1,500	\$0
	24	Printing and Reproduction	\$5,206	\$2,000	\$2,000	(\$3,206)	\$0
	25	Contractual Services	\$57,000	\$25,000	\$52,000	(\$5,000)	\$27,000
<b>oOCEI Total</b>			<b>\$62,206</b>	<b>\$28,500</b>	<b>\$55,500</b>	<b>(\$6,706)</b>	<b>\$27,000</b>



**Analysis of Change**

	Education and Information
FY 2011 Actual Appropriation	\$62,206
Legislative Increases	\$0
Inflationary Adjustments	\$0
Program Increases/Decreases	-\$6,706
FY 2013 New Initiatives	\$0
Non-recurring FY 2011 Expense	\$0
FY 2013 Request	\$55,500

**Analysis of Change**

	Education and Information
FY 2012 Enacted Appropriation	\$28,500
Legislative Increases	\$0
Inflationary Adjustments	\$0
Program Increases/Decreases	\$27,000
FY 2013 New Initiatives	\$0
Non-recurring FY 2012 Expense	\$0
FY 2013 Request	\$55,500



## OC Board of Directors - OCB D

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### Mandate: Congressional Accountability Act, Section 102(b)

The Board shall review provisions of Federal law (including regulations) relating to (A) the terms and conditions of employment (including hiring, promotion, demotion, termination, salary, wages, overtime compensation, benefits, work assignments or reassignments, grievance and disciplinary procedures, protection from discrimination in personnel actions, occupational health and safety, and family and medical and other leave) of employees, and (B) access to public services and accommodations . . . [and] the Board shall report on (A) whether or to what degree the provisions described [above] . . . are applicable or inapplicable to the Legislative Branch, and (B) with respect to provisions inapplicable to the Legislative Branch, whether such provisions should be made applicable to the Legislative Branch. The presiding officers of the House . . . and the Senate shall cause each such report to be printed in the Congressional Record and each such report shall be referred to the committees of the House . . . And the Senate with jurisdiction.@ 2 U.S.C. 1302(b).

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### Overview

Section 102(b)(2) of the Act requires the Board to submit a report to Congress on the applicability to the Legislative Branch of any employment laws not made applicable by the Act. The section 102(b) report and recommendation(s) are required to be submitted to Congress once during each Congress. Under section 304 of the Act, the Board is also required to submit proposed regulations to Congress, to ensure that regulations for Congress and the Legislative Branch are substantially identical to those promulgated by the Executive Branch.

### VALUE ADDED

The Board of Directors acts as oversight of the agency's appointed staff and a reviewing body for claims that are appealed from hearing officers. Board Members provide direction and guidance to the staff of the agency and they lend their legal expertise to the labor and employment issues that are presented to the OOC from the Congressional community. Because of Board Members knowledge and skills, the decisions rendered by the Board of Directors provide sound legal guidance to the Legislative Branch. No Board decision has ever been overturned by the Federal Circuit Court of Appeals.

The current Board of Directors has been a tremendous asset in serving Congress. This Board has demonstrated extraordinary productivity through the issuance of multiple cases and promulgation of a number of substantive regulations. Their deliberations are conducted in an extremely collegial manner, which has been the key to their productivity. The current Board members all understand and appreciate the environment within which they perform their responsibilities. During its tenure, the Board of Directors of the Office of Compliance has met its statutory mandates, maintained its objectivity, and remained accountable to Congress.

### Accomplishments in FY 2011

The Office of Compliance Board of Directors' adopted regulations implementing the Veterans Employment Opportunities Act ("VEOA") were approved by Congress in December 2010 and issued by the Office of Compliance ("OOC") on January 25, 2011; they became effective on March 28, 2011. These

regulations define veterans' preference and the method for administering veterans' preference to Legislative Branch employment.

With respect to its adopted regulations implementing the Uniformed Services Employment and Reemployment Rights Act of 1994 ("USERRA") in the Legislative Branch under the Congressional Accountability Act ("CAA"), the Board submitted the regulations to the 111<sup>th</sup> Congress for approval on January 26, 2009. These USERRA provisions provide eligible employees in the uniformed services with reemployment rights, and protection from discrimination and retaliation. The regulations have not yet been approved by Congress. Similar to the mandate in VEOA, the CAA requires the Board to issue regulations to implement this provision. However, unlike VEOA, which regulations did not become effective until approved by Congress, the CAA permits the OOC to apply the most relevant substantive executive agency regulations where regulations specific to the Legislative Branch while waiting for approval by Congress. Therefore, the USERRA provisions currently effective under the CAA are regulations issued by the Department of Labor.

As required by the CAA, the OOC actively tracks new and proposed legislation relating to terms and conditions of employment and access to public services and accommodations, and the Board provides a report every two years to Congress with recommendations on a number of these legislative initiatives. At the conclusion of the 111<sup>th</sup> Congress (2009-2010), the Board published its biennial report, *Recommendations for Improvements to the Congressional Accountability Act* for consideration by the 112<sup>th</sup> Congress (2011-2012). This report analyzed certain "parity gaps" between federal workplace rights laws that apply to employers in the private and federal executive branch sectors but do not apply to Congress and its agencies and made several recommendations as to whether these laws should be made applicable to the Legislative Branch under the Congressional Accountability Act.

The Board issued decisions in eight cases in FY 2011, two of which were consolidated. These cases covered such issues as family and medical leave, age and race discrimination, disability discrimination and accommodation, and retaliation under the CAA. Specifically, the Board determined that credibility determinations made by hearing officers are entitled to substantial deference and that it would not consider evidence presented for the first time on review. The Board also ruled on several interlocutory appeals.

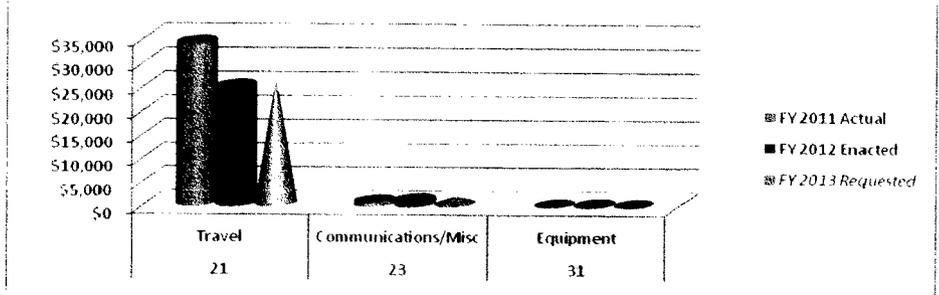
In addition to issuing decisions on matters filed under the CAA, the Board of Directors pursued implementation of its existing legislative recommendations to Congress, and continued drafting amendments to the Agency's Procedural Rules and substantive regulations for the application of the amended Family and Medical Leave Act.

#### **Fiscal Year 2013 Budget Request**

The Office of Compliance is requesting a total of \$29,800 for non-personnel services for FY 2013 for the OC Board of Directors Program. This total reflects an analysis of the requirements to perform basic functions, and changes in requirements.

**FY 2013 Object Class Schedule A**

PROG	Object Class	OC Description		FY 2012 Enacted		Change FY11/FY13	Change FY12/FY13
<b>OCBD</b>							
	21	Travel	\$34,147	\$25,000	\$26,100	(\$8,047)	\$1,100
	23	Communications /Misc	\$842	\$1,100	\$1,400	\$558	\$300
	31	Equipment	\$0	\$0	\$0	\$0	\$0
<b>OCBD Total</b>			<b>\$34,989</b>	<b>\$26,100</b>	<b>\$27,500</b>	<b>(\$7,489)</b>	<b>\$1,400</b>

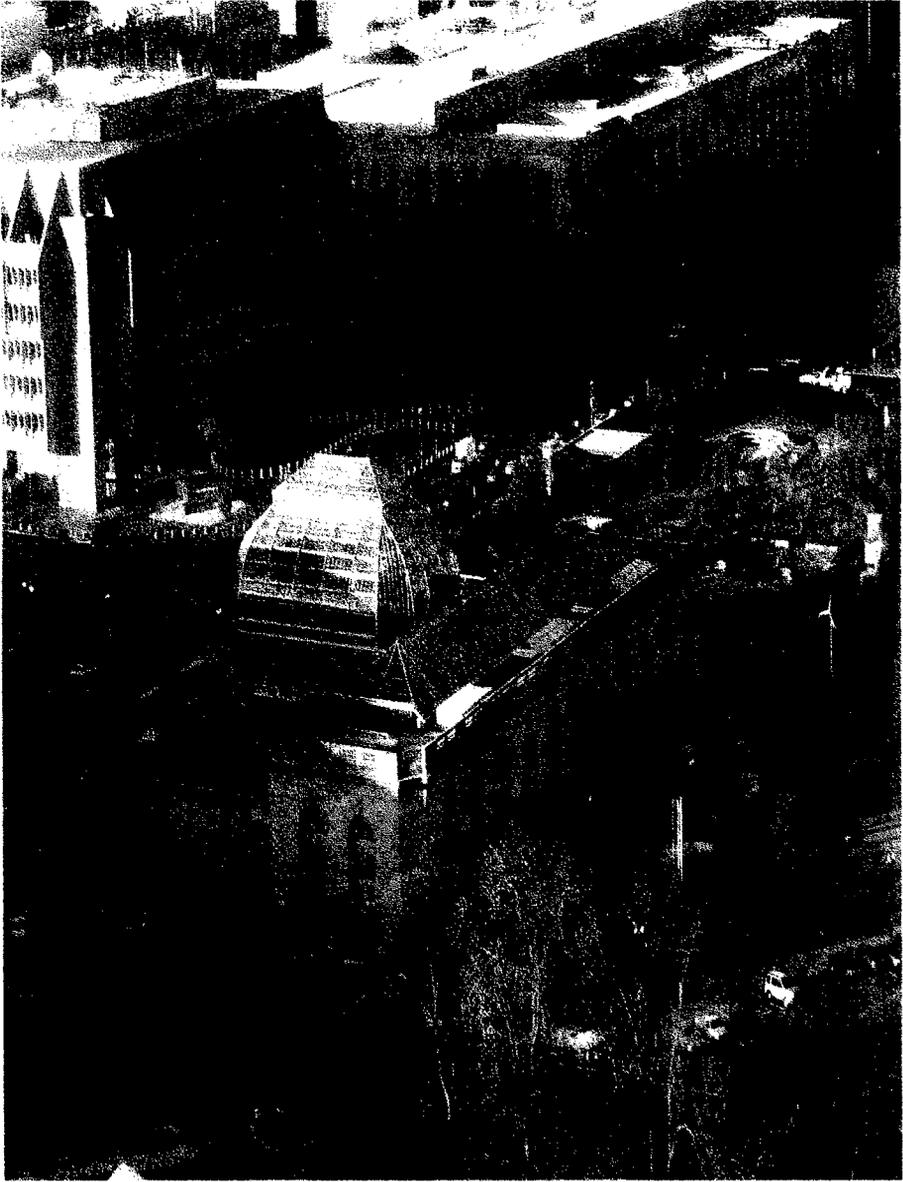


**Analysis of Change**

	Board of Directors
FY 2011 Actual Appropriation	\$34,989
Legislative Increases	\$0
Inflationary Adjustments	\$0
Program Increases/Decreases	-\$7,489
FY 2013 New Initiatives	\$0
Non-recurring FY 2011 Expense	\$0
<b>FY 2013 Request</b>	<b>\$27,500</b>

**Analysis of Change**

	Board of Directors
FY 2012 Enacted Appropriation	\$26,100
Legislative Increases	\$0
Inflationary Adjustments	\$0
Program Increases/Decreases	\$1,400
FY 2013 New Initiatives	\$0
Non-recurring FY 2012 Expense	\$0
<b>FY 2013 Request</b>	<b>\$27,500</b>



**OC Systems (Operations) - OCSY**

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**Mandate: Supports Office of Compliance core functions**

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**Overview**

The Agency delivers comprehensive financial services, in compliance with all applicable Federal appropriations laws, and maintains adequate spending controls.

**Accomplishments in FY 2011**

*Momentum accounting system:* The core staff involved with OOC financial transactions are continually trained on changes and also have participated fully in making recommendations for improvement to the financial process. OOC is also participating with the Legislative Branch Financial Management Council in developing and implementing financial efficiencies within OOC. WebTA (Time and Attendance), implemented FY 2010, has produced continued personnel time savings, as the usage of the system has normalized. OOC's refined process for 'settlement' disbursement has produced again this year a savings of approximately \$8,800 on FY 2011 settlements. The process, instituted in FY 2010, utilizes a 'free' payment system from Department of the Treasury Financial Management Service. This system is more secure, more efficient, enhances the federal government's ability to collect debt, and saves taxpayer dollars over the previous method.

*Interagency contracting:* OOC is continuing the policy and practice of collaborating with other Legislative Branch agencies on procurement and in other resource intensive areas. OOC also participated in the Legislative Branch Financial Management Council and its subcommittees: the Financial Systems, GPRA Subcommittee, Internal Controls Subcommittee, and Website Subcommittee.

**VALUE ADDED**

The Agency is continually reevaluating our internal controls in accordance with OMB Circular A-123. Also, we are reviewing and changing operation practices to succeed at improving the efficiency and transparency of not only our fiscal operation but also the Agency as a whole. These efforts result in support to the value of OOC mission programs and the overall efficiency of the Legislative Branch.

**Information Technology**

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**Mandate: Supports Office of Compliance core functions**

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**Overview**

The Agency administers a local area network, inclusive of personal computers for 21 employees, a number of on-site contractors, and the hardware and software required to support them. We maintain telecommunications linkages with the Library of Congress, the National Finance Center, the Government Printing Office, and an off-site location that serves as the lynchpin of our disaster recovery plan.

**VALUE ADDED**

The Agency is continually collaborating with Legislative Branch partners and reevaluating our IT posture in order to provide the most efficient and value oriented structure to support OOC mission activities. This leveraging of available resources is invaluable during this challenging fiscal cycle.

**Accomplishments in FY 2011**

To enhance workstation security and remain cost-efficient, the Agency entered into an inter-agency agreement with the Library of Congress to obtain desktop computers with advanced operating system software and antivirus updates. To further expand capacity within funding limits, the OOC set up video conferencing ability to conduct meetings with participants throughout the country and reduce travel-related expenses.

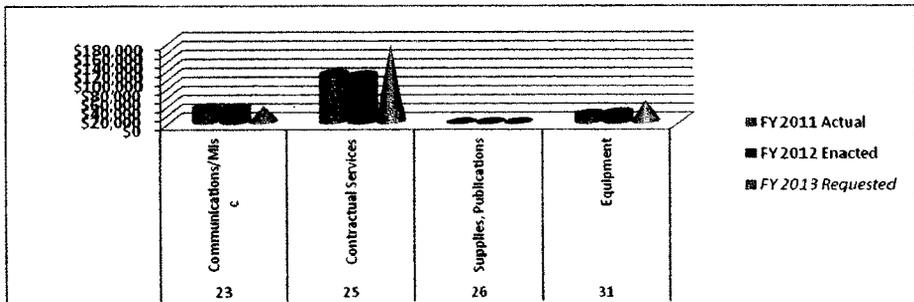
The Agency moved its email system to MS Outlook in order to provide all OOC staff with email addresses that identified the Agency (compliance.gov), and worked closely with the Web Systems unit in the House of Representatives to create a process that allows the OOC to send educational information electronically to all House employees.

**Fiscal Year 2013 Budget Request**

The Office of Compliance is requesting a total of \$257,000 for non-personnel services for FY 2013 for the OC Systems Program. This total reflects an analysis of the requirements to perform basic functions, and changes in requirements.

**FY 2013 Object Class Schedule A**

PROG	Object Class	OC Description	FY 2011 Actual	FY 2012 Enacted	FY 2013 Requested	Change FY11/FY13	Change FY12/FY13
<b>OCSY</b>							
	23	Communications/Misc	\$34,135	\$32,000	\$35,000	\$865	\$3,000
	25	Contractual Services	\$109,593	\$106,500	\$173,500	\$63,907	\$67,000
	26	Supplies, Publications	\$0	\$0	\$1,000	\$1,000	\$1,000
	31	Equipment	\$19,046	\$22,000	\$47,500	\$28,454	\$25,500
<b>OCSY Total</b>			<b>\$162,774</b>	<b>\$160,500</b>	<b>\$257,000</b>	<b>\$94,226</b>	<b>\$96,500</b>

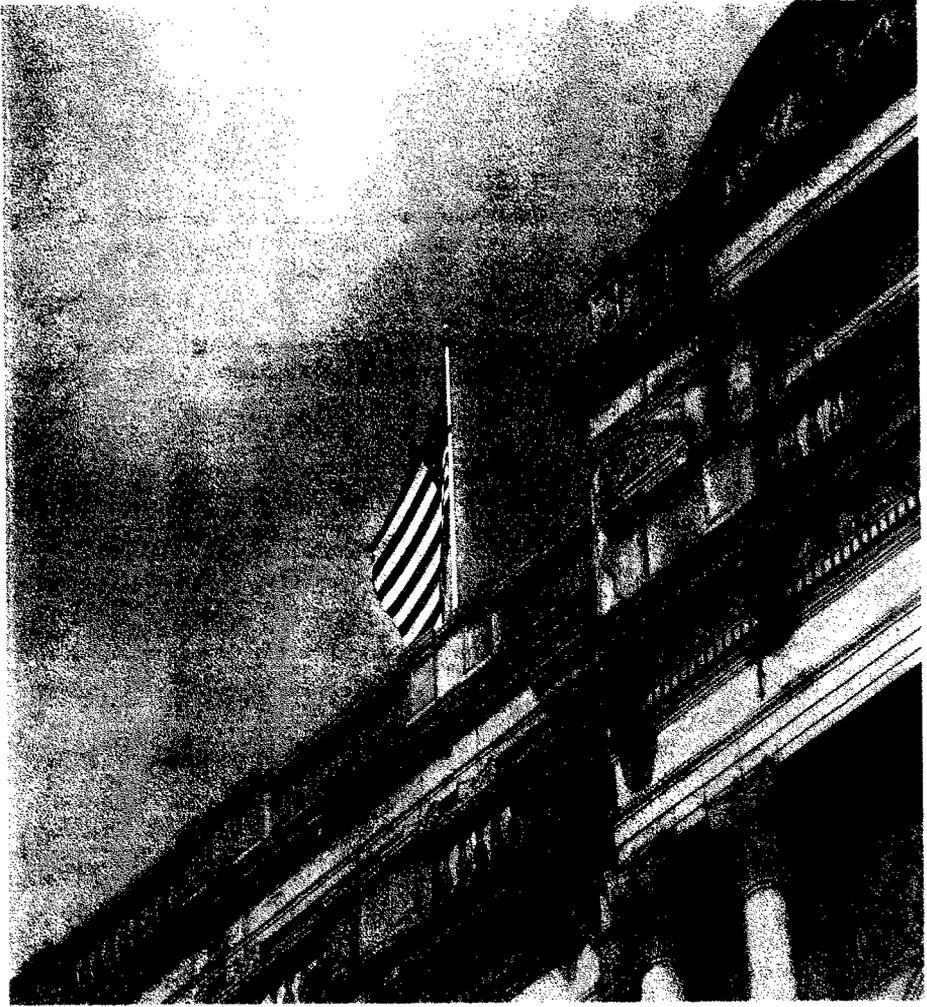


**Analysis of Change**

	<b>Systems</b>
<b>FY 2011 Actual Appropriation</b>	<b>\$162,774</b>
Legislative Increases	\$0
Inflationary Adjustments	\$0
Program Increases/Decreases	\$94,226
FY 2013 New Initiatives	\$0
Non-recurring FY 2011 Expense	\$0
<b>FY 2013 Request</b>	<b>\$257,000</b>

**Analysis of Change**

	<b>Systems</b>
<b>FY 2012 Enacted Appropriation</b>	<b>\$160,500</b>
Legislative Increases	\$0
Inflationary Adjustments	\$0
Program Increases/Decreases	\$96,500
FY 2013 New Initiatives	\$0
Non-recurring FY 2012 Expense	\$0
<b>FY 2013 Request</b>	<b>\$257,000</b>



**OC Executive Director - OCED****Mandate: Supports Office of Compliance core functions****Overview**

General office administration includes overall agency supervision and personnel functions. The representation and relations function includes communication and consultation with Appropriations and Oversight Committees, Congressional Leadership, and other Legislative Branch agencies (not already captured in Education and Outreach, above).

**Strategic Planning**

Maximize OOC employee capability and contribution by increasing employee satisfaction through innovation, the acquisition of up-to-date technological resources, and maintaining an environmentally-friendly workplace.

**Initiatives**

- A. Develop and implement an Affirmative Action Policy.
- B. Enhance individual productivity and organizational efficiency and effectiveness through the acquisition of up-to-date technological resources.
- C. Gain additional space to meet the growing needs of the Agency.
- D. Develop and implement a Continuity of Operations Plan ("COOP").
- E. Commit to increase Agency efforts for the betterment of the environment.
- F. Create and implement a formalized mentoring program.
- G. Streamline administrative processes to support the smooth functioning of the Agency's operational responsibilities.

**VALUE ADDED**

Meeting the internal initiatives and goals set out in the strategic plan allows the agency to develop a workplace that the CAA envisions. Ensuring a fair workplace, providing tools for staff to perform their duties, and recognizing and responding to the professional needs of staff lends credibility to our programs and the services we provide to the Congressional community.

**Accomplishments in FY 2011**

During FY 2011, the Agency continued to advance internal initiatives to enrich the workplace environment and support mission directives.

The Agency promoted non-discrimination and workplace diversity in accordance with its Affirmative Action Policy at all staffing levels, including among interns and contract service providers. In addition, the Agency updated personnel policies, including Pandemic Planning procedures, and continued development of its mentoring program to ensure a capable and productive workforce.

The Agency continued its pursuit of additional office space and conference areas to acquire adequate work space for its staff and safeguard the confidentiality of program participants, as required by the Congressional Accountability Act.

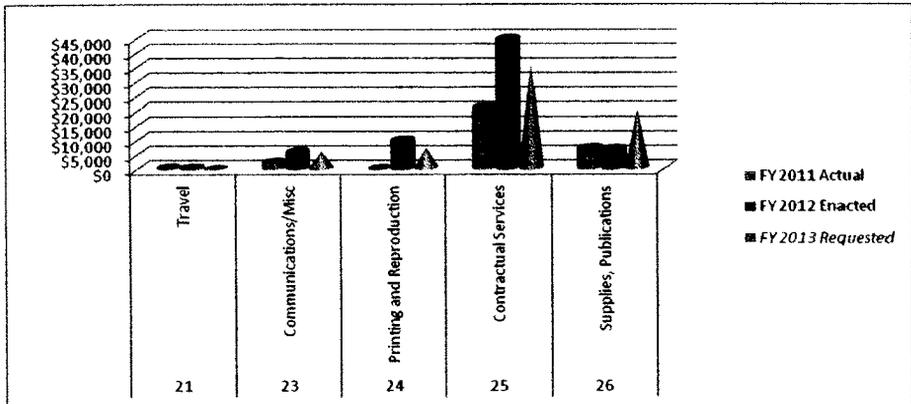
The Agency promoted a healthy workplace and reduced its carbon footprint by increasing email as a form of correspondence with stakeholders, promoting recycling, and reducing paper waste by requiring double-sided copying.

### Fiscal 2013 Budget Request

The Office of Compliance is requesting a total of \$107,000 for non-personnel services for FY 2013 for the OC Executive Director Program. This total reflects an analysis of the requirements to perform basic functions, and changes in requirements.

### FY 2013 Object Class Schedule A

PROG	Object Class	OC Description	FY 2011 Actual	FY 2012 Enacted	FY 2013 Requested	Change FY11/FY13	Change FY12/FY13
<b>OCED</b>							
	21	Travel	\$529	\$500	\$500	(\$29)	\$0
	23	Communications /Misc	\$2,448	\$6,000	\$5,600	\$3,152	(\$400)
	24	Printing and Reproduction	\$295	\$10,000	\$7,000	\$6,705	(\$3,000)
	25	Contractual Services	\$21,262	\$45,000	\$35,600	\$14,338	(\$9,400)
	26	Supplies, Publications	\$7,443	\$7,000	\$20,500	\$13,057	\$13,500
<b>OCED Total</b>			<b>\$31,977</b>	<b>\$68,500</b>	<b>\$69,200</b>	<b>\$37,223</b>	<b>\$700</b>



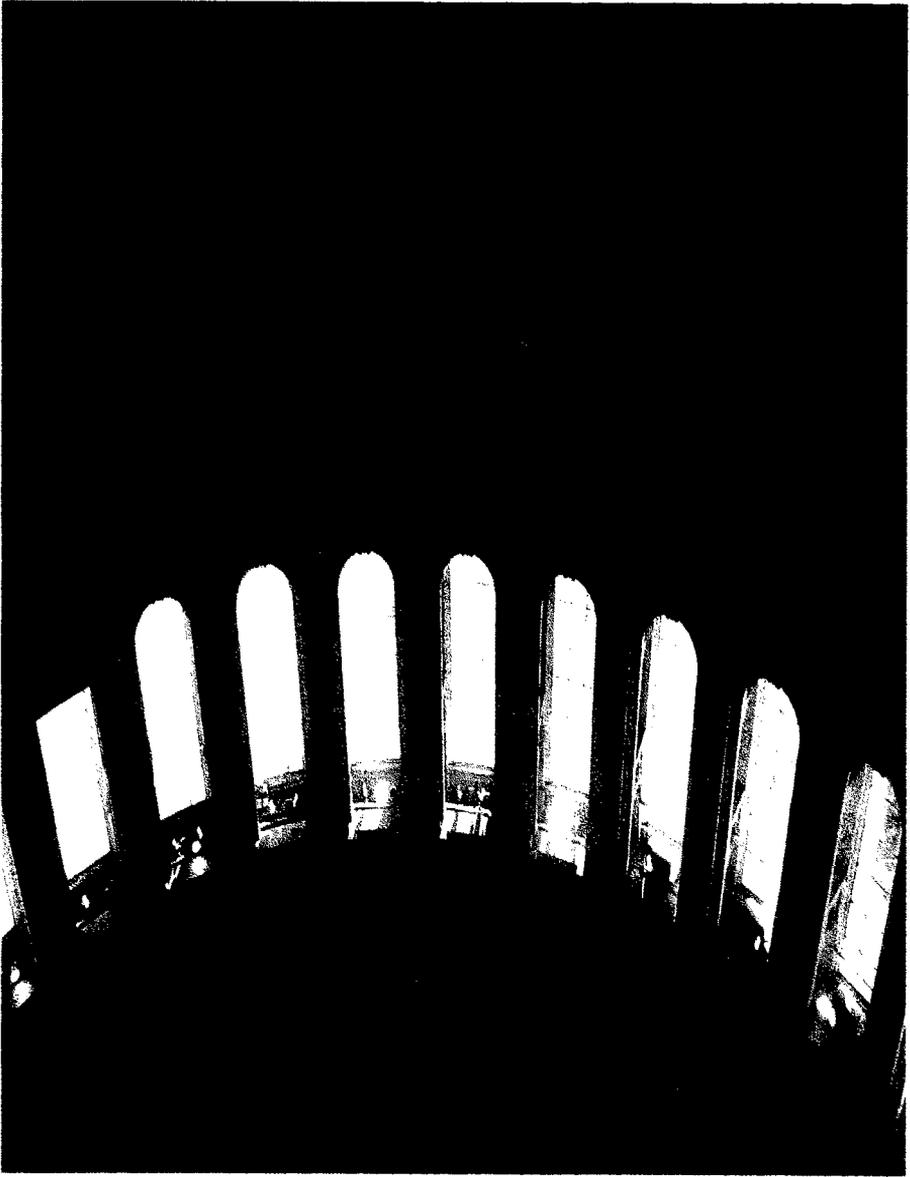
### Analysis of Change

	Executive Director
FY 2011 Enacted Appropriation	\$31,977
Legislative Increases	\$0
Inflationary Adjustments	\$0
Program Increases/Decreases	\$37,223
FY 2013 New Initiatives	\$0
Non-recurring FY 2011 Expense	\$0

FY 2013 Request	\$69,200
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### Analysis of Change

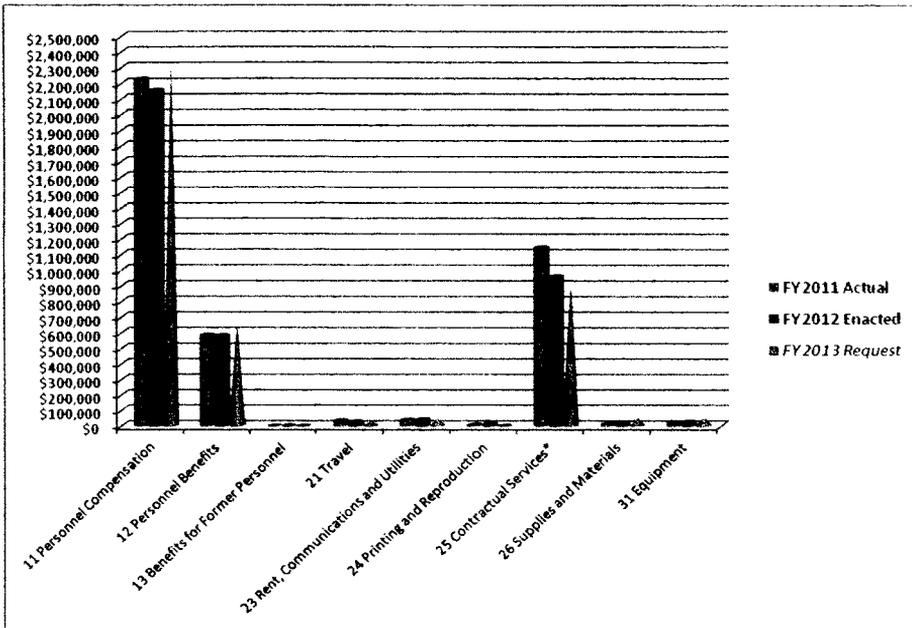
	Executive Director
FY 2012 Enacted Appropriation	\$68,500
Legislative Increases	\$0
Inflationary Adjustments	\$0
Program Increases/Decreases	\$700
FY 2013 New Initiatives	\$0
Non-recurring FY 2012 Expense	\$0
FY 2013 Request	\$69,200



## Budget Schedules

Office of Compliance FISCAL YEAR 2013 Resource Summary (Budget Authority Dollars in Thousands)							
Personnel	FY 2011 Budget Authority (actual)	FY 2012 Requested	FY 2013 Request	Change FY11/FY13	Change FY12/FY13	11/13 % Change	12/13 % Change
Appropriation	\$2,816	\$2,740	\$3,088	\$272	\$348	9.65	12.70
Supplemental Appropriation							
Transfers							
Rescission							
<b>Total</b>	<b>\$2,816</b>	<b>\$2,740</b>	<b>\$3,088</b>	<b>\$272</b>	<b>\$348</b>	<b>9.65</b>	<b>12.70</b>
Non-Personnel	FY 2011 Actual	FY 2012 Requested	FY 2013 Request	Change FY11/FY13	Change FY12/FY13	11/13 % Change	12/13 % Change
Appropriation	\$1,261	\$1,077	\$1,118	-\$143	\$41	-11.34	3.80
Supplemental Appropriation							
Transfers							
Rescission							
<b>Total</b>	<b>\$1,261</b>	<b>\$1,077</b>	<b>\$1,118</b>	<b>-\$143</b>	<b>\$41</b>	<b>-11.34</b>	<b>3.80</b>
<b>Total Appropriations</b>	<b>\$4,077</b>	<b>\$3,817</b>	<b>\$4,206</b>	<b>\$129</b>	<b>\$389</b>	<b>3.16</b>	<b>10.19</b>

Office of Compliance FY 2013 Expense Request SCHEDULE A (Dollars in Thousands) - (*Inclusive of 2 yr)					
Summary by Object Class					
Object Class	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	11/13 Change Appropriation	12/13 Change Appropriation
11 Personnel Compensation	\$2,229,400	\$2,157,100	\$2,406,550	\$177,150	\$249,450
12 Personnel Benefits	\$586,373	\$582,500	\$680,449	\$94,076	\$97,949
13 Benefits for Former Personnel	\$0	\$0	\$751	\$751	\$751
21 Travel	\$34,676	\$25,500	\$26,750	(\$7,926)	\$1,250
23 Rent, Communications and Utilities	\$37,425	\$40,600	\$43,500	\$6,075	\$2,900
24 Printing and Reproduction	\$5,632	\$12,000	\$9,500	\$3,868	(\$2,500)
25 Contractual Services*	\$1,146,731	\$960,500	\$939,100	(\$207,631)	(\$21,400)
26 Supplies and Materials	\$14,317	\$13,300	\$48,900	\$34,583	\$35,600
31 Equipment	\$21,442	\$25,500	\$50,500	\$29,058	\$25,000
<b>Total Budget</b>	<b>\$4,075,996</b>	<b>\$3,817,000</b>	<b>\$4,206,000</b>	<b>\$130,004</b>	<b>\$389,000</b>



Inclusive of 2-yr funds

FY 2013 Expense Request		
SCHEDULE B – Analysis of Change		
(Dollars in Thousands)		
FY 11 to FY 13	FY 2011 Actual	
	FTEs	Amount
<b>FY 2011 Actual</b>		
Personnel	22	\$2,816
Non-Personnel		\$1,271
Total FY 2011 Available		\$4,077
FY 2011 Non-recurring Costs:		\$0
<b>FY 2013 Mandatory Pay and Related Costs:</b>		
1 FY 2013 Annualization of COLA		\$0
2 FY 2013 Within Grade Increases & Promotions		\$177
3 Annualization of FY 2012 Benefits		\$95
4 Benefits to Former Employees		\$0
<b>Total FY 2013 Mandatory Pay and Related Costs</b>		<b>\$272</b>
FY 2013 Price Level Changes:		
Various Expenses		\$0

<b>FY 2013 Program Changes:</b>		
OCBD		-\$8
OCED		\$38
OCEI		-\$7
OCMH*		-\$14
OCGC		\$44
OCSH*		-\$264
OCSY		\$94
Total FY 2013 program Increases/decreases		-\$117
Net Increase/Decrease		-\$143
Total Appropriation FY 2013	22	\$4,206

<b>FY 2012 Expense Request</b>		
<b>SCHEDULE B – Analysis of Change</b>		
<small>(Dollars in Thousands)</small>		
FY 12 to FY 13	FY 2012 Enacted	
	FTEs	Amount
<b>FY 2012 Enacted</b>		
Personnel	22	\$2,740
Non-Personnel		\$1,077
Total FY 2012 Available		\$3,817
FY 2012 Non-recurring Costs:		\$0
<b>FY 2013 Mandatory Pay and Related Costs:</b>		
1 FY 2013 Annualization of COLA		\$0
2 FY 2013 Within Grade Increases & Promotions		\$250
3 Annualization of FY 2012 Benefits		\$9
4 Benefits to Former Employees		\$0
<b>Total FY 2013 Mandatory Pay and Related Costs</b>		<b>\$348</b>
<b>FY 2013 Price Level Changes:</b>		
Various Expenses		\$0
<b>FY 2013 Program Changes:</b>		
OCBD		\$2
OCED		\$0
OCEI		\$27
OCMH*		\$18
OCGC		\$32
OCSH*		-\$134
OCSY		\$97
Total FY 2013 program Increases/decreases		\$41
Net Increase/Decrease		\$389
Total Appropriation FY 2013	22	\$4,206



### Awards and Settlements Appropriation

Section 415 of the Act established "an account of the Office in the Treasury of the United States for the payment of awards and settlements . . . under this Act," and further authorized to be appropriated "such sums as may be necessary to pay such awards and settlements." Section 415 stipulated that awards and settlements under the Act can only be paid from that account, which is to be separate from the operating expenses account of the Office of Compliance established under section 305 of the Act. The Executive Director approves all such awards.

The enacted Legislative Branch Appropriations bills of 1996 through 2011 have appropriated funds for awards and settlements under the Act.

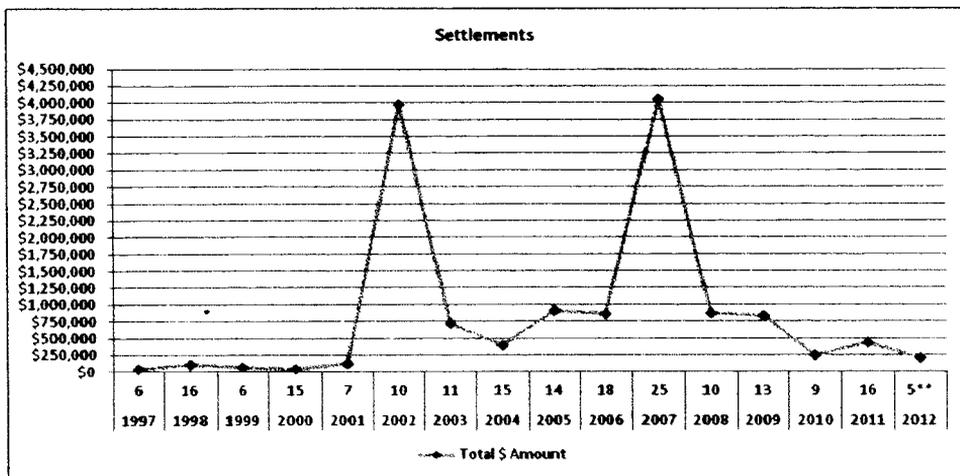
In FY 2011, a total of \$437,465 was awarded and disbursed under sixteen settlements made under section 415 of the CAA. To date in FY 2012, three settlements have been awarded totaling \$130,000.

### Settlements by Fiscal Year

Fiscal Year	Number of Settlements*	Total \$ Amount
1997	6	\$39,429
1998	16	\$103,180
1999	6	\$72,350
2000	15	\$45,638
2001	7	\$121,400
2002	10	\$3,974,077
2003	11	\$720,071
2004	15	\$388,209
2005	14	\$909,872
2006	18	\$849,529
2007	25	\$4,053,274
2008	10	\$875,317
2009	13	\$831,360
2010	9	\$246,271
2011	16	\$437,465
2012	5**	\$208,403

Monetary settlements could resolve multiple claims\*

As of 01/23/2012\*\*





**Congressional Budget Office**

**Request for Appropriations for Fiscal Year 2013**

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## Overview of CBO's Budget Request for 2013

The Congressional Budget Office (CBO) requests appropriations for fiscal year 2013 of \$44,637,000. In light of the budget constraints facing the federal government, that request of \$44.6 million represents an increase of only 1.9 percent (\$850,000) from the \$43.8 million provided to CBO in fiscal year 2012 and an increase of only 1.2 percent (\$555,000) from the regular appropriation of \$44.1 million provided to CBO in fiscal year 2009.

Operating the agency in fiscal year 2013 with only slightly more funding than was provided for this fiscal year and little more than was obligated four years earlier would be possible only through a further reduction in the number of CBO analysts, minimal increases in salaries, and sharp cutbacks in spending on information technology (IT), data, training, and other items. Although CBO will continue to make every effort to serve the Congress as effectively as possible, the changes that would be required under the proposed budget would unavoidably diminish the number of estimates and analyses of budget and economic policies that CBO was able to provide.

### Funding History

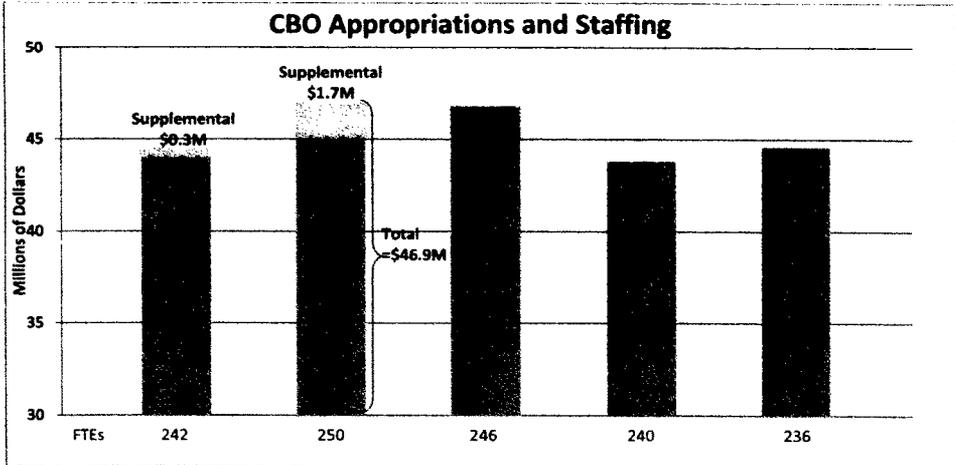
About 92 percent of CBO's budget represents compensation for CBO staff; another 5 percent is for IT equipment and services; and the remainder is for data, training, office supplies, and other items. As a result, the contours of CBO's budget and the staffing levels of the agency have been and will continue to be closely linked.

Between fiscal year 2001 and fiscal year 2008, the number of full-time-equivalent positions (FTEs) at CBO averaged 230, and the number varied little from year to year. During that period, CBO's budget rose slowly, on balance, as federal employees received salary increases and the cost of federal benefits increased.

In 2008, CBO became concerned that it did not have sufficient resources to analyze policy changes regarding the delivery and financing of health care that were emerging as a critical issue in the Congress. In addition, the agency was delivering an increasing number of testimonies and formal cost estimates, providing a rapidly growing volume of informal estimates, and engaging in more frequent communications with Hill staff on a wide range of topics, so shifting a significant number of staff positions from other areas to the health area did not seem feasible.

Accordingly, CBO proposed to the Congress a multiyear plan to boost the size of the agency to nearly 260 FTEs, an increase of a little more than 10 percent. The Congress approved the first leg of that proposed increase in CBO's budget for fiscal year 2009 (see Figure 1). Analyses of competing health care proposals absorbed a huge share of CBO's resources, and the financial crisis and severe recession led to a jump in Congressional requests for analyses, budget projections, and cost estimates in many other areas. Consequently, the Congress approved a two-year supplemental appropriation for CBO during 2009 and also approved an increase in the agency's regular appropriation for fiscal year 2010. Making use of that additional funding, CBO averaged about 250 FTEs during 2010.

**Congressional Budget Office  
Funding for FY 2009 through FY 2013**



Congressional demand for CBO's estimates and other analysis has remained extremely high in the past few years. The enactment of major health care legislation in 2010 has increased, rather than diminished, the number of other proposals for changes in federal health care programs, and it has made CBO's analysis of such proposals much more complex. In addition, the depth and duration of the economic downturn have generated significant demand for analyses of the effects of both enacted and proposed responses to those economic conditions. Moreover, the surge in federal debt and projected deficits has led to ongoing Congressional efforts to enact fundamental changes in budget policy, which have strained CBO's resources in many areas. CBO provided a tremendous number of estimates during the debate over appropriations for fiscal year 2011 that extended into the spring of the year, the bipartisan negotiations last spring and summer about larger changes in policies linked to an increase in the debt limit, the work of the Joint Select Committee on Deficit Reduction last fall, and the continuing debate about extending various provisions of law through the rest of 2012.

Despite that heavy workload, CBO's appropriation for fiscal year 2011 was below the total funding available to the agency in 2010, and its funding for fiscal year 2012 is below the amount provided in 2011. To reduce expenses in fiscal year 2012, CBO has significantly curtailed salary increases and sharply cut spending on IT, data, training, and other items. Given the large share of the agency's budget devoted to compensation, however, those changes do not, by themselves, reduce spending sufficiently. Therefore, CBO has also stopped most hiring of new staff to

replace those who leave, and attrition has reduced the number of FTEs at the agency to about 242 currently; by the end of this fiscal year, CBO aims to be operating with 237 FTEs (generating an average for this year of 240 FTEs).

### **Budget Request for Fiscal Year 2013**

CBO expects that Congressional demand for the agency's estimates and other analyses will remain high in fiscal year 2013. The agency's mission of providing nonpartisan budgetary and economic information to the Congress will remain the same. Fulfilling that mission will require providing reports on the budget and economic outlook, an analysis of the President's budget, long-term budget projections, options for reducing budget deficits, cost estimates, mandate statements, and scorekeeping tabulations. Fulfilling the agency's mission will also require providing in-depth analyses of a broad range of program and policy issues requested by committees.

The specific issues that the Congress will be addressing in 2013 are difficult to predict, but CBO's analyses are likely to include work on health care, policies for increasing economic growth and employment, energy policy, tax reform, reform of entitlement programs, infrastructure, defense policy, the government's role in financial markets, and a wide variety of budget policy options. Altogether, CBO anticipates a workload of:

- Roughly 525 formal cost estimates, most of which will include not only estimates of federal costs but also assessments of the cost of mandates imposed on state, local, and tribal governments or the private sector;
- Thousands of preliminary, informal cost estimates, the demand for which is growing as committees seek to have a clearer picture of the budgetary impact of proposals and variants of proposals before they formally consider legislation;
- Roughly 200 scorekeeping tabulations, including status reports for discretionary appropriations, estimates for individual appropriation acts, and compilations of direct spending and revenue effects for budget enforcement purposes; and
- About 130 analytical reports, testimonies, and other publications, which are generally required by law or prepared in response to requests from the Chairmen and Ranking Members of key committees.

The demand for CBO's analyses currently exceeds, by a substantial margin, what the agency can produce with its current staff. Unfortunately, CBO is unable to analyze many legislative proposals that are sent by Members of Congress, unable to promptly complete in-depth analyses of many issues that are requested by committees, and unable to improve its modeling as much as would be desirable to capture the many channels through which proposals can affect the federal budget, the economy, and the well-being of citizens. Further reductions in the size of CBO's staff would make those problems worse.

Nonetheless, recognizing the stringency of the federal budget situation, CBO proposes to cut back to about 235 FTEs by the end of fiscal year 2013, about 6 percent fewer than the average staffing in 2010. That cut (which would give CBO an average for the year of 236 FTEs) would have several key consequences:

- First, a reduction to that staffing level by next year could probably be achieved by attrition, but that is not certain. If CBO does not experience sufficient attrition, then reaching that staffing level could require furloughs or layoffs—this year, next year, or both.
- Second, to have 235 FTEs by the end of next year would mean that most of the increase in CBO staffing set in motion in 2008 would be reversed. Yet the increase in demands on CBO related to health care costs and the burgeoning federal debt has not been reversed.
- Third, because losses through attrition will undoubtedly not line up well with the places where the agency can most afford to lose resources, CBO may have some noticeable weak spots in its capabilities during the next few years.

In addition, CBO is not planning any across-the-board increase in salaries for employees in calendar year 2013, matching what it did in 2011 and is doing in 2012. The agency is also reducing further the size of performance-based pay raises it gives to employees who are not eligible for across-the-board increases.<sup>1</sup>

CBO also proposes stark cuts in nonpay areas of its budget in fiscal year 2013. Relative to CBO's average outlays in fiscal years 2009 through 2011, IT spending next year would be about 40 percent less, spending on training would be one-third smaller, purchases of data would be reduced by more than 15 percent, and spending for other purposes would be cut significantly as well.

CBO's request for \$44.6 million in funding for fiscal year 2013 would support the following proposed obligations (see Tables 2 through 8 on pages 27 to 33):

- \$31.0 million for pay of personnel—an increase of \$0.3 million (0.9 percent) above the amount in fiscal year 2012 to fund promotions and limited merit increases;
- \$10.3 million for benefits of personnel—an increase of \$0.2 million (2.0 percent) above the amount in fiscal year 2012 to fund an increase in the cost of federal benefits; and

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<sup>1</sup> CBO's compensation system is aimed at rewarding individual performance. Because CBO's salary structure does not have the grades or steps used in the civil service, performance-based pay raises represent the only increases in salaries that most CBO employees receive unless they are promoted to be managers or are promoted within the management ranks. In the past, however, CBO has given an across-the-board increase (equal to that provided to executive branch employees in the Washington area) to employees earning less than \$100,000.

- \$3.3 million for other purposes—an increase of \$0.4 million (12.2 percent) above the unusually small amount available in fiscal year 2012 to fund IT, data, training, and other items. (Over the 2009–2011 period, CBO spent an average of \$6.3 million per year for such purposes, almost double the proposed funding for 2013.)

The severe limits on salary increases and spending in the nonpay areas of the budget that CBO is proposing for fiscal year 2013 cannot be sustained through fiscal year 2014 without significantly sacrificing the quality of the CBO staff and the tools with which they work. Consequently, unless a larger increase in funding is made available to CBO in fiscal year 2014, the agency expects that it will implement further cutbacks in staffing that year and be forced to limit further the support that it provides to the Congress.

### **CBO's Role in Support of the Congress**

CBO provides information to the Congress to help it make effective budget and economic policy. Specifically, under the Congressional Budget Act of 1974, CBO supports the Congressional budget process by providing estimates and other analyses in response to requests from the Committees on the Budget; the Committees on Appropriations; the House Committee on Ways and Means and the Senate Committee on Finance; other committees; and the leadership of the House and Senate.

The agency is committed to providing information that is:

- Objective—representing not the personal opinions of CBO staff but the consensus and diversity of views of experts from around the country;
- Insightful—applying the best new evidence and innovative ideas as well as the lessons of experience;
- Timely—responding as quickly as possible to the needs of the Congress; and
- Clearly presented and explained—so that policymakers and analysts understand the basis for the agency's findings and have the opportunity to question the assumptions used.

In keeping with CBO's mandate to provide analysis that is objective, impartial, and nonpartisan, the agency makes no policy recommendations. Instead, the agency strives to present fully and fairly the likely consequences of alternative proposals being considered by the Congress so that the Congress can make informed policy choices.

To fulfill its mission to serve the Congress, CBO does the following:

- Reports on the outlook for the economy;
- Analyzes trends and current developments related to federal spending and revenues;

- Constructs budget projections based on current law to serve as neutral benchmarks for gauging the effects of spending and revenue proposals;
- Prepares long-term projections of federal spending and revenues to help the Congress assess the impact of an aging population and rising health care costs;
- Estimates the effects of the President's budgetary proposals and numerous alternative policy choices on the budget and the economy;
- Estimates the cost of legislative proposals—which involves providing formal cost estimates for all bills reported by committees of the House and Senate, many more informal cost estimates while legislation is being developed, estimates of the cost of all appropriation bills, and estimates of the cost of numerous amendments as legislation is considered by the House and Senate;
- Estimates the cost of intergovernmental and private-sector mandates in reported bills and other legislative proposals;
- Conducts policy studies of governmental activities that have significant budgetary and economic impacts—which involves analyses of Social Security, Medicare, Medicaid, other entitlement programs, national security, energy policy, environmental issues, tax policy, labor markets, education policy, housing policy, government credit programs, infrastructure, immigration policy, and many other topics; and
- Provides testimonies on a broad range of budget and economic issues.

## **CBO's Accomplishments in 2011**

In 2011, CBO published multiple economic forecasts and budget projections, and it produced hundreds of formal cost estimates and mandate statements as well as thousands of informal estimates. In addition, the agency released about 100 studies, reports, issue briefs, letters, infographics, testimonies, background papers, and working papers (see Table 1). CBO also continued its efforts to make the agency an appealing place to work, to develop the skills of its employees, and to provide the tools necessary to maximize its employees' productivity.

### **Formal Cost Estimates and Mandate Statements**

CBO completed about 475 formal cost estimates in 2011. Those estimates generally include detailed explanations of the components of the estimates and the estimating methodology used by CBO. That count greatly understates CBO's total cost-estimating workload because most of the agency's analyses are provided on a preliminary, informal basis, when legislative proposals are still at the early stages of development by committees or by the leadership of the House or Senate. CBO completed thousands of such informal estimates in 2011.

Table 1

Products	2011 Actuals	2012 Estimate	2013 Estimate
Formal Cost Estimates	475	525	525
Mandate Statements	440	450	450
Scorekeeping Tabulations (a)	175	200	200
Budget and Economic Projections and Analyses	18	17	18
Studies, Reports, Issue Briefs, Letters, Infographics, and Testimonies	94	100	100
Background Papers and Working Papers	7	10	10

Note: In addition to these formal products, CBO produces thousands of informal estimates at various points in the legislative process each year to assist committees in the development of legislation.

a. Those tabulations include status reports for discretionary appropriations, estimates for individual appropriation acts, and compilations of direct spending and revenue effects for budget enforcement purposes.

CBO also completed about 440 mandate statements in 2011. Such statements, which are included in most formal cost estimates, assess whether legislation contains intergovernmental or private-sector mandates as defined in the Unfunded Mandates Reform Act, and, if so, assess the magnitude of their effects on the private sector and on state, local, and tribal governments.

In addition, CBO provided numerous estimates pursuant to the Statutory Pay-As-You-Go Act of 2010. Such estimates are requested by the House and Senate Committees on the Budget for inclusion in the *Congressional Record* prior to House or Senate passage of legislation.

#### Scorekeeping Tabulations

On an ongoing basis during 2011, CBO estimated the budgetary impact of appropriation bills, including supplemental appropriations, at all stages of the legislative process. The agency also provided regular status reports on discretionary appropriations, as well as compilations of the direct spending and revenue effects of legislation for budget enforcement purposes.

#### Budget and Economic Projections and Analyses

CBO provided two 10-year economic projections in 2011, an initial one in January and an update in August. The agency also produced three 10-year baseline budget projections, which were presented in the following reports: *The Budget and Economic Outlook: Fiscal Years 2011 to 2021* (published in January); *An Analysis of the President's Budgetary Proposals for Fiscal Year 2012* (March); and *The Budget and Economic Outlook: An Update* (August). In addition, CBO produced an analysis of the federal budget over 25-year and 75-year horizons in *CBO's 2011 Long-Term Budget Outlook* (published in June). CBO also published its *Monthly Budget Review* each month, providing a timely analysis of the previous month's outlays and revenues and budgetary developments for the fiscal year to date.

#### Studies, Reports, Issue Briefs, Letters, Infographics, and Testimonies

In addition to the budget and economic projections and the reports that describe and explain

them (discussed above), CBO published more than 90 analyses of budget and economic issues in 2011, distributing those analyses in reports (analyses that CBO is legally mandated to produce, usually on a regular basis), studies (in-depth analyses requested by Chairmen or Ranking Members of key committees), issue briefs (short studies), letters (short studies or responses to specific questions), infographics (visual presentations of estimates and analyses), and testimonies. Those analyses, arranged by topic, were the following:

*Analyses of Broad Budget Issues*

- Unauthorized Appropriations and Expiring Authorizations
- The Budget and Economic Outlook: Fiscal Years 2011 to 2021 (Testimony before the Senate Budget Committee)
- CBO's Projections of Federal Receipts and Expenditures in the Framework of the National Income and Product Accounts
- The Budget and Economic Outlook: Fiscal Years 2011 to 2021 (Testimony before the House Budget Committee)
- Analysis of the Effects of Three Interest Rate Scenarios on the Federal Budget Deficit
- A Review of CBO's Activities in 2010 Under the Unfunded Mandates Reform Act
- The Effects of Automatic Stabilizers on the Federal Budget
- Long-Term Analysis of a Budget Proposal by Chairman Ryan
- Brief Comparison of Cost Estimates for Mandates as Prepared by CBO and by Federal Agencies for Selected Regulatory Rules
- Changes in CBO's Baseline Projections Since January 2001
- Extrapolation of Full-Year Appropriations for 2011
- Preemptions in Federal Legislation in the 111th and Previous Congresses
- CBO's 2011 Long-Term Budget Outlook (Testimony before the House Budget Committee)
- Additional Information on the Program Integrity Initiative for the Internal Revenue Service in the President's Budgetary Proposals for Fiscal Year 2012
- Analysis of a Proposal to Expedite the Disposal of Federal Civilian Real Property
- Comparison of Updated Budget Control Act Proposals
- Comparison of Budget Control Act Proposals
- Analysis of the Impact on the Deficit of the Budget Control Act of 2011 as Proposed in the House
- Analysis of the Impact on the Deficit of the Budget Control Act of 2011 as Revised in the House
- Analysis of the Impact on the Deficit of the Budget Control Act of 2011 as Proposed in the Senate
- Selling Federal Property (Testimony before the House Oversight and Government Reform Committee)
- Analysis of the Impact on the Deficit of the Budget Control Act of 2011 as Revised in the Senate
- Sequestration Update Report for Fiscal Year 2012
- CBO's 2011 Long-Term Projections for Social Security: Additional Information

- CBO's 2011 Long-Term Projections for Social Security: Infographic
- CBO Analysis of August 1 Budget Control Act
- Estimated Impact of Automatic Budget Enforcement Procedures Specified in the Budget Control Act
- Confronting the Nation's Fiscal Policy Challenges (Testimony before the Joint Select Committee on Deficit Reduction)
- Input regarding H.R. 373, the Unfunded Mandates Information and Transparency Act of 2011
- Discretionary Spending (Testimony before the Joint Select Committee on Deficit Reduction)
- The U.S. Federal Budget: Infographic

#### *Analyses of Health Care Issues*

- Preliminary Analysis of H.R. 2, the Repealing the Job-Killing Health Care Law Act
- Response to a Question About CBO's Cost Estimate for H.R. 2
- CBO's Analysis of the Major Health Care Legislation Enacted in March 2010 (Testimony before the Subcommittee on Health, House Energy and Commerce Committee)
- Potential Effects of a Ban on Direct-to-Consumer Advertising of New Prescription Drugs
- Analysis of a Permanent Prohibition on Implementing the Major Health Care Legislation Enacted in March 2010
- Additional Information About CBO's Baseline Projections of Federal Subsidies for Health Insurance Provided Through Exchanges
- Changes in Payments to Physicians
- Spending Patterns for Prescription Drugs Under Medicare Part D

#### *Analyses of Energy and Environmental Issues*

- The Effects of Renewable or Clean Electricity Standards
- Budgetary Impact of Energy Savings Performance Contracts
- Response to Questions about Estimating the Budgetary Impact of a Bill Similar to S. 2877, the Carbon Limits and Energy for America's Renewal (CLEAR) Act

#### *Analyses of Financial Markets and Credit Programs*

- Review of CBO's Cost Estimate for the Dodd-Frank Wall Street Reform and Consumer Protection Act (Testimony before the Subcommittee on Oversight and Investigations, House Financial Services Committee)
- Accounting for FHA's Single-Family Mortgage Insurance Program on a Fair-Value Basis
- The Budgetary Cost of Fannie Mae and Freddie Mac and Options for the Future Federal Role in the Secondary Mortgage Market (Testimony before the House Budget Committee)
- Federal Loan Guarantees for the Construction of Nuclear Power Plants
- Reports on the Troubled Asset Relief Program
- Troubled Asset Relief Program: Infographic

- Response to Questions About the Effects of a Tax on Financial Transactions That Would Be Imposed by the Wall Street Trading and Speculators Tax Act

#### *Analyses of Macroeconomic Issues*

- Estimated Impact of the American Recovery and Reinvestment Act on Employment and Economic Output from October 2010 Through December 2010
- Estimated Impact of the American Recovery and Reinvestment Act on Employment and Economic Output from January 2011 Through March 2011
- The Macroeconomic and Budgetary Effects of an Illustrative Policy for Reducing the Federal Budget Deficit
- Estimated Impact of the American Recovery and Reinvestment Act on Employment and Economic Output from April 2011 Through June 2011
- Response to Questions About the Effects of Government Spending on Economic Growth
- Estimated Impact of the American Recovery and Reinvestment Act on Employment and Economic Output from July 2011 Through September 2011
- The Portion of the Deficit Due to Cyclical Weakness
- Policies for Increasing Economic Growth and Employment in 2012 and 2013 (Testimony before the Senate Budget Committee)

#### *Analyses of Income Security and Employment*

- Changes in the Distribution of Workers' Hourly Wages Between 1979 and 2009
- Trends in the Distribution of Household Income Between 1979 and 2007
- Questions Regarding the CBO Cost Estimate for H.R. 5297 (Public Law 111-240), the Small Business Jobs Act of 2010

#### *Analyses of Tax Issues*

- Options for Changing the Tax Treatment of Charitable Giving
- Use of Tax Incentives for Retirement Saving in 2006
- Options for Changing the Tax Treatment of Charitable Giving (Testimony before the Senate Finance Committee)

#### *Analyses of National Security Issues*

- Analysis of Federal Civilian and Military Compensation
- Long-Term Implications of the 2011 Future Years Defense Program
- An Analysis of the Navy's Shipbuilding Plans (Testimony before the Subcommittee on Seapower and Projection Forces, House Armed Services Committee)
- Linking the Readiness of the Armed Forces to DoD's Operation and Maintenance Spending
- Proposal to Place Certain Limitations on Enrollment in the Uniformed Services Family Health Plan
- A Comparison of OMB's and CBO's Technical Assumptions Used in Estimating Defense Spending
- The Cost-Effectiveness of Nuclear Power for Navy Surface Ships

- Long-Term Implications of the 2012 Future Years Defense Program
- An Analysis of the Navy's Fiscal Year 2012 Shipbuilding Plan
- Policy Options for Unmanned Aircraft Systems
- The Value of 30-Year Defense Procurement Plans for Congressional Oversight and Decisionmaking (Testimony before the Subcommittee on Oversight and Investigations, House Armed Services Committee)
- Long-Term Implications of the 2012 Future Years Defense Program (Testimony before the House Budget Committee)
- Potential Costs of Health Care for Veterans of Recent and Ongoing U.S. Military Operations (Testimony before the Senate Committee on Veterans' Affairs)
- The Global Positioning System for Military Users: Current Modernization Plans and Alternatives
- Recent Development Efforts for Military Airships
- An Analysis of the Navy's Amphibious Warfare Ships for Deploying Marines Overseas

#### *Analyses of Other Issues*

- Spending and Funding for Highways
- Migrants' Remittances and Related Economic Flows
- Alternative Approaches to Funding Highways
- The Highway Trust Fund and Paying for Highways (Testimony before the Senate Finance Committee)
- Analysis of an Amendment Proposed for H.R. 1229, the Putting the Gulf of Mexico Back to Work Act
- A Description of the Immigrant Population: An Update
- Budgetary Impact of Power Purchase Agreements

#### **Background Papers and Working Papers**

CBO's background papers provide details about CBO's models and analyses for nonexperts, and CBO's working papers provide technical descriptions of official CBO analyses or present original, independent research by CBO analysts. The background and working papers published by CBO in 2011 were the following:

- CBO's Labor Force Projections Through 2021
- Improving CBO's Methodology for Projecting Individual Income Tax Revenues
- The Impact of Hospital Mergers on Treatment Intensity and Health Outcomes
- An Evaluation of Large-Scale Mortgage Refinancing Programs
- The Welfare Cost of Capital Taxation: An Asset Market Approach
- Can Tax Rebates Stimulate Consumption Spending in a Life-Cycle Model?
- Corporate Tax Incidence: A Review of Empirical Estimates and Analysis

#### **Improvements in Internal Management**

In the past year, CBO increased its efforts to improve training for managers and internal communication. Partnering with sister agencies and using in-house resources to contain costs, the

agency offered training sessions on topics such as the Congressional Accountability Act, veterans' preference in hiring, interviewing skills, and avoiding employment litigation. In addition, the Director held periodic town hall meetings, an employee newsletter was started, and an employee suggestion box was implemented.

CBO procured and implemented numerous improvements to its IT infrastructure. The agency acquired new storage technology, which greatly enhances the agency's overall flexibility and redundancy. The agency continued to add to its storage capacity, allowing it to accommodate larger data sets in a cost-effective manner. In addition, CBO continued to build upon and improve its ability to support remote work and telecommuting. The agency improved its IT security by adding several specialized appliances designed to, for example, evaluate PDF (portable document format) e-mail attachments for the presence of malware and test for network penetration. The agency completed its migration to Microsoft Exchange 2010 as well as to Microsoft Windows 7. CBO expanded on its cloud base computing through the introduction of the Google Message Continuity service, which provides internet access to CBO email from a standard web browser from anywhere on the internet. This capability provides emergency continuity service at a fraction of what an internal system would have cost to build.

CBO also continued its project to substantially upgrade the structure and functioning of its Web site. The Web site has replaced conventional printing as the agency's principal method of communicating its findings, and the redesigned site will be clearer, more user-friendly, and more reliable than the current site.

In fiscal year 2011, CBO awarded 243 contracts and purchase orders to small businesses. Of those actions, 3 contracts went to minority-owned businesses, 51 went to women-owned businesses, and 1 went to a business owned by minority women. CBO continues to encourage small businesses to participate in its procurements through such actions as including small businesses in its requests for price quotes and in its market research and, before making an award, having each prospective contractor identify the type of business it is and its size.

### **CBO's Goals for 2012 and 2013**

In carrying out its mission of serving the Congress during 2012 and 2013, CBO will focus on meeting three goals:

- Continue to provide the Congress with budget and economic information that is objective, insightful, and timely.
- Continue to present and explain the methodology and results of CBO's analyses clearly.
- Continue to improve CBO's internal management.

### **Continue to Provide the Congress with Budget and Economic Information That Is Objective, Insightful, and Timely**

In 2012 and 2013, CBO will continue to provide estimates and other analyses to assist the Congress in making budget and economic policy. As it has throughout its history, the agency will ensure that its work is objective, insightful, and timely; the agency will make no policy recommendations but will strive to present fully and fairly the likely consequences of alternative policy proposals.

Many of CBO's analyses are specified by statute—for instance, the preparation of the annual report on the outlook for the budget and the economy, and cost estimates for bills reported by committees. The rest of CBO's analyses address issues being considered by the Congress, provide background information on budgetary and economic conditions that are relevant for the consideration of legislation, or improve the tools that CBO uses in making projections and estimates. Accordingly, the specific projects that CBO undertakes this year and next will depend on budgetary and economic developments and on requests from the Congressional leadership and committees. CBO regularly consults with Members and staff about what topics and types of analyses would be most valuable to the Congress, and the agency responds as rapidly as possible to shifts in Congressional interest.

CBO's products in 2012 and 2013 will fall into the same broad categories as in 2011:

#### *Formal Cost Estimates and Mandate Statements*

CBO will provide estimates of the cost of legislative proposals, including estimates of the effects of intergovernmental and private-sector mandates. The agency will fulfill the statutory requirement to provide estimates for bills reported by committees and will also prepare, as needed, estimates at other stages of the legislative process. Many of those estimates will be informal estimates to aid in the development of legislative proposals.

#### *Scorekeeping Tabulations*

CBO will estimate the budgetary impact of appropriation bills and provide regular status reports on discretionary appropriations and on the direct spending and revenue effects of legislation.

#### *Budget and Economic Projections and Analyses*

CBO will report on the outlook for the economy and construct budget projections based on current law to serve as neutral benchmarks for gauging the effects of spending and revenue proposals. The agency will also estimate the effects of the President's budgetary proposals on the budget and the economy, including the implications of those economic effects for the budget. In 2013, CBO will release a new volume of policy options for reducing future budget deficits, including estimates and brief descriptions of the advantages and disadvantages of numerous specific options.

CBO will also report on the long-term budget outlook, examining the pressures facing Medicare, Medicaid, Social Security, and other parts of the federal budget over the coming decades as a result of continued rapid growth in health care spending and the aging of the population. The agency will continue to improve its analysis of the economic implications of long-term budgetary imbalances and of alternative ways of addressing those imbalances.

*Studies, Reports, Issue Briefs, Letters, Infographics, and Testimonies*

CBO will provide in-depth analyses of budget and economic issues, responding to the interests and concerns of the Congressional leadership and committees. Those analyses will span broad budget issues, health care issues, energy and environmental issues, financial markets and credit programs, macroeconomic issues, income security and employment, tax issues, national security issues, and other issues.

**Continue to Present and Explain the Methodology and Results of CBO's Analyses Clearly**  
CBO considers the transparency of its analyses to be a basic value of the agency. Although much of the work that CBO undertakes is extremely technical in nature, the agency devotes considerable time and energy to explaining its findings and the basis for those findings as clearly and nontechnically as possible. CBO's objective is to help Members of Congress, their staff, and outside analysts understand what the agency is doing and provide an opportunity to question the methodology and assumptions being used.

To meet this objective, CBO has done and will continue to do the following:

- When the agency completes a budget or economic projection, a cost estimate for a public piece of legislation, or another type of analysis, it makes that analysis available immediately to all Members of Congress, their staff, and the public.
- Formal cost estimates generally include sections describing the basis for the estimate—that is, the information that CBO collected and how that information was used in constructing the estimate.
- The agency documents and explains the revisions to its budget projections in each successive baseline, and it reports regularly on its record of economic forecasts.
- Many macroeconomic analyses—including the annual analysis of the economic effects of the President's budget, the required quarterly analyses of the economic effects of the American Recovery and Reinvestment Act, and periodic reports and testimonies about the effects of fiscal policy options on output and employment—include substantial discussions of the relevant research literature and CBO's modeling approaches.
- CBO releases background papers and working papers describing the key aspects of the models the agency uses in making long-term budget projections, projections of the labor force, projections of tax revenues over the coming decade, and cost estimates of proposals to change the nation's health insurance system.

- CBO analysts regularly explain details underlying the agency's estimates and other analyses to interested Hill staff.

CBO will also continue to solicit external professional review of its work so that the agency's analyses reflect the consensus and diversity of views of experts from around the country and apply the best new evidence and innovative ideas as well as the lessons of experience. In particular, CBO has done and will continue to do the following:

- CBO studies and issue briefs are reviewed by outside experts before publication. Those reviewers include professors, analysts at think tanks, private-sector experts, and employees at other government agencies. CBO selects reviewers that it expects to have diverse views about the topics being analyzed.
- CBO cost estimates often draw on consultation with outside experts as well.
- CBO analysts present their work in working papers and at professional conferences.
- The agency has a Panel of Economic Advisers that meets twice a year to provide input on the agency's latest economic forecast and other issues and a Panel of Health Advisers that meets once a year to evaluate the agency's analyses of health care issues and examine new research in health care and health care financing. CBO also consults with these distinguished experts and other experts on an ongoing basis for guidance on CBO's work on a broad range of topics.

#### **Continue to Improve CBO's Internal Management**

In addition to focusing directly on serving the Congress, CBO devotes resources to attracting and retaining talented people, developing the skills of its workforce, and providing the support services and other infrastructure needed to make that workforce as productive as possible. CBO will continue to pursue the same broad management goals that it has pursued in recent years, although the emphasis will change to reflect past progress and emerging needs.

#### *Retention and Development of CBO Staff*

CBO faces considerable competitive pressure in attracting and retaining the highly educated and skilled employees that it needs. More than two-thirds of CBO's staff consists of economists and budget analysts; talented people with both sorts of backgrounds are highly sought by other government agencies, private analytic organizations, and private companies. Some of CBO's economists and budget analysts could earn significantly higher compensation working in the executive branch, and many could do so working in the private sector. Moreover, the divergence between the compensation that CBO can provide these people and the compensation they can receive elsewhere is increasing. For example, over the past decade, the average inflation-adjusted annual salary paid to economists with new Ph.D.s that are hired by academic programs that grant Ph.D.s (the most relevant comparison group for the new economists that CBO hires) rose by nearly one-third, while the highest inflation-adjusted annual salary paid at CBO was essentially unchanged. In addition, most of CBO's staff who are not economists and budget analysts work in

other fields with very competitive private labor markets; this group includes IT professionals, lawyers, financial managers, human resources experts, and others.

To attract and retain highly talented employees, CBO relies heavily on the nonmonetary rewards of the work that the agency does. Fortunately, the intellectual challenges of the analyses and other tasks, the open and collaborative culture that the agency has maintained since its founding, and the satisfaction of public service have enabled CBO to build a dedicated and skilled workforce. According to recent surveys of employees at many federal agencies, CBO is one of the best places to work in the federal government.<sup>2</sup> CBO's objective is to maintain that standing despite the growing divergence between the agency's resources and the demands the agency faces from the Congress.

Although budget constraints are forcing a significant reduction in the training of CBO staff, the agency will continue to look for opportunities to enhance the skills and knowledge of its people. Within the financial constraints, CBO will continue to fund participation in conferences of researchers, practitioners, and government employees, as well as training in specific analytic and other skills. Given the importance of clearly communicating the results of CBO's analyses, the agency continues training in writing and has added training on making presentations. The agency is also working to improve staff members' skills related to the use of information technology.

#### *CBO's Financial Management and Technological Infrastructure*

CBO will continue to maintain and enhance its financial management and acquisition systems in order to provide accurate and timely information. The agency has received clean opinions in all of its previous audits, and its objective is to continue to do so. CBO works closely with its auditing firm on an ongoing basis to develop ways to improve the agency's financial operations.

CBO continually works to improve its technological infrastructure. The agency is currently planning to upgrade or is in the process of upgrading several key technologies. CBO will:

- Continue to improve and upgrade remote access capabilities;
- Continue to extend its virtual technology infrastructure (which allows for different operating systems and multiple applications within a single computer or other piece of hardware, thereby reducing costs and adding operational flexibility);
- Complete the replacement of storage technology, improving reliability and redundancy; and
- Replace aging backup technology.

In addition, the agency has expanded its use of collaboration software (such as Microsoft SharePoint) to improve productivity.

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<sup>2</sup> See *The Best Places to Work* rankings for 2009 and 2010, compiled by the Partnership for Public Service and the American University Institute for the Study of Public Policy Implementation. CBO did not participate in the 2011 survey but plans to participate again in 2012.

CBO is nearing the end of a major project to redesign its Web site to make it as useful and reliable as possible so that Members and staff of the Congress can have ready access to CBO's work. The new site will be launched shortly.

Figure 2

**Congressional Budget Office  
Organization Chart  
(As of January 1, 2012)**

**Entire Agency**

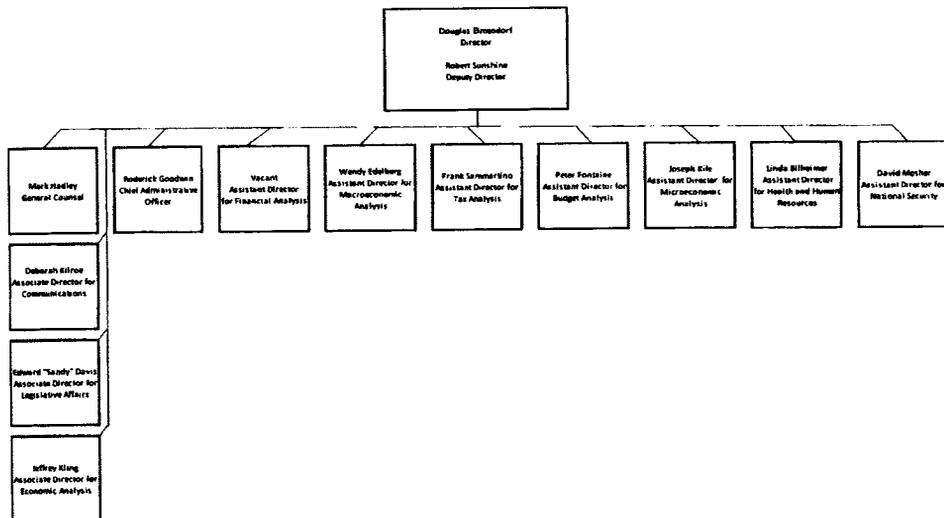
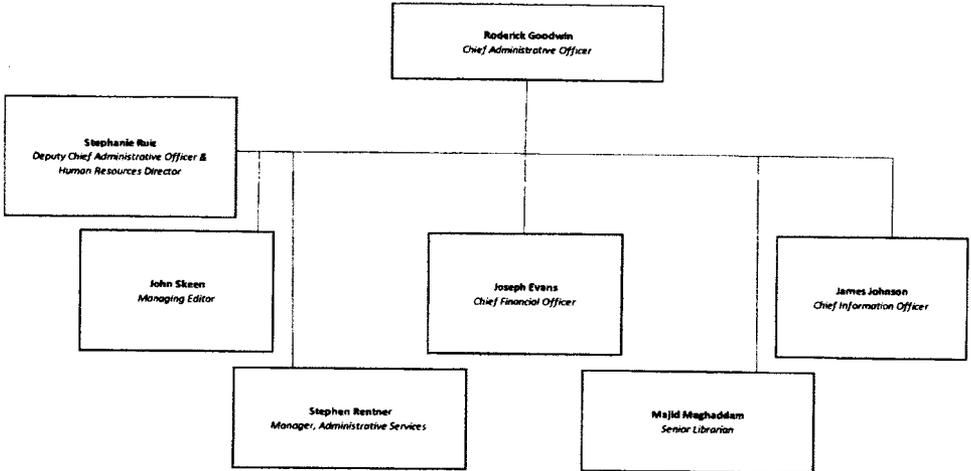


Figure 3

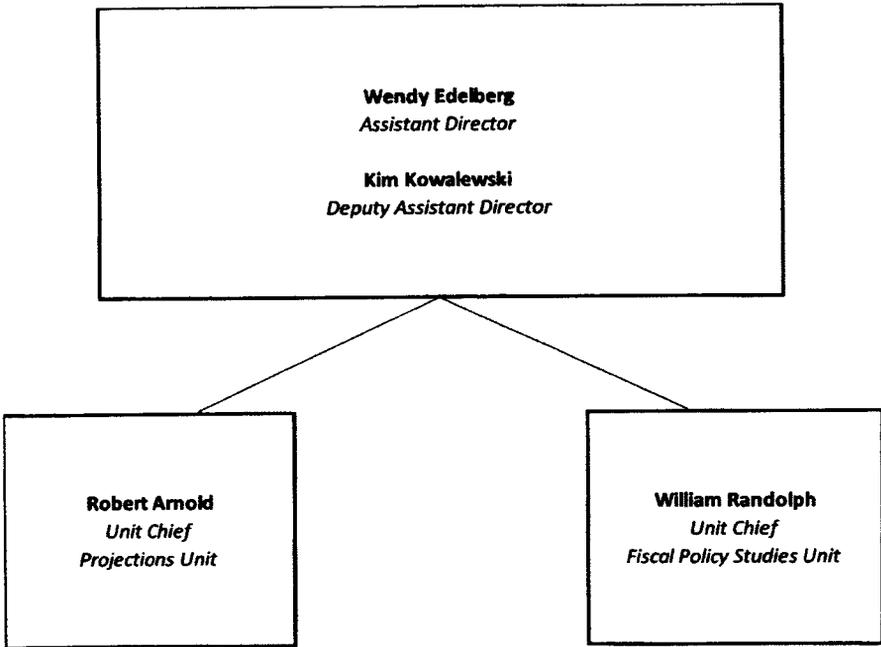
**Congressional Budget Office  
Organization Chart  
(As of January 1, 2012)**

**Management, Business and Information Services Division**



**Congressional Budget Office  
Organization Chart  
(As of January 1, 2012)**

**Macroeconomic Analysis Division**



**Congressional Budget Office  
Organization Chart  
(As of January 1, 2012)**

**Financial Analysis Division**

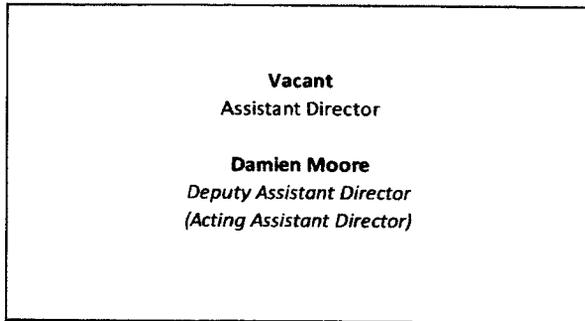


Figure 6

**Congressional Budget Office  
Organization Chart  
(As of January 1, 2012)**

**Tax Analysis Division**

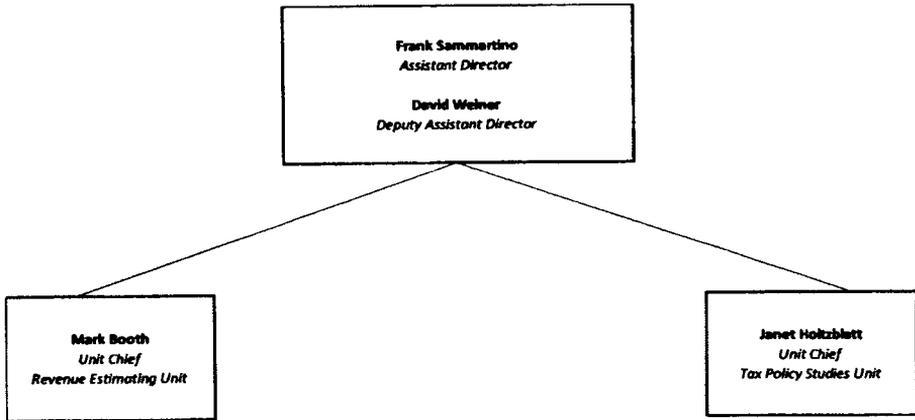
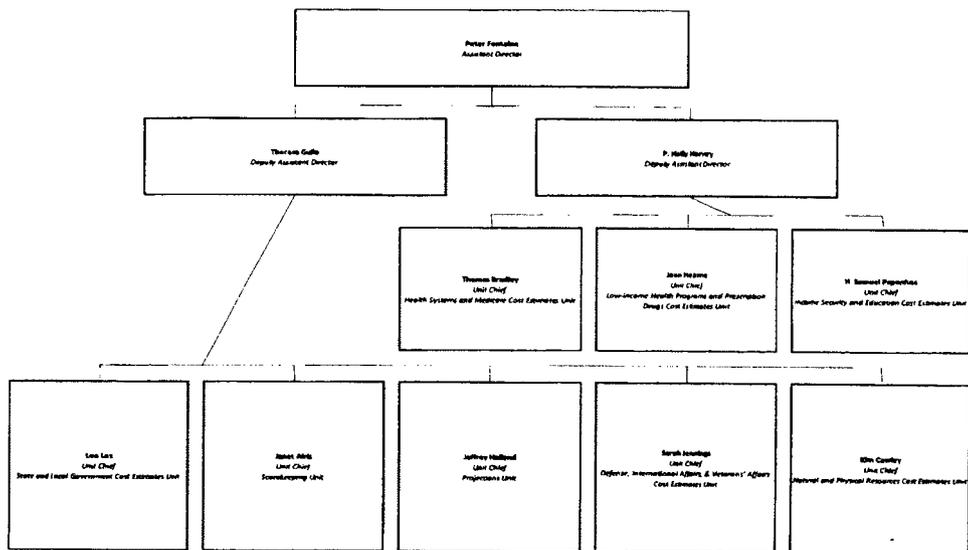


Figure 7

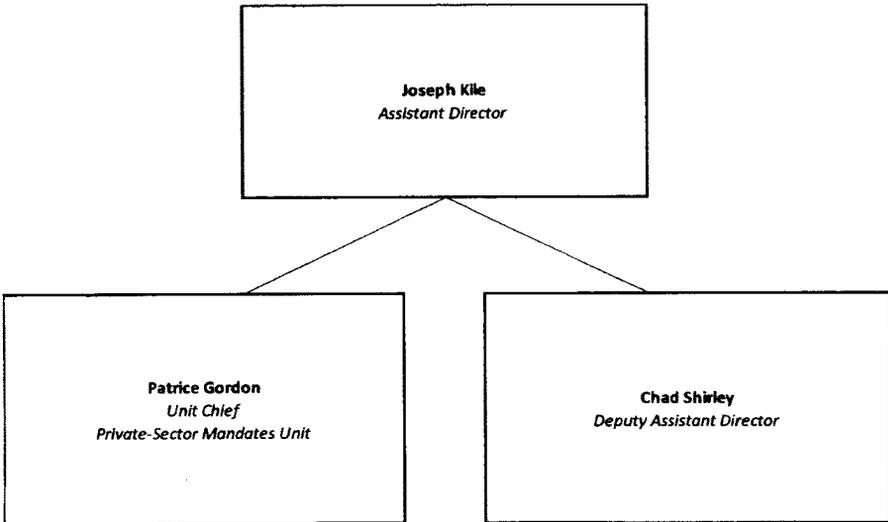
**Congressional Budget Office  
Organization Chart  
(As of January 1, 2012)**

**Budget Analysis Division**



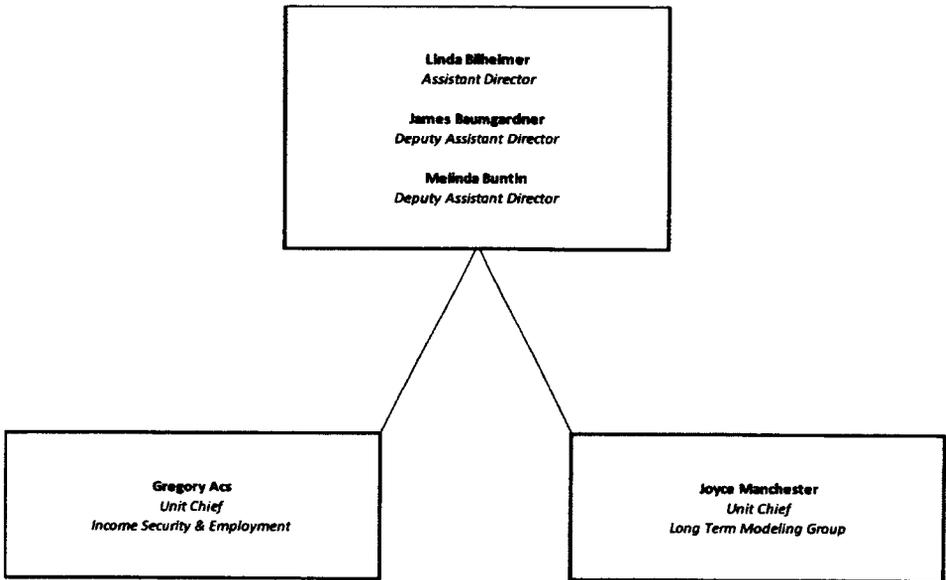
**Congressional Budget Office  
Organization Chart  
(As of January 1, 2012)**

**Microeconomic Studies Division**



**Congressional Budget Office  
Organization Chart  
(As of January 1, 2012)**

**Health and Human Resources Division**



**Congressional Budget Office  
Organization Chart  
(As of January 1, 2012)**

**National Security Division**

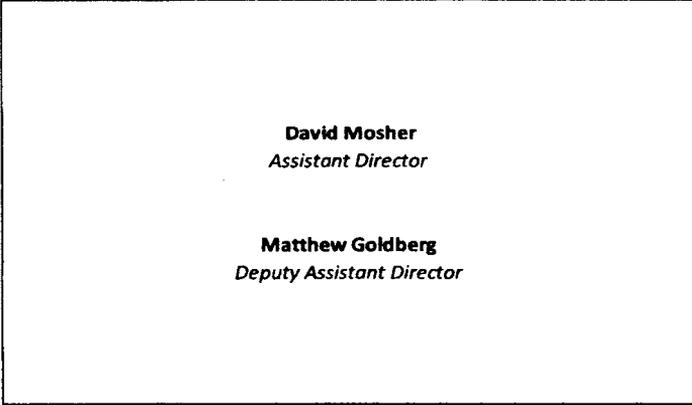


Table 2

**Congressional Budget Office  
Salaries and Expenses Appropriation  
Summary by Organizational Unit  
(Dollars in thousands)**

Organizational Unit	FY 2011		FY 2012		FY 2013		FY 2012/2013		Percent Change
	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	
Office of the Director	15	2,826	15	2,651	14	2,551	-1	-100	-3.8%
Budget Analysis	81	13,742	81	13,806	80	14,037	-1	231	1.7%
Macroeconomic Analysis	21	3,672	20	3,418	20	3,520	0	102	3.0%
Financial Analysis	7	1,569	7	1,197	7	1,232	0	35	2.9%
Tax Analysis	19	3,219	18	3,072	17	2,987	-1	-85	-2.8%
Health and Human Resources	25	4,452	28	4,818	28	4,962	0	144	3.0%
Microeconomic Studies	22	3,729	20	3,414	19	3,340	-1	-74	-2.2%
National Security	17	2,876	15	2,560	15	2,635	0	75	2.9%
Management, Business, and Information Services	39	10,582	36	8,851	36	9,373	0	522	5.9%
<b>Total Agency</b>	<b>246</b>	<b>46,667</b>	<b>240</b>	<b>43,787</b>	<b>236</b>	<b>44,637</b>	<b>-4</b>	<b>850</b>	<b>1.9%</b>

Table 3

**Congressional Budget Office  
Summary by Object Class**  
(Dollars in thousands)

ITEM	FY 2011	FY 2012	FY 2013	FY	Percent
	Actual			2012/2013	
	Obligations	Appropriated	Request	Net Change	Change
11.1 Full-Time Permanent Positions	\$29,724	\$29,755	\$30,048	\$293	1.0%
11.3 Other Than Full-Time Permanent	838	639	643	4	0.6%
11.5 Other Personnel Compensation (Bonuses)	875	335	325	-10	-3.0%
11.5 Other Personnel Compensation (Overtime)	10	10	10	0	0.0%
12.1 Personnel Benefits	10,048	10,085	10,287	202	2.0%
13.0 Benefits for Former Personnel	8	0	0	0	0.0%
<b>Total, Pay</b>	<b>\$41,503</b>	<b>\$40,824</b>	<b>\$41,313</b>	<b>\$489</b>	<b>1.2%</b>
21.0 Travel and Trans. of Persons	168	100	116	16	16.0%
23.3 Comm., Utilities and Misc. Charges	264	176	228	52	29.5%
24.0 Printing and Reproduction	61	41	41	0	0.0%
25.0 Other Services	2,616	1,390	1,663	273	19.6%
26.0 Supplies and Materials	458	440	460	20	4.5%
31.0 Equipment	1,597	816	816	0	0.0%
<b>Total, Nonpay</b>	<b>\$5,164</b>	<b>\$2,963</b>	<b>\$3,324</b>	<b>\$361</b>	<b>12.2%</b>
<b>Total</b>	<b>\$46,667</b>	<b>\$43,787</b>	<b>\$44,637</b>	<b>\$850</b>	<b>1.9%</b>

**Congressional Budget Office**  
**Salaries and Expenses Appropriation**  
**Analysis of Change**  
(Dollars in thousands)

	FTEs	Requested Amount
<b>Fiscal Year 2012 Appropriated</b>	<b>240</b>	<b>\$43,787</b>
<b>Mandatory Pay and Related Costs</b>		
Annualization of Prior-Year Personnel Actions (Pay only)		571
FTE Reduction Through Attrition	(4)	(629)
Fiscal Year 2013 Across-the-Board Pay Adjustment (Pay only)		0
Fiscal Year 2013 Performance Increases for All Staff (Pay only)		195
One More Workday		160
Performance Awards (Pay only)		(10)
Personnel Changes Under Current Law		202
<b>Total, Mandatory Pay and Related Costs</b>		<b>489</b>
<b>Price-Level Changes</b>		
Price Increases		30
<b>Total, Price-Level Changes</b>		<b>30</b>
<b>Program Change:</b>		
Partially restores funding for commercial data requirements to support analyses		333
Restores funding for telecommunications requirements to normal level from constrained FY 2012 funding		50
Partially restores funding for travel requirements to normal levels from constrained FY 2012 funding		15
Partially restores funding for training requirements to normal level from constrained FY 2012 funding		5
Financial management support/financial system upgrade delayed until after FY 2013		(72)
<b>Total, Program Increases</b>		<b>331</b>
<b>Net Increase/Decrease</b>	<b>(4)</b>	<b>\$850</b>
<b>Total, Fiscal Year 2013 Budget Request</b>	<b>236</b>	<b>\$44,637</b>

Table 5

**Congressional Budget Office  
Staffing Summary—On-Board/FTEs**

	FY 2011		FY 2012	FY 2013	Change FTEs
	Actual On-Board	Actual FTEs	Appropriated FTEs	Request FTEs	
Office of the Director	16	15	15	14	-1
Budget Analysis	82	81	81	80	-1
Macroeconomic Analysis	20	21	20	20	0
Financial Analysis	6	7	7	7	0
Tax Analysis	19	19	18	17	-1
Health and Human Resources	28	25	28	28	0
Microeconomic Studies	20	22	20	19	-1
National Security	16	17	15	15	0
Management, Business, and Information Services	36	39	36	36	0
<b>Total Agency</b>	<b>243</b>	<b>246</b>	<b>240</b>	<b>236</b>	<b>-4</b>

Note: On-board figures are for the end of the fiscal year; FTEs represent an average for the fiscal year.

Table 6

**Congressional Budget Office**  
**Fiscal Year 2013 Supplemental Data on Mandatory Pay Increases**  
(Dollars in thousands)

<u>Category</u>	<u>Amount</u>
1. Annualization of Prior Fiscal Year Personnel Actions	\$571
2. FTE Reduction Through Attrition	(\$629)
3. Fiscal Year 2013 Across-the-Board Pay Adjustment (Pay only)	0
4. Fiscal Year 2013 Performance Increases for All Staff	195
5. One More Workday	160
6. Performance Awards (Pay only)	(10)
7. Personnel Changes Under Current Law	202
<b>Total Mandatory Pay Increases</b>	<b>\$489</b>

**Explanation of Calculations**

1. CBO annualized fiscal year 2012 actions to include promotions and performance-based increases for staff.
2. CBO proposes to reduce staffing by 4 FTEs through attrition.
3. CBO will not provide an across-the-board pay increase.
4. Performance-based increases have been reduced by roughly 50 percent compared with those provided in 2011. Such increases are based on employees' accomplishments in the previous year, as reflected in performance reviews and recommendations prepared by the Assistant Directors. The recommendation for each employee is reviewed and discussed by the Director and Deputy Director of the agency during an in-depth meeting with the employee's Assistant Director. Maintaining the ability to reward performance is essential in view of the competitive job market for economists and budget analysts that CBO competes in.
5. Fiscal year 2013 has 261 workdays--one more than fiscal year 2012.
6. CBO's budget includes a total of \$325,000 for performance awards for CBO's top performers. CBO held the reduction to this line item to \$10,000 from the fiscal year 2012 funding level because the agency has sharply reduced the size of merit pay increases. These bonuses enable CBO to better control long-term increases, while retaining its outstanding performers in a competitive job market.
7. This line item represents the estimated cost of the change in benefits associated with the salary increases listed above, benefit program price increases, and the growing rate of employee participation in the Federal Employees Retirement System.

**Congressional Budget Office**  
**Fiscal Year 2013 Supplemental Data on Price Level Increases**  
(Dollars in thousands)

<b>Category</b>	<b>Amount</b>
1. General Inflationary Increase	14
2. Library Subscription Services	16
<b>Total Price Level Increases</b>	<b>30</b>

**Explanation of Calculations**

1. General inflationary increase is calculated using a rate of 1.4% for most nonpay line items.
2. Library subscription services increases are based on anticipated price increases when renewing option-year contracts.

Table 8

**Congressional Budget Office**  
**Salaries and Expenses Appropriation**  
**10-Year Historical Data**  
 (Not adjusted for inflation)  
 (Dollars in thousands)

ITEM	2004	2005	2006	2007	2008	2009	2010	2011	2012E	2013E
11.1 Full-Time Permanent Positions	20,864	21,720	22,390	23,244	25,149	26,864	28,564	29,724	29,755	30,048
11.3 Other Than Full-Time Permanent	803	1,165	1,199	1,185	876	901	991	838	639	643
11.5 Other Personnel Compensation	260	315	253	110	91	454	994	885	345	335
<b>Total, Personnel Compensation</b>	<b>21,927</b>	<b>23,200</b>	<b>23,842</b>	<b>24,539</b>	<b>26,116</b>	<b>28,219</b>	<b>30,549</b>	<b>31,447</b>	<b>30,739</b>	<b>31,026</b>
12.1 Personnel Benefits	6,427	7,090	7,546	7,764	8,348	8,921	9,633	10,048	10,085	10,287
13.0 Benefits for Former Personnel	2	5	0	0	0	0	0	8	0	0
21.0 Travel and Trans. of Persons	129	117	134	108	137	119	123	168	100	116
22.0 Transportation of Things	1	1	0	0	0	0	0	0	0	0
23.3 Comm., Utilities, and Misc.	244	218	240	175	169	197	220	264	176	228
24.0 Printing and Reproduction	71	34	47	58	23	68	39	61	41	41
25.0 Other Services	2,858	2,242	1,870	1,647	1,527	3,873	3,300	2,616	1,390	1,663
26.0 Supplies and Materials	344	346	378	149	404	746	465	458	440	460
31.0 Equipment	1,438	1,124	913	721	477	2,103	2,355	1,597	816	816
<b>Total, Obligations</b>	<b>33,441</b>	<b>34,377</b>	<b>34,970</b>	<b>35,161</b>	<b>37,201</b>	<b>44,246</b>	<b>46,684</b>	<b>46,667</b>	<b>43,787</b>	<b>44,637</b>
Full-Time-Equivalent Positions	228	231	231	231	235	242	250	246	240	236

## Detailed Object Classification Analysis

### Basis for CBO's Budget Estimates—Personnel Costs

Payroll projections are based on estimates developed using CBO's internally developed software for tracking current payroll costs and projecting future-year costs. Estimates are developed using employee-level payroll data at the object classification level. In prior years, payroll budget projections derived from this database have proven to be more than 99 percent accurate for developing and tracking payroll costs.

#### *Object Classification 11—Full-Time and Part-Time Employees*

**\$30,577,000 for Base Pay**—funds an average of 236 FTEs for the fiscal year. The amount constitutes an overall increase of \$297,000. No across-the-board increases have been budgeted for fiscal year 2013. Performance-based increases have been reduced by roughly 50 percent compared with those provided in 2011. Such increases are based on employees' accomplishments in the previous year, as reflected in performance reviews and recommendations prepared by the Assistant Directors. The recommendation for each employee is reviewed and discussed by the Director and Deputy Director of the agency during an in-depth meeting with the employee's Assistant Director. Maintaining the ability to reward performance is essential in view of the competitive job market for economists and budget analysts that CBO competes in.

In projecting the staffing level for 2013, CBO anticipates that, through attrition, the agency will be able to reduce its workforce to 237 FTEs by the end of fiscal year 2012 (for an average of 240 FTEs over the course of this year). The agency further expects that, through further attrition, it will be down to 235 FTEs by the end of fiscal year 2013—for an average of 236 FTEs over the course of that year, which would be 4 fewer than in 2012 and 10 fewer than in 2011. Should the number of departures be less than anticipated, or if some of them involve positions (such as key management positions) that would have to be filled, it might be necessary to implement furloughs and possibly a reduction-in-force in order to accomplish the budgeted reduction in FTEs.

**\$114,100 for Leave Payout Costs**—funds mandatory leave buyout costs for employees who leave. The amount is the same as that for fiscal year 2012. The fiscal year 2013 costs are based on historical leave payouts. For leave buyout costs above this amount, CBO would delay filling vacated positions to cover the costs.

**\$325,000 for Performance Bonuses**—funds performance bonuses for CBO's top performers. CBO held the reduction to this line item to \$10,000 from the fiscal year 2012 funding level because the agency has sharply reduced the size of merit pay increases. These bonuses enable CBO to better control long-term increases, while retaining its outstanding performers in a competitive job market.

**\$10,000 for Overtime Pay**—funds overtime pay for exempt employees at the same level as in fiscal year 2012. Overtime pay is limited to positions classified as administrative. Currently,

CBO has 13 employees serving in administrative positions. Overtime is approved in rare cases when support of the Congress would be impaired if the work was not performed. The work consists of such tasks as preparing, copying, and delivering products to the Congress. If funding is provided below this level, CBO would have to redirect tasks to nonexempt employees, which would not be an efficient use of their time given the workload and the already reduced FTE level.

*Object Classification 12—Personnel Benefits*

**\$4,959,000 for the Federal Employees Retirement System (FERS) and Civil Service Retirement System (CSRS)**—funds mandatory retirement benefits for FERS and CSRS employees. The amount constitutes an overall increase of \$52,300. Fiscal year 2013 costs were based on the projected base pay for current employees using the current benefit rate of 16.7 percent for FERS employees and 7.5 percent for CSRS and CSRS Offset employees, along with a reduction for anticipated attrition.

**\$1,600,600 for Health Insurance**—funds mandatory health benefit costs. Based on historical costs, fiscal year 2013 health insurance costs are inflated by 2.3 percent, with a reduction for anticipated attritions. The amount constitutes an increase of \$36,500.

**\$1,566,200 for Social Security payroll taxes**—funds mandatory benefit costs for CBO employees subject to the Social Security payroll tax. The amount constitutes an increase of \$65,100. Fiscal year 2013 costs are projected using a maximum taxable benefit of \$110,100 for each employee along with a reduction for anticipated attrition.

**\$1,106,100 for FERS Thrift Savings Plan (TSP) Government Matching Contributions**—funds mandatory government matching contribution benefits. The amount is an increase of \$23,400. Fiscal year 2013 projected costs are based on matching benefits for current employees using their current annualized salary, along with a reduction for anticipated attrition. The historical matching benefit for CBO has been 3.6 percent of base pay.

**\$448,000 for Medicare payroll taxes**—funds mandatory Medicare benefit costs for CBO employees. The amount is \$4,100 more than the amount in fiscal year 2012. Fiscal year 2013 costs were projected using 1.45 percent of base pay, along with an associated adjustment for anticipated attrition.

**\$289,400 for FERS TSP Government Basic Contribution**—funds the mandatory FERS TSP 1-percent matching benefit. The amount is an increase of \$1,600 over the amount in fiscal year 2012. Fiscal year 2013 costs were based on the benefits paid to current employees using their current annualized salary, along with a reduction for anticipated attrition.

**\$236,000 for the Transit Subsidy Program**—funds mandatory employee benefits that are associated with CBO's Transit Subsidy Program. The amount is a decrease of \$3,500. CBO assumed that the current monthly maximum benefit amount of \$125 would remain in effect.

**\$38,300 for Life Insurance**—funds mandatory life insurance benefits for employees. The amount constitutes an increase of \$2,300. Fiscal year 2013 costs were calculated on the basis of historical data, which equate to roughly 0.1 percent of base pay.

**\$25,000 for Recruitment Bonuses**—funds hiring bonuses for new employees. The amount is \$20,000 more than what is budgeted for fiscal year 2012 but less than what CBO spent (\$70,000) in fiscal year 2011. These funds are used as a recruiting tool for the agency. If this line item is not funded, CBO would be a less attractive employer to potential employees.

**\$16,400 for the Federal Flexible Spending Account Program (FSAFEDS)**—funds mandatory costs for participation in FSAFEDS by CBO's workforce. The amount is the same as in fiscal year 2012. Fiscal year 2013 costs are based on employees' historical use of the program.

**\$1,500 for a Health Club Benefit**—funds CBO's share of the use of the House of Representatives' health club contract. The amount is the same as in fiscal year 2012. This nominal cost is based on historical data.

**\$0 for the Loan Repayment Program**—CBO did not fund this program in fiscal year 2012 and is not planning to fund it in 2013 in order to help reduce the overall budget for both years. There are currently no commitments made to employees for student loan repayments.

#### **Basis for CBO's Budget Estimates—Nonpay Costs**

##### *Object Classification 21—Travel*

**\$116,000 for Travel**—funds two meetings of the agency's Panel of Economic Advisers and one for the Panel of Health Advisers to support the development of CBO analyses; funds employees' attendance at the annual Allied Social Science Association conference, which is used as a recruiting tool; and funds travel for employees to attend various conferences and training courses, including management and leadership training. CBO increased this line item by \$16,000 to partially restore previous cuts (the fiscal year 2010 funding level was \$123,000).

##### *Objection Classification 23.3—Communication, Utilities, and Miscellaneous Charges*

**\$211,300 for Telecommunications and Telephone Services**—funds secure communication lines to support Internet and intranet services; local and long distance telephone services; and Blackberry service for key CBO personnel. CBO restored \$52,100 that had been eliminated in 2012 in order to cover costs for required maintenance and anticipated upgrades to telecommunications services. Reductions to this line item could hamper communication operations internally and externally.

**\$16,500 for Mail Service**—funds postage, couriers, and express mail services to support the agency's external customers. The amount is the same as in fiscal year 2012.

*Object Classification 24—Printing and Reproduction*

**\$41,000 for Publications**—funds publications printed through the Government Printing Office and other miscellaneous printing requirements for CBO products for the Congress. This requirement is funded at the same level as in fiscal year 2012. Funding for the function was cut by \$20,000 for fiscal year 2012 by eliminating commercial printing of most of the agency's publications. CBO will continue to post all of its publications on its Web site.

*Object Classification 25—Other Purchase Services*

**\$545,500 for Commercial Data**—funds purchases of data on health care, domestic and international banking/finances, and other topics in support of analyses. CBO reduced this amount by \$493,600 in fiscal year 2012. These resources must be partially restored for fiscal year 2013 to ensure that essential data are available for analyses. Any reduction to this line item may keep CBO from providing accurate and up-to-date analyses for reports and studies.

**\$299,700 for Equipment Maintenance and Repair**—funds a broad array of IT functions needed for operations. The amount is the same as in fiscal year 2012. CBO's overall equipment maintenance costs have increased substantially in the past few years, primarily because of the need to add network security appliances to safeguard the agency's IT infrastructure. Specifically, this funding supports equipment maintenance and repair for a tape backup equipment; Cisco network equipment; copiers and high-capacity printer maintenance; storage area network; software maintenance and updates; service network security appliances; data backup software maintenance and upgrades; and software maintenance. To the maximum extent possible, in its maintenance agreements for hardware, CBO pays a fixed fee for a guaranteed level of service throughout the year, which tends to be more cost-effective than paying for services as needed. In fiscal year 2011, CBO worked hard to reduce these costs and was able to cut \$20,000 from the budget for fiscal year 2012. Any further reductions may hamper operations.

**\$207,200 for IT System Development and Support**—funds software development for various projects. This requirement is funded at the same level as in fiscal year 2012. Because CBO has a very small technical staff, it is more cost-effective to rely heavily on contractors for major installations, upgrades, and support. Such support includes advisory services to ensure that CBO obtains the best value for major procurements. It also includes professional services as necessary to augment the agency's own staff to quickly resolve complex outages; to implement major upgrades for such systems as Microsoft Exchange, VMWare, and NetApps; and to provide mandatory annual risk assessments. CBO was able to lower these IT costs in fiscal year 2011 and cut \$23,000 for fiscal year 2012. Any further reductions may hamper operations.

**\$104,100 for Expert Consultants**—funds contracts for expert consultants. The amount is the same as that in fiscal year 2012. This funding supports access to outside experts, particularly in health care and finance, to assist in cost estimates and analyses; outside reviews of draft write-ups of analyses; as well as legal support for human resource and litigation actions by former and current employees. The budget estimate for this line item is based on historical information. Reductions in this line item could diminish the quality of CBO's analyses or force the agency to

reallocate other funds to cover requirements in this area—especially for legal support, which would be a mandatory expense.

**\$107,500 for Financial Management Support**—funds the interagency agreement with the Library of Congress (LOC). The amount is an increase of \$1,500 over the amount in fiscal year 2012. This line item supports all areas of financial management, including accounting operations and financial reporting. The support includes monthly reconciliation and reporting; assistance with the compilation of financial statements; payment processing and check disbursements; online access to LOC's Financial Reporting System; and basic IT maintenance support for an end-to-end financial management system (Momentum). By using financial management services provided by the Library of Congress, CBO is able to avoid costly expenses that it would otherwise incur on its own for financial management services and systems. If any reduction is made to this line item, CBO would not be able to provide timely financial management support for its own managers or timely reports to the Office of Management and Budget, the Department of Treasury, the Appropriations Committees, and CBO's auditors.

**\$97,100 for the Financial Management System (Momentum)**—funds annual costs of CBO's maintenance support for Momentum. The amount is a decrease of \$71,700 from the amount in fiscal year 2012. System upgrades for 2013 have been canceled. Any further reductions would cause CBO to reduce the hours of contract support that it uses, and reductions beyond a certain level could prevent CBO from effectively performing its financial management responsibilities.

**\$36,500 for the Financial Audit**—funds the annual independent audit of CBO's financial statements. The amount includes a fixed cost increase of \$1,400. CBO partnered with other Legislative Branch agencies that are serviced by LOC to contract for audit services. Because of that joint contract, CBO was able to avoid costly expenses that would have been associated with the agency's share of obtaining a Statement on Standards for Attestation Engagement No 16 Report of LOC's financial management system, Momentum. This is a fixed-cost contract, so funding cannot be adjusted. If this line item is not funded, CBO will not be able to conduct its annual independent financial audit.

**\$35,500 for Payroll Processing Support**—funds comprehensive payroll (and related benefits) processing for the agency. The amount is the same as that for fiscal year 2012. The National Finance Center provides payroll services to more than 140 government agencies, allowing it to offer services at substantially lower costs than what would be possible otherwise. The amount is an estimate of a fixed cost.

**\$60,500 for Human Resources Contract Support**—funds a variety of costs related to CBO's personnel. The amount is the same as that in fiscal year 2012. Specifically, these funds cover the costs for services by the Office of Personnel Management such as background investigations; posting jobs to the USAJobs Web site, and personnel records retention. In addition, the funds cover minor costs associated with employment services such as retirement counseling.

**\$120,300 for Technical and Skill Development Training**—Participating in conferences is imperative for CBO analysts to maintain current and comprehensive information in their areas of expertise. In addition, this line item is devoted to technical training in IT systems and software, data analysis, writing, and economic modeling. To constrain expenses in this area, CBO takes advantage of House-sponsored training courses as well as those offered by other agencies. CBO restored \$7,300 to this account in fiscal year 2013, to bring the amount to roughly 65 percent of the average of the training budgets for the three prior years. Further reductions to this line item would reduce the agency's ability to maintain employees' skills.

**\$12,000 for Management and Development Training**—funds training for high-performing analysts and managers. This training provides managers with management and leadership skills. CBO reduced this line item by \$18,000 during fiscal year 2012—and fiscal year 2013 is funded at the same level.

**\$20,000 for Editing and Publications Contractor Support**—funds ad hoc services by contractors to help in producing CBO publications. The contractors are used to augment CBO's editing resources during peak periods. This requirement is funded at the same level as in fiscal year 2012. Funding for this function was cut by \$23,000 for fiscal year 2012. Those reductions will probably delay the completion of some publications, as would any further reductions.

**\$11,500 for Clerical and Other Miscellaneous Temporary Support**—funds ad hoc clerical and miscellaneous support throughout the agency during peak workload periods. The amount is the same level of funding as in fiscal year 2012. Recently, CBO reduced clerical support by \$61,000 by eliminating the agency's library cataloger, who worked on contract. The work will now be accomplished in-house and on an ad hoc basis by CBO administrative personnel as time permits.

**\$6,000 for Official Representation**—funds events such as meetings of the Panel of Economic Advisors, Panel of Health Advisers, tax analysts, and climate analysts; and minority recruitment events. This nominal amount of funding is the same level as in previous years.

*Object Classification 26.0—Supplies and Material*

**\$331,000 for Library Subscriptions**—funds library subscription services, primarily online subscriptions. The amount is \$20,000 higher than fiscal year 2012, reflecting increases in prices for such subscriptions. CBO cut this funding by \$144,000 for fiscal year 2012. To decrease price growth in this area, which is normally higher than normal inflation rates, CBO negotiates with various vendors to offer subscription discounts and price reductions, where feasible. This line item provides for subscriptions to a variety of publications and services, including *Congressional Quarterly*, *National Journal*, Lexis-Nexis, Economic Literature (ECONLIT), the Bureau of National Affairs (BNA), EBSCO, PROQUEST, the Social Science Research Network (SSRN), Science Direct, Journal Storage (JSTOR), the *Wall Street Journal*, Inside Washington Publishers (IWP), and Energy and Environment (E&E).

**\$129,000 for Office Supplies**—funds expenses for office supplies, reasonable accommodations for employees' requirements; paper, envelopes, emergency response kits required for evacuation drills, award supplies, and other items. This is the same funding level as in fiscal year 2012. Inflation increases will be absorbed within the current level of funding. A reduction could hamper operations.

*Object Classification 31.0—Hardware/Software*

**\$418,000 Hardware**—funds CBO's microcomputer inventory. This amount is the same as in fiscal year 2012 and a \$350,800 decrease from the fiscal year 2011 funding level. The agency has about 300 desktop PCs, 200 notebook PCs, and 30 dedicated network servers. CBO typically maintains workstations for all full-time staff and up to 20 interns, scholars, and contract employees. A number of staff members have more than one computer to meet the need for specialized processing. CBO has found that it is generally more cost-effective to replace older equipment than to upgrade it. The agency has a four-year replacement cycle for network servers and a three-year replacement cycle for PC workstations. In order to ensure a stable IT network environment, CBO will have to increase this line item in fiscal year 2014.

**\$347,000 for Software**—funds various requirements for software. The amount is the same as that in fiscal year 2012, but the amount that year represented a cut of \$345,700 from the prior year. The funds pay for the Microsoft XP/Version 7 operating system, Microsoft Office 2007, Trend Antivirus software, GAUSS, STATA (Statistics and Data), Matlab (Matrix Laboratory), Adobe Professional, Statistical Analysis Software (SAS), and other software used by CBO analysts. Any further reductions to this line item could seriously hamper the agency's operations.

**\$20,000 for Office Furniture**—funds the replacement of office furniture. This amount is the same funding level as in fiscal year 2012, but that amount was reduced by \$59,500 from what it was the year before. Purchases are limited to ones made necessary by wear and tear of existing furniture and by requirements to provide reasonable accommodations under the Americans with Disabilities Act.

**\$19,000 for Books**—funds library books used by CBO staff. The amount is the same as in fiscal year 2012. This modest amount of funds covers the bare minimum of books required to support analytical requirements. On the basis of a detailed review of Library services, CBO reduced the funds for books by \$5,000 for fiscal year 2012.

**\$12,000 for Office Equipment**—funds requirements for such things as audio/video equipment and shredders. This line item is funded at the same level as in fiscal year 2012, which was \$30,500 below the 2011 level. Funding at this modest level provides for the replacement of equipment that becomes damaged because of normal wear and tear; no new requirements are planned.



Architect of the Capitol  
 U.S. Capitol, Room SB-15  
 Washington, DC 20515  
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### Serve. Preserve. Inspire.

These three words not only encapsulate the Architect of the Capitol's core mission, they define who we are and our commitment to serving the Congress and the American people. The professional staff of the Architect of the Capitol, each and every one of us, is dedicated to serving Congress and the American people. We are committed to protecting and preserving the awe-inspiring facilities entrusted to our care, and we continue to go the extra mile to provide superior service to those who work here, and to provide inspired and memorable experiences that enrich the lives of those who visit here.

Our organization traces its roots to the setting of the Capitol's cornerstone in 1793, and as a result, we know first-hand the challenges associated with preserving historic buildings, and we have much experience in anticipating and planning for future requirements. We also have experience in quickly responding to unexpected events or emergency situations such as the 5.8 magnitude earthquake that rattled the East Coast on August 23 2011, and Hurricane Irene which pummeled the area a few days later. Our staff is among the first on the scene to assess the situation and assure that the facilities are safe and operational so Congress can continue to conduct the people's business.

With Congress's support, very significant investments have been made in the buildings and infrastructure over the years however, we realize that the current fiscal environment presents difficult challenges for all of us. The number of pressing national needs continues to grow as the availability of Federal dollars becomes more constrained.

In Fiscal Year 2012, the Architect of the Capitol's jurisdiction was expanded to include Union Square – an 11-acre parcel including the Capitol reflecting pool and the Grant Memorial. Our Fiscal Year 2013 budget request reflects this added responsibility and includes \$7.3 million in funding for required care and maintenance, including reflecting pool cleaning and repairs, sidewalk and steps stabilization and replacement, lamp post replacement, and the restoration of memorial statuary.

In response to these challenges, the AOC has been leading by example by becoming more efficient in an effort to save taxpayer money. From measures such as providing flexible employee work schedules that helped to reduce overtime hours by 22 percent last year to utilizing efforts such as implementing "free cooling" at the Capitol Power Plant, which yielded 10 percent in energy savings, we have streamlined our operations, making them more effective and reducing costs. We have, in turn, reinvested these resources in important Deferred Maintenance and Capital Renewal projects throughout the Capitol campus.

A specific example of these efforts is the refurbishing equipment instead of buying new. In the Rayburn House Office Building, several escalators needed new steps in order for them to continue to operate safely and effectively. However, replacing the existing steps, which were installed during the 1960 construction of the building, would be cost prohibitive. Instead, AOC staff did extensive research into acquiring refurbished escalator steps. This option not only saved more than \$500,000, it was a more sustainable option by reducing the amount of materials introduced into the waste stream.

Realizing these efficiencies also is providing an extra benefit to Congress and the American people – the AOC is able to reinvest some of these savings realized from these efforts into Deferred Maintenance and Capital Renewal projects on the Capitol campus.

Because the Capitol campus has a number of missions that are of equal yet contradictory importance, the AOC continually strives to strike a balance among them. For example, the Capitol functions as a tourist destination, workplace, and the seat of our representational democracy. It is a place to celebrate our open society and it is a target for those who seek to undermine the freedoms it represents.

Therefore, we continue to refine our project prioritization process that ranks capital projects based on the current conditions of Congressional facilities, and the anticipated urgency with which we need to provide the levels of investment and maintenance required to ensure they remain safe, functional, and secure. The first priority, of course, is to ensure the health and safety of all those who work in and visit the Capitol campus.

Based on our assessments, for Fiscal Year 2013, we are requesting a total of \$668.2 million, which is a five percent decrease from our FY 2012 request. Our request to address critical Deferred Maintenance issues is \$49.4 million. In the narrative that follows, we present a complete picture of the funds necessary to carry out our mission, including preserving the historic infrastructure, and we have identified projects that might be deferred further. We also explain how deferring these projects come with consequences that will need to be addressed in the very near future.

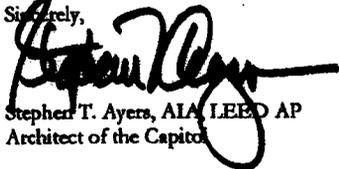
To this end, the AOC's Fiscal Year 2013 budget reflects the highest requirements to try to prevent or delay malfunctions and/or failures. We are requesting \$161 million for capital projects which is an \$18 million or 10 percent decrease from the Fiscal Year 2012 request. We also are requesting \$5.15 million for projects and operations to continue engaging in sustainable practices which in turn reduce energy consumption throughout the Capitol campus. Ultimately, saving energy saves money and reduces waste, which helps to lower our overall operating costs.

Going forward, we understand the challenges that an austere fiscal environment presents, and we have developed this budget in an effort to balance our stewardship responsibilities with fiscal responsibility. For Fiscal Year 2013, our responsibilities include preparing for the Presidential Inaugural ceremonies, as well as orchestrating the post-election office moves in the House and Senate – two very staff- and resource-intensive activities.

As we state in our Strategic Plan for Fiscal Years 2012-2016, it is imperative that we continue to transform into a forward-thinking, collaborative, and innovative organization, however we realize that we must do this with limited resources.

We look forward to working with the Congress to fulfill our pledge to continue to serve the Congress and the American people, preserve the historic and iconic facilities entrusted to our care, and inspire each individual who enters the Capitol Building and walks in the footsteps of our Founding Fathers.

Sincerely,



Stephen T. Ayers, AIA, LEED AP  
Architect of the Capitol

Architect of the Capitol

U.S. Capitol, Room SB-15 | Washington, DC 20515 | 202.226.1795 | www.aoc.gov



## AOC Executive Summary Fiscal Year 2013 Budget

In developing our Fiscal Year 2013 budget request, we worked to prioritize our efforts to ensure that every resource goes toward the most needed and most important work, realizing that we must balance our stewardship responsibilities with fiscal responsibility.

### Realizing Significant Efficiencies and Savings

Therefore, in response to an austere budget environment, the AOC is **leading by example** by becoming **more efficient** in an effort to **save taxpayer money**. These efforts are both large and small. Some resulted in cost savings. Most efforts resulted in cost avoidances, that is, by doing things more efficiently, we were able to reduce the costs of carrying out daily operations, programs or projects.

To assist us in setting goals, prioritizing initiatives, and streamlining processes, our team crafted a new five-year Strategic Plan in fall 2011. We are using the innovative ideas in the Strategic Plan, such as engaging cross-functional teams, to implement best practices to help us become more efficient in our operations, drive quality improvements, and further enhance efficiencies and reduce costs.

The following are examples of the efficiencies the AOC realized during Fiscal Years 2011 and 2012.

- We implemented an agency-wide effort to reduce overtime while maintaining service levels and response times. We were able to accomplish this by adjusting existing employee work schedules and hiring new employees to work alternate schedules (vs. the traditional Monday-Friday work week). We were therefore able to provide suitable weekend coverage, reducing our overtime costs in Fiscal Year 2011 by 22 percent. This was especially noteworthy given the extraordinary manpower requirements of the post-election Congressional office moves.
- We reviewed all of our subscriptions to print and online publications and cut those that were unneeded or underutilized. This effort yielded nearly \$50,000 in annual cost savings.
- In the Rayburn House Office Building, several escalators needed new steps in order for them to continue to operate safely and effectively. However, replacing the existing steps, which were installed during the 1960 construction of the building, would be cost prohibitive. Instead, AOC staff did extensive research into acquiring refurbished escalator steps. This option not only saved more than \$500,000, it was a more sustainable option by reducing the amount of materials introduced into the waste stream.
- In some of our jurisdictions, we evaluated several leases and either relocated leased operations to more cost effective/smaller locations, or re-competed the lease to reduce costs. This resulted in immediate and long-term cost avoidances totaling more than \$1 million.
- In July and August 2011, on excessively hot days when there was a high demand on the power grid, the AOC implemented its load curtailment procedures. These days are called "Gold Days." Observing them helps reduce demand on the electric grid during high demand periods and helps reduce utility costs to the AOC. Members' offices played a role in observing Gold Days by turning off non-essential lighting and office equipment. In addition, the AOC dimmed hallway lights and shut down decorative water



## AOC Executive Summary Fiscal Year 2013 Budget

fountains. Since 2009, we reduced energy consumption in the Senate Office Buildings during the summer months by 3.3 million kilowatt hours and reduced our utility bills by more than \$124,000.

- We have found significant savings by taking a critical look at our information technology services. By using virtual server technology, we reduced the number of physical servers from 200 to 10. This reduced energy consumption, space requirements, and maintenance costs. We also standardized and consolidated our platform software, which reduced maintenance and support costs. In all, we saw more than \$220,000 in annual savings and improved our IT equipment reliability.

Accomplishing these efforts through more effective means also provided an extra benefit to Congress and to the American people; the AOC was able to **reinvest its resources in important Deferred Maintenance and Capital Renewal projects** throughout the Capitol campus. Therefore, the AOC was able to reduce its budget request for capital projects in Fiscal Year 2013 to \$161 million, a 10 percent decrease from its Fiscal Year 2012 capital projects request. Nearly \$50 million of this funding will go toward addressing Deferred Maintenance projects. And, the 16 capital projects on our Fiscal Year 2013 Recommended Line Item Construction list specifically will address the most critical life-safety, infrastructure preservation, and security needs. In the most difficult of economic times, we must continue to correct deficiencies and prevent facility or system failures. The key is to prioritize these projects to ensure every taxpayer dollar goes toward the most important work.

### Project Planning and Prioritization

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

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

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

Our comprehensive prioritization process rates projects on a number of objective factors to produce an overall hierarchy of importance. During this process, projects are classified by type and urgency. The projects are then scored against six criteria: safety and regulatory compliance; security; historic preservation; mission; economics, and energy efficiency and environmental quality. We then compile these scores to produce a composite rating



## AOC Executive Summary Fiscal Year 2013 Budget

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

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

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

Over the past several years, Congress has been very supportive of the AOC's efforts to address critical Deferred Maintenance projects. However, it is important to acknowledge that there is a growing threat that must be faced – a very large number of Deferred Maintenance and Capital Renewal projects that have not been addressed. For Fiscal Year 2013, we are recommending that an additional \$202.6 million in necessary work be further deferred to a later fiscal year due to the austere budget environment. This is a calculated risk. The AOC continues to carefully monitor and maintain the facilities and systems to minimize the risk of catastrophic failure. We also continue to monitor the large number of Capital Renewal projects that remain unaddressed.

As demonstrated in the accompanying Facility Condition Index (FCI) charts (*page 4*) comparing Fiscal Year 2010 and Fiscal Year 2011, Congress has provided significant funding over the past several fiscal years, which has been directed to help repair the infrastructure of several facilities, which in turn has improved their overall conditions.

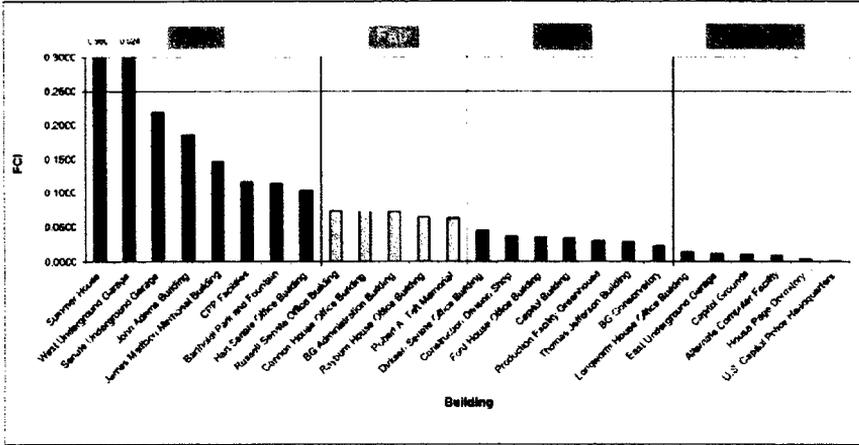
However, while several facilities have trended beyond a “good” condition, we have found over the past year that several of the facilities that are now rated as “fair” or “poor” are getting far worse due to continued deterioration. This trend is more evident in the projected FCI information provided in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

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

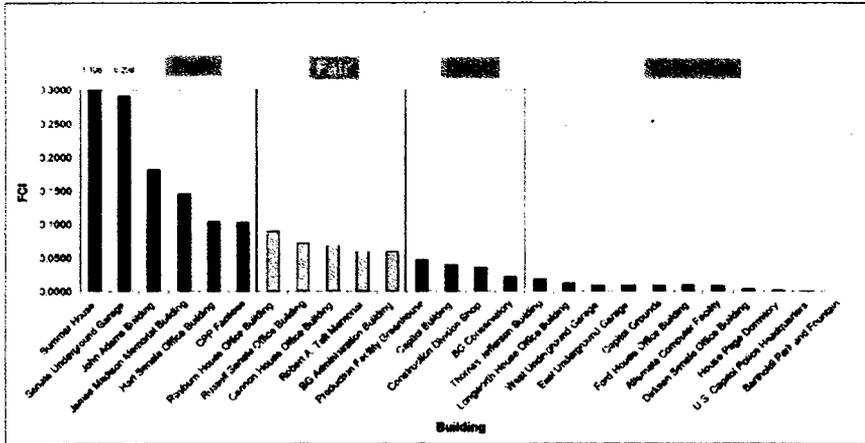


# AOC Executive Summary Fiscal Year 2013 Budget

## Fiscal Year 2010 Facility Condition Index



## Fiscal Year 2011 Facility Condition Index



NOTE: Incorporates projects funded in Fiscal Year 2012

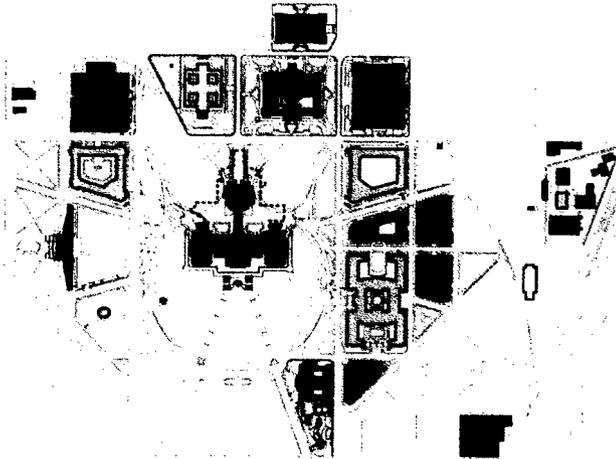
### AOC FY 2013 Budget Request Executive Summary-4

FCI Legend	
Over 0.10	= Poor
0.05 - 0.10	= Fair
0.02 - 0.05	= Good
Less than 0.02	= Excellent

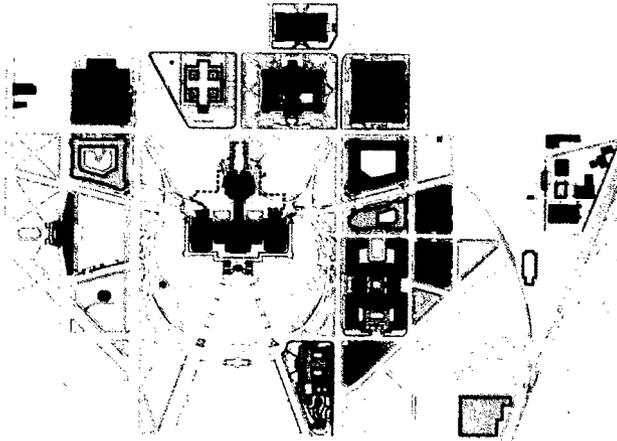


# AOC Executive Summary Fiscal Year 2013 Budget

## Fiscal Year 2011 Facility Condition Index (FCI) by Facility (Incorporates projects funded in Fiscal Year 2012)



## Projected Fiscal Year 2016 Facility Condition Index (FCI) by Facility





## AOC Executive Summary Fiscal Year 2013 Budget

### Roll Call

#### Leak Damages Member Offices in Cannon Building

Jan 9, 2012 9:08am

In another sign that the Cannon House Office Building needs a major renovation, a leak has caused damage in the Stenerson offices.

According to Archivist of the Capitol spokeswoman, the leak began late Saturday night in a Member's South-Rear office suite "caused by a failed pipe plug in a water line due to age."

The leak came two months after a \$6 square-foot section of plaster, which was deteriorated then split, fell from Cannon's North-Rear ceiling.

### THE HILL

#### Cracked ceiling tiles fall, strike police officer

By Judy Singer  
Published online 01/09/12 at AM/EST

A U.S. Capitol Police officer was taken to the hospital on Thursday after ceiling tiles fell in the Cannon House Office Building and struck his arm, highlighting the building's need for renovations.

"He was transported to George Washington Hospital with (a) minor injury to [his] arm ... for further evaluation," said Capitol Police spokeswoman Sgt. Kim Schneider, in an email.

A "few" ceiling tiles came down in Room 345.

At more than 100 years old, the Cannon building has fallen into a state of despair.

### Roll Call

#### Large Chunk of Plaster Falls From Cannon Ceiling

Jan 22, 2011, 10:51am

The Archivist of the Capitol is already laying out plans for major renovations to the Cannon House Office Building scheduled to begin in 2017. And if an incident like morning is any indication, the move is pressing for such renovations to the other office building on the Capitol campus.

An approximately 60 square-foot section of plaster fell from the fourth floor ceiling in Cannon, an AOC spokeswoman said, adding that no injuries or further damage occurred.

"Following an inspection by the AOC's House Superintendent's office, it appears the plaster deteriorated due to age," she explained.

The AOC has issues for some time if a major work is needed to keep the 100-year-old building in working order.

### THE HILL

#### The Cannon Building is Crumbling

By Judy Singer  
Published 05/05/09 07:01 PM (ET)

At over 100 years old, the Cannon House Office Building has fallen into a state of despair, with crumbling limestone falling from the roof, an emergency-response air conditioning system that is more than 70 years old and water pipes that leak into member offices.

And those are just some of the woes that have long plagued the oldest House office building, which is home to more than 400 lawmakers.

Capitol administrators will make a strong push Wednesday to launch a series of overdue renovations at safety and environmental concerns mount.

One of Cannon's most dire needs involves above the heads of hundreds of lawmakers, staffers and visitors as they negotiate the aisles below. Four-foot slabs of limestone jut out of the roof's molding as aesthetic additions to set off the top of the roof.

### Roll Call

#### Complications in Cannon Building

Dec 17, 2011, 10:51am

The Cannon House Office Building must be at the Architect of the Capitol's mercy.

On Wednesday, a pipe burst in the building, flooding the front part of the House Budget Committee's office for Rep. Chris Van Hollen (D-MD).

We were getting ready to go to the hearing at about 9:30 (a.m.) Budget Committee Chairman Hutchinson has the day after (Jan. 22) from the news, the staff here's a weekend. We are on a candidate hearing on (Jan. 22) there are just a few things from the ceiling.

Friday noon, the ceiling panels started falling down under the weight of the water," he says.

The most recent and poignant example of the consequences of allowing Capital Renewal projects to worsen into Deferred Maintenance is the Cannon House Office Building. The century-old building is definitely showing its age. Essential systems housed behind the walls and in mechanical rooms are continuing to crumble and fail. For example, water pipes are cracking and serious water leaks are causing significant damages to office suites. Plaster is weakening and falling from the ceilings.

To address these urgent problems and to ensure the Cannon Building provides an effective workplace into the next century, with Congress's support, we have begun planning for the complete renewal of the building. When the project is completed, the quality and reliability of key building systems such as heating, cooling, lighting, plumbing, fire and life-safety, accessibility, and structural integrity will be greatly improved and will be much more efficient. Equally important, the functionality of the building for both Members and staff will be greatly enhanced.

Other buildings on the Capitol campus are as old -- or in the case of the U.S. Capitol Building -- older than the Cannon Building. As stewards of the Capitol campus, the AOC is committed to continuing to sound the alarms and work with Congress to ensure that the proper investments are made in the facilities at the appropriate times.

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

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

Phase IIA is the second of four phases and will involve making needed repairs to the Dome's exterior. This also will include exterior ironwork repairs, restoration of columns, finials and decorative ornaments, repair



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of the gutter system and repair/replacement of windows, installation of a new fall protection system, repair/replacement of roof electrical systems, installation of a bird deterrent system, and priming, resurfacing, and repainting of the Dome's exterior.

Our Dome project is one of many that are transpiring across the country. Many state capitols are experiencing many of the same issues and are undergoing costly repairs as well. For example, Oklahoma's 94-year-old dome is undergoing a \$130 million renovation. In Minnesota, they are looking at a \$241 million restoration of its 106-year-old Capitol, \$4 million of which is just to repair leaks in the Dome. In Kansas, the statehouse architect recently informed the governor that its copper roof and dome would need to be replaced; the price tag: \$11.3 million.

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

- **Union Square Stabilization** - In December 2012, the Architect of the Capitol's jurisdiction was expanded to include Union Square – an 11-acre parcel including the Capitol reflecting pool and the Grant Memorial. Our Fiscal Year 2013 budget request reflects this added responsibility and includes \$7.3 million for its required care and maintenance, including reflecting pool cleaning and repairs, stabilization of the steps, and immediate sidewalk repairs, lamp post replacement, and cleaning and restoration of the statuary. As this is a new requirement for Fiscal Year 2013, estimates may be revised and updated as additional condition assessment information becomes available.
- **West Refrigeration Plant, Chiller Addition** – The hot and humid Washington summers have increased the cooling demands across the Capitol campus and the four existing chillers in the Capitol Power Plant's West Refrigeration Plant are more than 30 years old and well beyond their useful lives and are no longer reliable to meet current demand. This project would fund the installation of two variable speed, high-efficiency centrifugal chillers and ancillary equipment in the West Refrigeration Plant Expansion. This would ensure that a steady supply of chilled water would be maintained to ensure that Congressional facilities would be cooled during the hottest months of the year. In addition, installing new, energy efficient equipment will reduce campus-wide energy consumption, which will aid in meeting Energy Independence and Security Act of 2007 requirements.
- **Garage Security Infrastructure, Senate and House Office Buildings** – In a post-9/11 and post-Tucson world, the physical security of the facilities located on the Capitol campus is extremely important. The AOC is working to design and install infrastructure to allow the U.S. Capitol Police to halt pedestrian traffic in and out of the House and Senate parking garages during an emergency. This multi-phased project would include new police kiosks and other security features to reduce vulnerabilities to potential attacks.
- **Electrical Distribution Upgrade, Alternative Computer Facility** – Security experts are warning against a new type of terrorist attack – the “blended attack.” Blended attacks are defined as coordinated attacks combining a physical attack against a target along with a cyber-attack against the same or different targets. Natural disasters, such as last August's earthquake, also can wreak havoc with



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computer systems and equipment. Therefore, providing for the appropriate redundancies for computer systems that support AOC and Congressional functions is essential. This project would ensure that the aging electrical system at the ACF is upgraded to provide added reliability and redundancy at the Data Center, reducing the possibility of catastrophic failure of critical systems.

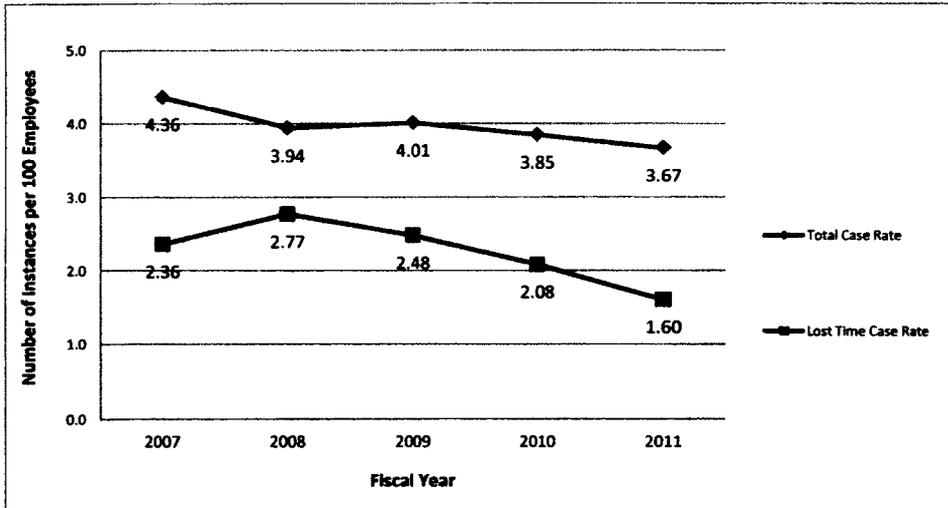
### Ensuring a Safe Workplace

Biennial inspections found that the number of hazards has been reduced significantly, “approximately 42 percent” from the 110th Congress to the 111th Congress. In addition, more than half of the findings identified were in the lowest-risk categories (RAC 3 or RAC 4). These findings included issues such as loose electrical outlets or switches, daisy chains (linking multiple extension cords together), missing ceiling tiles, or fire extinguishers that were not mounted properly. Overall, 78 percent of the AOC findings are now closed.

Safety is a top priority at the AOC. Since Fiscal Year 2007, Congress has invested over \$210 million in more than 55 safety-related projects executed by the AOC. This includes a number of facility-related projects, including enclosing exit stairways in the Longworth House Office Building; installing ventilation systems and upgrading electrical and lighting in Congressional facilities; and extending sprinkler and smoke detector coverage in major office buildings.

The level of safety throughout the Capitol campus has never been higher and continues to improve. This is best demonstrated by the continued reduction in the agency’s Injury and Illness (I&I) rate. In Fiscal Year 2011, the AOC’s total I&I rate fell to 3.6 percent, and its lost time rate was reduced to 1.2 percent. This is compared to Fiscal Year 2010’s rates of 3.8 percent and 2.1 percent. Much of this success can be attributed to the AOC’s

### AOC Injury and Illness and Lost Time Rates





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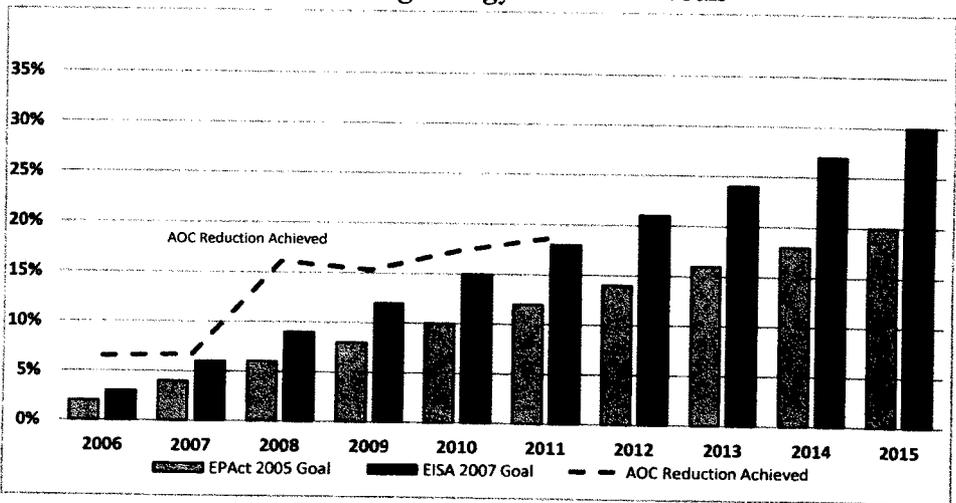
long-established safety education and training programs that place a strong emphasis on employee safety. In recognition of this culture change, the AOC revamped its safety awards program to recognize employees who are proactive in reporting safety concerns, providing daily safety briefings, and conducting regular safety inspections.

### Saving Energy and Taxpayer Money through Sustainable Practices

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

In Fiscal Year 2011, the AOC exceeded the Energy Independence and Security Act of 2007 (EISA 2007) energy reduction goal of 18 percent by achieving an 18.7 percent reduction. Looking forward, the energy reduction goal for Fiscal Year 2012 is 21 percent, and meeting this and future reduction goals will become more challenging because the projects that yielded quick results have been completed. Implementing the next series of projects will take more time and more resources to realize savings in taxpayer money, and further reductions in energy usage.

### AOC Meeting Energy Reduction Goals

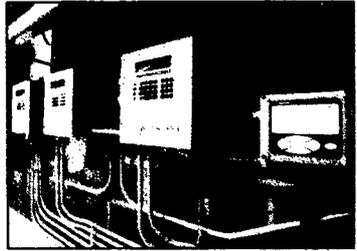




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The AOC's Sustainability, Energy and Water Conservation Division has been leading the Agency's efforts to further reduce energy consumption on Capitol Hill. In Fiscal Year 2011, the AOC reduced energy consumption by 111,000 MMBtus, which is valued at \$2.5 million over the energy savings realized in Fiscal Year 2010.

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



In recognition of the AOC's successful energy savings efforts, in August 2011, we began expanding upon the sustainability initiatives formerly conducted by the Chief Administrative Officer (CAO) to reduce energy consumption throughout the Capitol campus. Consolidating the sustainability programs under the AOC umbrella, whose mission it is to preserve and enhance the Capitol campus, further improves the return on investment in Congressional facilities by including sustainability in long-range, campus-wide project planning.

In November, the AOC began using "waste-to-energy" as an alternative method to dispose of solid waste from Capitol Hill. Waste-to-energy refers to the burning of solid wastes to generate heat and, in turn, produce steam and electricity. This process creates usable energy employing waste that would otherwise be placed in landfills – diverting up to 90 percent of the Capitol campus's non-recyclable solid waste. In Fiscal Year 2010, more than 5,300 tons of non-recyclable waste was collected from Congressional facilities. It is designed to complement, and not compete with, ongoing, robust recycling programs. In fact, the AOC recycles approximately 4,000 tons of materials each year. In addition, the heat generated from this combustion process produces enough steam and electricity to power an office building the size of the Dirksen or Longworth Building for several months.

Looking ahead, the implementation of cogeneration at the Capitol Power Plant in the near future will play an essential role in the AOC's long-term energy conservation strategy. Utilizing cogeneration will help Congress meet the Energy Independence and Security Act of 2007 requirement of a 30 percent energy reduction by 2015. Its use will yield a 7.1 percent reduction in total energy consumption at the Capitol Power Plant by increasing its overall efficiency.

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

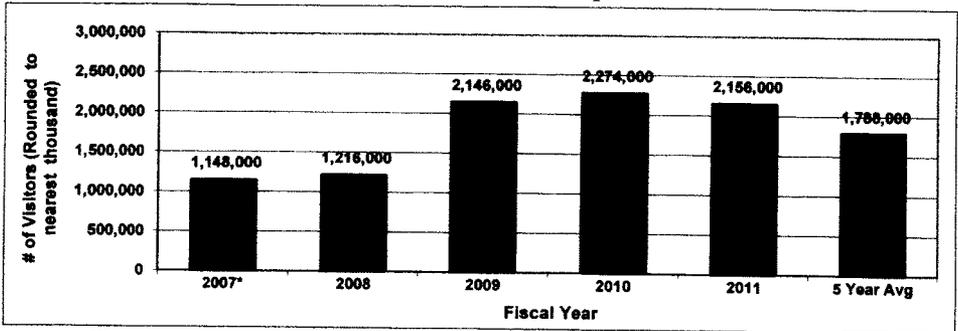


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### Providing Extraordinary Services and Inspiring Experiences

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

### Visitors to the U.S. Capitol



\* Capitol Visitor Center opened in Fiscal Year 2009

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



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



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The new guidance is based on the Sustainable Sites Initiative (SITES), an interdisciplinary effort by the American Society of Landscape Architects, the Lady Bird Johnson Wildflower Center at The University of Texas at Austin, and the United States Botanic Garden to create the nation's first voluntary guidelines and performance benchmarks for sustainable land design, construction, and maintenance practices. The guidelines will be used by Federal agencies when constructing new facilities, rehabilitating existing owned or leased facilities, or when landscaping improvements are otherwise planned. Federal landscaped property provides opportunities to promote the sustainable use of water and land, conserve soils and vegetation, support natural ecosystem functions, conserve materials, promote human health and well-being, and ensure accessibility for all users, including those with disabilities.



### Conclusion

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

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

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

Together, we serve, preserve, and inspire.



## AOC Overall Fiscal Year 2013 Budget

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### OVERALL BUDGET DEVELOPMENT STRATEGY

The AOC's Fiscal Year 2013 budget development strategy included the following premises: maximizing efficiencies and economies, and reapplying funds to facility maintenance efforts; performing an extensive analysis of historical costs, current and future costs; recognition of the austere fiscal environment; and the initiation of a zero-based budgeting approach.

In order to maximize funding in a zero-based budget environment, the AOC has made a concerted effort to find efficiencies and more effective processes. The AOC recently identified and implemented several cost avoidance/savings initiatives. These enabled the AOC to apply funds toward the backlog of deferred maintenance, and/or to use project funds in the most efficient and economic manner to continue to improve congressional facilities, systems, infrastructure and services.

Prior to development of the Fiscal Year 2013 zero-based budget request, the AOC considered and prioritized funding based on historical data, current, and future requirements.

The AOC performed an extensive prioritization process to analyze capital projects, and request those deemed most critical due to condition assessments and congressional needs.

The AOC will continue to refine a zero-based budget philosophy, strategy and process in future reprogramming and budget requests; however, we believe that this initial development was highly productive and resulted in an improved budget request that is highly justifiable.



# AOC Overall Fiscal Year 2013 Budget

## SUMMARY OF TOTAL REQUEST

The below table identifies the AOC's total budget request (\$668.2 million) by appropriation and funding type (Annual, Multi-Year or No-Year). The AOC is submitting a budget that reflects a 5 percent decrease from our Fiscal Year 2012 requested amount of \$706.1 million. The Fiscal Year 2012 request reflected a budget based on the AOC's assessment of the needs to enable the Congress to perform its mission in this fiscally constrained environment.

Agency Summary (\$000)					
AOC Appropriations	FY 2011 <sup>1</sup> Operating Plan	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference	
				(\$000)	(%)
<b>General Administration</b>					
Operating Budget	101,591	97,591	99,352	1,761	1.8%
Multi-Year Projects	7,484	3,749	3,249	(500)	-13.3%
<b>Total Appropriation</b>	<b>109,075</b>	<b>101,340</b>	<b>102,601</b>	<b>1,261</b>	<b>1.2%</b>
<b>Capitol Building</b>					
Operating Budget	27,335	25,091	25,722	631	2.5%
Multi-Year Projects	28,628	11,063	71,350	60,287	544.9%
<b>Total Appropriation</b>	<b>55,963</b>	<b>36,154</b>	<b>97,072</b>	<b>60,918</b>	<b>168.5%</b>
<b>Capitol Grounds</b>					
Operating Budget	9,968	9,852	11,202	1,350	13.7%
Multi-Year Projects	-	-	7,300	7,300	-
<b>Total Appropriation</b>	<b>9,968</b>	<b>9,852</b>	<b>18,502</b>	<b>8,650</b>	<b>87.8%</b>
<b>Senate Office Buildings</b>					
Operating Budget	61,515	58,000	59,738	1,738	3.0%
Multi-Year Projects	19,436	13,128	19,654	6,526	49.7%
<b>Total Appropriation</b>	<b>80,951</b>	<b>71,128</b>	<b>79,392</b>	<b>8,264</b>	<b>11.6%</b>
<b>House Office Buildings</b>					
Operating Budget	50,195	48,523	64,602	16,079	33.1%
Multi-Year Projects	42,000	45,631	19,362	(26,269)	-57.6%
<b>Total Appropriation</b>	<b>92,195</b>	<b>94,154</b>	<b>83,964</b>	<b>(10,190)</b>	<b>-10.8%</b>
<b>Capitol Power Plant</b>					
Operating Budget	101,765	85,612	85,833	221	0.3%
Multi-Year Projects	15,070	37,617	32,700	(4,917)	-13.1%
<b>Total Appropriation</b>	<b>116,835</b>	<b>123,229</b>	<b>118,533</b>	<b>(4,696)</b>	<b>-3.8%</b>
<b>Library Buildings and Grounds</b>					
Operating Budget	26,885	25,760	26,164	404	1.6%
Multi-Year Projects	13,829	21,116	27,430	6,314	29.9%
<b>Total Appropriation</b>	<b>40,713</b>	<b>46,876</b>	<b>53,594</b>	<b>6,718</b>	<b>14.3%</b>
<b>Capitol Police Buildings, Grounds, &amp; Security</b>					
Operating Budget	19,790	18,027	19,089	1,062	5.9%
Multi-Year Projects	6,423	3,473	11,713	8,240	237.3%
<b>Total Appropriation</b>	<b>26,213</b>	<b>21,500</b>	<b>30,802</b>	<b>9,302</b>	<b>43.3%</b>
<b>Botanic Garden</b>					
Operating Budget	12,304	12,000	12,140	140	1.2%
Multi-Year Projects	1,502	-	-	-	-
<b>Total Appropriation</b>	<b>13,806</b>	<b>12,000</b>	<b>12,140</b>	<b>140</b>	<b>1.2%</b>
<b>Capitol Visitor Center</b>					
Operating Budget	22,726	21,276	21,588	312	1.5%
<b>Total Appropriation</b>	<b>22,726</b>	<b>21,276</b>	<b>21,588</b>	<b>312</b>	<b>1.5%</b>
<b>House Historic Buildings Revitalization Trust Fund</b>					
No-Year Projects	39,920	30,000	50,000	20,000	66.7%
<b>Operating Budget</b>	<b>434,074</b>	<b>401,732</b>	<b>425,431</b>	<b>23,698</b>	<b>5.9%</b>
<b>Multi-Year Projects</b>	<b>134,372</b>	<b>135,777</b>	<b>192,758</b>	<b>56,981</b>	<b>42.0%</b>
<b>No-Year Projects</b>	<b>39,920</b>	<b>30,000</b>	<b>50,000</b>	<b>20,000</b>	<b>66.7%</b>
<b>Total All Appropriations</b>	<b>608,365</b>	<b>567,509</b>	<b>668,189</b>	<b>100,679</b>	<b>17.7%</b>

<sup>1</sup> Reflects FY 2010 Enacted with 0.2% rescission and initial congressionally-approved reprogramming.



# AOC Overall Fiscal Year 2013 Budget

## AOC-WIDE ANALYSIS OF CHANGE

The table below identifies AOC-wide changes from the Fiscal Year 2012 estimated baseline to account for our total Fiscal Year 2013 budget request of \$668.2 million. Recognizing the current fiscal environment, the below table identifies a five percent decrease from the AOC's Fiscal Year 2012 request. The AOC's funding requirements to fully meet the needs of Congress are greater than the request as submitted. The AOC is committed to providing the most effective, economical and exceptional service with funds that Congress makes available during these fiscally constrained times.

	FY 2013 Agency Request	
	FTE	Amount (\$000)
<b>Fiscal Year 2012 Enacted (FTE reflects Payroll Funded only)</b>	<b>2,263</b>	<b>567,509</b>
<b>Non-Recurring Costs</b>		
Capital (No-Year) Projects.....		(30,000)
Capital (Multi-Year) Projects.....		(135,777)
<b>Total Program Decreases</b>		<b>(165,777)</b>
<b>Mandatory Pay Related Costs:</b>		
FY 2013 Cost of Living Adjustment of 1.7%.....		2,356
FY 2013 Within Grade Increases.....		1,614
FY 2012 FERS Adjustment from 11.7% to 11.9%.....		323
FY 2012 FEHB Employer Contribution Increase of 4%.....		555
<b>Total Mandatory Pay Related Costs</b>		<b>4,848</b>
<b>Price Level Changes:</b>		
Operations .....		13,888
<b>Total Price Level Changes</b>		<b>13,888</b>
<b>Program Increases:</b>		
Payroll (FTE Increase).....	7	766
Operating Budget (excluding Payroll).....		4,196
Capital (No-Year) Projects .....		50,000
Capital (Multi-Year) Projects .....		192,758
<b>Total Program Increases</b>	<b>7</b>	<b>247,720</b>
<b>Net Increase/Decrease</b>	<b>7</b>	<b>81,943</b>
<b>Total Appropriation</b>	<b>2,270</b>	<b>668,189</b>

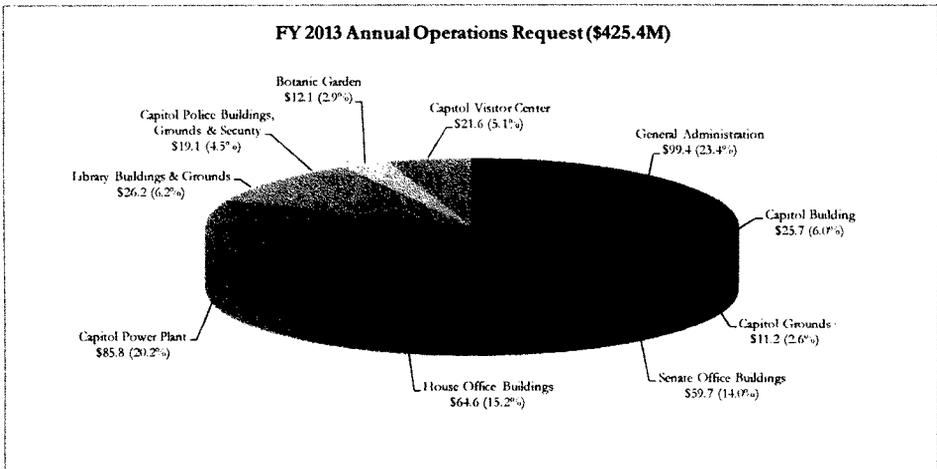


## AOC Overall Fiscal Year 2013 Budget

### OPERATING BUDGET (ANNUAL FUNDS) REQUEST

The AOC is requesting \$425.4 million in operating funds for Fiscal Year 2013. This annual funding includes payroll, facilities maintenance, information technology software and hardware, uniforms, safety apparel, vehicle fuel and leases, building leases, funding to enable the Office of the Inspector General to meet its mission, Capitol Power Plant maintenance, utilities, safety, fire and environmental, architectural and engineering services, construction services, electronics' systems such as the Legislative Clocks and audio systems, high voltage maintenance, grounds maintenance, miscellaneous improvements, Botanic Garden and Capitol Visitor Center exhibits, and Capitol Visitor Center visitor services.

The chart below identifies the AOC's Fiscal Year 2013 Operating Budget request by jurisdiction or appropriation. The table on the following page identifies the request by program group.





# AOC Overall Fiscal Year 2013 Budget

## OPERATING BUDGET (ANNUAL FUNDS) REQUEST BY PROGRAM GROUP

Operating Budget (\$000)					
Program Groups	FY 2011 <sup>1</sup> Operating Plan	FY 2011 Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Payroll	222,523	213,958	218,580	224,194	5,614
Utilities	83,961	70,299	66,015	66,015	-
Facilities Management	41,114	44,301	36,788	37,331	543
Jurisdiction Centralized Activities	27,234	25,059	22,919	39,449	16,530
Information Resource Management	27,038	29,437	25,072	25,072	-
Power Plant Operations & Maintenance	5,980	6,358	9,463	9,463	-
Administrative Support	5,907	5,436	5,258	5,258	-
Grounds Maintenance	4,712	5,286	4,397	5,197	800
Architecture Engineering Services	4,700	4,222	3,417	3,417	-
Safety Eng. Ops & Maintenance	3,018	2,902	2,717	2,797	80
Furniture Repair	2,263	2,228	1,775	1,775	-
Visitor Services	1,643	1,969	1,744	1,744	-
Miscellaneous Improvements	1,016	733	1,082	1,082	-
Inspector General	822	689	668	799	131
Electronic Systems	774	775	839	839	-
Exhibits	545	562	603	603	-
General Facilities	414	416	-	-	-
Curator Services	238	212	225	225	-
Construction Services	170	101	170	170	-
Senate Restaurants	-	1,091	-	-	-
<b>Total</b>	<b>434,074</b>	<b>416,034</b>	<b>401,732</b>	<b>425,431</b>	<b>23,698</b>

<sup>1</sup> Reflects FY 2010 Enacted with 0.2% rescission and initial congressionally-approved reprogramming.

The major changes are in the Jurisdiction Centralized Activities (JR) for election year move funding for the Capitol Building, Senate Office Buildings and House Office Buildings, as well as the first year of estimated Federal Office Building 8 lease funds per the General Services Administration schedule. Other changes include mandatory payroll increases: Fiscal Year 2013 Cost-of-Living Adjustment calculated using the Congressional Budget Office's economic assumption of 1.7%; Within Grade Increases of 1%; Fiscal Year 2012 Federal Employee Retirement System adjustment of 0.2%; employer Federal Employee Health Benefit contribution increase of 4.0% (based on Office of Personnel Management guidance; and one more compensable day due to 2013 being a leap year. Note that the FY 2011 Operating Plan reflects operating budget prior to the AOC requesting and gaining approval to transfer expiring Annual funds to projects that would normally be funded with Multi-Year funds. The AOC transferred approximately \$16.3M of annual funds to projects, thus the Operating Plan column reflects a greater funding level than was available to obligate and expend on operational budget items.



# AOC Overall Fiscal Year 2013 Budget

## PAYROLL CALCULATIONS

FY 2013 Agency Payroll Summary (\$000)								
Appropriation	FY 2012 Enacted	FY 2012 FERS Rate Adjustment	FY 2012 FEHB Rate Adjustment	FY 2013 COLA 1.7% Adjustment	FY 2013 WIG/Other Adjustment	Total Mandatory Increases	FY 2013 <sup>2</sup> PTE Increases	FY 2013 <sup>3</sup> Payroll Request
General Administration	57,577	79	99	547	397	1,122	428	59,127
Capitol Building	20,423	31	58	239	153	481	-	20,904
Capitol Grounds	6,362	10	18	76	48	152	338	6,852
Senate Office Buildings	40,703	62	130	487	309	988	-	41,691
House Office Buildings	41,200	63	120	495	313	991	-	42,191
Capitol Power Plant	9,700	15	22	109	75	220	-	9,920
Library Buildings & Grounds	17,000	26	46	201	131	404	-	17,404
Capitol Police Buildings, Grounds & Security	2,172	3	4	15	15	37	-	2,209
Botanic Garden	6,376	9	18	66	47	140	-	6,516
Capitol Visitor Center	17,068	25	40	121	126	312	-	17,380
<b>Total</b>	<b>218,581</b>	<b>323</b>	<b>555</b>	<b>2,355</b>	<b>1,615</b>	<b>4,847</b>	<b>766</b>	<b>224,194</b>

<sup>1</sup> General Administration includes Workers' Compensation (\$3.6M) and Death & Survivor Benefits (\$3.3M).

<sup>2</sup> FTE increases include four (4) FTEs for Union Square operation & maintenance and three (3) FTEs for the AOC's Office of the Inspector General.

<sup>3</sup> FY 2013 Request includes FY 2012 FERS/FEHB rate adjustments not included in FY 2012 budget request due to timing of announcement.

Total mandatory pay increases calculations are based on the following assumptions:

1. Fiscal Year 2012 Federal Employees Retirement System (FERS) increase (a mandatory 0.2% employer-contribution increase.)
2. Fiscal Year 2012 Federal Employer Health Benefit (FEHB) increase (employer contribution increase of 4%).
3. Fiscal Year 2013 1.7% Cost-Of-Leaving Adjustment (COLA) based on Congressional Budget Office economic assumptions.
4. Fiscal Year 2013 Within Grade Increases (WGI) (the cost of current on-board staff eligible for Within Grade Increases in Fiscal Year 2013) and other increases (FICA rate adjustment and adjustment of one more compensable day because 2013 is a leap year.)



# AOC Overall Fiscal Year 2013 Budget

## AWARDS AND RECOGNITION REQUEST

The AOC is projecting a decrease in funding for awards in Fiscal Year 2013. The AOC recognizes that it is important to reward staff for outstanding performance.

Appropriation	Cash Awards	Bonuses	Merit Pay	Total
General Administration	640	-	-	640
Capitol Building	232	-	-	232
Capitol Grounds	73	-	-	73
Senate Office Buildings	465	-	-	465
House Office Buildings	470	-	-	470
Capitol Power Plant	125	-	-	125
Library Buildings & Grounds	196	-	-	196
Capitol Police Buildings, Grounds & Security	23	-	-	23
Botanic Garden	71	-	-	71
Capitol Visitor Center	189	-	-	189
<b>Total</b>	<b>2,484</b>	<b>-</b>	<b>-</b>	<b>2,484</b>

In FY 2011 the Architect of the Capitol expended a combined total of \$2.8 million in performance awards.

## FULL TIME EQUIVALENT REQUEST

The AOC is requesting seven additional Full Time Equivalents in Fiscal Year 2013.

Appropriation	Payroll Funded <sup>1</sup>				Project Funded <sup>2</sup>		
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Increases	FY 2013 Request	FY 2011 Actual	FY 2012 Estimate	FY 2013 Estimate
General Administration	396	397	3	400	3	3	3
Capitol Building	220	220	-	220	10	30	30
Capitol Grounds	68	69	4	73	1	2	2
Senate Office Buildings	522	498	-	498	52	66	66
House Office Buildings	499	503	-	503	87	87	87
Capitol Power Plant	80	85	-	85	17	17	17
Library Buildings & Grounds	148	160	-	160	80	80	80
Capitol Police Buildings, Grounds, and Security	14	16	-	16	32	32	32
Botanic Garden	65	68	-	68	1	1	1
Capitol Visitor Center	219	247	-	247	-	-	-
<b>Total</b>	<b>2,231</b>	<b>2,263</b>	<b>7</b>	<b>2,270</b>	<b>283</b>	<b>318</b>	<b>318</b>

<sup>1</sup> FY 2013 increases include four (4) FTEs for Union Square operation & maintenance and three (3) FTEs for the AOC's Office of Inspector General.

<sup>2</sup> FY 2012/2013 project funded FTEs are estimated figures and dependent to the numbers of projects funded.



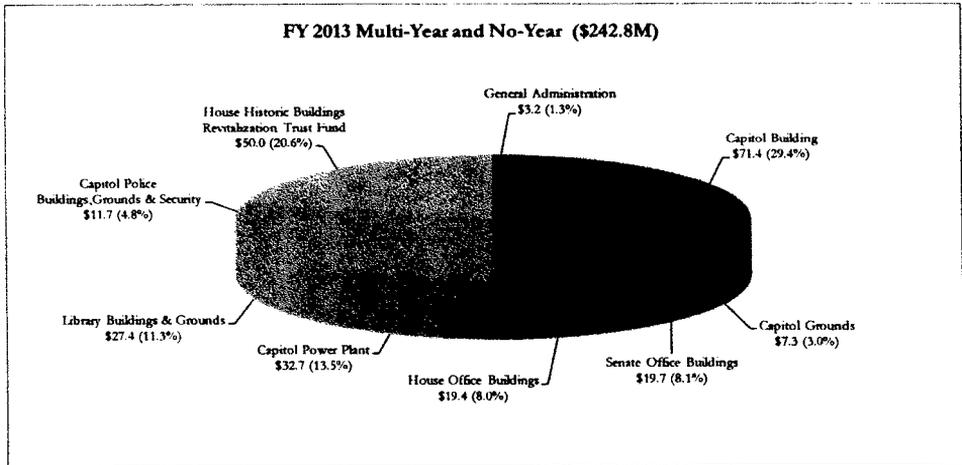
## AOC Overall Fiscal Year 2013 Budget

### MULTI-YEAR AND NO-YEAR FUNDING REQUEST

The AOC's Multi-Year and No-Year request is \$242.8 million. The Multi-Year/No-Year budget includes \$161 million in Line Item Construction Program (LICP) projects. In addition, the request includes the following non-LICP Multi-Year items and the single No-Year item:

- House Historic Buildings Revitalization Trust Fund, No-Year (\$50M);
- Minor Construction (\$23M);
- House Chief Administrative Officer Projects (\$4.162M);
- Senate Modular Furniture, Dirksen & Russell Senate Office Building (\$0.5M);
- Energy Performance Savings Contract Management, Measurement and Validation (\$0.5M);
- Library of Congress Acquisitions and Bibliographic Access Space Reorganization, James Madison Memorial Building, Phase IV of V (\$0.5M);
- Cogeneration Construction and Contract Management, CPP (\$2.5M); and
- Conservation of Fine Art and Architecture (\$0.599M.)

The chart below identifies our Multi-Year and No-Year request by appropriation.

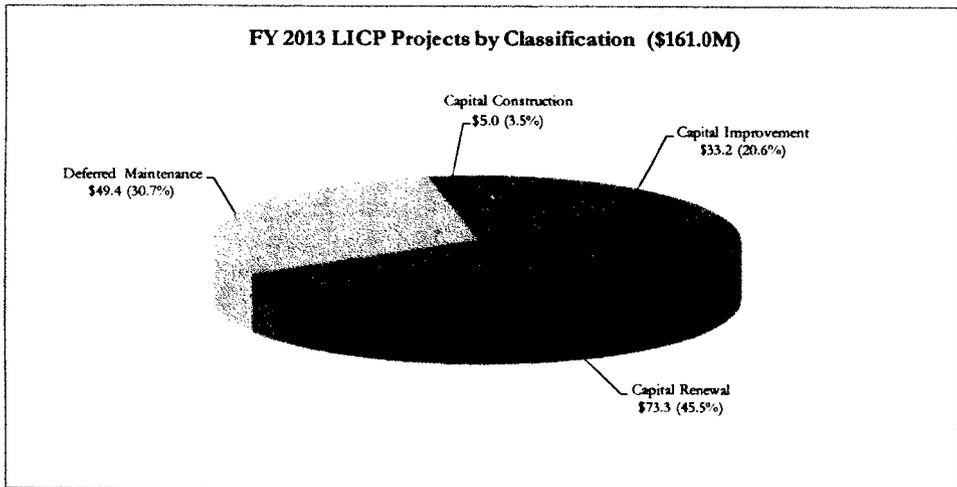




## AOC Overall Fiscal Year 2013 Budget

### MULTI-YEAR AND NO-YEAR FUNDING REQUEST BY LINE ITEM CONSTRUCTION PROGRAM CLASSIFICATION

The AOC categorizes major projects, or Line Item Construction Program (LICP) projects as four classifications. Deferred Maintenance, Capital Renewal (replacing in kind), Capital Improvement (making improvements over existing systems), and Capital Construction (new construction). The following pie chart breaks the AOC's Fiscal Year 2013 budget request into those applicable categories.



Using our draft Five-Year Capital Improvements Plan, Facility Condition Assessments, and the Capitol Complex Master Planning processes, we identified the highest priority requirements. This will enable the AOC to continue to maintain and increase the life span of projects ranging from preserving priceless artwork to replacing roofs and installing emergency generators to improving campus security. It is a delicate balance to address Deferred Maintenance and Capital Renewal while also attending to necessary security requirements, energy-saving projects, code-compliance issues, historic preservation measures, and the needs of our clients.

The AOC is requesting \$161 million for LICP projects which is a \$18 million or a 10 percent decrease from our Fiscal Year 2012 capital projects' request. Our Deferred Maintenance request is \$49.4 million – it is critical that we continue to apply funding resources toward Deferred Maintenance to ensure that congressional operations are not impacted by failing facilities or systems.

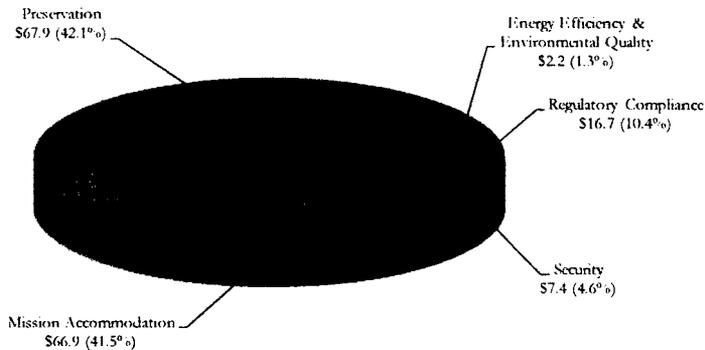


## AOC Overall Fiscal Year 2013 Budget

### MULTI-YEAR AND NO-YEAR FUNDING REQUEST BY LINE ITEM CONSTRUCTION PROGRAM CAPITAL IMPROVEMENTS PLAN GOALS

The AOC also categorizes Line Item Construction Program (LICP) projects into various capital improvements plan goals: Regulatory Compliance, Security, Mission Accommodation, Preservation, Economics, and Energy Efficiency & Environmental Quality.

**FY 2013 LICP Projects by Capital Improvements Plan Goals (\$161.0M)**



This chart does not depict life safety projects separately; however, many projects have elements of life safety (The North Exit Stair B, Phase II, TJB; Electrical Distribution Upgrade, ACF; Dome Rehabilitation, Phase IIA, USC; Roof Repairs & Fall Protection Replacement, TJB; Roof & Fall Protection System Replacement, HSOB; Fall Protection, JMMB; and Union Square Stabilization.)



# AOC Overall Fiscal Year 2013 Budget

## RECOMMENDED LINE ITEM CONSTRUCTION PROJECTS

The table below identifies the \$161 million of Line Item Construction Projects that the AOC recommends for Fiscal Year 2013 funding. The AOC is recommending that all the projects listed below be funded.

The Capital budget request is focused on Immediate Urgency projects.

Priority	Title	Appropriation	Project Cost (\$000)	Project Urgency	Project Classification
1	North Exit Stair B, Phase II, TJB	LB&G	13,117	I	CI
2	Garage Security Infrastructure, Phase IA, SOB & HOB (Design/Build)	CPBG&S	7,373	I	CI
3	Secured-Storage Facilities, Phase IV of IV, Basement, JMMB	LB&G	2,400	I	CI
4	West Refrigeration Plant Expansion Chiller Addition, RPR, Phase IIA, CPP	CPP	26,200	I	DM
5	Electrical Distribution Upgrade, ACF (Design)	CPBG&S	1,840	I	CR
6	Dome Rehabilitation, Phase IIA, USC	CB	61,247	I	CR
7	Roof Repairs & Fall Protection Replacement, TJB (Design)	LB&G	791	I	DM
8	Roof & Fall Protection System Replacement, HSOB	SOB	11,342	I	DM
9	Network Transformers & Protectors Replacement, HSOB	SOB	3,812	I	DM
10	Fall Protection, JMMB	LB&G	3,622	I	CR
11	Brumidi Corridors Restoration & Conservation Plan, USC	CB	5,903	I	CR
12	Federal Office Building 8 Refurbishment, HOB	HOB	8,200	I	CI
13	Collection Storage Module 5, LOC	LB&G	5,000	H	CC
14	Union Square Stabilization	CG	7,300	I	DM
15	Direct Digital Controls Upgrade, JMMB (Design/Build)	GA	2,150	H	CI
16	Senate Reception Room	CB	700	H	CR

Urgency Classification: I = Immediate; H = High; M = Medium; L = Low

Project Classification: DM = Deferred Maintenance; CR = Capital Renewal; CI = Capital Improvement; CC = Capital Construction



# AOC Overall Fiscal Year 2013 Budget

## DEFERRED LINE ITEM CONSTRUCTION PROJECTS

Although the following projects are necessary to maintain and preserve the Capitol complex, in recognition of the austere fiscal environment, the AOC is recommending that the following \$246 million in Line Item Construction Program projects be deferred until a future year. Until these projects are funded, the AOC will continue to apply Operations and Minor Construction funds to mitigate potential facility issues.

Title	Appropriation	Project Cost (\$000)	Project Urgency	Project Classification
Alternate Life Safety Approach, Phase I, RSOB	SOB	5,000	I	CI
Page School Stair G, TJB	LB&G	11,000	I	CI
Exit Stair F & SW Courtyard Renovations, TJB	LB&G	10,000	I	CI
South Exit Stair E, TJB	LB&G	18,000	I	CI
Emergency Generator Replacement, TJB	LB&G	4,187	I	CI
Emergency Lighting System Upgrade, TJB	LB&G	4,559	I	CI
Emergency Lighting System Upgrade, JAB	LB&G	2,996	I	CI
K-12 Fence Replacement, USCP	CPBG&S	3,890	I	CI
Offsite Delivery Screening Center, Phases I & II, CPBG&S	CPBG&S	1,049	I	CC
West Refrigeration Plant Expansion Chiller Addition, RPR, Phase IIB, CPP	CPP	20,000	I	DM
Chiller Replacement, ACF	CPBG&S	760	I	CR
Sustainable Site Demonstration Garden, Bartholdi Park, Phase V, BG	BG	1,632	I	CI
Elevator Modernization, JMMB MC-1, MC-2, MC-3 & MC-4; JAB Elev 13-14	LB&G	3,339	I	DM
Exterior Stone & Metal Preservation, North Extension, Exterior Lighting, Phase I	CB	12,818	I	DM
Roof Replacement, Control Power Plant Generator Bldg.	CPP	301	I	DM
Stained Glass Window Repairs, South & Southwest Windows, Phase I, TJB	LB&G	2,830	I	DM
Garage Structural Repairs & Entry Improvements, West, Phase I, JAB	LB&G	7,406	I	DM
Exterior Stone Repair, Conservatory	BG	1,900	I	DM
Taft Memorial Renewal, SOB	SOB	3,220	I	DM

Urgency Classification: I = Immediate; H = High; M = Medium; L = Low

Project Classification: DM = Deferred Maintenance; CR = Capital Renewal; CI = Capital Improvement; CC = Capital Construction



# AOC Overall Fiscal Year 2013 Budget

## DEFERRED LINE ITEM CONSTRUCTION PROJECTS (continued)

Title	Appropriation	Project Cost (0000)	Project Urgency	Project Classification
Compressed Air Piping Replacement, Phase II, CPP	CPP	1,000	I	DM
Renewal Study, LOC	LB&G	500	I	CR
Air Handling Unit & Fan Replacements, Phase I, USC	CB	8,000	I	CR
Fall Protection Systems, CG	CG	309	I	CR
Domestic Water & Sanitary Piping Replacement, USC	CB	5,000	I	CR
Senate Fountain Stabilization, CG	CG	1,500	H	DM
Summerhouse Restoration, CG	CG	2,200	H	DM
Exterior Masonry and Envelope Survey, RHOB	HOB	285	H	DM
Building Performance Improvements, JMMB	LB&G	1,335	H	CR
Building Performance Improvements, TJB	LB&G	746	H	CR
Building Performance Improvements, JAB	LB&G	665	H	CR
Laylight Conservation, House & Senate Extensions, USC	CB	3,455	H	CR
Production Facility Renewal, BG	BG	500	H	CR
Kitchen Exhaust System Upgrade, Phase I, DSOB	SOB	3,308	H	CR
Fire Alarm System Replacement, Phase II, HSOB	SOB	12,000	H	CR
Cultural Landscape Study, TJB	LB&G	300	H	CR
Fire Alarm System Replacement, LHOB	HOB	9,214	H	CR
Fire Alarm and Audibility Upgrade, JMMB	LB&G	639	H	CR
Prescriptive Egress Improvements, HSOB	SOB	957	H	CI
Stair Enclosures, JMMB	LB&G	312	H	CI
ACF Land Purchase	CPBG&S	5,000	H	CC

Urgency Classification: I = Immediate; H = High; M = Medium; L = Low

Project Classification: DM = Deferred Maintenance; CR = Capital Renewal; CI = Capital Improvement; CC = Capital Construction



# AOC Overall Fiscal Year 2013 Budget

## DEFERRED LINE ITEM CONSTRUCTION PROJECTS (continued)

Title	Appropriation	Project Cost (\$000)	Project Urgency	Project Classification
West Stair Handrails, TJB	LB&G	655	H	CI
New USCP Headquarters Study, CPBG&S	CPBG&S	579	H	CC
Campus Utility Metering (Remaining Buildings), CPP	CPP	4,075	H	CI
Fire Pump Phase 1, USCP HQ	CPBG&S	550	H	CI
Air Intake Tunnels Replacement, USC	CB	1,100	H	DM
Louisiana Avenue Sinkhole Study	CG	240	H	DM
SW Drive Subsurface Survey, CG	CG	50	H	DM
Electrical Branch Circuit Wiring Replacement Study, USC	CB	1,000	H	CR
Subway Car Replacement, Phase I, RSOB	SOB	2,000	H	CR
Fire Protection System Study, PPBP	CPP	100	H	CI
Cafeteria Renovation, FHOB	HOB	581	H	CI
Kitchen Upgrade, LHOB	HOB	10,692	H	CI
Elevator Emergency Power Improvements, USC	CB	2,646	H	CI
Stair Handrail Upgrades, JMMB	LB&G	634	H	CI
Fire Fighter Telephones, TJB	LB&G	1,062	H	CI
Fire Fighter Telephones, JAB	LB&G	868	H	CI
Fire Fighter Telephones, JMMB	LB&G	701	H	CI
Reprographics Area Upgrade, DSOB	SOB	1,865	M	CI
Senate Hair Care Facility Modernization, RSOB	SOB	1,138	M	CI

Urgency Classification: I = Immediate; H = High; M = Medium; L = Low

Project Classification: DM = Deferred Maintenance; CR = Capital Renewal; CI = Capital Improvement; CC = Capital Construction

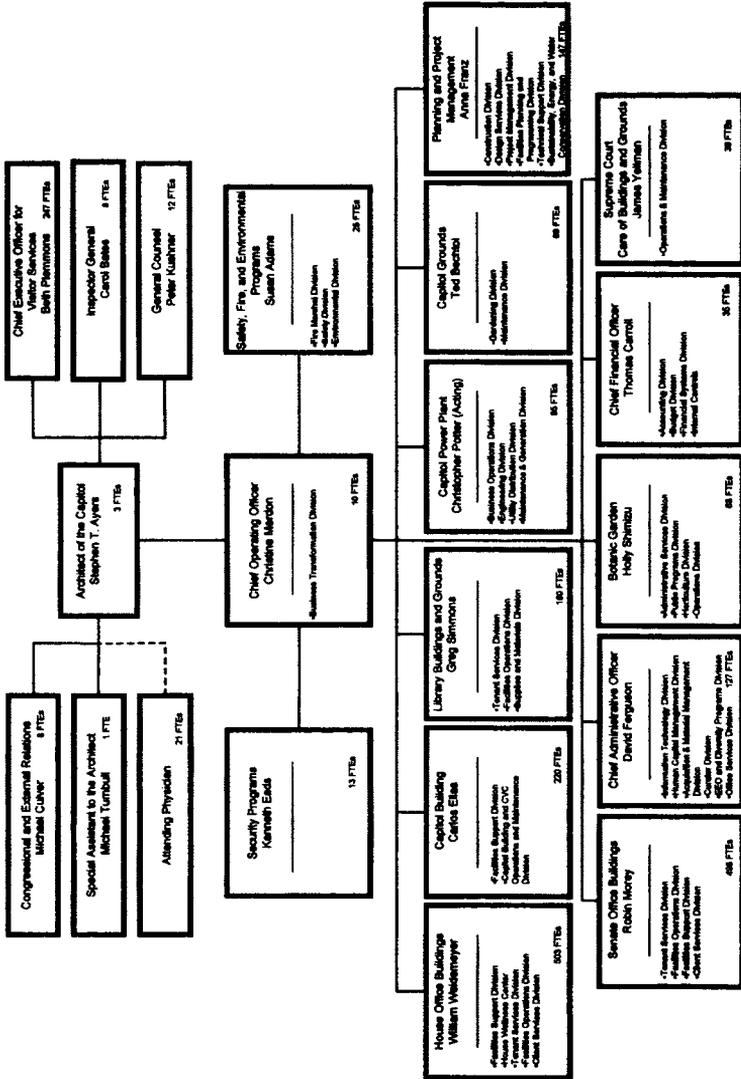


## Legislative Language

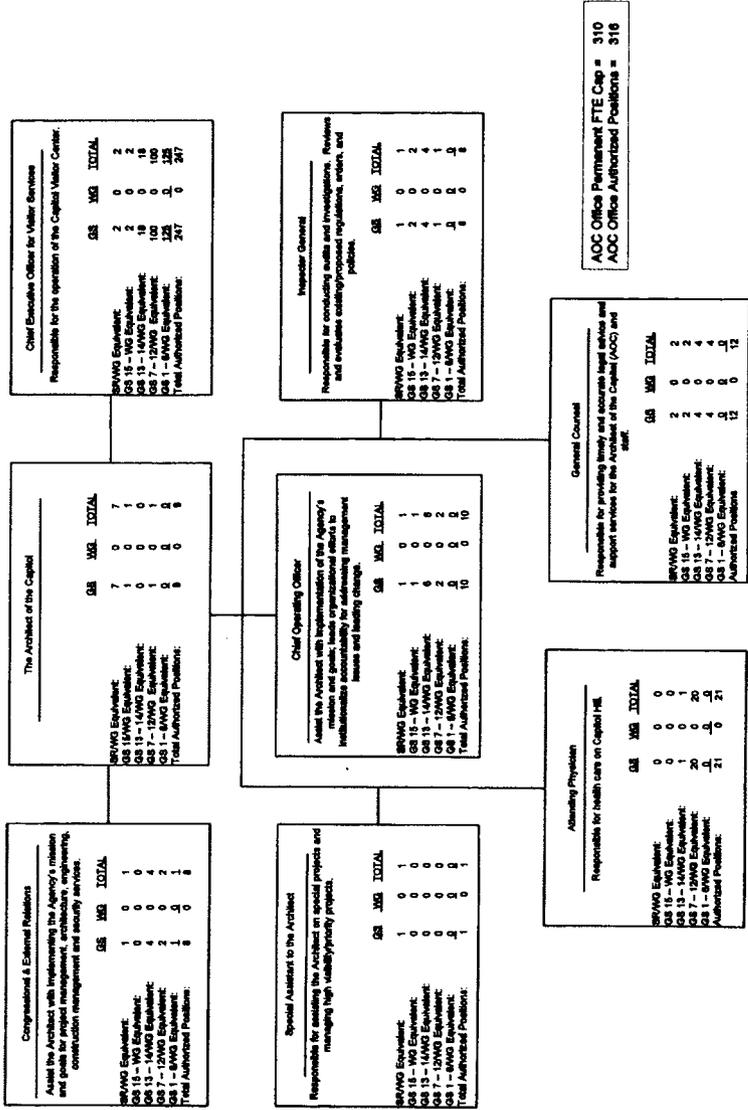
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The Architect of the Capitol is not submitting language for consideration in the Fiscal Year 2013 budget process.

# Architect of the Capitol



# Architect of the Capitol





# Chief Administrative Officer

CAO Permanent FTE Cap = 137  
CAO Authorized Positions = 136

**Chief Administrative Officer**

Serves as the senior administrative management advisor to the Architect, Chief Operating Officer, and Senior Staff of the Agency. Provides management and oversight for the AOC's administrative programs and services.

	GR	MS	TOTAL
SWAGS Equivalent:			
GR 10-AGS Equivalent:	1	0	1
GR 11-AGS Equivalent:	1	0	1
GR 7 - SWAGS Equivalent:	0	0	0
GR 13 - SWAGS Equivalent:	0	0	0
GR 1 - SWAGS Equivalent:	0	0	0
<b>Total Authorized Positions:</b>	<b>2</b>	<b>0</b>	<b>2</b>

**EEO and Diversity Programs Division**

	GR	MS	TOTAL
SWAGS Equivalent:			
GR 10-AGS Equivalent:	1	0	1
GR 11-AGS Equivalent:	1	0	1
GR 13 - SWAGS Equivalent:	2	0	2
GR 7 - SWAGS Equivalent:	2	0	2
GR 1 - SWAGS Equivalent:	0	0	0
<b>Total Authorized Positions:</b>	<b>6</b>	<b>0</b>	<b>6</b>

**Acquisition and Material Management Division**

	GR	MS	TOTAL
SWAGS Equivalent:			
GR 10-AGS Equivalent:	0	0	0
GR 11-AGS Equivalent:	0	0	0
GR 13 - SWAGS Equivalent:	14	0	14
GR 7 - SWAGS Equivalent:	12	0	12
GR 1 - SWAGS Equivalent:	0	0	0
<b>Total Authorized Positions:</b>	<b>27</b>	<b>0</b>	<b>27</b>

**Human Capital Management Division**

	GR	MS	TOTAL
SWAGS Equivalent:			
GR 10-AGS Equivalent:	2	0	2
GR 11-AGS Equivalent:	22	0	22
GR 13 - SWAGS Equivalent:	18	0	18
GR 7 - SWAGS Equivalent:	1	0	1
GR 1 - SWAGS Equivalent:	0	0	0
<b>Total Authorized Positions:</b>	<b>43</b>	<b>0</b>	<b>43</b>

**Information Technology Division**

	GR	MS	TOTAL
SWAGS Equivalent:			
GR 10-AGS Equivalent:	0	0	0
GR 11-AGS Equivalent:	0	0	0
GR 13 - SWAGS Equivalent:	28	0	28
GR 7 - SWAGS Equivalent:	7	0	7
GR 1 - SWAGS Equivalent:	0	0	0
<b>Total Authorized Positions:</b>	<b>35</b>	<b>0</b>	<b>35</b>

**Office Services Division**

	GR	MS	TOTAL
SWAGS Equivalent:			
GR 10-AGS Equivalent:	0	0	0
GR 13 - SWAGS Equivalent:	0	0	0
GR 7 - SWAGS Equivalent:	1	0	1
GR 1 - SWAGS Equivalent:	0	0	0
<b>Total Authorized Positions:</b>	<b>1</b>	<b>0</b>	<b>1</b>

**Curator Division**

	GR	MS	TOTAL
SWAGS Equivalent:			
GR 10-AGS Equivalent:	0	0	0
GR 11-AGS Equivalent:	2	0	2
GR 13 - SWAGS Equivalent:	1	0	1
GR 7 - SWAGS Equivalent:	0	0	0
GR 1 - SWAGS Equivalent:	0	0	0
<b>Total Authorized Positions:</b>	<b>3</b>	<b>0</b>	<b>3</b>



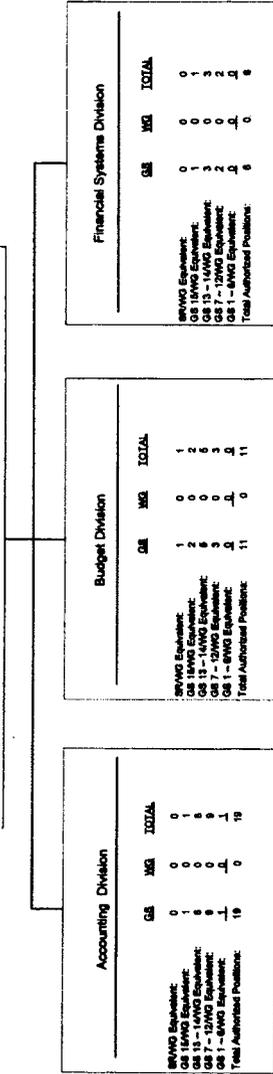
# Chief Financial Officer

CFO Permanent FTE Cap = 36  
CFO Authorized Positions = 39

**Chief Financial Officer**

Serves as the senior financial management advisor to the Architect, Chief Operating Officer, and Senior Staff of the Agency. Provides management oversight and direction for the AOC's financial management programs, resources and services including Accounting, Budget and Financial Systems.

	GS	MS	TOTAL
BSWS Equivalent:	1	0	1
GS 15 - 15WS Equivalent:	1	0	1
GS 13 - 14WS Equivalent:	1	0	1
GS 7 - 12WS Equivalent:	1	0	1
GS 1 - 6WS Equivalent:	0	0	0
<b>Total Authorized Positions:</b>	<b>5</b>	<b>0</b>	<b>5</b>





# Planning and Project Management

PPM Permanent FTE Cap = 147  
 PPM Authorized Positions = 168

**Planning and Project Management**

Facilities, design, and support construction of assigned projects on schedule, within budget, and with a high degree of client satisfaction. Supports and maintains the improvement of our national treasure.

	GR	MS	TOTAL
BPWQ Equivalent:	1	0	1
GR 15-WQ Equivalent:	0	0	0
GR 13-14WQ Equivalent:	0	0	0
GR 7-12WQ Equivalent:	1	0	1
GR 1-6WQ Equivalent:	2	0	2
<b>Total Authorized Positions:</b>	<b>4</b>	<b>0</b>	<b>4</b>

**Construction Division**

	GR	MS	TOTAL
BPWQ Equivalent:	1	0	1
GR 15-WQ Equivalent:	6	0	6
GR 13-14WQ Equivalent:	7	0	7
GR 7-12WQ Equivalent:	1	2	3
GR 1-6WQ Equivalent:	3	1	4
<b>Total Authorized Positions:</b>	<b>17</b>	<b>0</b>	<b>17</b>

**Design Services Division**

	GR	MS	TOTAL
BPWQ Equivalent:	1	0	1
GR 15-WQ Equivalent:	25	1	26
GR 13-14WQ Equivalent:	18	38	57
GR 7-12WQ Equivalent:	3	3	6
GR 1-6WQ Equivalent:	4	2	6
<b>Total Authorized Positions:</b>	<b>48</b>	<b>26</b>	<b>74</b>

**Sustainability, Energy and Water Conservation Division**

	GR	MS	TOTAL
BPWQ Equivalent:	1	0	1
GR 15-WQ Equivalent:	0	1	1
GR 13-14WQ Equivalent:	6	0	6
GR 7-12WQ Equivalent:	3	0	3
GR 1-6WQ Equivalent:	3	0	3
<b>Total Authorized Positions:</b>	<b>6</b>	<b>0</b>	<b>6</b>

**Project Management Division**

	GR	MS	TOTAL
BPWQ Equivalent:	1	0	1
GR 15-WQ Equivalent:	24	0	24
GR 13-14WQ Equivalent:	9	0	9
GR 7-12WQ Equivalent:	3	0	3
GR 1-6WQ Equivalent:	3	0	3
<b>Total Authorized Positions:</b>	<b>38</b>	<b>0</b>	<b>38</b>

**Facilities Planning and Programming Division**

	GR	MS	TOTAL
BPWQ Equivalent:	0	0	0
GR 15-WQ Equivalent:	1	0	1
GR 13-14WQ Equivalent:	0	0	0
GR 7-12WQ Equivalent:	0	0	0
GR 1-6WQ Equivalent:	0	3	3
<b>Total Authorized Positions:</b>	<b>4</b>	<b>0</b>	<b>4</b>

**Technical Support Division**

	GR	MS	TOTAL
BPWQ Equivalent:	0	0	0
GR 15-WQ Equivalent:	1	0	1
GR 13-14WQ Equivalent:	4	0	4
GR 7-12WQ Equivalent:	0	0	0
GR 1-6WQ Equivalent:	3	3	6
<b>Total Authorized Positions:</b>	<b>11</b>	<b>0</b>	<b>11</b>



# Safety, Fire, and Environmental Programs

SFEP Permanent FTE Cap = 26  
SFEP Authorized Positions = 28

Safety, Fire and Environmental Programs			
Responsible for providing technical expertise and guidance in the areas of occupational safety and health, fire, and environmental protection.			
GR	NR	Y/O	TOTAL
00000000	1	0	1
00 10000000	1	0	1
00 131-14000000	4	0	4
00 7-12000000	2	0	2
00 1-60000000	8	0	8
Total Authorized Positions:			16

Fire Marshal Division			
GR	NR	Y/O	TOTAL
00000000	0	0	0
00 10000000	0	0	0
00 131-14000000	4	0	4
00 7-12000000	3	0	3
00 1-60000000	5	0	5
Total Authorized Positions:			12

Safety Division			
GR	NR	Y/O	TOTAL
00000000	0	0	0
00 10000000	0	0	0
00 131-14000000	7	0	7
00 7-12000000	0	0	0
00 1-60000000	1	0	1
Total Authorized Positions:			8

Environmental Division			
GR	NR	Y/O	TOTAL
00000000	0	0	0
00 10000000	1	0	1
00 131-14000000	0	0	0
00 7-12000000	0	0	0
00 1-60000000	3	0	3
Total Authorized Positions:			4

# Capitol Building



Permanent FTE Cap = 220  
 Temporary and Projects = 30  
 Total FTE Cap = 250  
 Authorized Positions = 224

**Capitol Building**

Responsible for the maintenance and preservation of the buildings entrusted to their care; provides timely and quality facilities management and related support services for assigned buildings.

	GS	MS	TOTAL
SRMG Equivalent	2	0	2
GS 15MG Equivalent	0	0	0
GS 13-14MG Equivalent	4	0	4
GS 7-12MG Equivalent	3	0	3
GS 1-6MG Equivalent	0	0	0
<b>Total Authorized Positions:</b>	<b>9</b>	<b>0</b>	<b>9</b>

**Facilities Support Division**

	GS	MS	TOTAL
SRMG Equivalent	0	0	0
GS 15MG Equivalent	1	0	1
GS 13-14MG Equivalent	5	1	6
GS 7-12MG Equivalent	10	05	15
GS 1-6MG Equivalent	05	05	10
<b>Total Authorized Positions:</b>	<b>21</b>	<b>06</b>	<b>27</b>

**Capitol Building and CYC Operations and Maintenance Division**

	GS	MS	TOTAL
SRMG Equivalent	0	0	0
GS 15MG Equivalent	1	1	2
GS 13-14MG Equivalent	2	0	2
GS 7-12MG Equivalent	3	120	123
GS 1-6MG Equivalent	0	2	2
<b>Total Authorized Positions:</b>	<b>6</b>	<b>123</b>	<b>129</b>



# Capitol Grounds

Permanent FTE Cap = 69  
 Temporary and Protections = 2  
 Total FTE Cap = 71  
 Authorized Positions = 70

**Capitol Grounds**

Responsible for the maintenance and preservation of the historical Capitol Grounds, provides timely and quality landscape architecture, project management, landscape maintenance, arbor care, snow removal and related support services. Responsible for short and long term planning for the Capitol Grounds including landscape renovation.

	GS	MG	TOTAL
SRWNG Equivalent	1	0	1
GS 15WNG Equivalent	1	0	1
GS 13 - 14WNG Equivalent	2	0	2
GS 7 - 12WNG Equivalent	3	0	3
GS 1 - 6WNG Equivalent	1	0	1
<b>Total Authorized Positions:</b>	<b>8</b>	<b>0</b>	<b>8</b>

**Gardening Division**

	GS	MG	TOTAL
SRWNG Equivalent	0	0	0
GS 15WNG Equivalent	0	0	0
GS 13 - 14WNG Equivalent	0	0	0
GS 7 - 12WNG Equivalent	0	28	28
GS 1 - 6WNG Equivalent	0	10	10
<b>Total Authorized Positions:</b>	<b>0</b>	<b>38</b>	<b>38</b>

**Maintenance Division**

	GS	MG	TOTAL
SRWNG Equivalent	0	0	0
GS 15WNG Equivalent	0	0	0
GS 13 - 14WNG Equivalent	0	0	0
GS 7 - 12WNG Equivalent	0	22	22
GS 1 - 6WNG Equivalent	0	2	2
<b>Total Authorized Positions:</b>	<b>0</b>	<b>24</b>	<b>24</b>

# Senate Office Buildings



Permanent FTE Cap = 498  
 Temporary and Devision = 484  
 Total FTE Cap = 984  
 Authorized Positions = 552

**Senate Office Buildings**

Responsible for the maintenance and operations of the buildings assigned to their area; provides timely and quality facilities management and related support services for assigned buildings.

	OM	MSG	TOTAL
15AVO3 Equipment	2	0	2
OM 15AVO3 Equipment	3	0	3
OM 7 - 15AVO3 Equipment	4	0	4
OM 1 - 15AVO3 Equipment	4	0	4
Total Authorized Positions	13	0	13

**Tenant Services Division**

	OM	MSG	TOTAL
15AVO3 Equipment	1	0	1
OM 15AVO3 Equipment	0	0	0
OM 13 - 15AVO3 Equipment	0	0	0
OM 7 - 15AVO3 Equipment	2	31	33
OM 1 - 15AVO3 Equipment	4	12	16
Total Authorized Positions	8	33	41

**Facilities Operation Division**

	OM	MSG	TOTAL
15AVO3 Equipment	0	0	0
OM 15AVO3 Equipment	0	1	1
OM 13 - 15AVO3 Equipment	0	1	1
OM 7 - 15AVO3 Equipment	0	103	103
OM 1 - 15AVO3 Equipment	1	108	109
Total Authorized Positions	1	113	114

**Facilities Support Division**

	OM	MSG	TOTAL
15AVO3 Equipment	0	0	0
OM 15AVO3 Equipment	1	0	1
OM 13 - 15AVO3 Equipment	1	1	2
OM 7 - 15AVO3 Equipment	3	3	6
OM 1 - 15AVO3 Equipment	12	3	15
Total Authorized Positions	17	7	24

**Client Services Division**

	OM	MSG	TOTAL
15AVO3 Equipment	1	0	1
OM 15AVO3 Equipment	0	0	0
OM 13 - 15AVO3 Equipment	0	0	0
OM 7 - 15AVO3 Equipment	4	288	292
OM 1 - 15AVO3 Equipment	16	289	305
Total Authorized Positions	16	289	305



# House Office Buildings

Permanent FTE Cap = 503  
 Temporary and Probation = 20  
 Total FTE Cap = 573  
 Authorized Positions = 548

**House Office Buildings**

Responsible for the maintenance and preservation of the buildings entrusted to their care, provide timely and quality facilities management and related support services for assigned buildings.

	GM	MS	TOTAL
SEWMO Equipment	2	0	2
GS 15-WMO Equipment	0	0	0
GS 13-WMO Equipment	0	0	0
GS 7 - WMO Equipment	2	0	2
GS 1 - WMO Equipment	1	0	1
<b>Total Authorized Positions:</b>	<b>5</b>	<b>0</b>	<b>5</b>

**Tenant Service Division**

	GM	MS	TOTAL
SEWMO Equipment	0	0	0
GS 15-WMO Equipment	0	0	0
GS 13-WMO Equipment	1	0	1
GS 7 - WMO Equipment	1	0	1
GS 1 - WMO Equipment	0	0	0
<b>Total Authorized Positions:</b>	<b>2</b>	<b>0</b>	<b>2</b>

**House Wellness Center**

	GM	MS	TOTAL
SEWMO Equipment	0	0	0
GS 15-WMO Equipment	0	0	0
GS 13-WMO Equipment	4	0	4
GS 7 - WMO Equipment	2	0	2
GS 1 - WMO Equipment	0	0	0
<b>Total Authorized Positions:</b>	<b>6</b>	<b>0</b>	<b>6</b>

**Facilities Support Division**

	GM	MS	TOTAL
SEWMO Equipment	1	0	1
GS 15-WMO Equipment	0	0	0
GS 13-WMO Equipment	0	0	0
GS 7 - WMO Equipment	0	0	0
GS 1 - WMO Equipment	0	0	0
<b>Total Authorized Positions:</b>	<b>1</b>	<b>0</b>	<b>1</b>

**Client Services Division**

	GM	MS	TOTAL
SEWMO Equipment	0	0	0
GS 15-WMO Equipment	0	0	0
GS 13-WMO Equipment	25	5	30
GS 7 - WMO Equipment	25	25	50
GS 1 - WMO Equipment	0	0	0
<b>Total Authorized Positions:</b>	<b>50</b>	<b>30</b>	<b>80</b>

**Facilities Operations Division**

	GM	MS	TOTAL
SEWMO Equipment	1	0	1
GS 15-WMO Equipment	1	2	3
GS 13-WMO Equipment	0	12	12
GS 7 - WMO Equipment	0	12	12
GS 1 - WMO Equipment	0	0	0
<b>Total Authorized Positions:</b>	<b>2</b>	<b>14</b>	<b>16</b>



# Capitol Power Plant

Permanent FTE Cap = 86  
 Temporary and Projects = 10  
 Total FTE Cap = 96  
 Authorized Positions = 86

Capitol Power Plant			
Responsible for the operation, maintenance and modernization of the U.S. Capitol Power Plant including the steam/heating plant, West Refrigeration Plant and the underground utility tunnel delivery system serving Capitol Hill.			
	GS	MS	TOTAL
SR/MG Equipment:	1	0	1
GS 15-MG Equipment:	1	0	1
GS 13 - 14MG Equipment:	1	0	1
GS 7 - 12MG Equipment:	1	0	1
Total Authorized Positions:	4	0	4

Business Operations Division			
	GS	MS	TOTAL
SR/MG Equipment:	0	0	0
GS 15MG Equipment:	0	0	0
GS 13 - 14MG Equipment:	1	0	1
GS 7 - 12MG Equipment:	3	0	3
GS 1 - 6MG Equipment:	1	0	1
Total Authorized Positions:	5	0	5

Utility Distribution Division			
	GS	MS	TOTAL
SR/MG Equipment:	0	0	0
GS 15MG Equipment:	0	0	0
GS 13 - 14MG Equipment:	2	0	2
GS 7 - 12MG Equipment:	6	0	6
GS 1 - 6MG Equipment:	0	0	0
Total Authorized Positions:	8	0	8

Maintenance and Generation Division			
	GS	MS	TOTAL
SR/MG Equipment:	0	0	0
GS 15MG Equipment:	0	2	2
GS 13 - 14MG Equipment:	0	0	0
GS 7 - 12MG Equipment:	0	86	86
GS 1 - 6MG Equipment:	0	0	0
Total Authorized Positions:	0	88	88

Engineering Division			
	GS	MS	TOTAL
SR/MG Equipment:	0	0	0
GS 15MG Equipment:	0	0	0
GS 13 - 14MG Equipment:	0	0	0
GS 7 - 12MG Equipment:	5	0	5
GS 1 - 6MG Equipment:	0	0	0
Total Authorized Positions:	5	0	5

# Library Buildings & Grounds



Permanent FTE Cap = 180  
 Temporary and Projects = 31  
 Total FTE Cap = 181  
 Authorized Positions = 180

**Library Buildings and Grounds**

Responsible for the maintenance and preservation of the buildings and grounds entrusted to their care; provides timely and quality facilities management and related support services for assigned buildings.

	GS	MS	TOTAL
SRWNG Equivalent:	2	0	2
GS 15WNG Equivalent:	1	0	1
GS 14WNG Equivalent:	7	0	7
GS 13 - 12WNG Equivalent:	5	0	5
GS 1 - 8WNG Equivalent:	15	0	15
<b>Total Authorized Positions:</b>			<b>16</b>

**Tenant Services Division**

	GS	MS	TOTAL
SRWNG Equivalent:	0	0	0
GS 15WNG Equivalent:	1	0	1
GS 14WNG Equivalent:	1	0	1
GS 13 - 12WNG Equivalent:	0	45	45
GS 1 - 8WNG Equivalent:	0	2	2
<b>Total Authorized Positions:</b>	<b>5</b>	<b>48</b>	<b>53</b>

**Facilities Operations Division**

	GS	MS	TOTAL
SRWNG Equivalent:	0	0	0
GS 15WNG Equivalent:	1	1	2
GS 13 - 14WNG Equivalent:	3	0	3
GS 7 - 12WNG Equivalent:	1	79	80
GS 1 - 6WNG Equivalent:	0	1	1
<b>Total Authorized Positions:</b>	<b>5</b>	<b>81</b>	<b>86</b>

**Supplies and Materials Division**

	GS	MS	TOTAL
SRWNG Equivalent:	0	0	0
GS 15WNG Equivalent:	0	0	0
GS 13 - 14WNG Equivalent:	0	0	0
GS 7 - 12WNG Equivalent:	4	0	4
GS 1 - 6WNG Equivalent:	0	1	1
<b>Total Authorized Positions:</b>	<b>4</b>	<b>1</b>	<b>5</b>

# Capitol Police Buildings, Grounds & Security



Permanent FTE Cap = 13  
 Temporary and Projects = 9  
 Total FTE Cap = 22  
 Authorized Positions = 15

## Security Programs

Provide timely and knowledgeable support to the Architect in support of the U.S. Capitol Police Board and Congressional Accessibility Services Board; oversee all security related support programs.

	GS	WG	TOTAL
SRWG Equivalent:	1	0	1
GS 15WG Equivalent:	2	0	2
GS 13 - 14WG Equivalent:	6	0	6
GS 7 - 12WG Equivalent:	6	0	6
GS 1 - 6WG Equivalent:	0	0	0
Total Authorized Positions:	15	0	15

# Botanic Garden



Permanent FTE Cap = 68  
 Authorized and Positions = 0  
 Total FTE Cap = 68  
 Authorized Positions = 73

## Botanic Garden

Responsible for the ongoing maintenance and preservation of the historical buildings and grounds situated to their care. Provides high quality administration and support services for horticultural, cultural, education, therapeutic, and scientific interpretation of parks.

	GM	MSG	TOTAL
BMWG Equipment	1	0	1
GM 15MWG Equipment	0	0	0
GM 15MWG Equipment	1	0	1
GM 7 - 12MWG Equipment	0	0	0
GM 1 - BMWG Equipment	0	0	0
<b>Total Authorized Positions</b>	<b>2</b>	<b>0</b>	<b>2</b>

### Administrative Services Division

	GM	MSG	TOTAL
BMWG Equipment	0	0	0
GM 15MWG Equipment	0	0	0
GM 7 - 12MWG Equipment	2	0	2
GM 1 - BMWG Equipment	0	0	0
<b>Total Authorized Positions</b>	<b>2</b>	<b>0</b>	<b>2</b>

### Public Programs Division

	GM	MSG	TOTAL
BMWG Equipment	0	0	0
GM 15MWG Equipment	0	0	0
GM 7 - 12MWG Equipment	5	0	5
GM 1 - BMWG Equipment	0	1	1
<b>Total Authorized Positions</b>	<b>5</b>	<b>1</b>	<b>6</b>

### Horticulture Division

	GM	MSG	TOTAL
BMWG Equipment	0	0	0
GM 15MWG Equipment	0	0	0
GM 13 - 14MWG Equipment	1	0	1
GM 7 - 12MWG Equipment	0	28	28
GM 1 - BMWG Equipment	0	13	13
<b>Total Authorized Positions</b>	<b>1</b>	<b>41</b>	<b>42</b>

### Operations Division

	GM	MSG	TOTAL
BMWG Equipment	0	0	0
GM 15MWG Equipment	0	0	0
GM 13 - 14MWG Equipment	1	0	1
GM 7 - 12MWG Equipment	0	11	11
GM 1 - BMWG Equipment	0	11	11
<b>Total Authorized Positions</b>	<b>1</b>	<b>22</b>	<b>23</b>

# Capitol Visitor Center



Permanent FTE Cap = 247  
 Temporary and Details = 0  
 Total FTE Cap = 247

Authorized Positions = 247

Chief Executive Officer for Visitor Services  
 Responsible for the operation of the Capitol Visitor Center.

	GB	MS	TOTAL
00000 Equivalent:	2	0	2
GB 15 - 10000 Equivalent:	1	0	1
GB 13 - 10000 Equivalent:	0	0	0
GB 7 - 10000 Equivalent:	11	0	11
GB 5 - 00000 Equivalent:	1	0	1
Total Authorized Positions:	25	0	25

Skills and Education Division				Restaurants and Special Events Division				Visitor Services Division				Public Visual Division			
GB	MS	TOTAL		GB	MS	TOTAL		GB	MS	TOTAL		GB	MS	TOTAL	
00000 Equivalent:	0	0	0	0	0	0	0	00000 Equivalent:	0	0	0	00000 Equivalent:	0	0	
GB 15 - 10000 Equivalent:	0	0	0	0	0	0	0	GB 15 - 10000 Equivalent:	0	0	0	GB 15 - 10000 Equivalent:	0	0	
GB 13 - 10000 Equivalent:	4	0	4	1	0	1	1	GB 13 - 10000 Equivalent:	0	0	0	GB 13 - 10000 Equivalent:	0	0	
GB 7 - 10000 Equivalent:	4	0	4	0	0	0	0	GB 7 - 10000 Equivalent:	73	0	73	GB 7 - 10000 Equivalent:	0	0	
GB 5 - 00000 Equivalent:	4	0	4	0	0	0	0	GB 5 - 00000 Equivalent:	0	0	0	GB 5 - 00000 Equivalent:	0	0	
Total Authorized Positions:	12	0	12	1	0	1	1	Total Authorized Positions:	176	0	176	Total Authorized Positions:	0	0	

GB Budget Division				Meeting and Communications Division			
GB	MS	TOTAL		GB	MS	TOTAL	
00000 Equivalent:	0	0	0	00000 Equivalent:	0	0	0
GB 15 - 10000 Equivalent:	0	0	0	GB 13 - 10000 Equivalent:	2	0	2
GB 7 - 10000 Equivalent:	2	0	2	GB 7 - 10000 Equivalent:	2	0	2
GB 5 - 00000 Equivalent:	2	0	2	GB 5 - 00000 Equivalent:	2	0	2
Total Authorized Positions:	2	0	2	Total Authorized Positions:	4	0	4



## General Administration



### AOC MISSION

To serve Congress and the Supreme Court, preserve America's Capitol, and inspire memorable experiences.

### RESPONSIBILITIES IN SUPPORT OF AOC MISSION

The centralized project and facilities support General Administration (GA) jurisdiction provides direct support to ensure that the Congress is able to perform its responsibilities to enact legislation for governance of the United States.

GA is responsible for campus-wide architecture and engineering design; project management and construction management; property management; AOC planning and development; congressional election year moves' designs; in-house construction efforts for major projects across the Capitol complex; information technology services, systems and tools, including work order management systems; safety, fire marshal and environmental monitoring, services and reporting; emergency operations; financial management to include budget, accounting, and financial and inventory management systems; general counsel services; human capital management; communications; congressional relations; procurement to include major construction contract awards, service contracts, small purchases, and leases; management of historic preservation, sustainability, energy and water conservation programs; high voltage operations and maintenance of street lights, generators and high voltage electrical infrastructure; audio/visual support for hearings and special events such as the State of the Union Address and the Presidential Inaugural. The AOC Office of the Inspector General also is part of the General Administration jurisdiction and performs audits and investigations. GA includes the following offices:

**Office for Planning and Project Management (PPM)** - provides long range facility planning, design and construction services, and other technical services in support of the small, medium, large, and mega projects. PPM also conducts energy audits and facility condition assessments. PPM manages a sustainability, energy and water conservation program to develop and implement energy savings initiatives. The workforce also includes mechanics, electricians and technicians who maintain campus-wide electrical, emergency power, cable television, legislative clocks and electronic systems, and provides special event support to the Congress.



## General Administration

### RESPONSIBILITIES IN SUPPORT OF AOC MISSION (continued)

**Office of the Chief Administrative Officer (CAO)** - provides programs and services that enable the AOC to perform its mission of supporting the Congress. These programs and services include: general counsel; information technology; human capital management services; EEO and diversity programs; acquisition and material management, and procurement; media and congressional relations; preservation of heritage assets, and curator expertise; and office services.

**Office of the Chief Financial Officer (CFO)** - provides management oversight and direction for the AOC's financial management programs, resources and services including: accounting, budgeting and financial/inventory management systems.

**Office of Inspector General (OIG)** - conducts independent audits and investigations, reviews and evaluates AOC operations to promote economy and efficiency of operations and to prevent and detect fraud, waste and abuse. The OIG also reviews existing/proposed regulations, orders, and policies.

**Office for Safety, Fire and Environmental Programs (SFE)** - provides technical expertise and guidance in the areas of occupational safety and health, fire, and environmental protection.

#### Facility Overview

Name/Type	Year Built	Age	Area (sq. feet)	Deferred Maintenance*	Capital Renewal*	Backlog**
Construction Division Shops	1982	29	15,225	\$94,000	\$296,000	\$390,000
<b>Total</b>			<b>15,225</b>	<b>\$94,000</b>	<b>\$296,000</b>	<b>\$390,000</b>

\* Deferred Maintenance and Capital Renewal figures based on FY 2011 reporting.

\*\*Backlog equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance.

### ECONOMIES AND EFFICIENCIES

In order to maximize funding in a zero-based budget environment, the AOC has made a concerted effort to identify economies and efficiencies to reduce costs and improve services. GA jurisdiction recently identified and implemented several cost avoidance/savings initiatives. These enabled the AOC to apply funds toward the backlog of deferred maintenance and/or to use project funds in the most efficient and economic manner to continue to improve congressional facilities, systems, infrastructure and services.

**Initiative:** Construction Division Warehouse Lease.

Cost Avoidance: \$290K.

The AOC re-competed the Construction Division warehouse lease, resulting in a smaller lease footprint and lower annual cost.

**Initiative:** Sustainability Program and Free Cooling at Capitol Power Plant.

Cost Avoidance: \$500K.

Initiated a free cooling process at the Capitol Power Plant. Free cooling is a process that utilizes the winter air to provide chilled water to the Capitol complex buildings for air conditioning, rather than running a large piece of electrically powered equipment at a higher cost.

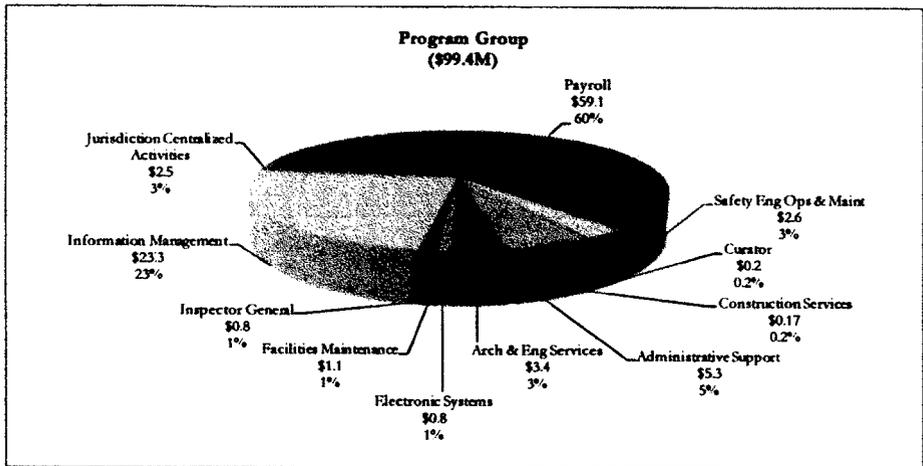


# General Administration

## ZERO BASED JUSTIFICATION SUMMARY:

### OPERATING BUDGET (FY 2013 Budget Request \$99.4M)

The Operating Budget of the centralized project and facilities support General Administration appropriation funds all costs associated with AOC central office salaries, operations, activities, and programs. The budget is divided into functional area Program Groups: Administrative, Architectural and Engineering Services, Curator, Construction Services, Electronic Systems, Facilities Maintenance, Inspector General, Information Resource Management, Jurisdiction Centralized Activities, Payroll, and Safety Engineering Operations and Maintenance.

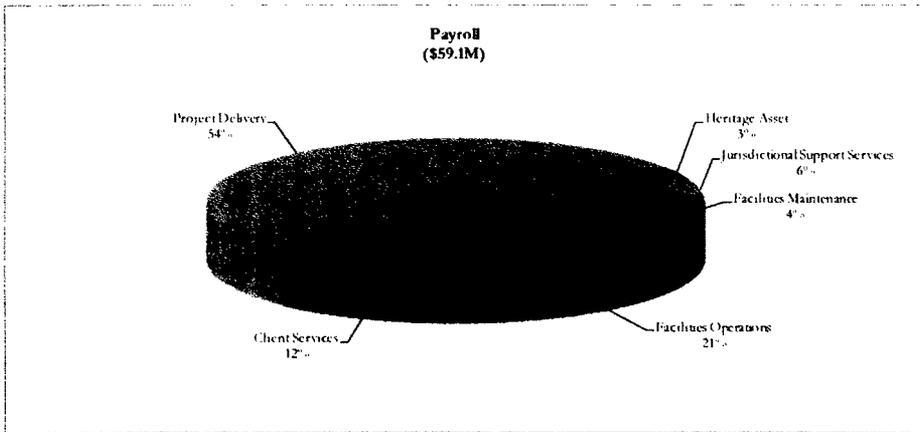




## General Administration

### Payroll

The centralized project and facilities support General Administration appropriation is requesting \$59.1M for Payroll. Facilities Maintenance and Facilities Operations payroll provides the capability to execute approximately 5,000 work orders annually in support of the Congress, and maintain facilities and systems for the Congress. Project Delivery payroll results in the labor to effectively manage over \$500M of funded ongoing projects in AOC's portfolio of line item and minor construction projects. Client Services payroll provides direct support to Congress and staff. Heritage Asset payroll provides the expertise necessary to preserve and restore priceless art and architectural features. Jurisdictional Support Services payroll provides the labor integral to AOC operations such as human capital management, information technology system and tools, financial management, legal support, campus-wide safety and environmental staff, and investigations and audits.



### Payroll Funded FTE Ceiling 400

**Cost Accounting Code Definition:**

**Facilities Maintenance:** Facilities maintenance activities encompass planned and corrective maintenance. Planned maintenance represents scheduled maintenance. Corrective maintenance includes emergency repairs.

**Facilities Operations:** Facilities operations activities include such tasks as custodial work, grounds care, road and walkway maintenance, power plant operations, and the provision of utilities. Facilities operations are associated with the day-to-day care of the Capitol complex.

**Client Services:** Client services include normal and special request services provided to AOC clients, their staffs, the public, citizens, and other constituencies. Examples include painting services, deliveries, and activities related to biennial election year office moves.

**Project Delivery:** AOC capital assets are provided and maintained through effective planning and project delivery. This includes planning, programming, design, construction, and the related management activities in the delivery of capital projects.

**Heritage Asset Stewardship:** Heritage asset stewardship activities include the care, maintenance, preservation, and presentation of the national treasures entrusted to the care of the AOC for present and future generations of visitors to the Capitol.

**Jurisdictional Support Services:** Support Services activities encompass executive leadership and administrative support services such as human resources, information technology, financial, procurement, and campus-wide safety and security.



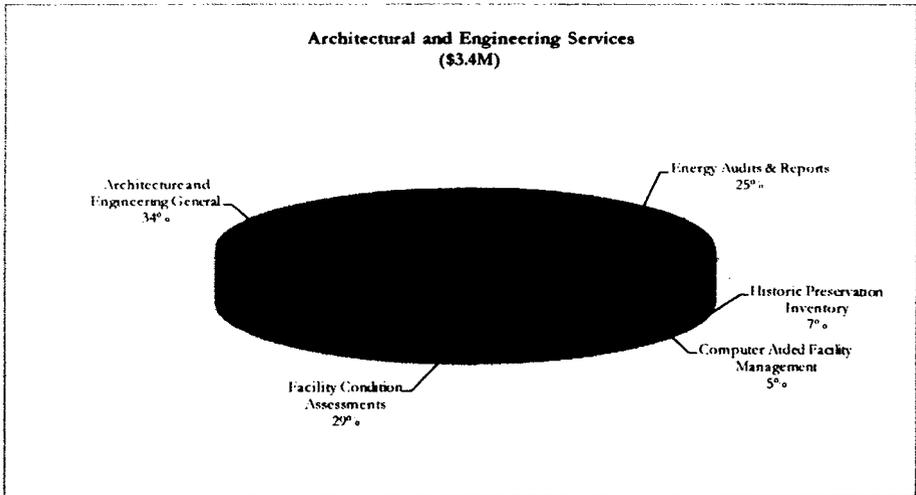
## General Administration

### Architectural and Engineering Services

The centralized project and facilities support General Administration appropriation is requesting \$3.4M for Architectural and Engineering Services. This provides the capability to supplement in house planning, design and construction organizations with contracted planning, architectural and engineering services for several programs including Line Item Construction Projects (LICP), facility condition assessments, energy audits, and the Capitol Complex Master Plan.

Outcomes of the architectural and engineering program include:

- Successful project management of over \$500M in funded ongoing projects including current year and prior year projects which remain under construction.
- Execution of large projects such as the Library of Congress Resident's Scholars Center, Energy Savings Performance Contracts and the Co-generation Capitol Power Plant project.
- Collection of robust, accurate and actionable facility condition data; to identify and build future projects.
- Energy audits and the creation of energy conservation measures identifying energy investments with cost effective impacts to energy usage.
- Implementation of an annual project prioritization process which looks at future projects to balance congressional facility needs within fiscal constraints, and enables Congress to make the right investments in the Capitol complex.
- Emergency engineering in response to events such as the 2011 earthquake.
- Consultation to AOC jurisdictions for maintenance engineering.
- Technical design criteria and best practices to enable congressional facilities to be code compliant.



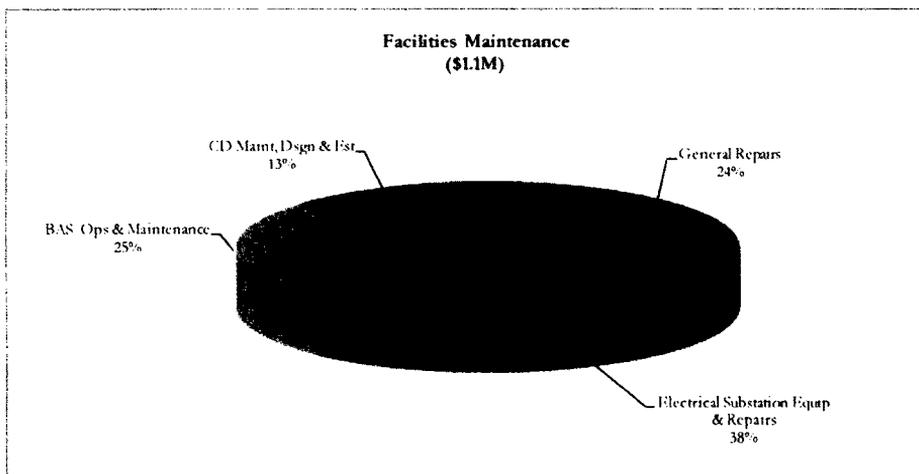


## General Administration

### Facilities Maintenance

The centralized project and facilities support General Administration appropriation is requesting \$1.1M for Facilities Maintenance to fund maintenance of 12 high voltage and 37 low voltage electrical substations, 37 emergency generators, over 1500 light poles and 90,000 Building Automation System (BAS) control devices. This funding also includes the costs for running the Construction Division (CD) and the associated facility at D.C. Village. Outcomes of the facility maintenance program include:

- Maintaining emergency generator uptime to support the Congress and Supreme Court operations in the event of a power disruption.
- Safe and successful execution of over \$30M annual in-house repair and construction work.
- Leveraging the data created by over 90,000 Building Automation System control points to perform real time analysis and optimize building system performance.





## General Administration

### Construction Services

The centralized project and facilities support General Administration appropriation is requesting \$170K for Construction Services to fund contractual construction cost estimating services. This provides the capability to provide accurate, independent cost estimating services in support of project delivery. Contracting on indefinite quantity basis with firms specializing in estimating is a cost effective way of meeting the fluctuating demand in this area without adding full time equivalent staff.

### Curator

The centralized project and facilities support General Administration appropriation is requesting \$225.2K for Curator Services. This provides the conservation of over 800 paintings, sculptures, decorative objects and 300 gilded picture and mirror frames located in the Capitol Building and the Capitol Visitor Center. It also provides the funding for maintaining and updating displays in the Capitol Building. It provides funding for contracts with conservation scientists to conduct research and testing to understand the historic finishes on walls of the Capitol Building, paint study and analysis to support accurate restoration and repainting in historic areas, and detailed historical reporting. In addition, ongoing conservation of sculptures and other fine art and decorative art cared for by the AOC in the Capitol Building. A major focus is keeping the National Statuary Hall collection and other statues and busts maintained and conserved in good condition despite the millions of people in tour groups each year who view the statues and too often touch them. A portion of this funding is used to repair damage that occurs to gilded mirror frames, paintings, and furniture.

### Electronic Systems

The centralized project and facilities support General Administration appropriation is requesting \$839K for Electronic Systems. These funds provide the capability to maintain electronic systems throughout the Capitol complex to include cable television, tunnel radio communications systems, and legislative clocks and call systems, Building Automation System intranet, and hearing room audio systems. This request aligns with our historic workload and accomplishes 4,806 work orders per year.

### Inspector General

The Inspector General is requesting \$799K for Office of Inspector General (OIG) operations. This provides the capability for the Inspector General to carry out the requirements set forth in the Architect of the Capitol Inspector General Act of 2007. The OIG budget includes \$500K to fund the AOC requested financial statement audit and the remaining \$299K is used by the IG to fund OIG operations including audits, evaluations and investigations. This request also includes training funding to meet training requirements for OIG personnel. The payroll funds for the OIG employees are included in the Payroll Program Group.



## General Administration

### Information Resource Management

The centralized project and facilities support General Administration appropriation is requesting \$23.3M for Information Resource Management. This program funds the procurement, operations and maintenance of information technology for computer hardware, software and license support including a human capital management system. Provides contractor technical support services for data centers, user helpdesk support, project management, and information security. This program also provides communication equipment and services to AOC users and business modernization projects as approved by the IT Council for the AOC. Of the \$23.3M request approximately:

60% of this program is for required operations support contractual services (i.e. Help Desk and FMS Momentum) such as: network security certification and accreditation contract, security awareness training; hardware and software maintenance agreements required for existing equipment and licenses; equipment replacement for end of life equipment (servers); and consumables of the AOC user community.

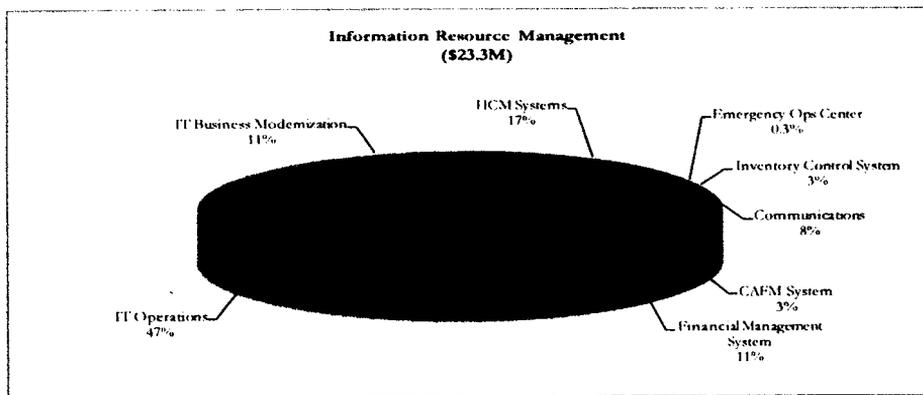
17% is for HCM Systems Support: Contract payment for AOC's enterprise-wide human capital management system and has no flexibility in the annual cost.

8% is for Communications to provide circuits for connectivity between the buildings on the Capitol complex and the Alternate Computer Center. This also funds enterprise desk and mobile phones, data services, and emergency response coordination and collaboration for all of the AOC.

11% of this request supports Business Modernization required to proceed with new and recurring information technology requests from jurisdictions within the AOC and are approved by IT Council with representatives from all jurisdictions.

3% supports the Computer-Aided Facility Management system (CAFM) licenses used for relational databases and electronic representations of facilities to manage, analyze, and control facility data.

0.3% Emergency Operations Center: Required for an annual maintenance contract with a leading solution provider for the AOC's enterprise-wide emergency response system.

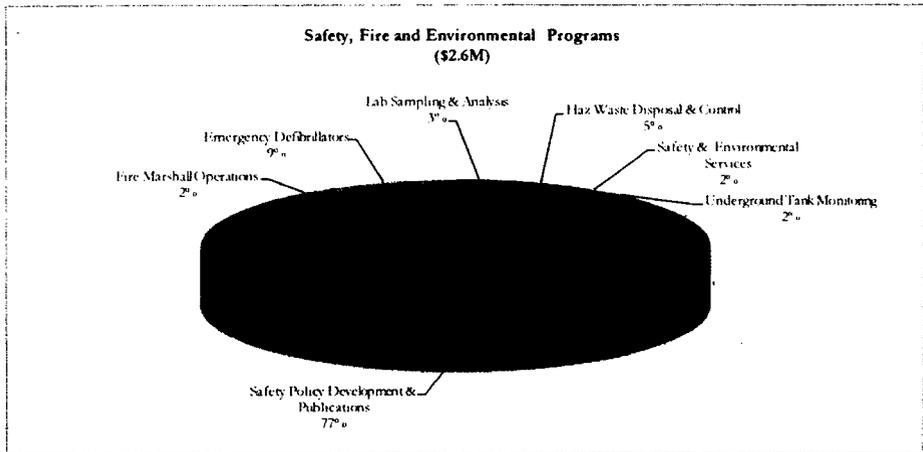




## General Administration

### Safety Engineering Operations & Maintenance

The centralized project and facilities support General Administration appropriation is requesting \$2.6M to fund Safety Engineering Operations and Maintenance activities including, sampling and analysis (air, water, waste, storage tanks, etc.); hazardous waste disposal; fire protection guidance and services; education and communication materials, regulatory updates; consultant support for assessments, analysis, inspections, testing, technical reviews and program planning. This also includes operations and maintenance of the campus-wide automatic external defibrillators and replacement of units reaching the end of service life.



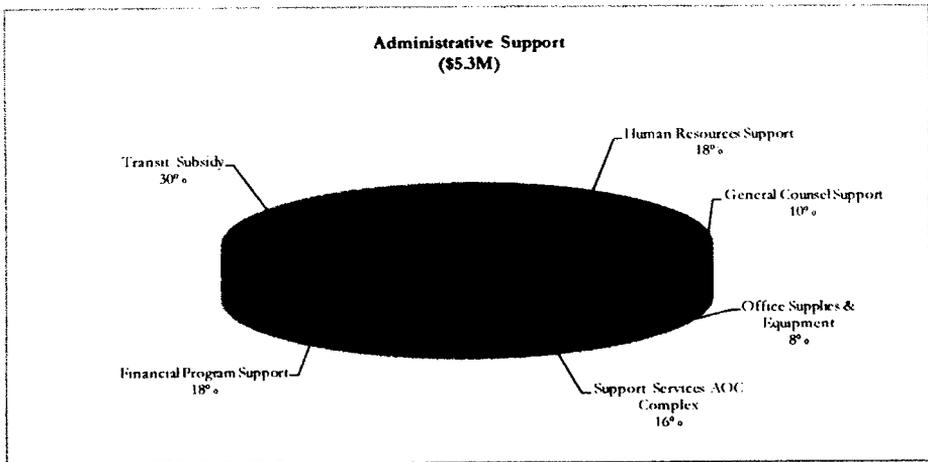


## General Administration

### Administrative Support

The centralized project and facilities support General Administration appropriation is requesting \$5.3M for Administrative Support Services. This provides the capability to fund printing and reproduction; office equipment and supplies; postage and metered mail; graphic design; vehicle leases, operations and maintenance; and professional support such as the payroll function from the National Financial Center (NFC.) This also funds payroll processing. It includes consultant services and ongoing agency-wide strategic planning, performance improvement, and best practices research. The AOC largest item in this program group is the Transit Benefit Subsidy (at 30 percent of the program group) for all AOC employees.

The AOC maintains several communications programs that underpin customer service, achieve greater organizational transparency, and improve employee engagement. These actions are congruent with recommendations from GAO Report GAO-03-231, that noted "an effective communications strategy is a key success factor for organizations undergoing transformation," the AOC must "establish a communications strategy to foster transformation and create shared expectations and build involvement" and "develop a comprehensive strategy to improve internal and external communications." Critical communications programs include the AOC's web presence, internal intranet, and employee communications products. These programs contribute directly to improved customer satisfaction, increased employee morale and productivity, and better organizational transparency.

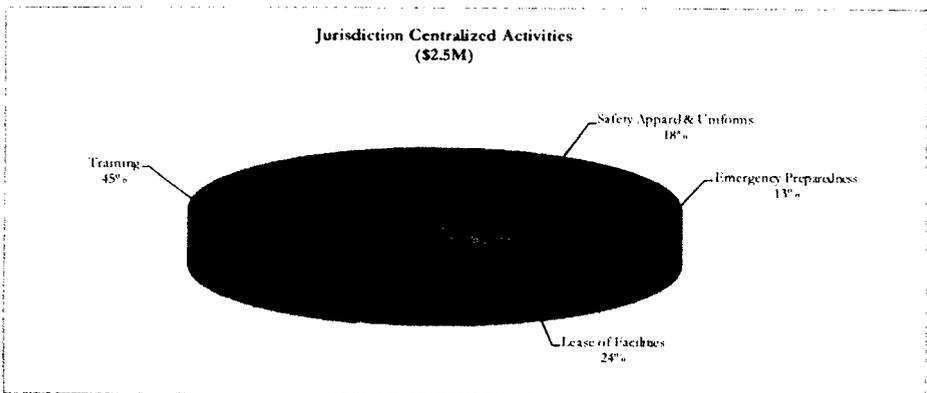




## General Administration

### Jurisdiction Centralized Activities

The centralized project and facilities support General Administration appropriation is requesting \$2.5M for Jurisdiction Centralized Activities. This provides the capability to provide required training such as Construction and Facility Management Industry Memberships and official participation, required and trade specific safety training, professional training and technical core competencies. This also provides for emergency preparedness to include planning for and responding to fires, spills, pandemic flu, appropriations lapse, earthquakes, tornados, etc.; coordinating with the United States Capitol Police; supporting the Congress and Supreme Court during emergencies. This responsibility also includes the AOC's primary and backup emergency operations centers and emergency preparedness and response capabilities at off-site locations managed by the AOC.



<b>Required Training (86% of total training)</b>	<b>Cost (\$000)</b>
Trade Specific Safety Training	\$550
Construction and Facility Management Industry Membership and Official Participation	\$200
Professional Training (COTR, Approps Law, Supv.)	\$192
<b>Total</b>	<b>\$942</b>

<b>Facility Leases</b>	<b>Cost (\$000)</b>
Construction Division Warehouse	\$600
<b>Total</b>	<b>\$600</b>



# General Administration

## BUDGET SUMMARY

The centralized project and facilities support General Administration (GA) appropriation is responsible for the central administration; financial management; general counsel; safety; human resources; AOC-wide architecture and engineering design, project management and construction management; property management; AOC planning and development; communications; information resources; congressional relations; procurement; management of the Energy Program; and the Office of Inspector General.

Total Budget (\$000)					
Appropriation	FY 2011 <sup>1</sup> Operating Plan	FY 2011 <sup>2</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Operating Budget	101,591	101,546	97,591	99,352	1,761
Multi-Year Projects	7,484	6,332	3,749	3,249	(500)
<b>Total</b>	<b>109,075</b>	<b>107,878</b>	<b>101,340</b>	<b>102,601</b>	<b>1,261</b>

Operating Budget (\$000)					
Program Groups	FY 2011 <sup>1</sup> Operating Plan	FY 2011 <sup>2</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Administrative Support	5,472	5,037	5,258	5,258	-
Architectural and Engineering	4,700	4,222	3,417	3,417	-
Construction Services	170	101	170	170	-
Curator	238	212	225	225	-
Electronic Systems	774	775	839	839	-
Facilities Maintenance	1,886	1,206	1,115	1,115	-
Information Resource Management	24,920	26,934	23,300	23,300	-
Inspector General	822	689	668	799	131
Jurisdiction Centralized Activities	2,607	3,446	2,488	2,488	-
Payroll	57,167	56,174	57,576	59,126	1,550
Safety, Fire and Environmental	2,835	2,750	2,534	2,614	80
Annual-Funded Projects					
<b>Total</b>	<b>101,591</b>	<b>101,546</b>	<b>97,591</b>	<b>99,352</b>	<b>1,761</b>

Multi-Year Projects (\$000)					
Projects	FY 2011/2015 Enacted	FY 2011/2015 Actual Obs	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
<b>Total</b>	<b>7,484</b>	<b>6,332</b>	<b>3,749</b>	<b>3,249</b>	<b>(500)</b>

<sup>1</sup> Reflects FY 2010 Enacted with 0.2% rescission and initial congressionally-approved reprogramming.

<sup>2</sup> FY 2011 Actual Obligations can include reprogrammings/transfers from other appropriations.



# General Administration

## BUDGET SUMMARY (continued)

Full Time Equivalents (FTE)						
Appropriation	Payroll Funded <sup>1</sup>			Project Funded <sup>2</sup>		
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	FY 2011 Actual	FY 2012 Estimate	FY 2013 Estimate
General Administration	396	397	400	3	3	3

<sup>1</sup> FY 2013 Request includes three (3) FTEs for the AOC's Office of Inspector General.

<sup>2</sup> FY 2012/2013 project funded FTEs are estimated figures and dependent to the numbers of projects funded.

FY 2013 Object Class (\$000)				
Object Class	FY 2011 <sup>1</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
11 Personnel Compensation	40,490	40,000	41,077	1,077
12 Personnel Benefits	17,792	17,577	18,050	473
21 Travel	214	195	193	(1)
22 Transportation of Things	-	-	-	-
23 Rent, Communications and Utilities	870	793	788	(5)
24 Printing and Reproduction	-	-	-	-
25 Other Contractual Services	40,504	36,894	36,651	(243)
26 Supplies and Materials	1,479	1,347	1,338	(9)
31 Equipment	4,914	4,476	4,447	(30)
32 Land and Structures	61	55	55	0
42 Insurance Claims and Indemnities	3	3	3	-
<b>Total</b>	<b>106,327</b>	<b>101,340</b>	<b>102,601</b>	<b>1,261</b>

<sup>1</sup> FY 2011 Actuals represents total obligations of funds incurred irrespective of the year of appropriation.



# General Administration

## FY 2013 ANALYSIS OF CHANGE

	FY 2013 Appropriation	
	FTE	Amount (\$000)
<b>Fiscal Year 2012 Enacted (FTE reflects Payroll Funded only)</b>	<b>397</b>	<b>101,340</b>
<b>Non-Recurring Costs</b>		
ESPC Management Program.....		(2,700)
Senate Reception Room.....		(550)
Conservation of Fine Art and Architecture.....		(499)
<b>Other Decreases</b>		
<b>Total Program Decreases</b>	<b>-</b>	<b>(3,749)</b>
<b>Mandatory Pay Related Costs:</b>		
FY 2013 Cost-of-Living Adjustment of 1.7%.....		547
FY 2013 Within Grade Increases.....		397
FY 2012 FERS Adjustment from 11.7% to 11.9%.....		79
FY 2012 FEHB Employer Contribution Increase of 4%.....		99
<b>Total Mandatory Pay Related Costs</b>	<b>-</b>	<b>1,122</b>
<b>Price Level Changes</b>		-
<b>Total Price Level Changes</b>	<b>-</b>	<b>-</b>
<b>Program Increases:</b>		
Inspector General.....		131
Payroll (FTE Increases).....	3	428
Safety, Fire and Environmental		80
Multi-Year Projects:		
Direct Digital Controls Upgrade, JMMB.....		2,150
ESPC Management Program.....		500
Conservation of Fine Art and Architecture.....		599
<b>Total Program Increases</b>	<b>3</b>	<b>3,888</b>
<b>Net Increase/Decrease</b>	<b>3</b>	<b>1,261</b>
<b>Total Appropriation</b>	<b>400</b>	<b>102,601</b>



## General Administration

### OPERATING BUDGET SUMMARY

The Operating Budget component of the centralized project and facilities support General Administration appropriation funds all costs associated with AOC central office salaries, operations, activities, and programs. The budget is divided into functional area Program Groups. In accordance with sound financial management practice, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process.

Operating Programs (\$000)						
Program Groups	FY 2012 Enacted	Program Realignment/ Transfers	Mandatory Pay and Price Increases	Program Changes	FY 2013 Request	FY 2012/2013 Difference
Administrative Support	5,257	-	-	-	5,257	-
Architectural and Engineering	3,417	-	-	-	3,417	-
Construction Services	170	-	-	-	170	-
Curator	225	-	-	-	225	-
Electronic Systems	839	-	-	-	839	-
Facilities Maintenance	1,115	-	-	-	1,115	-
Information Resource Management	23,300	-	-	-	23,300	-
Inspector General	668	-	-	131	799	131
Jurisdiction Centralized Activities	2,488	-	-	-	2,488	-
Payroll	57,577	-	1,122	428	59,127	1,550
Safety, Fire and Environmental	2,534	-	-	80	2,614	80
<b>Total</b>	<b>97,591</b>	<b>-</b>	<b>1,122</b>	<b>639</b>	<b>99,352</b>	<b>1,761</b>

### Program Groups - Description and Analysis of Changes

#### Administrative Support

(FY 2012 Baseline: \$5,257K)

FY 2013 Request: \$5,257K)

The Administrative Program Group funds printing and reproduction; office equipment and supplies; postage and metered mail; graphic design; vehicles leases, operations and maintenance; and professional support and consultant services.



## General Administration

### OPERATING BUDGET SUMMARY (continued)

#### Architectural and Engineering Services

**(FY 2012 Baseline: \$3,417K)**

**FY 2013 Request: \$3,417K)**

The Architectural and Engineering Services Program Group funds contractual architect and engineering services for the preparation of planning documents and associated planning efforts, Programs of Requirements, conceptual designs and studies, architectural and engineering design services, and other services related to project delivery for the AOC and its clients.

#### Construction Services

**(FY 2012 Baseline: \$170K)**

**FY 2013 Request: \$170K)**

The Construction Services Program Group funds miscellaneous administrative construction services, to include contracting with firms specializing in cost estimating of construction projects.

#### Curator Services

**(FY 2012 Baseline: \$225K)**

**FY 2013 Request: \$225K)**

The Curator Services Program Group funds the conservation of over 800 paintings, sculptures, and decorative objects and 300 gilded picture and mirror frames located in the Capitol Building and in the Capitol Visitor Center. It provides funding for maintaining and updating displays in the Capitol Building.

#### Electronic Systems

**(FY 2012 Baseline: \$839K)**

**FY 2013 Request: \$839K)**

The Electronic Systems Program Group funds the maintenance of electronic systems throughout the Capitol complex, to include cable systems, radio communications and paging systems, the legislative clock and call systems, and hearing room audio systems.

#### Facilities Maintenance

**(FY 2012 Baseline: \$1,115K)**

**FY 2013 Request: \$1,115K)**

For the General Administrative appropriation, the Facilities Maintenance Program Group funds efforts that are different than those funded by other jurisdictions' Facilities Maintenance. These include: substation equipment and repairs, maintenance of the Energy Management and Control System; purchase of codes and manuals, general administrative costs for the Construction Division, and maintenance of the Construction Division shop facility at D.C. Village.



## General Administration

### OPERATING BUDGET SUMMARY (continued)

#### Information Resources Management

**(FY 2012 Baseline: \$23,300K)**

**FY 2013 Request: \$23,300K)**

The Information Resources Management Program Group funds procurement, operations and maintenance of information technologies, to include computer hardware and software (and user licenses) support; contractor technical services support for computer systems and web sites; and automated systems including the Financial Management System, the Human Resources Management System, and the Computer-Aided Facility Management System.

#### Inspector General

**(FY 2012 Baseline: \$668K)**

**FY 2013 Request: \$799K)**

The Inspector General Program (OIG) Group enables the Inspector General of the Architect of the Capitol to carry out the requirements set forth in the Architect of the Capitol Inspector General Act of 2007. Funds will provide for an annual audit of the financial statements, as well as for an audit of an AOC operation by an independent auditor. The request includes training funds to meet training requirements for OIG personnel. The payroll funds for the Office of Inspector General are included in the Payroll Program Group.

Additional funding of \$131K will fund contractual initiatives for the financial system audit, software maintenance fees, and support services.

#### Jurisdiction Centralized Activities

**(FY 2012 Baseline: \$2,488K)**

**FY 2013 Request: \$2,488K)**

The Jurisdiction Centralized Activities Program Group funds training, registration, and seminar fees; travel; uniform allowances; safety apparel; emergency preparedness; and gasoline and oil.

#### Payroll

**(FY 2012 Baseline: \$57,577K)**

**FY 2013 Request: \$59,127K)**

The Payroll Program Group funds salaries and benefits for employees specifically supporting the appropriation. It includes government staff salaries and other compensation (e.g., paid leave and lump sum annual leave payments upon separation); compensation above basic rates including overtime and holiday pay, and employer contributions to the Civil Service Retirement System, the Federal Employees Retirement System and the Thrift Savings Plan; employer contributions to Social Security, Medicare, Federal Employees Health Benefits and Federal Employees Group Life Insurance.

Additional funding of \$1,122K is requested for mandatory pay increases which include a Fiscal Year 2013 Cost-Of-Living Adjustment calculated using the Congressional Budget Office's economic assumption of 1.7%, Within Grade Increases of 1%, the Fiscal Year 2012 Federal Employee's Retirement System adjustment of 0.2%, agency health benefit contributions, and one more compensable day because 2013 is a leap year.

Additional funding of \$428K is requested for three (3) Full Time Equivalents (FTEs) for the Office of Inspector General (Auditor, Investigator and Legal Counsel) due to increased workload, and the need for a dedicated lawyer necessary to support the Office of the Inspector General.



## General Administration

### OPERATING BUDGET SUMMARY (continued)

#### Safety, Fire, and Environment

(FY 2012 Baseline: \$2,534K)

FY 2013 Request: \$2,614K)

The Safety, Fire and Environmental Program Group funds safety, fire marshal, and environmental activities including the following: contractual support for consultants; Capitol Complex automated external defibrillators, health, safety and environmental sampling and analysis; AOC hazardous waste disposal; underground storage tank monitoring; and operating expenses of the Safety, Fire and Environmental Programs Office.

Additional funding of \$80K will support the emergency defibrillators requirements.

### CAPITAL MULTI-YEAR PROJECTS SUMMARY

The Capital Budget consists of major construction or system replacement requirements to address fire, life safety, and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs; with a focus on energy savings. It may also include funds that provide jurisdictions with the flexibility to respond to unforeseen Minor Construction requirements as generated from the AOC, Members, Committees, and other AOC clients.

<b>Multi-Year Projects (\$000)</b>	
	<b>Request Amount</b>
<b>Line Item Construction Program Projects:</b>	
Direct Digital Controls Upgrade, JMMB.....	2,150
<b>Total</b>	<b>2,150</b>
<b>Other Projects:</b>	
ESPC Management Program.....	500
Conservation of Fine Art and Architecture.....	599
<b>Total</b>	<b>1,099</b>
<b>Total Project Request</b>	<b>3,249</b>



## General Administration

**Project Title:** Direct Digital Controls Upgrade, Ph. I, JMMB (Energy Reduction Program) **Cost:** \$2,150K



**Design Completed:** Not Applicable.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Design/Build Construction; Capital Renewal; Energy.

**Facility Condition Assessment:** 0.145 = Poor. (The AOC goal is all facilities in Good condition with a Facility Condition Assessment rating in the range of 0.02 – 0.06. Higher ratings indicate the facility is in worse condition.) This Facility Condition Assessment rating reflects the overall all rating for the building (James Madison Memorial Building) in which the project will occur.

**AOC Prioritization:** This project was considered after the AOC had completed the Line Item Construction Project process. The AOC elevated this energy reduction project due to the quick return on investment and its contribution toward the AOC meeting energy savings goals per the Energy Independence and Security Act. It was ranked 15 of 16 (75 considered.)

**Anticipated Start and End Dates:** Project duration is 18 months. Anticipate award by January 2013 with completion in June 2014. Dates are contingent upon status of appropriations bill, funds availability, quality of contractor bids, congressional schedules, and other factors.

**Citation Driven:** No.

**Client Request:** No.

**Previously Requested:** The AOC has requested Energy Reduction Program funds in the past. However, this is a first-time request for this specific energy project.

**Program Cost:** \$2,150K. It is anticipated that the AOC will realize energy cost savings without incurring additional operating costs.

- This project could be phased; however, execution of the entire scope provides a simple payback of 2.9 years.
- The project energy savings equate to a 3.4 percent reduction of overall AOC energy usage.

**Cost of Recurring Operations:** The cost of operating and maintaining the new equipment will be offset by existing facility maintenance funds.



## General Administration

### Project Description:

James Madison Memorial Building (JMMB) HVAC Energy Conservation.

This project will implement strategies for conserving energy in the attic of the JMMB.

- The scope will include energy conservation measures for the heating, ventilation and air conditioning systems.
- The AOC will use a design/build execution strategy to install an energy management control system on the air handlers in the attic of the JMMB.
- The installation of the control system will provide energy savings through advanced energy reduction strategies, improved monitoring of air systems and improved troubleshooting capabilities to ensure adequate air quality and delivery for the majority of the JMMB.

### Risk and Impact If Not Funded:

The JMMB is the largest facility under the AOC's care. The building is also one of the most energy intensive buildings within the AOC portfolio.

- By Fiscal Year 2013, the AOC is expected achieve an overall energy reduction of approximately 27 percent which is just 3 percent short of the Energy Independence and Security Act Fiscal Year 2015 goal of 30 percent.

If funded, this project will provide an economically attractive, relatively low cost, low risk project to fulfill AOC energy reduction requirements.



## General Administration

**Project Title:** ESPC Management Program

**Cost:** \$500K



**Project Phase; Classification; Capital Improvements Plan Goal(s):** Phase not applicable; Construction Management; Energy.

**Design Completed:** Not Applicable.

**Facility Condition Assessment:** Multiple buildings.

**AOC Prioritization:** Not Applicable. This is a management effort, not a Line Item Construction Project.

**Anticipated Start and End Dates:** Currently underway. Funds for construction management, measurement, verification and testing will be required annually until the projects are completed.

**Citation Driven:** No.

**Client Request:** No.

**Previously Requested:** This is an annual request and is adjusted downward as projects are completed.

- In Fiscal Year 2012, the AOC requested \$2,700K.
- In Fiscal Year 2011, the AOC requested \$2,000K.
- In Fiscal Year 2010, the AOC requested \$3,360K.

**Program Cost:** This is a temporary annual requirement that will be eliminated once projects are completed.



## General Administration

### Project Description:

The Energy Savings Performance Contract effort generates construction repair and replacement work in the Capitol Building, Senate Office Buildings and House Office Buildings to achieve energy reduction goals. The Fiscal Year 2013 request predominantly covers management for the Senate Office Buildings Energy Savings Performance Contract.

- Work is located in areas that contain unique or historically important items.
- The AOC must ensure the construction is properly managed. This requires additional temporary project-funded staff.
- In addition, the AOC must provide for third-party measurement and verification, and commissioning services for projects completed under the Energy Savings Performance Contracts.

The AOC does not have the personnel required to perform this work and must request funds to contract for these efforts. This project will enable the AOC to perform construction management and measurement and verification services by contracting for these on a temporary basis.

### Risk and Impact If Not Funded:

Without these funds and services, the AOC will be unable to monitor and verify the energy savings for which the contractor payments will occur.

- If the contractor fails to meet the contractual energy savings, they must absorb the loss; however, the AOC also has a responsibility in terms of burden of proof.

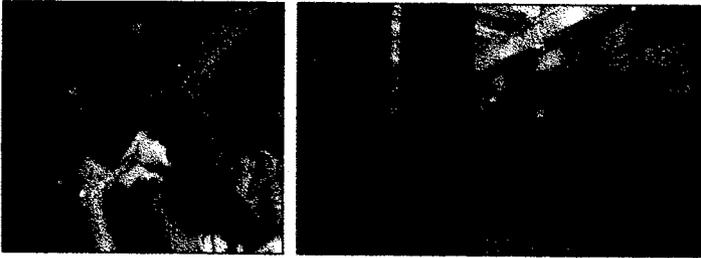
The AOC may be non-compliant with the Energy Independence and Security Act in terms of reducing energy, and will have lost opportunities to save energy and funding resources.



## General Administration

**Project Title:** Conservation of Fine and Architectural Art

**Cost:** \$599K



**Design Completed:** Not Applicable; On-going study and design work.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Maintenance and Conservation; Applicable; Not Applicable; Preservation.

**Facility Condition Assessment:** 0.037 = Good condition. (The AOC goal is for all facilities to be in Good condition with a Facility Condition Index rating in the range of 0.02 – 0.06. Higher ratings indicate the facility is in worse condition.) This Facility Condition Index is for the entire Capitol Building. The Conservation of Fine and Architectural Art has been classified as Capital Renewal and thus is not considered in the Facility Condition Index.

**AOC Prioritization:** This project was not considered as part of the AOC Line Item Construction Project process. The AOC requests these funds as Multi-Year due to the unknowns concerning access and schedules.

**Anticipated Start and End Dates:** Project duration is on-going. Congressional schedules and emergent conservation efforts require that the funds be Multi-Year.

**Citation Driven:** No.

**Client Request:** Frequently work is performed at the request of Congress.

**Previously Requested:** The AOC has requested funds for this effort (previously Conservation of Wall Paintings, in the Capitol Building appropriation for as Annual funding since prior to Fiscal Year 2007. In the Fiscal Year 2007 request, the AOC identified the need for these funds to be appropriated as Multi-Year. In Fiscal Year 2012, the AOC requested an increase to \$599K due to increased wear and tear generated by additional visitors to the Capitol Visitor Center.

**Program Cost:** \$599K annually.

**Project Description:**

This account provides for conservation of murals throughout the U.S. Capitol, including the House and the Senate sides, as well as statue and architectural art conservation. This long-range effort began with the Patent Corridor on the east side of the Capitol. The AOC program to restore and conserve all fine and architectural art in the Capitol focuses first on those that are in most need of restoration and preservation. An assessment is performed regularly and a prioritized list is refined based on conditions and schedule availability.

**Risk and Impact if Not Funded:**

Historic assets will continue to deteriorate, which may cause irreparable damage and loss of original material. The progress of the mural conservation program will be impeded, and additional priority conservation projects will need to be deferred.

# General Administration



Office of Inspector General  
 Fairchild Bldg.  
 499 S. Capitol St., SW, Suite 518  
 Washington, D.C. 20515  
 202.593.1948  
 www.aoc.gov

United States Government

## MEMORANDUM

DATE: December 23, 2011

TO: Stephen T. Ayers, Architect of the Capitol

FROM: Carol M. Bates, Inspector General *Carol M. Bates*

SUBJECT: Office of Inspector General Fiscal Year 2013 Budget Request

The Inspector General (IG) Reform Act (Pub. L. 110-409), requires that certain items be submitted with Office of Inspector General (OIG) budget submissions. Each IG is required to transmit a budget request to the head of the establishment to which the IG reports specifying:

- The aggregate amount of funds requested for the operations of the OIG;
- The portion of this amount requested for OIG training, including an IG certification that the amount requested satisfies all OIG training requirements for that fiscal year; and
- The portion of this amount necessary to support the Council of the Inspectors General on Integrity and Efficiency (CIGIE).

Following the requirements of the IG Act as amended above, I am submitting the following information for the AOC OIG's requested budget for fiscal year 2013:

- The aggregate budget request for the operations of the OIG is \$2,662,253. This amount includes \$500,000 for the AOC Financial Statements Audit.
- The portion of this amount needed for OIG training is \$35,000.
- The portion of this amount needed to support CIGIE is \$7,000.

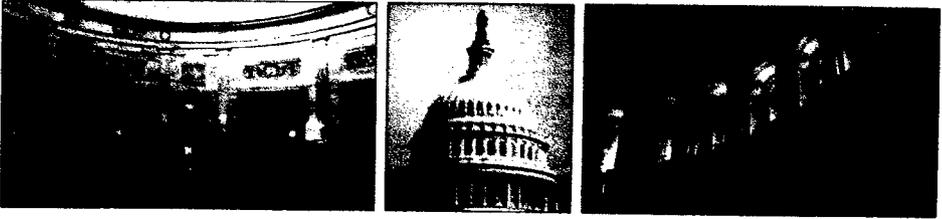
I certify as the IG of the AOC OIG that the amount I have requested for training satisfies all OIG training needs for fiscal year 2013.

Copy to: Christine Merdon, Chief Operating officer  
 Thomas Carroll, Chief Financial Officer  
 Lauri Smith, Budget Officer

Architect of the Capitol | Office of Inspector General  
 499 S. Capitol Street, Suite 518 | Washington, DC 20515 | 202.593.1948 | www.aoc.gov

AOC: FY 2013 Budget Request  
 CIA-24

## Capitol Building



### AOC MISSION

To serve Congress and the Supreme Court, preserve America's Capitol, and inspire memorable experiences.

### RESPONSIBILITIES IN SUPPORT OF AOC MISSION

The Capitol Building (CB) Jurisdiction is responsible for the maintenance, repair, operations, mechanical and electrical infrastructure, HVAC, plumbing, painting, cleaning and any construction concerning the U.S. Capitol or Capitol Visitor Center (CVC). In addition, CB cares for and preserves the structural and architectural elements of the CVC.

CB consistently strives to serve clients, the Congress, staff and public by managing facilities and operations in the most efficient fashion with the provided resources. The Capitol Building jurisdiction focuses on implementation of energy efficiency strategies, streamlined and flat organizational structure, implementation of facility management best practices and internal controls to ensure effective operations. Efforts in these areas provide the opportunity to accept various new mission requirements without the new resource requests. Additionally, the Capitol Building jurisdiction continues to achieve high client satisfaction ratings and ensure historic buildings perform to support the United States Congress in its legislative business.

#### Facility Overview

Name/Type	Year Built	Age	Area (sq. feet)	Deferred Maintenance*	Capital Renewal*	Backlog**
Capitol Building	1793	218	939,341	\$61,427,000	\$277,388,000	\$338,815,000
Capitol Visitor Center	2006	5	710,598	\$106,000	\$0	\$106,000
<b>Total</b>			<b>1,649,939</b>	<b>\$61,533,000</b>	<b>\$277,388,000</b>	<b>\$338,921,000</b>

\* Deferred Maintenance and Capital Renewal figures based on FY 2011 reporting

\*\* Backlog equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance.



## Capitol Building

### ECONOMIES AND EFFICIENCIES

In order to maximize funding in a zero-based budget environment, the AOC has made a concerted effort to find efficiencies and more effective processes. The Capitol Building (CB) jurisdiction recently identified and implemented several cost avoidance/savings initiatives. These enabled the AOC to apply funds toward the backlog of deferred maintenance, and/or to use project funds in the most efficient and economic manner to continue to improve congressional facilities, systems, infrastructure and services.

**Initiative:** Reduction in Inventory Management.

Cost Savings: \$98K.

The Capitol Building eliminated the need for contractual support for Inventory Management. All duties associated with Inventory Management will be performed by in-house staff. This enables the Capitol Building to apply funds toward other facility maintenance efforts.

**Initiative:** Reduction in Furniture Requirement.

Cost Savings: \$150K.

The Capitol Building eliminated the need for contractual support for furniture repairs. With a steady decrease in new furnishing request from the Capitol Visitor Center, furniture maintenance, repair and fabrication will be handled by in-house staff. This enables the Capitol Building to apply funds toward other facility maintenance efforts.

**Initiative:** Reduction in Overtime.

Cost Avoidance: \$500K.

In Fiscal Year 2011, the Capitol Building implemented work shifts reassignments to provide building coverage and maintenance functions on regular time vice overtime. Alternate work schedules and compensatory time also contributed to the reduction. The CB was able to apply the cost savings toward other facility maintenance efforts. The AOC has also right-sized the Fiscal Year 2013 payroll budget requests as part of zero-based budgeting.

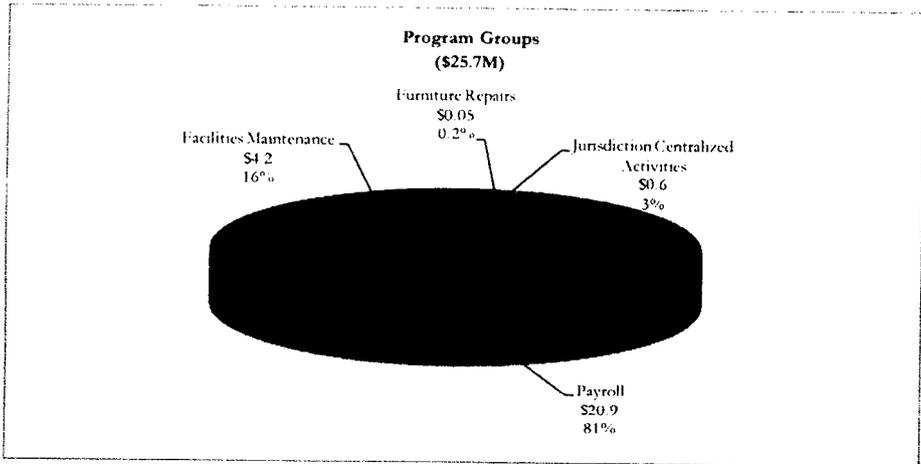


## Capitol Building

### ZERO BASED JUSTIFICATION SUMMARY:

#### OPERATING BUDGET (*FY 2013 Budget Request \$25.7M*)

The Operating Budget of the Capitol Building (CB) appropriation funds all costs associated with the daily care, maintenance and operation of the U.S. Capitol and the Capitol Visitor Center. The budget is divided into functional area Program Groups: Facilities Maintenance, Furniture Repair, Jurisdiction Centralized Activities, and Payroll. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the CB and AOC considered and prioritized funding based on historical data, current, and future requirements.

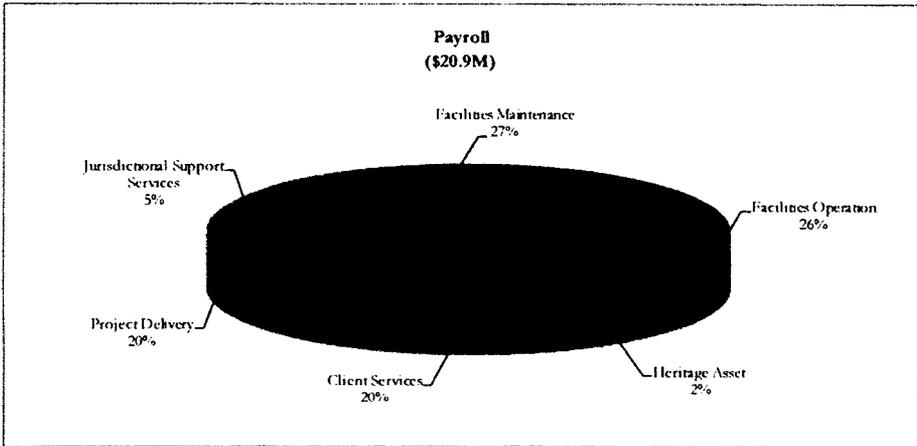




## Capitol Building

### Payroll

The Capitol Building (CB) appropriation is requesting \$20.9M for payroll. This funding provides for personnel compensation and personnel benefits for the general administrative support of facilities under the U.S. Capitol Building jurisdiction. Included are Government staff salaries and other personal services (i.e., paid leave and lump sum annual leave payments upon separation; for compensation above basic rates including, overtime, holiday pay, retirement and employer's contribution to health benefits and life insurance. Of the \$20.9M request, approximately 27% provides for Facilities Maintenance, 26% for Facilities Operations, 5% for Jurisdictional Support Services, 20% for Client Services, 20% for Project Delivery, and 2% for Heritage Asset Stewardship. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the CB and AOC considered and prioritized funding based on historical data, current, and future requirements.



### Payroll Funded FTE Ceiling 220

#### Cost Accounting Code Definition:

**Facilities Maintenance:** Facilities maintenance activities encompass planned and corrective maintenance. Planned maintenance represents scheduled maintenance. Corrective maintenance includes emergency repairs.

**Facilities Operations:** Facilities operations activities include such tasks as custodial work, grounds care, road and walkway maintenance, power plant operations, and the provision of utilities. Facilities operations are associated with the day-to-day care of the Capitol complex.

**Client Services:** Client services include normal and special request services provided to AOC clients, their staffs, the public, citizens, and other constituencies. Examples include painting services, deliveries, and activities related to biennial election year office moves.

**Project Delivery:** AOC capital assets are provided and maintained through effective planning and project delivery. This includes planning, programming, design, construction, and the related management activities in the delivery of capital projects.

**Heritage Asset Stewardship:** Heritage asset stewardship activities include the care, maintenance, preservation, and presentation of the national treasures entrusted to the care of the AOC for present and future generations of visitors to the Capitol.

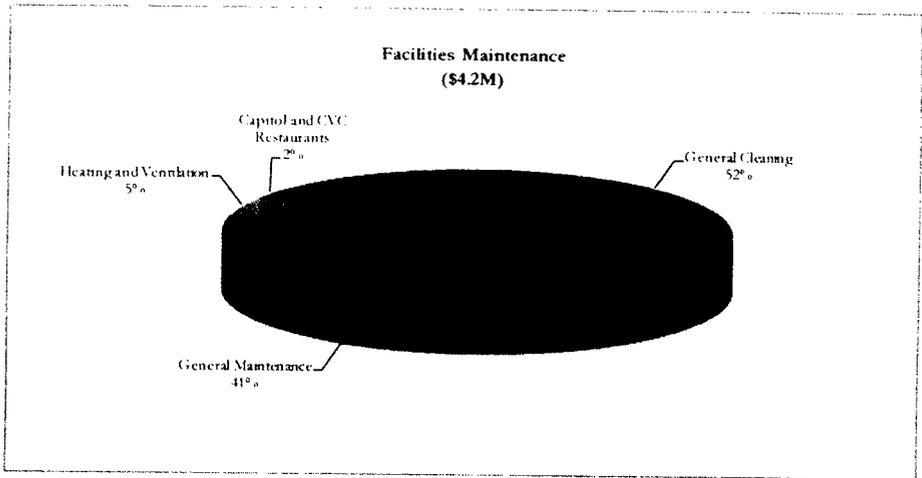
**Jurisdictional Support Services:** Support services activities encompass executive leadership and administrative support services such as human resources, information technology, financial, procurement, and campus-wide safety and security.



## Capitol Building

### Facilities Maintenance

The Capitol Building (CB) appropriation is requesting \$4.2M for facilities maintenance. This provides the capability to deliver exceptional service in caring for the Capitol Building and Capitol Visitor Center (CVC), of the \$4.2M request, approximately 41% provides for General Maintenance, 5% for Heating and Ventilation, 52% for Cleaning, and 2% for the Capitol and CVC restaurants maintenance. This aligns with our historical workload; CB completed 44,921 work orders in Fiscal Year 2011 towards accomplishing the mission in support of congressional operations and facilities. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the CB and AOC considered and prioritized funding based on historical data, current, and future requirements.



### Furniture Repair

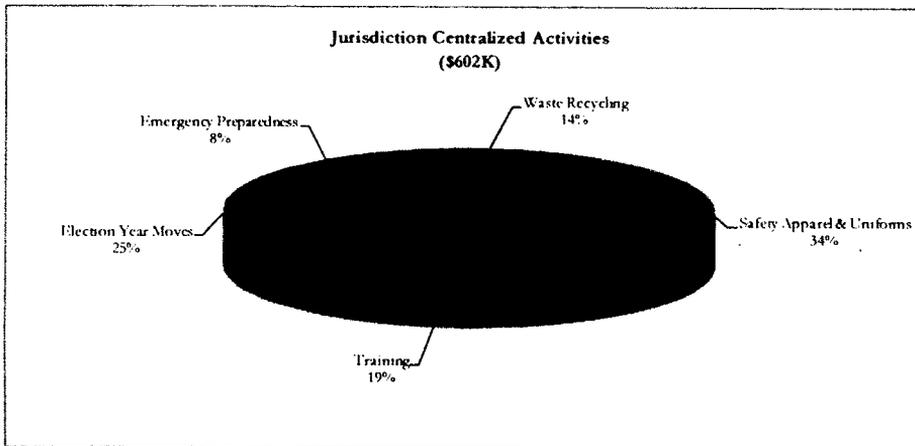
The Capitol Building appropriation is requesting \$50K for furniture procurements and repairs; this is significantly less than previous years due to reduced requirements now that most offices in the Capitol Visitor Center have completed their fit outs. Any unexpected requirements can be facilitated through in-house trade shops or Minor Construction funding. The funding requested will provide the capability to procure routine furniture related minor repairs, materials and supplies. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the CB and AOC considered and prioritized funding based on historical data, current, and future requirements.



# Capitol Building

## Jurisdiction Centralized Activities

The Capitol Building (CB) appropriation is requesting \$602K for Jurisdiction Centralized Activities. Such activities are as follows: 19% Training, Registration, and Seminar fees; 34% Safety Apparel and Uniform allowances; 14% Waste Recycling; 8% Emergency Preparedness, 25% Election Year Moves and gasoline, as applicable. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the CB and AOC considered and prioritized funding based on historical data, current, and future requirements.



Category	Amount
Safety and Occupational Health	\$82
Ethics	\$18
Purchase Card User, COTR and Appropriation Law	\$11
<b>Total</b>	<b>\$111</b>



# Capitol Building

## BUDGET SUMMARY

The Capitol Building appropriation is responsible for the maintenance, repair, operations, mechanical and electrical infrastructure, HVAC, plumbing, painting, cleaning and any construction concerning the U.S. Capitol. In addition, the AOC cares for and preserves the structural and architectural elements of the U.S. Capitol. As part of the integral maintenance of the U.S. Capitol, the Architect of the Capitol manages the facility maintenance for the Capitol Visitor Center.

Total Budget (\$000)					
Appropriation	FY 2011 <sup>1</sup> Operating Plan	FY 2011 <sup>2</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Operating Budget	27,335	26,187	25,091	25,722	631
Multi-Year Projects	28,628	7,987	11,063	71,350	60,287
<b>Total</b>	<b>55,963</b>	<b>34,174</b>	<b>36,154</b>	<b>97,072</b>	<b>60,918</b>

Operating Budget (\$000)					
Program Groups	FY 2011 <sup>1</sup> Operating Plan	FY 2011 <sup>2</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Facilities Maintenance	5,787	5,450	4,167	4,167	-
Furniture Repair	202	92	50	50	-
Jurisdiction Centralized Activities	723	648	452	602	150
Payroll	20,623	19,997	20,423	20,904	481
Annual-Funded Projects	-	-	-	-	-
<b>Total</b>	<b>27,335</b>	<b>26,187</b>	<b>25,091</b>	<b>25,722</b>	<b>631</b>

Multi-Year Projects (\$000)					
Projects	FY 2011/2015 Enacted	FY 2011/2015 Actual Obs	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
<b>Total</b>	<b>28,628</b>	<b>7,987</b>	<b>11,063</b>	<b>71,350</b>	<b>60,287</b>

<sup>1</sup> Reflects FY 2010 Enacted with 0.2% rescission and initial congressionally-approved reprogramming.

<sup>2</sup> FY 2011 Actual Obligations can include reprogrammings/transfers from other appropriations.



# Capitol Building

## BUDGET SUMMARY (continued)

Full Time Equivalents (FTE)						
Appropriation	Payroll Funded			Project Funded		
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	FY 2011 Actual	FY 2012 Estimate	FY 2013 Estimate
Capitol Building	220	220	220	10	30	30

<sup>1</sup>FY 2012/2013 project funded FTEs are estimated figures and dependent to the numbers of projects funded.

FY 2013 Object Class (\$000)					
Object Class		FY 2011 <sup>1</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
11	Personnel Compensation	16,556	15,440	15,804	364
12	Personnel Benefits	5,343	4,983	5,100	117
21	Travel	10	13	15	2
22	Transportation of Things				
23	Rent, Communications and Utilities				
24	Printing and Reproduction				
25	Other Contractual Services	6,374	2,334	2,707	373
26	Supplies and Materials	3,201	2,080	2,096	16
31	Equipment				
32	Land and Structures	10,716	11,304	71,350	60,046
42	Insurance Claims and Indemnities				
<b>Total</b>		<b>42,200</b>	<b>36,154</b>	<b>97,072</b>	<b>60,918</b>

<sup>1</sup> FY 2011 Actuals represents total obligations of funds incurred irrespective of the year of appropriation.



# Capitol Building

## FY 2013 ANALYSIS OF CHANGE

Fiscal Year 2012 Enacted (FTE reflects Payroll Funded only)	FY 2013 Appropriation	
	FTE	Amount (\$000)
<b>Non-Recurring Costs</b>	220	36,154
Minor Construction.....		(6,000)
Presidential Inaugural Stand and Support Facilities.....		(4,263)
Brumidi Corridors Restoration and Conservation Plan, USC.....		(800)
<b>Other Decreases</b>		
<b>Total Program Decreases</b>		<b>(11,063)</b>
<b>Mandatory Pay Related Costs:</b>		
FY 2013 Cost-of-Living Adjustment of 1.7%.....		239
FY 2013 Within Grade Increases.....		153
FY 2012 FERS Adjustment from 11.7% to 11.9%.....		31
FY 2012 FEHB Employer Contribution Increase of 4%.....		58
<b>Total Mandatory Pay Related Costs</b>		<b>481</b>
<b>Total Price Level Changes</b>		<b>-</b>
<b>Program Increases:</b>		
Jurisdiction Centralized Activities.....		150
Multi-Year Projects:		
Dome Rehabilitation, Phase IIA, USC.....		61,247
Brumidi Corridors Restoration and Conservation Plan, USC.....		5,903
Senate Reception Room.....		700
Minor Construction.....		3,500
<b>Total Program Increases</b>		<b>71,500</b>
<b>Net Increase/Decrease</b>		<b>60,918</b>
<b>Total Appropriation</b>	<b>220</b>	<b>97,072</b>



# Capitol Building

## OPERATING BUDGET SUMMARY

The Operating Budget of the Capitol Building appropriation funds all costs associated with the daily care, maintenance and operation of the U.S. Capitol and the Capitol Visitor Center (CVC). The budget is divided into functional area Program Groups. In accordance with sound financial management practice, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process.

Operating Program (\$000)						
Program Groups	FY 2012 Enacted	Program Realignment/ Transfers	Mandatory Pay and Price Increases	Program Changes	FY 2013 Request	FY 2012/2013 Difference
Facilities Maintenance	4,167				4,167	-
Furniture Repair	50				50	-
Jurisdiction Centralized Activities	452			150	602	150
Payroll	20,423		481		20,904	481
<b>Total</b>	<b>25,091</b>		<b>481</b>	<b>150</b>	<b>25,722</b>	<b>631</b>

### Program Groups - Description and Analysis of Changes

#### Facilities Maintenance

(FY 2012 Baseline: \$4,167K)

FY 2013 Request: \$4,167K)

The Facilities Maintenance Program Group funds annual building maintenance services required throughout the buildings under the appropriation's purview. It includes repairing and modifying air conditioning systems, electrical systems, elevators, masonry, and plumbing; custodial services; preventative interior and exterior building maintenance (e.g., painting, pointing, caulking, and surface preservation); insect and pest control; solid and bulk waste disposal; maintenance of fire alarm systems; chimney cleaning and repairs, and light systems maintenance.

#### Furniture Repair

(FY 2012 Baseline: \$50K)

FY 2013 Request: \$50K)

The Furniture Repair Activities Program Group funds repairing furniture within the core spaces of the Capitol Visitor Center. This includes the procurement of routine materials and supplies, contractor services for upholstery and drapery work, and annual inventory of furniture stock items.



## Capitol Building

### OPERATING BUDGET SUMMARY (continued)

#### Jurisdiction Centralized Activities

**(FY 2012 Baseline: \$452K)**

**FY 2013 Request: \$602K)**

The Jurisdiction Centralized Activities Program Group funds training, registration, and seminar fees; travel; uniform allowances; vehicles leases, operations and maintenance; safety apparel; emergency preparedness and gasoline and oil, as applicable.

Additional funding of \$150K is requested for the Election Year move cost associated with Fiscal Year 2013 elections.

#### Payroll

**(FY 2012 Baseline: \$20,423K)**

**FY 2013 Request: \$20,904K)**

The Payroll Program Group funds salaries and benefits for employees specifically supporting the appropriation. It includes government staff salaries and other compensation (e.g., paid leave and lump sum annual leave payments upon separation); compensation above basic rates including overtime and holiday pay; employer contributions to the Civil Service Retirement System, the Federal Employees Retirement System and the Thrift Savings Plan, and employer contributions to Social Security, Medicare, Federal Employees Health Benefits and Federal Employees Group Life Insurance.

Additional funding of \$481K is requested for mandatory pay increases which include a Fiscal Year 2013 Cost-Of-Living Adjustment calculated using the Congressional Budget Office's economic assumption of 1.7%, Within Grade Increases of 1%, the Fiscal Year 2012 Federal Employee's Retirement System adjustment of 0.2%, agency health benefit contributions, and one more compensable day because 2013 is a leap year.



# Capitol Building

## CAPITAL MULTI-YEAR PROJECTS SUMMARY

The Capital Budget consists of major construction or systems replacement requirements to address fire, life safety, and security issues; deferred maintenance; capital renewal, capital improvement; construction; and necessary studies and designs. It also includes Minor Construction funds that provide the Jurisdiction with the flexibility to respond to unforeseen minor construction requirements as generated from Members, Committees, and other AOC clients.

<b>Multi-Year Projects (\$000)</b>	
	<b>Request Amount</b>
<b>Line Item Construction Program Projects:</b>	
Dome Rehabilitation, Phase II.A, USC.....	61,247
Brumidi Corridors Restoration and Conservation Plan, USC.....	5,903
Senate Reception Room.....	700
<b>Total</b>	<b>67,850</b>
<b>Other Projects:</b>	
Minor Construction.....	3,500
<b>Total</b>	<b>3,500</b>
<b>Total Project Request</b>	<b>71,350</b>

### Minor Construction

**\$3,500K**

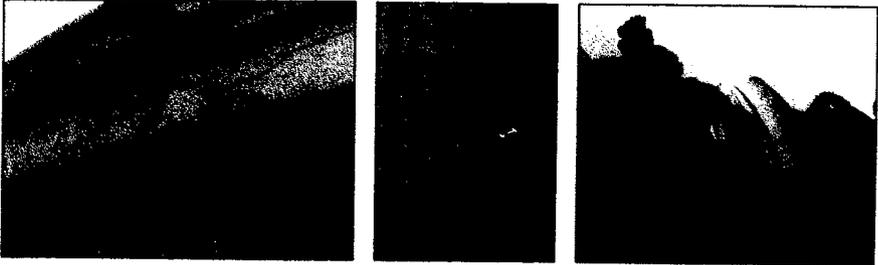
Requested amount to sustain the necessary level of service for unforeseen construction and repair projects for the Capitol Building.

# Capitol Building



**Project Title:** Dome Rehabilitation, Phase IIA, USC

**Cost:** \$61,247K



**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction of the second phase of a four phase program; Capital Renewal; Preservation/Mission Accommodation (including Life Safety.)

**Design Completed:** Originally completed in March 2001 and revalidated in December 2011.

**Facility Condition Index:** 0.037 = Good condition. (The AOC goal is for all facilities to be in Good condition with a Facility Condition Index rating in the range of 0.02 – 0.06. Higher ratings indicate the facility is in worse condition.) This Facility Condition Index is for the entire Capitol Building. The Dome work has been classified as Capital Renewal and thus is not considered in the Facility Condition Index.

**AOC Prioritization:** 6 of 16 (75 considered.)

**Anticipated Start and End Dates:** Project duration is 18 months. Anticipate award by June 2013 with completion in December 2014. This project is scheduled so as not to interfere with Presidential Inaugurals. Dates are contingent upon status of appropriations bill, funds availability, quality of contractor bids, congressional schedules, and other factors.

**Citation Driven:** No.

**Client Request:** No, however, this is a high congressional interest item.

**Previously Requested:** Yes.

\$42,500K requested in FY 2002 for construction, including lead paint removal; cast iron dome plate replacements; re-caulking; repainting; life safety, electrical, mechanical and lighting improvements.

- This request was submitted prior to the execution of the Capitol Visitor Center project, and thus deferred.
- The AOC requested \$20,000K in FY 2011 and received \$19,959K.

#### Program Cost:

The Capitol Dome rehabilitation has been a long-term project which has been phased and sub-phased due to CVC construction and fiscal constraints. This has increased schedule and cost. The AOC received:

- \$7,500K in FY 1998 Emergency Supplemental for removal of lead paint from the interstitial space and repainting.
- \$3,996K reprogrammed in FY 2010 for design revalidation.
- \$2,500K appropriated in FY 2010 for Phase IB (Interim Painting.)
- \$19,959K appropriated in FY 2011 (with rescission) for the Skirt Rehabilitation.
- The AOC is requesting \$61,247K in FY 2013 for Phase IIA of this project, as described below.



## Capitol Building

### Program Cost (continued):

The AOC anticipates requesting additional funds to complete the Dome Rehabilitation:

- \$15,440K in FY 2014 for Phase IB to inspect and repair the interstitial space, including mechanical, interior rain leaders, gutters, electrical upgrades, lead abatement, ironwork, lighting upgrades, maintenance platforms, metal attachments, landings, and catwalks
- \$28,580K in FY 2015 for Phase IC which addresses interior issues including electrical and mechanical system repairs, air monitoring systems, and restoration of the Rotunda's interior coffered ceilings and stone walls.

### Cost of Recurring Operations:

To preserve the Dome for future generations, increased maintenance is required after completion of the full rehabilitation project.

- Routine preventative maintenance on equipment, systems cleaning and minor repairs would be accomplished on an annual basis beginning in FY 2016 at a cost of approximately \$20K per year.
- The Dome exterior will require visual inspection for rust, delamination, and visible signs of weathering deterioration on a 4-year cycle beginning in FY 2018 at a cost of roughly \$60K per cycle.
- An 8-year painting cycle rotation is required to maintain the Dome beginning in FY 2022 at a cost of approximately \$2,300K per cycle.

### Project Description:

Phase IIA is the second four funding requests within this second and final phase of the program to rehabilitate the US Capitol Dome. The complete project will rehabilitate the Dome exterior, interstitial spaces and Rotunda. The work consists of construction based on the 2011 design revalidation of 2001 construction documents. It also addresses subsequent updated design requirements to meet current industry codes and standards and sustainability needs for the Capitol Building operations and requirements. This includes:

- Dome scaffolding, exterior ironwork repairs and restoration on the Tholos, Copula, Boiler Plate, and Peristyle levels by welding, stitching, removal, recasting, and/or replacement.
- Restoration of columns, finials and ornaments and overall painting.
- Replacement, repair, and recasting of broken, cracked, damaged, or missing pieces on the exterior shell.
- Priming, resurfacing, and repainting the Dome exterior following extensive lead abatement.
- Repair of the gutter system, and replacement or repair of windows.
- Installation of a new fall protection system, replacement or repair of roof electrical systems, and installation of a bird deterrent system.

### Risk and Impact If Not Funded:

If this project is postponed, continued corrosion of cast iron plates due to interior condensation; moisture infiltration; and failures of the existing coating. The total cost of the rehabilitation will increase due to the rapidly deteriorating conditions:

- The Dome's historic fabric will be irreparably damaged or lost altogether.
- Additional sealant joints will fail and replacement of temporary waterproofing patches will be necessary.
- Staining and degradation of the interstitial space paint finish will worsen.
- Operational costs will increase to include an annual visual inspection for rust, delamination, signs of weathering deterioration and subsequent urgent temporary repairs at a cost of \$100K per year beginning in FY 2012.



# Capitol Building

**Risk and Impact If Not Funded (continued):**

- Repainting and resealing of the exterior with some lead paint abatement will be required every 4 years beginning in FY 2014 at a cost of approximately \$2,500K per cycle.
- Routine preventative maintenance efforts will continue to be limited by the inability to safely access the various components of the Dome. The limited maintenance on equipment/systems will be \$10K annually.

These continued operational efforts do not correct the problems identified in the rehabilitation program and only provide temporary protection of the interior from further decay and damage.

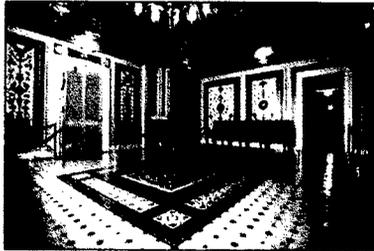
<p><b>DOMES CROSS SECTION</b></p>				
		<p><b>Phase IIA</b> (17 months)</p> <ul style="list-style-type: none"> <li>Ext. Lead Paint Removal</li> <li>Cast Iron Repair</li> <li>Prime, Paint, Sealant</li> <li>Fall Protection</li> <li>Glass Repairs</li> <li>Interstitial Space Sealant</li> <li>Rotunda Safety Netting</li> </ul>	<p><b>Phase IIB</b> (10 months)</p> <ul style="list-style-type: none"> <li>Ext. Lead Paint Removal</li> <li>Cast Iron Repair</li> <li>Prime, Paint, Sealant</li> <li>Fall Protection</li> <li>Glass Repairs</li> <li>Interstitial Fire Alarm, Electrical, Comm, Lights</li> <li>Lantern Attic Ventilation</li> <li>Skirt Framing &amp; Roof</li> <li>AHU &amp; Ducts</li> <li>Skirt Fire Alarm, Electrical, Comm, Lighting</li> <li>Bulfinch Stair &amp; Skylight</li> </ul>	<p><b>Phase IIC</b> (12 months)</p> <ul style="list-style-type: none"> <li>Rotunda Int., 1<sup>st</sup> &amp; 2<sup>nd</sup></li> <li>Visitor's Galleries</li> <li>Asbestos Abatement</li> <li>Lead Paint Removal</li> <li>Cast Iron Repairs</li> <li>Ductwork</li> <li>Interstitial Fire Alarm, Electrical, Comm, Lights</li> <li>Air Monitoring System</li> <li>Sandstone Clearing</li> <li>Rotunda Paint Analysis</li> <li>Prime &amp; Paint</li> <li>Remove Scaffolding</li> </ul>



## Capitol Building

**Project Title:** Brumidi Corridors Restoration & Conservation Plan, USC

**\$5,903K**



**Project Phase; Classification; Capital Improvements Plan Goal(s):** Conservation, Capital Renewal, Historic Preservation.

**Study Completed:** September 2010.

**Facility Condition Index:** 0.037 = Good condition. (The AOC goal is for all facilities to be in Good condition with a Facility Condition Index rating in the range of 0.02 – 0.06. Higher ratings indicate the facility is in worse condition.) This Facility Condition Index is for the entire Capitol Building. The Brumidi Corridors work has been classified as Capital Renewal and thus is not considered in the Facility Condition Index.

**AOC Prioritization:** 11 of 16 (75 considered.)

**Anticipated Start and End Dates:** Project duration is approximately five years. Anticipate award of this phase by April 2013, with completion in 2017. This project is scheduled so as not to interfere with Presidential Inaugurals. Dates are contingent upon status of appropriations bill, funds availability, quality of contractor bids, congressional schedules, and other factors.

**Citation Driven:** No.

**Client Request:** No; however, this is a high congressional and Member interest item.

**Previously Requested:** Yes.

In addition to applying annual funds, the AOC requested \$6,703K required in FY 2012 and received \$700K.

- The AOC Curator has performed \$2,443K of conservation/restoration on the Corridors between FY 1985 and FY 2010 using funds appropriated for conservation purposes.
- This FY 2013 request completes the funding required to restore and conserve the Corridors.
- Annual funding will then be applied toward maintenance.

**Program Cost:**

The cost of the five-year effort is now projected to be \$6,603K.

- The AOC has developed a multi-phased contract with options to allow work to continue as funds are received.



## Capitol Building

### Cost of Recurring Operations:

Upon completion of the conservation and restoration efforts, the AOC will need to apply funds to maintain the Corridors. The AOC has requested \$599K for Conservation of Fine and Architectural Art in FY 2013.

- This is a \$100K increase from previous years; however, the funds are applied to many conservation efforts in addition to the Brumidi Corridors.

### Project Description:

The purpose of the project is to complete conservation and restoration of the Brumidi Corridors. The ornately decorated Senate corridors were painted under the design and direction of Constantino Brumidi in the late 1850's, with additions in the 1870's. Painting techniques included tempera, oil, and fresco.

- Brumidi was a master of *buon fresco* (true fresco), a technique in which the artist rapidly paints on a moist mortar surface with a mixture of mineral colors and water.
- The factors that led to the corridors declining condition over the past 150 years include pollution from open windows, tobacco smoke, fireplace smoke and over-painting.
- Since 1985, professional fine art mural conservators have removed layers of over-paint and uncovered original designs and colors.
- Completed areas of conservation and restoration include: the entire North Entry including walls, ceilings, and cornices; the 12 frescoed lunettes in the Patent, West, and North Corridors painted by Brumidi; and wall panels in the Patent, West, and North Corridors.

Much additional conservation and restoration work remains to be completed.

### Risk and Impact If Not Funded:

Without a financial commitment to a five-year plan for completion, the conservation and restoration work in the Brumidi Corridors will stretch out for years to come.

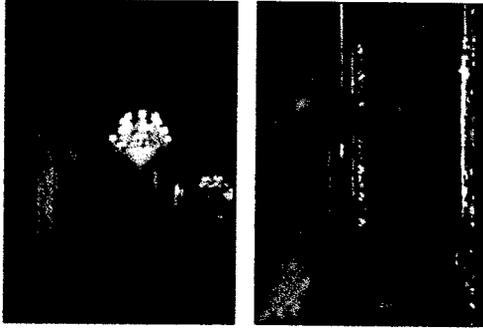
- Due to the long-term nature of the work and the limited number of professionals who can perform it, multi-year funding will draw the best and most qualified contractors resulting in a better value.
- This project seeks to minimize long-term inconvenience to Congressional operations while conserving an important piece of American history.



## Capitol Building

**Project Title:** Senate Reception Room Conservation Plan, USC

**\$700K**



**Project Phase; Classification; Capital Improvements Plan Goal(s):** Conservation, Capital Renewal, Historic Preservation.

**Study Completed:** Preliminary in 2007 and 2008. Various pilot projects completed.

**Facility Condition Index:** 0.037 = Good condition. (The AOC goal is for all facilities to be in Good condition with a Facility Condition Index rating in the range of 0.02 – 0.06. Higher ratings indicate the facility is in worse condition.) This Facility Condition Index is for the entire Capitol Building. The Senate Reception Room work has been classified as Capital Renewal and thus is not considered in the Facility Condition Index.

**AOC Prioritization:** Not Applicable. This project was considered after the completion of the AOC's Line Item Construction Project prioritization process based on partially funding received in FY 2012.

**Anticipated Start and End Dates:** Project duration is contingent upon funding and congressional schedules. Anticipate award of the remaining work phase by April 2013.

**Citation Driven:** No.

**Client Request:** Yes, this is a high congressional and Member interest item.

**Previously Requested:** Yes.

In addition to applying annual funds, the AOC requested \$1,250K in FY 2012 and received \$550K.

**Program Cost:**

The cost of the conservation effort is projected to be \$1,250K.

- The AOC has developed a multi-phased approach to allow work to continue as funds are received and congressional schedules permit.

**Cost of Recurring Operations:**

Upon completion of the conservation and restoration efforts, the AOC will need to apply annual funds to maintain the Senate Reception Room. The AOC has requested \$599K for Conservation of Fine and Architectural Art in FY 2013.

- This is a \$100K increase from previous years; however, the funds are applied to many conservation efforts in addition to the Brumidi Corridors and the Senate Reception Room.



## Capitol Building

### Project Description:

This project will complete the restoration of the Senate Reception Room.

- The frescoes by Constantino Brumidi and the putti panels (cherubs and eagles) were conserved between 1994 and 1996, but because of the unexpected degree of over-painting, the decorative areas were not restored except for a surface cleaning of the gilding and cleaning and coating of the scagliola on the lower walls.
- Restoration of the lower walls was delayed at the request of the Senate Curator until a historic structures report could be prepared and an advisory panel formed.
- A preliminary study of the decorative painting carried out in 2007 and 2008 concluded that there were many questions yet to be answered about the original decorative finishes and the original gilding patterns.
- Because of its proximity to the Senate Chamber, conservation and restoration work can only take place in the Senate Reception Room at times the Senate is not in session, with the longest recesses in August and sometimes at the end of the year being the most productive opportunities to carry out work.
- Study and testing of the gilding and the feasibility of conserving the decorative painting began in 2009, leading to a small pilot treatment on the central pilaster on the west wall. The conclusion was that the burnished water-gilded area could be uncovered, but the oil-gilded areas needed to be cleaned and overgilded. The decorative painting should best be replicated to match exposed areas.
- The work continued with a contract for restoration of a pilot area including all of the types of panels, along with continued testing and study of the decorative painting as the foundation of the replication in the pilot area. Study, conservation, and replication for the pilot area between the doors on the west wall have totaled approximately \$300K.
- In addition, in 2010 the plaster in the lunettes was surveyed and major areas of delamination were consolidated. Over-paint was removed from the blank areas and the color and texture of the fields adjusted to match exposures.
- Progress on the pilot replication of the decorative painting that surrounds the gilded moldings was made in the spring of 2011. Additional pilot work to replicate the flat panels around the room in the correct colors will be necessary.

### Risk and Impact If Not Funded:

Without a financial commitment to conserving and restoring the Senate Reception Room, further degradation of this heritage asset will continue.

- Due to the particular nature of the work, required pilot work, and the limited number of professionals who can perform it, multi-year funding will draw the best and most qualified contractors resulting in a better value.
- This project seeks to minimize long-term inconvenience to Congressional operations while conserving an important piece of American history.

# Capitol Grounds



Union Square Reflecting Pool



Summer House

## AOC MISSION

To serve Congress and the Supreme Court, preserve America's Capitol, and inspire memorable experiences.

## RESPONSIBILITIES IN SUPPORT OF AOC MISSION

The Capitol Grounds jurisdiction is responsible for both the day to day maintenance of the Capitol grounds and preservation of a significant historic landscape designed by Frederic Law Olmsted. The Capitol Grounds is comprised of approximately 245 acres, of which the Capitol, Senate and House Office Buildings, the Capitol Power Plant and other buildings reside. This area includes lawns, parks, historic, memorial and commemorative trees, horticultural display beds and supporting decorative features such as historic fountains and water features, statuary and historic decorative components such light fixtures and stone carvings. Additionally the jurisdiction is responsible for other physical elements such sidewalks, streets, parking lots, irrigation and drainage systems. Special event support is an ongoing responsibility that is dynamic in nature. Responsibility for Union Square was recently transferred to Capitol Grounds. Capitol Grounds also provides campus-side shuttle bus services for the Congress and staff, campus-wide waste removal, and operation and maintenance of the E-85 and gas pumping station.

### Facility Overview

Name/Type	Year Built	App.	Area (sq. ft.)	Deferred Maintenance*	Capital Renewal*	Backlog**
Electrical		Varies		\$0	\$707,000	\$707,000
General Area		Varies		\$3,612,000	\$9,055,000	\$12,667,000
Summer House	1880	131	816	\$2,845,000	\$0	\$2,845,000
Squares		Varies		\$5,289,000	\$39,154,000	\$44,443,000
Roads		Varies		\$3,248,000	\$755,000	\$4,003,000
		<b>Total</b>	<b>816</b>	<b>\$14,994,000</b>	<b>\$49,671,000</b>	<b>\$64,665,000</b>

\* Deferred Maintenance and Capital Renewal figures based on FY 2011 reporting.

\*\* Backlog equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance.



## Capitol Grounds

### *ECONOMIES AND EFFICIENCIES*

In order to maximize funding in a zero-based budget environment, the AOC has made a concerted effort to find efficiencies and more effective processes. The Capitol Grounds (CG) jurisdiction recently identified and implemented several cost avoidance/savings initiatives. These enabled the AOC to apply funds toward the backlog of deferred maintenance, and/or to use project funds in the most efficient and economic manner to continue to improve congressional facilities, systems, infrastructure and services.

**Initiative:** Reduction in Overtime and Converting to Compensatory Time.

Cost Savings: \$83K.

CG overtime was reduced in Fiscal Year 2011 by 25% through implementation of better management controls and managing client expectations. There was no measurable reduction in client satisfaction. The CG was able to apply the cost savings toward other facility maintenance efforts. The AOC has also right-sized the Fiscal Year 2013 payroll budget requests as part of zero-based budgeting.

**Initiative:** Waste Collection and Waste to Energy.

Cost Avoidance: Generates cost avoidance due to waste not being placed in landfills.

CG recently converted to complex-wide waste-to-energy waste collection. This alternative method of solid waste disposal burns solid wastes to generate heat, and produce steam and electricity. This creates usable energy in lieu of waste going to landfills. Up to 90% of the campus's non-recyclable solid waste (5,000 tons annually) will be used to create energy. This is in addition to 4,000 tons of materials that the AOC recycles each year.

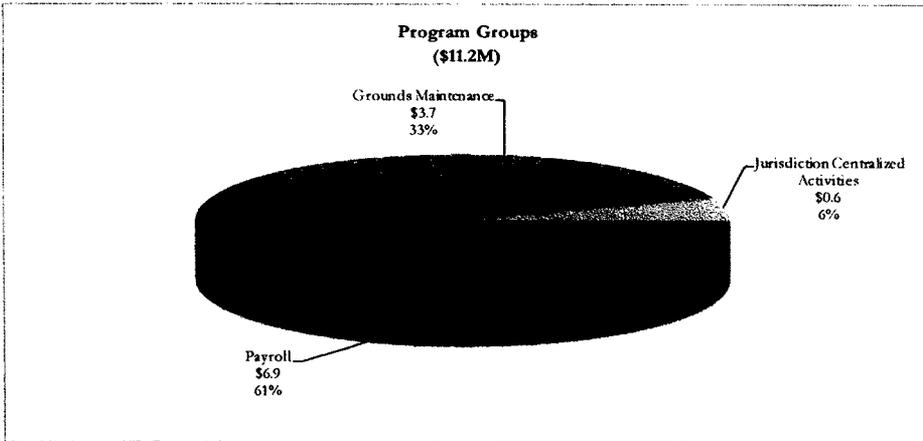


## Capitol Grounds

### **ZERO BASED JUSTIFICATION SUMMARY:**

#### **OPERATING BUDGET (FY 2013 Budget Request \$11.2M)**

The Operating Budget of the Capitol Grounds appropriation funds all costs associated with the daily care, maintenance, preservation and operation of the Capitol Grounds and related facilities in direct support of the safety and mission of the Congress and staff. The budget is divided into functional area Program Groups: Grounds, Jurisdiction Centralized Activities and Payroll. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, CG and AOC considered and prioritized funding based on historical data, current, and future requirements.

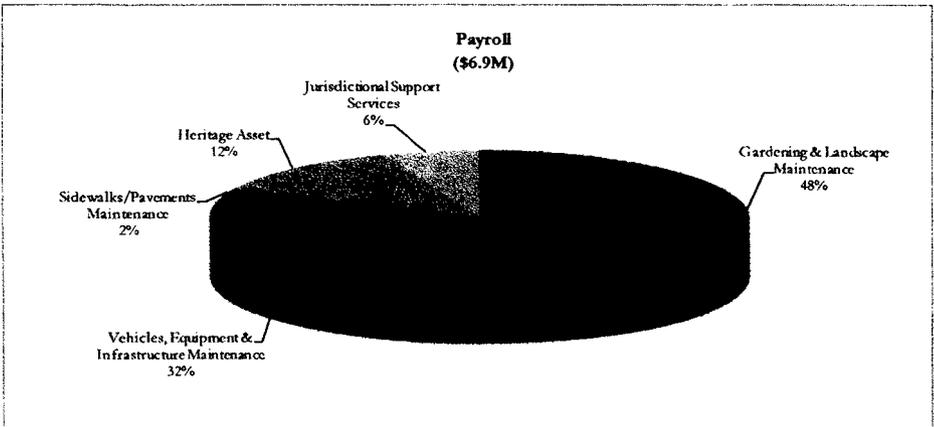




## Capitol Grounds

### Payroll

The Capitol Grounds (CG) appropriation is requesting \$6.9M for Payroll. This will provide the capability to continue comparable service levels of past years and the additional responsibility of Union Square operation and maintenance (requesting an additional four Full Time Equivalents.) Of the \$6.8M request, approximately 48% provides support for all Gardening and Landscape maintenance, including snow removal and the care of trees including historical Memorial Trees; 32% for maintenance of Vehicles, Equipment and Infrastructure; 12% for Heritage Preservation, 6% for Jurisdictional Support Services and 2% for Sidewalks/Pavements maintenance. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, CG and AOC considered and prioritized funding based on historical data, current, and future requirements.



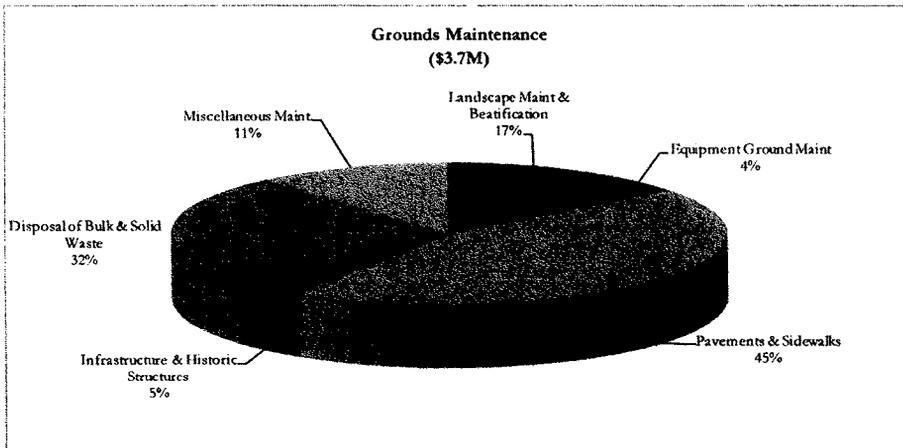
### Payroll Funded FTE Ceiling 73



## Capitol Grounds

### Grounds Maintenance

The Capitol Grounds (CG) appropriation is requesting **\$3.7M** for Grounds Maintenance. This provides the capability to continue to support existing service levels for comprehensive landscape maintenance and preservation of historic resources. Of the **\$3.7M** of the request, approximately 32% provides for Disposal of Bulk and Solid Waste, 45% for Pavement and Sidewalks, 17% for Landscaping Maintenance, and Beautification, 11% for Miscellaneous Maintenance, 4% for Equipment and Ground Maintenance, and 5% for Infrastructure and Historic Structures. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, CG and AOC considered and prioritized funding based on historical data, current, and future requirements.

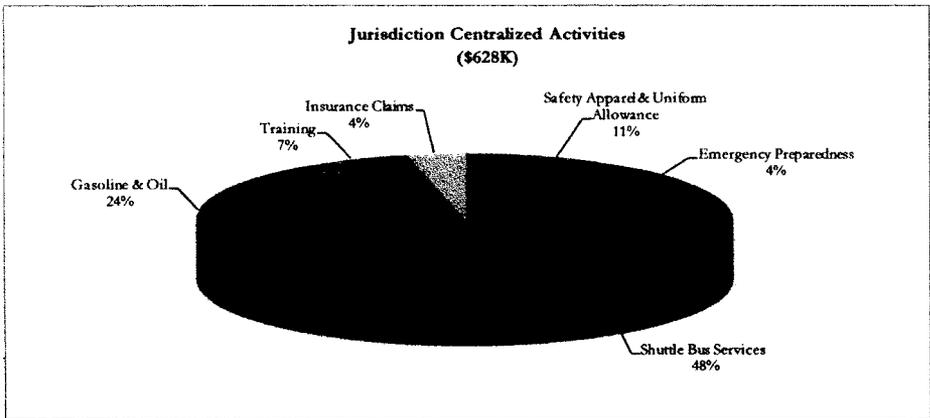




# Capitol Grounds

## Jurisdiction Centralized Activities

The Capitol Grounds (CG) appropriation is requesting \$628K for Jurisdictional Centralized Activities. The bulk of this request, approximately 48%, is devoted to the campus-wide Shuttle Bus Services; 24% for the purchase of motor fuel; 4% for emergency preparedness; 4% for insurance claims; and the remaining 18% for employee related items such as uniforms and safety apparel for identification, safety and security purposes, as well as safety, equipment and technical training. This aligns with the historical workload and accomplishes the mission as it has in the past. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, CG and AOC considered and prioritized funding based on historical data, current, and future requirements.



Pesticide Applicators Training, landscape issues	\$12
COTR, Appropriations, Procurement training and required updates	\$20
Vehicle and equipment certifications and related safety training	\$1
<b>Total</b>	<b>\$33</b>



# Capitol Grounds

## BUDGET SUMMARY

The Capitol Grounds appropriation is responsible for the care and maintenance of the Capitol Grounds and any changes and improvements made to them. The Capitol Grounds are comprised of approximately 234 acres on which the Capitol, Senate and House Office Buildings, the Capitol Power Plant and other buildings reside. This area includes lawns, parks, historic and memorial trees, landscaping, horticultural display beds, plazas, terraces, reflecting pools, fountains, courtyards, child care center playgrounds, and atria. These areas are equipped with ornamental fountains, drinking fountains, outdoor seating, historic retaining walls and structures, lighting, irrigation systems, streets, sidewalks, and parking areas which are all maintained by the Architect of the Capitol.

<b>Total Budget (\$000)</b>					
<b>Appropriation</b>	<b>FY 2011<sup>1</sup> Operating Plan</b>	<b>FY 2011<sup>2</sup> Actual Obligations</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>	<b>FY 2012/2013 Difference</b>
Operating Budget	9,968	10,908	9,852	11,202	1,350
Multi-Year Projects				7,300	7,300
<b>Total</b>	<b>9,968</b>	<b>10,908</b>	<b>9,852</b>	<b>18,502</b>	<b>8,650</b>

<b>Operating Budget (\$000)</b>					
<b>Program Groups</b>	<b>FY 2011<sup>1</sup> Operating Plan</b>	<b>FY 2011<sup>2</sup> Actual Obligations</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>	<b>FY 2012/2013 Difference</b>
Grounds Maintenance	2,682	3,408	2,922	3,722	800
Jurisdiction Centralized Activities	590	540	568	628	60
Payroll	6,696	6,270	6,362	6,852	490
Annual-Funded Projects		691			
<b>Total</b>	<b>9,968</b>	<b>10,908</b>	<b>9,852</b>	<b>11,202</b>	<b>1,350</b>

<b>Multi-Year Projects (\$000)</b>					
<b>Projects</b>	<b>FY 2011/2015 Enacted</b>	<b>FY 2011/2015 Actual Obs</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>	<b>FY 2012/2013 Difference</b>
<b>Total</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>7,300</b>	<b>7,300</b>

<sup>1</sup> Reflects FY 2010 Enacted with 0.2% rescission and initial congressionally approved reprogramming

<sup>2</sup> FY 2011 Actual Obligations can include reprogrammings/transfers from other appropriations.



# Capitol Grounds

## BUDGET SUMMARY (continued)

Full Time Equivalents (FTE)						
Appropriation	Payroll Funded <sup>1</sup>			Project Funded <sup>2</sup>		
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	FY 2011 Actual	FY 2012 Estimate	FY 2013 Estimate
Capitol Grounds	68	69	73	1	2	2

<sup>1</sup> FY 2013 Request includes four (4) FTEs for the operation and maintenance of Union Square.

<sup>2</sup> FY 2012/2013 project funded FTEs are estimated figures and dependent to the numbers of projects funded.

FY 2013 Object Class (\$000)				
Object Class	FY 2011 <sup>1</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
11 Personnel Compensation	4,866	4,864	5,238	374
12 Personnel Benefits	1,499	1,498	1,614	116
21 Travel	2	2	6	4
22 Transportation of Things	-	-	-	-
23 Rent, Communications and Utilities	-	-	-	-
24 Printing and Reproduction	-	-	-	-
25 Other Contractual Services	3,501	2,710	9,046	6,336
26 Supplies and Materials	802	621	2,071	1,451
31 Equipment	194	150	502	351
32 Land and Structures	-	-	-	-
42 Insurance Claims and Indemnities	10	7	25	17
<b>Total</b>	<b>10,875</b>	<b>9,852</b>	<b>18,502</b>	<b>8,650</b>

<sup>1</sup> FY 2011 Actuals represents total obligations of funds incurred irrespective of the year of appropriation.

# Capitol Grounds



## *FY 2013 ANALYSIS OF CHANGE*

	FY 2013 FTE	Appropriation Amount (\$000)
<b>Fiscal Year 2012 Enacted (FTE reflects Payroll Funded only)</b>	69	9,852
<b>Non-Recurring Costs</b>		
<b>Other Decreases</b>	-	-
<b>Total Program Decreases</b>	-	-
<b>Mandatory Pay Related Costs:</b>		
FY 2013 Cost of Living Adjustment of 1.7%.....		76
FY 2013 Within Grade Increases.....		48
FY 2012 FERS Adjustment from 11.7% to 11.9%.....		10
FY 2012 FEHB Employer Contribution Increase of 4%.....		18
<b>Total Price Level Changes</b>	-	152
<b>Program Increases:</b>		
Payroll (FTE Increases).....	4	338
Grounds Maintenance.....		800
Jurisdiction Centralized Activities.....		60
Multi-Year Projects		
Union Square Stabilization.....		7,300
<b>Total Program Increases</b>		8,498
<b>Net Increase/Decrease</b>	4	8,650
<b>Total Appropriation</b>	73	18,502



# Capitol Grounds

## OPERATING BUDGET SUMMARY

The Operating Budget of the Capitol Grounds appropriation funds all costs associated with the daily care, maintenance and operation of the Capitol Grounds and related facilities. The budget is divided into functional area Program Groups. In accordance with sound financial management practice, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process.

Operating Program (\$000)						
Program Groups	FY 2012 Enacted	Program Realignment/Transfers	Mandatory Pay and Price Increases	Program Changes	FY 2013 Request	FY 2012/2013 Difference
Ground Maintenance	2,922	-	-	800	3,722	800
Jurisdiction Centralized Activities	568	-	-	60	628	60
Payroll	6,362	-	152	338	6,852	490
<b>Total</b>	<b>9,852</b>	<b>-</b>	<b>152</b>	<b>1,198</b>	<b>11,202</b>	<b>1,350</b>

### Program Groups - Description and Analysis of Changes

#### Grounds Maintenance

**(FY 2012 Baseline: \$2,922K)**

**FY 2013 Request: \$3,722K)**

The Grounds Maintenance Program Group funds trash, leaf and snow removal; lawn, tree, sign, and irrigation systems maintenance; street and sidewalk maintenance; and the purchase of grounds maintenance supplies and equipment.

Additional funding of \$800K is requested for increased sidewalk replacement throughout the Capitol Complex that is in disrepair. The Capitol Grounds has approximately 18.5 miles of sidewalk to maintain. Currently, many of the sidewalks surrounding the Capitol are in poor condition. Concrete is cracked and broken, sections are heaved, creating tripping hazards, potholes exist, and in some cases there are poor quality patches. In addition, the stone steps surrounding the Capitol reflecting pool are broken in many places and dislodged. Funding will also provide for light pole replacements at Union Square.

#### Jurisdiction Centralized Activities

**(FY 2012 Baseline: \$568K)**

**FY 2013 Request: \$628K)**

The Jurisdiction Centralized Activities Program Group funds shuttle bus operators, training, registration, and seminar fees; travel; uniform allowances; vehicles leases, operations and maintenance; safety apparel; emergency preparedness; and gasoline and oil.

Additional funding of \$40K is requested for uniforms, safety apparel, and training of new employees. Also, additional funding of \$20K is requested for potential increase of tort claims due to sidewalk disrepair around the Capitol reflecting pool and surrounding Union Square areas.



## Capitol Grounds

### *OPERATING BUDGET SUMMARY (continued)*

#### **Payroll**

**(FY 2012 Baseline: \$6,362K)**

**FY 2013 Request: \$6,852K)**

The Payroll Program Group funds salaries and benefits for employees specifically supporting the appropriation. It includes government staff salaries and other compensation (e.g., paid leave and lump sum annual leave payments upon separation); compensation above basic rates including overtime and holiday pay; employer contributions to the Civil Service Retirement System, the Federal Employees Retirement System and the Thrift Savings Plan; and employer contributions to Social Security, Medicare, Federal Employees Health Benefits and Federal Employees Group Life Insurance.

Additional funding of \$152K is requested for mandatory pay increases which include a Fiscal Year 2013 Cost-Of-Living Adjustment calculated using the Congressional Budget Office's economic assumption of 1.7%, Within Grade Increases of 1%, the Fiscal Year 2012 Federal Employee's Retirement System adjustment of 0.2%, agency health benefit contributions, and one more compensable day because 2013 is a leap year. Also, \$338K is requested for four additional FTEs for Union Square operations and maintenance.



# Capitol Grounds

## CAPITAL MULTI-YEAR PROJECTS SUMMARY

The Capital Budget consists of major construction or system replacement requirements to address fire, life safety, and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs; with a focus on energy savings. It may also include funds that provide jurisdictions with the flexibility to respond to unforeseen Minor Construction requirements as generated from the AOC, Members, Committees, and other AOC clients.

<b>Multi-Year Projects (\$000)</b>	
	<u>Request Amount</u>
<b>Line Item Construction Program Projects:</b>	
Union Square Stabilization.....	7,300
<b>Total</b>	<b>7,300</b>
<b>Other Projects:</b>	
	-
<b>Total</b>	-
<b>Total Project Request</b>	<b>7,300</b>

## Capitol Grounds



**Project Title:** Union Square Stabilization

**Cost:** \$7,300K



**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction; Deferred Maintenance; Preservation, Mission Accommodation (including ADA and Life Safety.)

**Design Completed:** Not Applicable.

**Facility Condition Assessment:** The National Park Service is conducting a study and assessment of the Grant Memorial. The AOC plans to assess these results and perform additional assessments and studies as required.

**AOC Prioritization:** 14 of 16 (75 considered.) Note that this is an emergent required that was not considered prior to completion of the AOC's Line Item Construction Project prioritization process. However, due to the condition of the square, reflecting pool, sidewalks, steps and Grant Memorial, the AOC has included a project request for FY 2013. The AOC plans to leverage efforts in FY 2012 to complete the most egregious life-safety and maintenance issues. Given the state of Union Square, project funding will be required in FY 2013 and beyond to correct deficiencies such as the reflecting pool non-functioning filtration system, leaning light poles, and step erosion.

**Anticipated Start and End Dates:** The AOC received ownership of Union Square as part of the Fiscal Year 2012 Appropriations Act. The AOC has begun immediate maintenance efforts (trash removal, dangerous tree removal, clean-up and planning for sidewalk replacement and step stabilization. A project date is contingent upon the final scope and congressional guidance.

**Citation Driven:** No.

**Client Request:** No. Congress transferred this property from the National Park Service to AOC in P.L. 112-74.

**Previously Requested:**

The AOC has not previously requested funds for this project since Union Square did not fall under the AOC's responsibilities.

- The AOC has requested initial operating budget funding for Union Square maintenance in FY 2013. The request also includes initial light pole replacement and repair; immediate pavement repairs; and immediate hazardous materials' removal.



## Capitol Grounds

### Program Cost:

Total costs are yet to be determined since the responsibility for Union Square was transferred to the AOC in December 2011, and additional studies and assessments must be completed. Based on initial walk-throughs, discussions with the National Park Service, and examination of the sidewalks, trees and underground Reflecting Pool electrical vault, there is significant maintenance and repair work that should be accomplished in order to ensure that the area is safe for Members, staff and the public, as well as appropriately representing the transitional gateway between the U.S. Capitol and the National Mall. The AOC also will incorporate the direction and guidance of congressional leadership in any plans.

### Cost of Recurring Operations:

This project will have recurring annual costs for maintenance, operations and utilities.

- The AOC has included an estimate in the Capitol Grounds FY 2013 operating budget request, but all costs are still being assessed.
- The AOC will require four additional FITs and associated costs for uniforms, safety apparel and training; funds for annual sidewalk maintenance, snow removal, light pole maintenance, tree trimming and preservation; cleaning; water treatment materials; and potential insurance claims.

### Project Description:

Union Square is an 11-acre site containing the Grant Memorial, the Capitol Reflecting Pool, memorial trees and historic landscape. The project provides stabilization of the site, addresses immediate safety and maintenance concerns, as well as the identification of future site requirements. The project includes:

- The cleaning and restoration of the Grant, Artillery, and Cavalry statues, plus the four bronze lions and two bronze placards.
- Grounds restoration including the repair and replacement of ADA-deficient sidewalks and plaza paving, northwest steps restoration, turf and landscape restoration including rebuilding of soil structure to support water infiltration and plant growth, drainage improvements, removal of animal waste and chemical toxins from reflecting pool and administer thorough sanitation cleaning, and mitigation of site health/safety regarding all sidewalks and pedestrian areas.
- Site design will include sensitivity to historic context, incorporation of sustainable water management practices, improvement of pedestrian connections between the Mall, Capitol, and other adjacent facilities, improved site infrastructure and consideration of security requirements.

### Risk and Impact If Not Funded:

Without funding, AOC will be unable to assure the safety of visitors to the site due to decayed condition of the plaza, sidewalks, steps, and poor Reflecting Pool water quality.

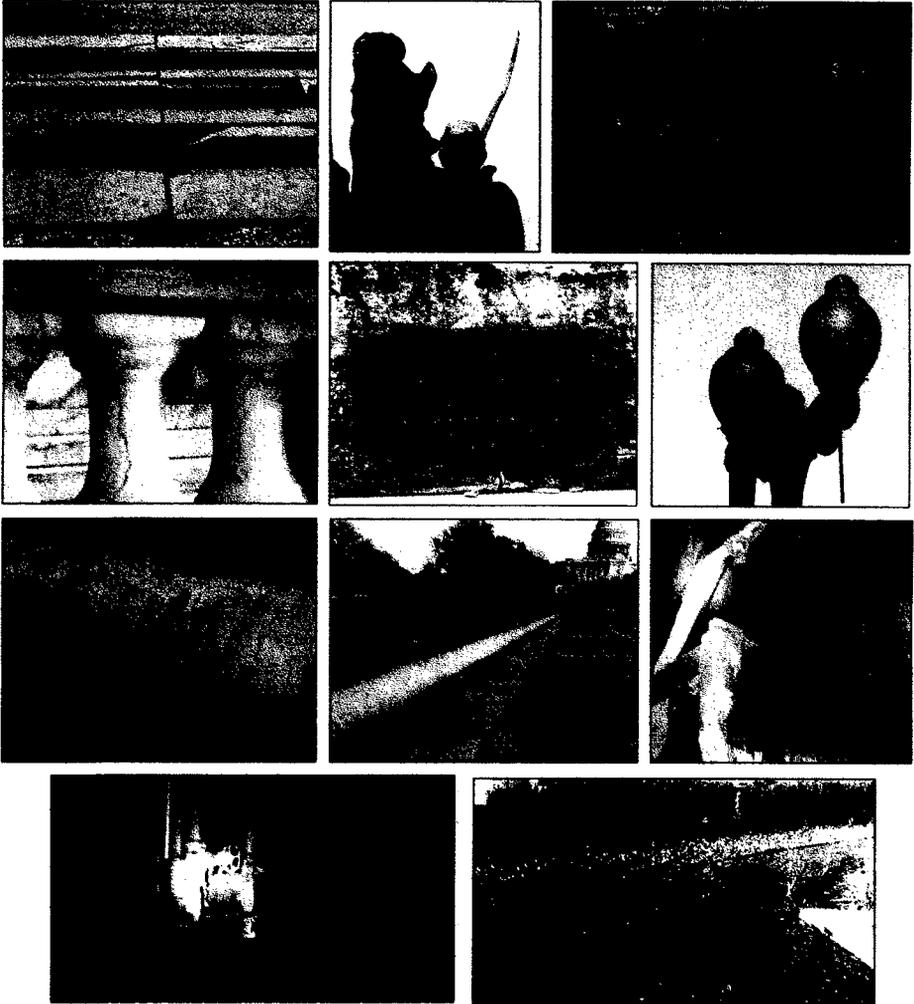
- The Reflecting Pool water circulation system and electrical vault will remain non-functioning.
- The Grant Memorial will continue to deteriorate without immediate maintenance and protection and a valuable historic asset could be irreparably damaged or lost.
- If not planned properly to address this ownership transition and its impact on the urban environment, the site will continue to suffer from lack of maintenance, and divergent utilization.

This will result in continual life-safety issues, and poor conditions. The following page includes additional photos that depict the current condition of the site.



# Capitol Grounds

Project Title: Union Square Stabilization *(continued)*





## Senate Office Buildings



Dirksen



Hart



Russell

### AOC MISSION

To serve Congress and the Supreme Court, preserve America's Capitol, and inspire memorable experiences.

### RESPONSIBILITIES IN SUPPORT OF AOC MISSION

The Senate Office Buildings jurisdiction is responsible for the daily care, maintenance, repair and operations of the Russell, Dirksen and Hart Senate Office Buildings and Garages, Senate Employees Child Care Center, Daniel Webster Page Dorm, Robert A. Taft Memorial, the Senate Long Term Mail Facility, and the Senate Underground Garage. The Senate Office Buildings provides specific client services such as wood crafting, upholstery, painting, garage operations and furniture. Building infrastructure care and conveying systems include electrical, plumbing, heat and air conditioning, fire alarm, subway & elevator systems. Daily operations include private suite cleaning, public area cleaning, recycling, loading dock operations, special functions set up and floor care. The Senate Office Buildings also provides and manages lease operations and maintenance contracts for the Senate Sergeant at Arms Warehouse, Postal Square, Printing Graphics and Direct Mail Operations. Additional leases include furniture storage warehouse in Landover Maryland and administrative, and furniture storage operations at the Government Printing Office.

#### Facility Overview

Name/Type	Year Built	Age	Area (sq. ft.)	Deferred Maintenance*	Capital Renewal	Backlog**
Dirksen Senate Office Building	1958	53	750,520	\$1,381,000	\$13,509,000	\$14,890,000
Hart Senate Office Building	1982	29	1,271,030	\$44,470,000	\$62,875,000	\$107,345,000
Russell Senate Office Building	1909	102	698,921	\$50,887,000	\$25,563,000	\$76,450,000
Robert A. Taft Memorial	1959	52	1,700	\$176,000	\$1,027,000	\$1,203,000
Senate Day Care Center	1998	13	2,978	\$66,000	\$187,000	\$253,000
SSA Warehouse	1993	18	52,500	\$35,000	\$269,000	\$304,000
Monocle Restaurant	1885	126	7,368	\$1,117,000	\$13,000	\$1,130,000
Senate Underground Garage	1932	79	85,284	\$17,000,000	\$30,000	\$17,030,000
Webster Hall Page Dormitory	1930	81	20,870	\$0	\$115,000	\$115,000
<b>Total</b>			<b>2,898,171</b>	<b>\$115,132,000</b>	<b>\$103,588,000</b>	<b>\$218,720,000</b>

\* Deferred Maintenance and Capital Renewal figures based on FY 2011 reporting

\*\*Backlog equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance.



## Senate Office Buildings

### ECONOMIES AND EFFICIENCIES

The Senate Office Buildings (SOB) jurisdiction consistently strives to serve our clients, and manage facilities and operations in the most efficient fashion with the provided resources. The SOB focuses on implementation of energy efficiency strategies, streamlined and flat organizational structure, implementation of facility management best practices and internal controls to ensure effective operations. Efforts in these areas provide the opportunity to accept various new mission requirements without the new resource requests. Additionally, the SOB continues to achieve high client satisfaction ratings and ensure our historic buildings perform to support the United States Senate in its legislative business.

**Initiative:** Reduction in Leased Operations.

Cost Avoidance: \$1.0M.

This reduction will have no operational impact to printing, security, maintenance, and engineering services. This cost avoidance leverages the relocation of Senate Sergeant At Arms leased space for Printing, Graphics and Direct Mail operations from the Postal Square Building to Landover Maryland. The leased space in the suburbs of Maryland is lower than that on Capitol Hill. This move also improves operational efficiency for the Senate Sergeant at Arms Printing, Graphics and Direct Mail operations without resulting in any additional costs.

**Initiative:** Reduction in Overtime and Converting to Compensatory Time.

Cost Avoidance and Savings: \$850K.

The SOB reduced overtime usage in Fiscal Year 2011 through the implementation of improved management controls. The SOB was also able to slightly reduce overtime costs by selectively applying the use of compensatory time. Customer satisfaction was not impacted. There was no measurable reduction in client satisfaction. The SOB was able to apply the \$850K in cost savings toward other facility maintenance efforts. The AOC has also right-sized the Fiscal Year 2013 payroll budget requests as part of zero-based budgeting.

**Initiative:** Reduced Fiscal Year 2012 project request.

Cost Avoidance: \$4.7M.

During the Fiscal Year 2011 end-of-year reprogramming, there was an AOC-wide cost avoidance review. The AOC and SOB were able to remove \$4.7M from the Fiscal Year 2012 budget request for the Infrastructure Improvement, Phase III, North Wing, Dirksen Senate Office Building project. This is due to various completed projects, and contractor proposals that came in lower than estimated to fund and execute the Infrastructure Improvement, Phase III, North Wing, Dirksen Senate Office Building project.

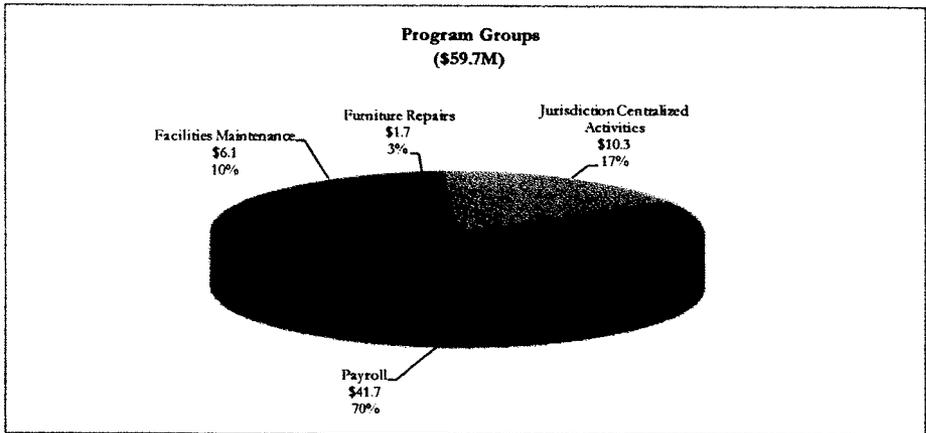


## Senate Office Buildings

### ZERO BASED JUSTIFICATION SUMMARY:

#### OPERATING BUDGET (*FY 2013 Budget Request \$59.7M*)

The Operating Budget of the Senate Office Buildings (SOB) appropriation funds all costs associated with the daily care, maintenance and operation of its facilities. The budget is divided into functional area Program Groups: Payroll, Facilities Maintenance, Furniture Repairs, and Jurisdiction Centralized Activities. While the Senate Office Buildings continue to maintain existing mission requirements, and gain new mission, we realize that fiscal environment will not permit any request for additional appropriations to support increased operations. Focus will be placed on effectively maintaining outstanding client services and stewardship within existing and/or reduced resources. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the SOB and AOC considered and prioritized funding based on historical data, current, and future requirements.

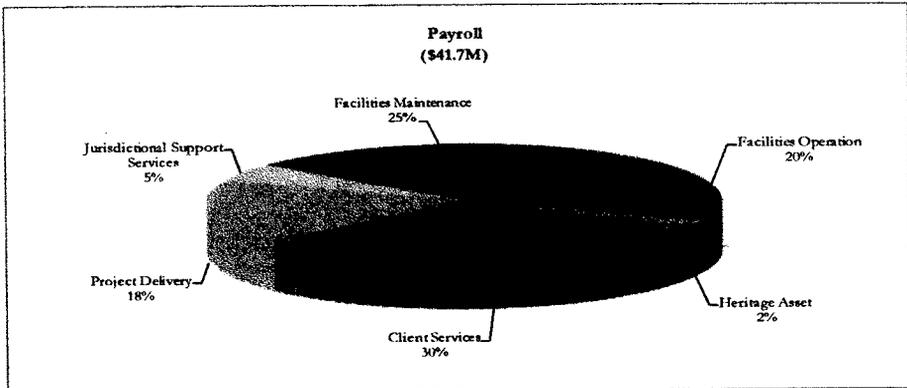




## Senate Office Buildings

### Payroll

The Senate Office Buildings (SOB) appropriation is requesting \$41.7M for Payroll. Client services accounts for 30%, facilities maintenance accounts for 25% and facilities operations accounts for 20% of the payroll request. Our services include client relocation and office renovation services which include providing furniture and furnishings. This critical resource continues to support and maintain a high level of customer satisfaction (95%). Facility maintenance continues to support the required mechanical, electrical and building envelope care to ensure the SOB continue to support legislative business, receive Senator constituents and the general public. This resource also helps to ensure our facilities meet fire and life safety codes and are ADA accessible. Facility operations resources include daily cleaning of member and committee suites, various labor support requirements, committee hearing/mark up set up and special event support. Project Delivery accounts for 18% of payroll and includes the necessary project management, coordination of access to client spaces; contractor quality inspections as well as direct trades labor for project execution. An example of such a project includes the Committee Room Audio and Visual Renovation Program. The SOB also invests in ensuring proper preservation and protection of heritage assets. This work accounts for 2% of the SOB labor force. In Fiscal Year 2011, the SOB appropriation completed over 45,000 demand work orders and 15,500 preventative maintenance work orders. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the SOB and AOC considered and prioritized funding based on historical data, current, and future requirements.



### Payroll Funded FTE Ceiling 498

**Cost Accounting Code Definition:**

**Facilities Maintenance:** Facilities maintenance activities encompass planned and corrective maintenance. Planned maintenance represents scheduled maintenance. Corrective maintenance includes emergency repairs.

**Facilities Operations:** Facilities operations activities include such tasks as custodial work, grounds care, road and walkway maintenance, power plant operations, and the provision of utilities. Facilities operations are associated with the day-to-day care of the Capitol complex.

**Client Services:** Client services include normal and special request services provided to AOC clients, their staffs, the public, citizens, and other constituencies. Examples include painting services, deliveries, and activities related to biennial election year office moves.

**Project Delivery:** AOC capital assets are provided and maintained through effective planning and project delivery. This includes planning, programming, design, construction, and the related management activities in the delivery of capital projects.

**Heritage Asset Stewardship:** Heritage asset stewardship activities include the care, maintenance, preservation, and presentation of the national treasures entrusted to the care of the AOC for present and future generations of visitors to the Capitol.

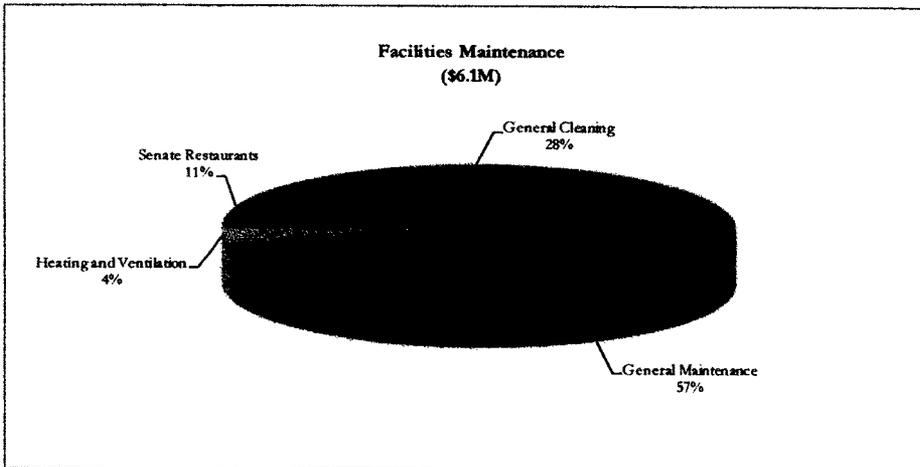
**Jurisdictional Support Services:** Support Services activities encompass executive leadership and administrative support services such as human resources, information technology, financial, procurement, and campus-wide safety and security.



## Senate Office Buildings

### Facilities Maintenance

The Senate Office Buildings (SOB) appropriation is requesting \$6.1M for Facilities Maintenance and operations. This funding provides for the procurement of materials, supplies and contracts to give the capability for the Senate appropriation to provide essential facility maintenance, mechanical, electrical and building envelope repair, preservation and cleaning operations. This request also provides for client services such as hearing set up, mill work, garage operations, elevator and subway conveying systems, painting, upholstery, and off site mail facility maintenance services. These resources directly contribute to the execution of over 45,000 client demand work orders, 15,500 preventative maintenance work orders and cleaning operations for private member and committee suites and public spaces in the Senate Office Buildings. Other critical functions this funding request provides for include hazardous materials abatement, physical security support and historic preservation. In addition, 11% of this request supports the operations of the Senate Restaurants. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the SOB and AOC considered and prioritized funding based on historical data, current, and future requirements.



### Furniture Repair

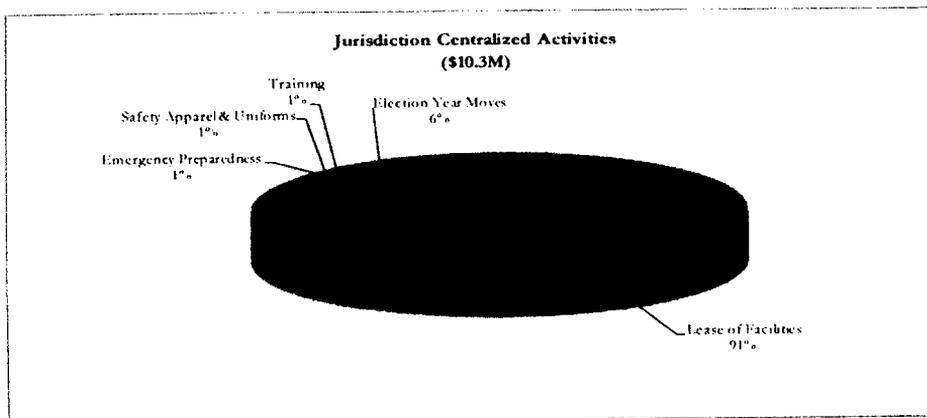
The Senate Office Building appropriation is requesting \$1.65M for furniture and Furniture Repair. This includes supplies, material, equipment and contracted services. This provides the Senate community with suitable furnishings for member and committee offices, as well as support staff. New furniture and furnishings are procured and when appropriate furniture is refinished. The request also supports inventory, care and preservation of historic furniture and furnishing assigned to the SOB. Over the past few years, the SOB has issued over 7,500 furniture items via 3,600 work orders annually. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the SOB and AOC considered and prioritized funding based on historical data, current, and future requirements.



## Senate Office Buildings

### Jurisdiction Centralized Activities

The Senate Office Building (SOB) appropriation is requesting \$10.3M for lease of facilities, training, uniform allowances, safety equipment and apparel, and emergency preparedness. This year is a congressional election year and the request includes additional resources to conduct the Election Year Moves. \$9.4M of the requested \$10.3M supports leasing, contract maintenance and cleaning operations for off-site Senate support functions. \$8.4M supports Senate Sergeant at Arms leasing operations at Postal Square, Government Printing Office and administrative functions, and \$1.0M supports the Senate Furniture Warehouse operations. The remaining \$900K supports activities such as training, emergency preparedness and employee safety that directly support the AOC's ability to support congressional operations. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the SOB and AOC considered and prioritized funding based on historical data, current, and future requirements.



Retention Training (100% of total training)	Cost (\$000)
Safety Training	\$50
Ethics, COTR, Appropriation Law, and Supervisory training	\$45
Employee Development and Proficiency training	\$30
<b>Total</b>	<b>\$125</b>

Facility Leasing	Cost (\$000)
Postal Square Building, Washington DC - SAA Administrative Support	\$6,000
Warehouse Facility, Landover, Maryland - SAA Storage Requirements	\$1,100
Operational Facility, Landover, Maryland - SAA Printing, Graphics and Direct Mail	\$850
GPO Building, Washington, DC - SAA Cabinet Shop Operations	\$201
GPO Building, Washington, DC - SAA Administrative Support	\$205
GPO, Washington, DC, SOB Furniture Storage and Refinishing Operations	\$600
Warehouse Facility, Landover, Maryland - SOB Furniture Storage	\$450
<b>Total</b>	<b>\$9,406</b>



# Senate Office Buildings

## BUDGET SUMMARY

The Senate Office Buildings (SOB) appropriation is responsible for the maintenance, repair, operations, mechanical and electrical infrastructure, HVAC, plumbing, painting, cleaning and any construction in the SOB that consist of the Russell Senate Office Building, Dirksen Senate Office Building, Hart Senate Office Building, leased space at Postal Square, the leased Senate Sergeant at Arms Warehouses #1 and #2) in Landover, Maryland, leased space at the Government Printing Office, the Senate Long Term Mail Facility, Daniel Webster Page Dorm, the Senate Employees' Child Care Center, and the Senate Underground Garage. The AOC is responsible for the care, repair, and purchase of furniture, carpet, drapes, and provides special events support. The AOC maintains and operates the subway transportation systems between the Senate Office Buildings and the U.S. Capitol, elevator and escalator systems, the garages in Dirksen Building and Hart Building, and the Senate Underground Garage.

Total Budget (\$000)					
Appropriation	FY 2011 <sup>1</sup> Operating Plan	FY 2011 <sup>2</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Operating Budget	61,515	60,606	58,000	59,738	1,738
Multi-Year Projects	19,436	8,382	13,128	19,654	6,526
<b>Total</b>	<b>80,951</b>	<b>68,988</b>	<b>71,128</b>	<b>79,392</b>	<b>8,264</b>

Operating Budget (\$000)					
Program Groups	FY 2011 <sup>1</sup> Operating Plan	FY 2011 <sup>2</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Facilities Maintenance	6,655	6,561	6,102	6,102	-
Furniture Repair	1,829	1,924	1,650	1,650	-
Jurisdiction Centralized Activities	10,999	10,012	9,545	10,295	750
Payroll	42,032	42,108	40,703	41,691	988
Annual-Funded Projects	-	-	-	-	-
<b>Total</b>	<b>61,515</b>	<b>60,606</b>	<b>58,000</b>	<b>59,738</b>	<b>1,738</b>

Multi-Year Projects (\$000)					
Projects	FY 2011/2015 Enacted	FY 2011/2015 Actual Obs	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
<b>Total</b>	<b>19,436</b>	<b>8,382</b>	<b>13,128</b>	<b>19,654</b>	<b>6,526</b>

<sup>1</sup> Reflects FY 2010 Enacted with 0.2% rescission and initial congressionally-approved reprogramming.

<sup>2</sup> FY 2011 Actual Obligations can include reprogrammings/transfers from other appropriations.



## Senate Office Buildings

### BUDGET SUMMARY (continued)

Full Time Equivalents (FTE)						
Appropriation	Payroll Funded			Project Funded		
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	FY 2011 Actual	FY 2012 Estimate	FY 2013 Estimate
Senate Office Buildings	522	498	498	52	66	66

<sup>1</sup>FY 2012/2013 project funded FTEs are estimated figures and dependent to the numbers of projects funded.

FY 2013 Object Class (\$000)				
Object Class	FY 2011 <sup>1</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
11 Personnel Compensation	35,664	30,623	31,366	743
12 Personnel Benefits	11,739	10,080	10,325	245
21 Travel	11	10	8	(2)
22 Transportation of Things	-	-	-	-
23 Rent, Communications and Utilities	7,959	8,012	8,230	218
24 Printing and Reproduction	-	-	-	-
25 Other Contractual Services	7,309	2,562	3,102	540
26 Supplies and Materials	5,715	5,539	5,413	(126)
31 Equipment	1,678	1,125	1,002	(123)
32 Land and Structures	10,806	13,175	19,943	6,768
42 Insurance Claims and Indemnities	2	2	3	1
<b>Total:</b>	<b>80,882</b>	<b>71,128</b>	<b>79,392</b>	<b>8,264</b>

<sup>1</sup>FY 2011 Actuals represents total obligations of funds incurred irrespective of the year of appropriation.



# Senate Office Buildings

## FY 2013 ANALYSIS OF CHANGE

	FY 2013 Appropriation	
	FTE	Amount (\$000)
<b>Fiscal Year 2012 Enacted (FTE reflects Payroll Funded only)</b>	<b>498</b>	<b>71,128</b>
<b>Non-Recurring Costs</b>		
Minor Construction		(2,000)
Infrastructure Improvements, Phase III, North Wing, DSOB		(6,128)
Skylight Replacement, HSOB		(5,000)
<b>Other Decreases</b>		
<b>Total Program Decreases</b>	<b>-</b>	<b>(13,128)</b>
<b>Mandatory Pay Related Costs:</b>		
FY 2013 Cost-Of-Living Adjustment of 1.7%.....		487
FY 2013 Within Grade Increases.....		309
FY 2012 FEERS Adjustment from 11.7% to 11.9%.....		62
FY 2012 FEHB Employer Contribution Increase of 4%.....		130
<b>Total Mandatory Pay Related Costs</b>	<b>-</b>	<b>988</b>
<b>Total Price Level Changes</b>	<b>-</b>	<b>-</b>
<b>Program Increases:</b>		
Jurisdiction Centralized Activities.....		750
Multi-Year Projects:		
Roof & Fall Protection System Replacement, HSOB.....		11,342
Network Transformers & Protectors Replacement, HSOB.....		3,812
Replace Modular Furniture, D & RSOB.....		500
Minor Construction.....		4,000
<b>Total Program Increases</b>	<b>-</b>	<b>19,654</b>
<b>Net Increase/Decrease</b>	<b>-</b>	<b>8,264</b>
<b>Total Appropriation</b>	<b>498</b>	<b>79,392</b>



## Senate Office Buildings

### OPERATING BUDGET SUMMARY

The Operating Budget component of the Senate Office Buildings (SOB) appropriation funds all costs associated with SOB central office salaries, operations, activities, and programs. The budget is divided into functional area Program Groups. In accordance with sound financial management practice, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process.

Operating Program (\$000)						
Program Groups	FY 2012 Enacted	Program Realignment/ Transfers	Mandatory Pay and Price Increases	Program Changes	FY 2013 Request	FY 2012/2013 Difference
Facilities Maintenance	6,102	-	-	-	6,102	-
Furniture Repair	1,650	-	-	-	1,650	-
Jurisdiction Centralized Activities	9,545	-	-	750	10,295	750
Payroll	40,703	-	988	-	41,691	988
<b>Total</b>	<b>58,000</b>	<b>-</b>	<b>988</b>	<b>750</b>	<b>59,738</b>	<b>1,738</b>

### Program Groups - Description and Analysis of Changes

#### Facilities Maintenance

**(FY 2012 Baseline: \$6,102K)**

**FY 2013 Request: \$6,102K)**

The Facilities Maintenance Program Group funds annual building maintenance services required throughout the buildings under the appropriation's purview. It includes repairing and modifying air conditioning systems, electrical systems, elevators, masonry, and plumbing; custodial services; preventative interior and exterior building maintenance (e.g., painting, pointing, caulking, and surface preservation); insect and pest control; solid and bulk waste disposal; maintenance of fire alarm systems; chimney cleaning and repairs, and light systems maintenance.

#### Furniture Repair

**(FY 2012 Baseline: \$1,650K)**

**FY 2013 Request: \$1,650K)**

The Furniture Program Group funds replacement or repair of existing furniture. This includes the procurement of materials and supplies, contractor services for upholstery and drapery work, and annual inventory of furniture items.



## Senate Office Buildings

### OPERATING BUDGET SUMMARY (continued)

#### Jurisdiction Centralized Activities

**(FY 2012 Baseline: \$9,545K)**

**FY 2013 Request: \$10,295K)**

The Jurisdiction Centralized Activities Program Group funds training, registration, and seminar fees; travel; uniform allowances; safety apparel; emergency preparedness; and gasoline and oil.

Additional funding of \$750K is requested for the Election Year move cost associated with Fiscal Year 2013 elections.

#### Payroll

**(FY 2012 Baseline: \$40,703K)**

**FY 2013 Request: \$41,691K)**

The Payroll Program Group funds salaries and benefits for employees specifically supporting the appropriation. It includes government staff salaries and other compensation (e.g., paid leave and lump sum annual leave payments upon separation); compensation above basic rates including overtime and holiday pay; employer contributions to the Civil Service Retirement System, the Federal Employees Retirement System and the Thrift Savings Plan; and employer contributions to Social Security, Medicare, Federal Employees Health Benefits and Federal Employees Group Life Insurance.

Additional funding of \$988K is requested for mandatory pay increases which include a Fiscal Year 2013 Cost-Of-Living Adjustment calculated using the Congressional Budget Office's economic assumption of 1.7%, Within Grade Increases of 1%, the Fiscal Year 2012 Federal Employee's Retirement System adjustment of 0.2%, agency health benefit contributions, and one more compensable day because 2013 is a leap year.



## Senate Office Buildings

### CAPITAL MULTI-YEAR PROJECTS SUMMARY

The Capital Budget consists of major construction or systems replacement requirements to address fire, life safety, and security issues; deferred maintenance; capital renewal, capital improvement; construction; and necessary studies and designs. It also includes Minor Construction funds that provide the Jurisdiction with the flexibility to respond to unforeseen minor construction requirements as generated from Members, Committees, and other AOC clients.

<b>Multi-Year Projects (\$000)</b>		<b>Request Amount</b>
<b>Line Item Construction Program Projects:</b>		
Roof & Fall Protection System Replacement, HSOB.....		11,342
Network Transformers & Protectors Replacement, HSOB.....		3,812
	<b>Total</b>	<b>15,154</b>
<b>Other Projects:</b>		
Minor Construction.....		4,000
Replace Modular Furniture, D & RSOB.....		500
	<b>Total</b>	<b>4,500</b>
	<b>Total Project Request</b>	<b>19,654</b>

#### Replace Modular Furniture, D & RSOB

**\$500K**

Required amount to complete the Committee rooms for the Dirksen & Russell Senate Office Buildings Modular Furniture program.

#### Minor Construction

**\$4,000K**

Required amount to sustain the necessary level of service for unforeseen construction and repair projects for the Senate Office Buildings.



## Senate Office Buildings

**Project Title:** Roof and Fall Protection System Replacement, HSOB

**Cost:** \$11,342K



**Project Phase; Classification; Capital Improvement Goal(s):** Construction for Phase II of II for comprehensive repair and replacement of the Hart Senate Office Building roof; Deferred Maintenance; Mission Accommodation/Life Safety.

**Design/Study Completed:** N/A.

**Facility Condition Index:** 0.128 = Poor condition. This project is anticipated to improve the Facility Condition Assessment to a Fair condition. (The AOC goal is all facilities in Good condition with a Facility Condition Assessment rating in the range of 0.02 – 0.06. Higher ratings indicate the facility is in worse condition.)

**AOC Prioritization:** 8 of 16 (75 considered.)

**Anticipated Start and End Dates:** Project duration is 12 months. Anticipate award by October 2012 with completion in 2013. Dates are contingent upon status of appropriations bill, funds availability, quality of contractor bids, congressional schedules, and other factors.

**Citation Driven:** No.

**Client Request:** No.

**Previously Requested:**

This project was originally requested in FY 2011 at \$15,794K, but not funded. Subsequently, the project was converted to a phased program for the FY 2012 budget request.

- The Skylight Replacement project is the first phase and the AOC requested \$8,991K. These funds were partially received and the AOC will reprogram for the shortfall.
- This second phase addresses the roof and roof fall protection.

**Program Cost:**

The cost of this project has increased due to phasing.

- The AOC requested \$8,991K in FY 2012 for skylight replacement, and received \$5,000K.
- The AOC anticipates reprogramming funds to bring this phase of the project to a fully funded status.
- The AOC is requesting \$11,342K in FY 2013 to complete the full roof project.

**Cost of Recurring Operations:**

By bringing the fall protection in line with AOC campus standards, this project will make roof repair work safer, easier and more efficient.

- Any additional maintenance costs for the new roof and roof fall protection system will be offset by the efficiencies of eliminating work-around maintenance methods and the elimination of skylight leakage.



## Senate Office Buildings

### Project Description:

This is Phase II of a two phase project to repair and replace the Hart Senate Office Building roof.

- Phase I will replace all skylights with new energy efficient, impact resistant, and state of the art products.
- Damage to the atrium interior will be surveyed and repaired.
- Improvements to the atrium re-lamping mechanism, originally included in a 2005 emergency lighting project, are now included as part of this project.
- Phase II replaces the entire inverted membrane roof. In this phase, the AOC will also upgrade and certify the fall protection and lightning protection systems.

### Risk and Impact If Not Funded:

If this project is further postponed, the roof will continue to deteriorate.

- Water will continue leaking into the building.
- The total cost of repairs and replacement will increase as conditions worsen.
- There is a high risk of increased water damage, mold growth and maintenance costs.
- The skylight leakages could cause damage to the Alexander Calder sculpture in the atrium.
- Workers will continue to be prohibited from using the fall protection system until it is brought into compliance with campus and safety standards.

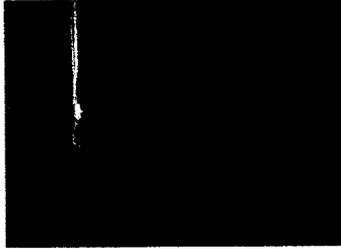
Without this effort, operations and maintenance work will be delayed. Areas at the leading edge of the roof will be inaccessible, making maintenance work increasingly difficult to perform. Increased damage to the historical artwork and the building's structure will occur. Significant health issues, due to mold, could materialize.



## Senate Office Buildings

**Project Title:** Network Transformers and Protectors Replacement, HSOB

**Cost:** \$3,812K



**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction; Deferred Maintenance; Mission Accommodation.

**Design Completed:** June 2010.

**Facility Condition Index:** 0.128 = Poor condition. (The AOC goal is all facilities in Good condition with a Facility Condition Assessment rating in the range of 0.02 – 0.06. Higher ratings indicate the facility is in worse condition.)

**AOC Prioritization:** 9 of 16 ((75 considered.)

**Anticipated Start and End Dates:** Project duration is approximately 15 months. Anticipate award by May 2013, with completion in August 2014. Dates are contingent upon status of appropriations bill, funds availability, quality of contractor bids, congressional schedules, and other factors.

**Citation Driven:** No.

**Client Request:** No.

**Previously Requested:**

- FY 2012 was the first year in which the AOC considered this project for construction funding.
- However, it was included on the Deferred Line Item Construction Project list vs. the Recommended for Funding list because at the time it was classified as Capital Renewal.

**Program Cost:**

- The FY 2012 Deferred Line Item Construction Project list identified \$3,681K required for construction costs.
- The AOC received \$160K in FY 2009 for design.
- The AOC is requesting \$3,812K in FY 2013 for construction. There is cost growth due to project deferral.

**Cost of Recurring Operations:**

Operational costs will be absorbed within the current Facilities Maintenance account.

- There is projected cost avoidance for labor and material costs because the new transformers and protectors will require less repair and fewer switches will need to be replaced. The cost avoidance funds will be applied to other Senate Office Building Deferred Maintenance efforts.
- The project will reduce the likelihood of having to utilize other operating funds to restore power in the event of an emergency.



## Senate Office Buildings

- Reduction of noise and vibration in office spaces may increase staff satisfaction and productivity.

### Project Description:

The project replaces eight 35-year old network transformers and associated equipment.

- The existing network transformer equipment is at the end of its useful life.
- The manufacturer is no longer in business. Replacement parts are extremely difficult or impossible to obtain.
- Although the AOC has repaired or replaced switches, this is not an effective method of securing a reliable level of switchgear operation.
- Replacement of the high voltage switchgear and the low voltage switchgear are complete. Replacement of the network transformers is the next step in securing the Hart Senate Office Building's electrical distribution system.
- Transformers can be disruptive to building occupants. They hum, are noisy, and vibrate. The new transformers will be much quieter. As part of the project, the AOC will also install vibration isolation between the transformer and the building.

### Risk and Impact If Not Funded:

If this project is not funded, there will be increased risk to operations and to human health.

- The simultaneous failure of two network protectors or transformers would require two to four weeks to replace.
- The temporary unit would cost approximately \$100K for a temporary transformer for approximately four months, until a new permanent network transformer could be procured.
- If a rush procurement of a new transformer is required, a 20 to 50 percent premium for expedited manufacturing costs is anticipated. This could add over \$1,000K to the cost of this project.
- Employees on the first floor of the Hart Senate Office Building will continue to be subjected to a constant low electrical vibration, which does not promote a healthy and productive workplace.

The network transformers must be replaced. Deferral of this project will add to the risk of a failure, and the cost to repair and replace the transformers.

## House Office Buildings



Cannon



Ford



Longworth



Rayburn

### AOC MISSION

To serve Congress and the Supreme Court, preserve America's Capitol, and inspire memorable experiences.

### RESPONSIBILITIES IN SUPPORT OF THE AOC MISSION

The House Office Buildings (HOB) jurisdiction provides direct support to ensure that the Congress is able to perform its responsibilities to enact legislation for governance of the United States. This support includes rapid responses to service call requests (client requests), as well as all routine maintenance and repairs of the mechanical, structural and electrical infrastructure.

The HOB jurisdiction's quality performance and responsiveness ensures uninterrupted and efficient operations for Members and staff working within the facilities that fall under the responsibility of the jurisdiction. These include Longworth (LHOB), Rayburn (RHOB), Cannon (CHOB), and Ford (FHOB); the House annexes; the former House Page Dormitory; the House garages; House subways; and leased facilities.

The HOB also provides cleaning services, House Office Buildings' restaurant maintenance, and delivery of all facility and infrastructure projects (including studies, designs and construction.)

#### Facility Overview

Cannon House Office Building	1908	103	826,465	\$36,777,000	\$80,359,000	\$117,136,000
Ford House Office Building	1939	72	594,966	\$7,709,000	\$17,866,000	\$25,575,000
House Page Dorm	1940	71	44,986	\$19,000	\$458,000	\$477,000
Longworth House Office Building	1933	78	702,608	\$5,811,000	\$43,872,000	\$49,683,000
Rayburn House Office Building	1965	46	2,395,914	\$81,268,000	\$195,241,000	\$276,509,000
Underground Garage (East)	1968	43	287,931	\$594,000	\$0	\$594,000
Underground Garage (West)	1968	43	287,477	\$28,963,000	\$2,139,000	\$31,102,000
<b>Total</b>		<b>5,140,347</b>		<b>\$161,141,000</b>	<b>\$339,935,000</b>	<b>\$501,076,000</b>

\* Deferred Maintenance and Capital Renewal figures based on FY 2011 reporting.

\*\* Backlog equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance.



## House Office Buildings

### ECONOMIES AND EFFICIENCIES

In order to maximize funding in a zero-based budget environment, the AOC has made a concerted effort to find efficiencies and more effective processes. The HOB jurisdiction recently identified and implemented several cost avoidance/savings initiatives. These enabled the AOC to apply funds toward the backlog of deferred maintenance, and/or to use project funds in the most efficient and economic manner to continue to improve congressional facilities, systems, infrastructure and services.

**Initiative:** Alternative Construction Method for RHOB Emergency Lighting Project.

Cost Avoidance: \$11,219K.

The HOB jurisdiction recently upgraded the RHOB exit signs and emergency lighting system. Project cost was estimated at \$15,100K and was to be phased over three fiscal years (2007-2009.) By utilizing in-house temporary electricians in lieu of an outside contractor, the HOB completed the project using just part of the funding received for Phase I (\$3,860K of \$4,960K requested and appropriated in Fiscal Year 2007. The HOB applied the remaining \$1,100K of the Phase I funding to complete emergent requirements for additional hazardous material abatement in conjunction with the project. Subsequently, the AOC was able to apply the Fiscal Year 2008 Phase II appropriated funds (\$4,390K) toward other deferred maintenance projects via a reprogramming approved by Congress. In addition, the AOC was able to eliminate the request for Phase III funds in Fiscal Year 2009 realizing a cost avoidance of over \$4,200K.

**Initiative:** Enhancements to the House Congressional Transition Webpage.

Cost Savings: \$10K.

During the 112<sup>th</sup> Congressional transition, the HOB jurisdiction facilitated room selections and the movement of 184 member and staff offices. As part of the process, members and staff utilize the HOB Transition Webpage to assist in making room selections. The HOB identified and implemented web enhancements to provide capability for staff to better visualize and filter information. This led to a time reduction of the overall selection process, compared with previous congressional lotteries. This reduction in time enabled the HOB to reduce overtime costs in support of the lottery. This was estimated to be a cost savings of \$10K that the HOB was able to apply toward other facility maintenance efforts.

**Initiative:** Escalator Step Refurbishment.

Cost Avoidance: \$500K.

During the 2009 annual inspection of elevators and escalators, the HOB identified flaws in the escalator banks in the RHOB (lobbies 1, 2 and 4). The existing escalator steps (original to the 1960 building construction), had been chipped and damaged to such an extent that they did not pass the inspection. To purchase new replacement steps would have cost \$685K. The AOC conducted market research and located two firms that could refurbish existing escalator steps to meet all applicable codes for a quarter of the price. The HOB also found local companies to install the refurbished steps in place. By purchasing the refurbished steps, the HOB also contributed toward meeting the AOC sustainability goals by reducing the waste stream, and purchasing reusable products rather than new materials. Through ingenuity, dedication, and high performance, the HOB was able to meet escalator safety requirements, avoid a cost of more than \$500K, and improve the escalators' appearance and customer satisfaction with the escalator operations. The HOB was able to prevent diverting \$500K from other facility maintenance efforts.



## House Office Buildings

### ECONOMIES AND EFFICIENCIES (continued)

**Initiative:** Energy Savings.

**Cost Avoidance:** \$30K in-house labor and \$713K in utility costs (realized in the Capitol Power Plant appropriation.) Using an Energy Savings Performance Contract, the HOB was able to install automatic sensors on flush valves and sinks, more energy efficient lighting and improved controls. This resulted in approximately \$30K in avoided corrective maintenance costs that the HOB was able to apply to other unfunded preventive maintenance efforts. These improvements also resulted in energy reductions: 4M gallons of water; 1.5M kilowatt hours of power; 2M ton-hours of chilled water; and 2K pounds of steam.

**Initiative:** Use of Existing Funds to Award Phase III of the RHOB 480 Volt Switchgear Project in Fiscal Year 2011.  
**Cost Avoidance:** \$3,055K.

By awarding bid options for Phase III with Fiscal Year 2011 costs savings from other projects, the AOC will be able to redirect the \$3,055K appropriated in Fiscal Year 2012 toward other deferred maintenance projects. This proactive initiative also avoided the automatic escalation costs of \$156K if the AOC had to wait until receipt of Fiscal Year 2012 funds to award the option. This allowed the AOC to continue to meet the goals of replacing 60-year-old 480 volt switchgear and transformers in the RHOB with new energy-efficient switchgear and transformers that will prevent extensive service outages, and is projected to improve customer satisfaction as well as significantly lower the risk of outages impacting congressional operations.

**Initiative:** Reduction in Overtime and Converting to Compensatory Time.

**Cost Savings:** \$219K.

The HOB reduced overtime usage in Fiscal Year 2011 through the implementation of improved management controls. The HOB was also able to slightly reduce overtime costs by selectively applying the use of compensatory time. Customer satisfaction was not impacted. There was no measurable reduction in client satisfaction. The HOB was able to apply the \$219K in cost savings toward other facility maintenance efforts. The AOC has also right-sized the Fiscal Year 2013 payroll budget requests as part of zero-based budgeting.

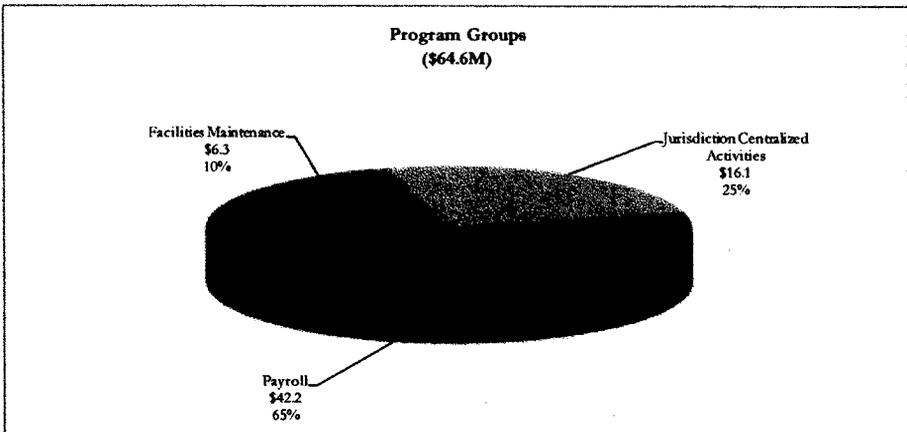


## House Office Buildings

### ZERO BASED BUDGET JUSTIFICATION SUMMARY:

#### OPERATING BUDGET (FY 2013 Budget Request \$64.6M)

The Operating Budget of the HOB funds all costs associated with the daily care, maintenance and operation of its facilities in support of congressional operations. The HOB jurisdiction provides direct support to ensure efficient operations and maintenance of its facilities. The HOB operating budget is divided into three functional area program groups: Facilities Maintenance, Jurisdiction Centralized Activities and Payroll. The Payroll program group funds the in-house labor necessary to support the Congress in the HOB facilities. The Facilities Maintenance program group funds equipment, materials and maintenance contracts necessary for the HOB staff to perform the required work. The Jurisdiction Centralized Activities program group funds overall jurisdiction functions required to enable performance of the work in support of Congress. This includes leases, training, and safety apparel. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the HOB and AOC considered and prioritized funding based on historical data, current, and future requirements.

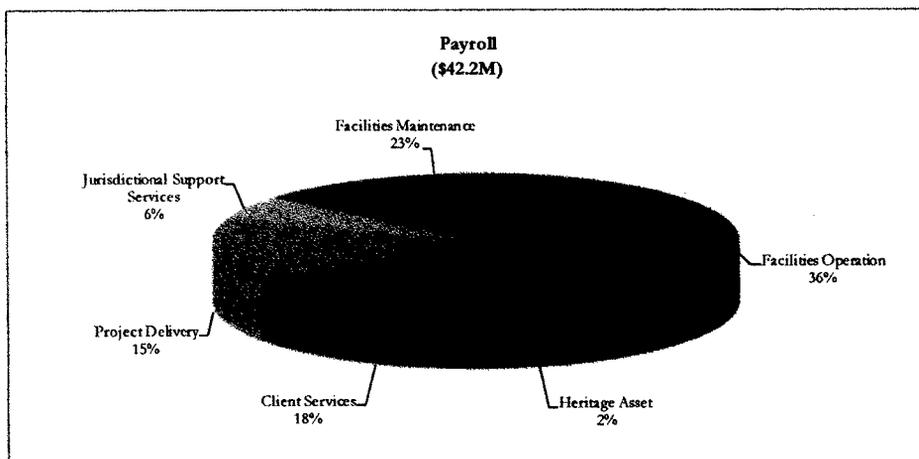




## House Office Buildings

### Payroll

The HOB Payroll request is \$42.2M for Fiscal Year 2013. These funds provide the capacity to perform the required preventive and corrective maintenance of the building heating, cooling, plumbing, elevator, and electrical systems in order to maintain the service level required for the HOB. Furthermore, this budget item provides for the ongoing operational support to clean and perform custodial work, and requested customer services within all spaces within the HOB. Of the \$42.2M, approximately 36% provides for Facilities Operations Activities, 23% for Facilities Maintenance Activities, 18% for Client Services Activities, 15% for Project Delivery, 6% for Jurisdictional Support Services, and 2% for Heritage Asset. This aligns with our historic work load and accomplishes 87,829 preventive maintenance work orders, 17,411 corrective maintenance work orders, and 47,182 client service work orders. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the HOB and AOC considered and prioritized funding based on historical data, current, and future requirements.



### Payroll Funded FTE Ceiling 503

**Cost Accounting Code Definition:**

**Facilities Maintenance:** Facilities maintenance activities encompass planned and corrective maintenance. Planned maintenance represents scheduled maintenance. Corrective maintenance includes emergency repairs.

**Facilities Operations:** Facilities operations activities include such tasks as custodial work, grounds care, road and walkway maintenance, power plant operations, and the provision of utilities. Facilities operations are associated with the day-to-day care of the Capitol complex.

**Client Services:** Client services include normal and special request services provided to AOC clients, their staffs, the public, citizens, and other constituencies. Examples include painting services, deliveries, and activities related to biennial election year office moves.

**Project Delivery:** AOC capital assets are provided and maintained through effective planning and project delivery. This includes planning, programming, design, construction, and the related management activities in the delivery of capital projects.

**Heritage Asset Stewardship:** Heritage asset stewardship activities include the care, maintenance, preservation, and presentation of the national treasures entrusted to the care of the AOC for present and future generations of visitors to the Capitol.

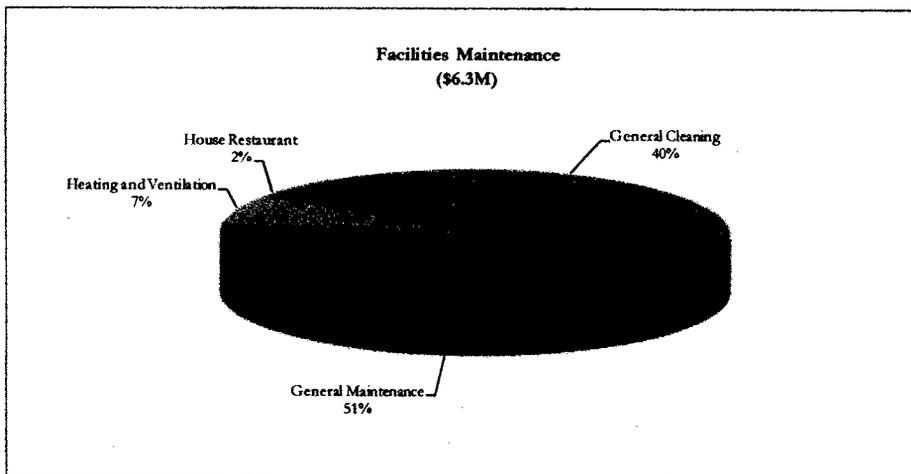
**Jurisdictional Support Services:** Support services activities encompass executive leadership and administrative support services such as human resources, information technology, financial, procurement, and campus-wide safety and security.



## House Office Buildings

### Facilities Maintenance

The HOB appropriation is requesting \$6.3M for facilities maintenance. This provides the supplies, materials and contracted services to perform the required preventive and corrective maintenance of the building heating, cooling, plumbing, elevator, and electrical systems in order to maintain the historic service level required for the HOB. This budget item provides for the ongoing operational support to clean and perform custodial work, and requested customer services of all spaces within the HOB. Of the \$6.3M, approximately 51% provides for General Maintenance, 40% for Cleaning, 7% for Heating and Ventilation, and 2% for House Restaurant maintenance. This aligns with our historic work load and accomplishes 87,829 preventive maintenance work orders, 17,411 corrective maintenance work orders, and 47,182 client service work orders. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the HOB and AOC considered and prioritized funding based on historical data, current, and future requirements.

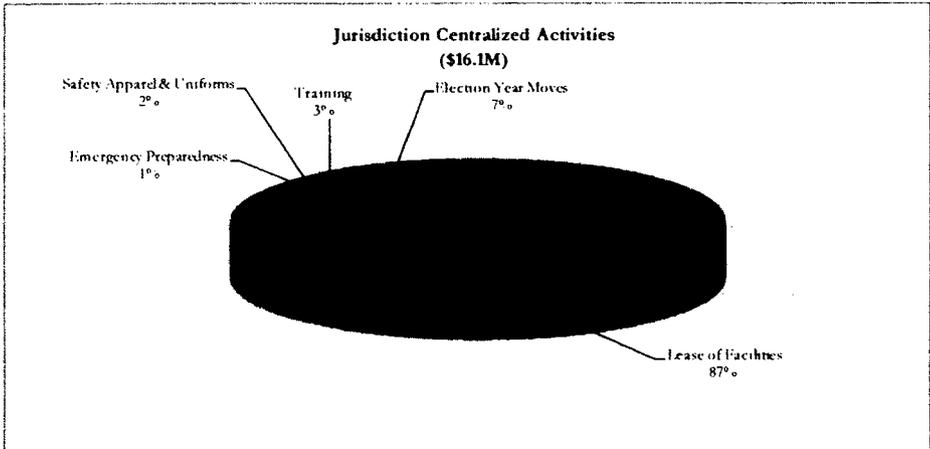




# House Office Buildings

## Jurisdiction Centralized Activities

The HOB appropriation is requesting \$16.1M for lease of facilities, training, registration, and seminar fees; uniform allowances; safety apparel; emergency preparedness and gasoline. Of this \$16.1M, 87% will support the lease of facilities including Federal Office Building 8 (FOB 8) and space for the Office of Congressional Ethics. In addition, 7% provides for temporary labor to support election year moves (a biennial need.); 3% of the budget request will fund required and critical training to maintain certifications, comply with safety regulations and provide for continuing education of the workforce; 2% provides for uniform allowance and safety apparel for House Office Buildings jurisdiction employees; and 1% will fund the emergency preparedness program to review and update the HOB emergency response plan. The requested funds are necessary to support these important Jurisdiction Centralized Activities. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the HOB and AOC considered and prioritized funding based on historical data, current, and future requirements.



Required training provides for essential training to maintain a professional knowledgeable and skilled workforce.

Required Training (10% of total training)	Cost (\$)
Safety/Certification (OSHA, first aid, fire, fall protection...)	\$202
EEO, Ethics, Appropriation Law, and COIR	\$35
<b>Total</b>	<b>\$238</b>

Capitol View - Office of Congressional Ethics	\$299
Federal Office Building 8	\$13,825
<b>Total</b>	<b>\$14,124</b>



# House Office Buildings

## BUDGET SUMMARY

The Architect of the Capitol, subject to the approval and direction of the House Office Building Commission, is responsible for the maintenance, repair, operations, mechanical and electrical infrastructure, HVAC, plumbing, painting, cleaning and any construction of the House Office Buildings to include the Cannon (CHOB), Longworth (LHOB), Rayburn (RHOB), and Ford (FHOB); the House annexes; the House Page Dormitory; the House garages; the House subways; and leased facilities.

Total Budget (\$000)					
Appropriation	FY 2011 <sup>1</sup> Operating Plan	FY 2011 <sup>2</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Operating Budget	50,195	48,292	48,523	64,602	16,079
Multi-Year Projects	42,000	34,821	45,631	19,362	(26,269)
No-Year Projects	39,920	3,250	30,000	50,000	20,000
<b>Total</b>	<b>132,115</b>	<b>86,363</b>	<b>124,154</b>	<b>133,964</b>	<b>9,810</b>

Operating Budget (\$000)					
Program Groups	FY 2011 <sup>1</sup> Operating Plan	FY 2011 <sup>2</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Facilities Maintenance	5,937	6,281	6,218	6,271	53
Jurisdiction Centralized Activities	2,309	2,010	1,105	16,140	15,035
Payroll	41,949	40,001	41,200	42,191	991
Annual-Funded Projects					
<b>Total</b>	<b>50,195</b>	<b>48,292</b>	<b>48,523</b>	<b>64,602</b>	<b>16,079</b>

Multi-Year and No-Year Projects (\$000)					
Projects	FY 2011/2015 Enacted	FY 2011 Actual Obs	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Multi-Year Projects	42,000	34,821	45,631	19,362	(26,269)
No-Year Projects	39,920	3,250	30,000	50,000	20,000
<b>Total</b>	<b>81,920</b>	<b>38,071</b>	<b>75,631</b>	<b>69,362</b>	<b>(6,269)</b>

<sup>1</sup> Reflects FY 2010 Enacted with 0.2% rescission and initial congressionally-approved plus initial reprogramming.

<sup>2</sup> FY 2011 Actual Obligations can include reprogrammings/transfers from other appropriations.



# House Office Buildings

## BUDGET SUMMARY (continued)

Full Time Equivalents (FTE)						
Appropriation	Payroll Funded			Project Funded		
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	FY 2011 Actual	FY 2012 Estimate	FY 2013 Estimate
House Office Buildings	499	503	503	87	87	87

FY 2012/2013 project funded FTEs are estimated figures and dependent to the numbers of projects funded.

FY 2013 Object Class (\$000)					
Object Class		FY 2011 <sup>1</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
11	Personnel Compensation	36,006	31,256	32,008	752
12	Personnel Benefits	11,455	9,944	10,183	239
21	Travel	26	46	51	5
22	Transportation of Things				
23	Rent, Communications and Utilities	265	459	508	49
24	Printing and Reproduction				
25	Other Contractual Services	6,502	11,253	12,450	1,196
26	Supplies and Materials	2,796	4,840	5,355	515
31	Equipment	379	655	725	70
32	Land and Structures	37,959	65,701	72,686	6,985
42	Insurance Claims and Indemnities				
<b>Total</b>		<b>95,388</b>	<b>124,154</b>	<b>133,964</b>	<b>9,810</b>

<sup>1</sup> FY 2011 Actuals represents total obligations of funds incurred irrespective of the year of appropriation.



# House Office Buildings

## FY 2013 ANALYSIS OF CHANGE

Fiscal Year 2012 Enacted (FTE reflects Payroll Funded only)	FY 2013 Appropriation	
	FTE	Amount (\$000)
	503	124,154
<b>Non-Recurring Costs</b>		-
Minor Construction.....		(7,000)
CAO Project Support.....		(4,390)
Alternate Life Safety Approach, CHOB.....		(4,229)
Power Distribution System Replacement, Vault C, FHOB.....		(3,957)
Interior Rehabilitation, WHUG.....		(18,000)
480v Switchgear & Transformer Replacement, Phase III, RHOB.....		(5,000)
Domestic Water & Sanitary Piping Replacement, RHOB.....		(1,598)
Fire Alarm System Replacement, RHOB.....		(1,457)
House Historic Buildings Revitalization Trust Fund.....		(30,000)
<b>Other Decreases</b>		
<b>Total Program Decreases</b>	-	(75,631)
<b>Mandatory Pay Related Costs:</b>		
FY 2013 Cost of Living Adjustment of 1.7%.....		495
FY 2013 Within Grade Increases.....		313
FY 2012 FERS Adjustment from 11.7% to 11.9%.....		63
FY 2012 FEHB Employer Contribution Increase of 4%.....		120
<b>Total Mandatory Pay Related Costs</b>	-	991
<b>Total Price Level Changes</b>		
Facilities Maintenance.....		53
Jurisdiction Centralized Activities.....		13,835
<b>Total Price Increases</b>	-	13,888
<b>Program Increases:</b>		
Jurisdiction Centralized Activities.....		1,200
<b>Multi-Year Projects:</b>		
Federal Office Building 8 Refurbishment.....		8,200
Minor Construction.....		7,000
CAO Project Support.....		4,162
<b>No-Year Projects:</b>		
House Historic Buildings Revitalization Trust Fund.....		50,000
<b>Total Program Increases</b>	-	70,562
<b>Net Increase/Decrease</b>	-	9,810
<b>Total Appropriation</b>	<b>503</b>	<b>133,964</b>



# House Office Buildings

## OPERATING BUDGET SUMMARY

The Operating Budget of the House Office Buildings appropriation funds all costs associated with the daily care, maintenance and operation of its facilities. The budget is divided into functional area Program Groups. In accordance with sound financial management practice, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process.

Operating Program (\$000)						
Program Groups	FY 2012 Enacted	Program Realignment/ Transfers	Mandatory Pay and Price Increases	Program Changes	FY 2013 Request	FY 2012/2013 Difference
Facilities Maintenance	6,218		53		6,271	53
Jurisdiction Centralized Activities	1,105		10	1,200	16,140	15,035
Payroll	41,200		991		42,191	991
<b>Total</b>	<b>48,523</b>	<b>-</b>	<b>1,054</b>	<b>1,200</b>	<b>64,602</b>	<b>16,079</b>

### Program Groups - Description and Analysis of Changes

#### Facilities Maintenance

**(FY 2012 Baseline: \$6,218K)**

**FY 2013 Request: \$6,271K)**

The Facilities Maintenance Program Group funds annual building maintenance services required throughout the buildings under the appropriation's purview. It includes repairing and modifying air conditioning systems, electrical systems, elevators, masonry, and plumbing; custodial services; preventative interior and exterior building maintenance (e.g., painting, pointing, caulking, and surface preservation); insect and pest control; solid and bulk waste disposal; maintenance of fire alarm systems; chimney cleaning and repairs and light systems maintenance, as applicable.

The program increase of \$53K is attributed to anticipate material cost increases.

#### Jurisdiction Centralized Activities

**(FY 2012 Baseline: \$1,105K)**

**FY 2013 Request: \$16,140K)**

The Jurisdiction Centralized Activities Program Group funds training, registration, and seminar fees; travel; uniform allowances; vehicles leases, operations and maintenance; safety apparel; emergency preparedness and gasoline and oil, as applicable.

The program increase of \$15,035K is attributed to lease costs associated with Federal Office Building 8 (FOB 8) and requirements associated with Fiscal Year 2013 election year Congressional Moves. The lease costs associated with FOB 8 make up \$13.825K of the program increase. The lease costs include the lease of the space, maintenance, overtime utility and engineering costs, and enhanced security protection. The Fiscal Year 2013 election year move costs make up \$1.2M of the program increase. These costs include temporary labor, materials, equipment, and supplies to accommodate Congressional moves and space requirements.



## House Office Buildings

### OPERATING BUDGET SUMMARY (continued)

#### Payroll

**(FY 2012 Baseline: \$41,200K)**

**FY 2013 Request: \$42,191K)**

The Payroll Program Group funds salaries and benefits for employees specifically supporting the appropriation. It includes government staff salaries and other compensation (e.g., paid leave and lump sum annual leave payments upon separation); compensation above basic rates including overtime and holiday pay; and employer contributions to the Civil Service Retirement System, the Federal Employees Retirement System and the Thrift Savings Plan; employer contributions to Social Security, Medicare, Federal Employees Health Benefits and Federal Employees Group Life Insurance.

Additional funding of \$991K is requested for mandatory pay increases which include a Fiscal Year 2013 Cost-Of-Living Adjustment calculated using the Congressional Budget Office's economic assumption of 1.7%, Within Grade Increases of 1%, the Fiscal Year 2012 Federal Employee's Retirement System adjustment of 0.2%, agency health benefit contributions, and one more compensable day because 2013 is a leap year.



## House Office Buildings

### CAPITAL MULTI-YEAR PROJECTS SUMMARY

The Capital Budget consists of major construction or system replacement requirements to address fire, life safety, and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs; with a focus on energy savings. It may also include funds that provide jurisdictions with the flexibility to respond to unforeseen Minor Construction requirements as generated from the AOC, Members, Committees, and other AOC clients.

<b>Multi-Year Projects (\$000)</b>		<b>Request Amount</b>
<b>Line Item Construction Program Projects:</b>		
Federal Office Building 8 Refurbishment.....		8,200
	<b>Total</b>	<b>8,200</b>
<b>Other Projects:</b>		
Minor Construction.....		7,000
CAO Project Support.....		4,162
	<b>Total</b>	<b>11,162</b>
	<b>Total Project Request</b>	<b>19,362</b>



## House Office Buildings

### CAPITAL MULTI-YEAR PROJECTS SUMMARY (continued)

#### Minor Construction

**\$7,000K**

To sustain the necessary level of service for unforeseen construction and repair projects for the House Office Buildings.

#### CAO Project Support

**\$4,162K**

Support for U.S. House of Representatives Chief Administrative Officer (CAO) requests. The CAO requested 6 projects for a total cost of \$4,162K:

- Renovation of the Banquet Rooms in the Rayburn House Office Building. The renovation work will include new lighting and ceilings as well as enhancements to the HVAC and audio visual systems. (\$1,750K)
- Support of the CAO VOIP (Voice over IP) effort. This effort will provide an uninterrupted power supply (UPS) for specified outlets in Member offices, telecom closets, and switch rooms. (\$1,500K)
- Hearing Room Design and Infrastructure Audio/Multimedia. Funding will be used for renovations to the Financial Services and Energy & Commerce Hearing Rooms, as well as any other rooms that are subsequently approved by House Leadership. (\$400K)
- Modular furniture for 30 Member office suites. (\$325K)
- Banquet Room IT Upgrade. Funding will be used to install pathway including conduit and raceway that will support IT cabling needs in the banquet rooms. (\$112K)
- Roof Antenna Infrastructure Support for the Rayburn House Office Building. The roof antenna infrastructure on the Rayburn House Office Building will be upgraded to allow it to support 4<sup>th</sup> generation (4G) bandwidth. (\$75K)



# House Office Buildings

## CAPITAL NO-YEAR PROJECTS

Public Law 111-68 established the House Historic Buildings Revitalization Trust Fund (Fund) for use by the Architect of the Capitol for the revitalization of the major historical buildings and assets of the House of Representatives which the Architect is responsible for maintaining and preserving. The law also permits transfers to this Fund from amounts appropriated to the House of Representatives under any heading other than Members Representational Allowances, subject to the approval of the Committee on Appropriations of the House of Representatives. Any amounts transferred to and merged with, or otherwise deposited into the Fund remain available until expended. Funds may not be obligated without the approval of the Committee on Appropriations of the House of Representatives.

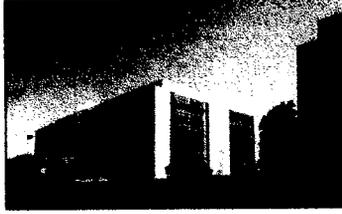
<b>No-Year Projects (\$000)</b>	
	<b>Request Amount</b>
<b>No-Year Construction Projects:</b>	
House Historic Buildings Revitalization Trust Fund.....	50,000
<b>Total Project Request</b>	<b>50,000</b>



## House Office Buildings

**Project Title:** Federal Office Building 8 (FOB 8) Refurbishment

**Cost:** \$8,200K



Photos Courtesy of Boggs & Partners Architects

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction; Capital Improvement; Mission Accommodation.

**Design Completed:** December 2011.

**Facility Condition Assessment:** Not Applicable.

**AOC Prioritization:** 12 of 16 (75 considered.)

**Anticipated Start and End Dates:** Project duration is eight months from October 2012 to the end of June 2013. (Dates are contingent upon status of Appropriations Bill, funds availability, quality of contractor bids, congressional schedules and other factors.)

**Citation Driven:** No.

**Client Request:** Yes. This is a high congressional interest item due to the linkage of swing space for the refurbishment of the Cannon House Office Building, and subsequent major building refurbishment projects.

**Previously Requested:**

The AOC has been coordinating with the General Services Administration for several years on this project and has received \$45,739K in funding.

- Received \$3,215K in FY 2006 for security upgrades design.
- Received \$285K FY 2006 for tenant fit-out design.
- Received \$7,532K in FY 2008 for security upgrades construction.
- Received \$8,428K in FY 2008 for tenant fit-out.
- Received \$150K in FY 2009 for connectivity to campus data and voice networks.
- The AOC reprogrammed \$2,379K in FY 2010 per congressional direction (FY 2008 funds) for tenant fit-out and Furniture, Fixtures and Equipment.
- The AOC reprogrammed \$6,000K in FY 2010 per congressional direction (FY 2010 funds) for tenant fit-out; and Furniture, Fixtures and Equipment.
- Received \$17,964K (post-rescission) in FY 2011.
- \$12,600K requested in FY 2012, reduced to \$8,138K due to FY 2011 appropriation being greater than the revised AOC FY 2011 request, as well as due to the reprogrammed funds. Although the AOC has not signed a formal lease or occupancy agreement, funds are needed in FY 2012 to ensure that the General Services Administration will continue refurbishment and hold the building for the AOC.



## House Office Buildings

### Program Cost:

This project is a combination of three types of costs: AOC-direct fit-out costs; AOC funding provided to the General Services Administration for tenant fit-out and security upgrades; and General Services Administration direct funding for refurbishing of the building. In addition, the AOC will incur lease costs beginning in the first quarter of FY 2013 (November 2012.)

- To-date, the AOC has received \$45,953K for the refurbishment project.
- The total AOC cost for the project was estimated at \$54,000K.
- The AOC is requesting \$8,200K in FY 2013 for fit-out.
- Additional funds may be required for tenant redesign, a construction manager, and change orders.
- Additional funds will be required for lease and other operational costs beginning in FY 2013, but are not yet included in the AOC budget request.

### Cost of Recurring Operations:

This project will have recurring annual costs for the lease, security and utilities.

- Base lease costs are \$12,956K per year. The lease costs include night cleaning and utilities for the core hours of 8 am to 6 pm on weekdays. The AOC will incur off-hours utility usage fees if the building is used outside of the core hours. This cost is dependent upon the hours of usage.
- Additional costs for Federal Protective Service security are yet to be determined, as they cannot be negotiated until the AOC has signed an occupancy agreement.
- The USCP will incur additional costs for new roving posts.
- The total cost for the AOC is estimated at \$13,825K for FY 2013 (based on historical data from similar leased buildings); however, this cost may change due to move-in dates. In addition, there will be annual costs incurred (outside of the lease) for the off-hour utilities and Federal Protective Service. Only costs that will be incurred in FY 2013 have been included in this estimate and the IOB operating budget request.

### Project Description:

Federal Office Building 8 was built as a laboratory for the Food and Drug Administration in 1965. The General Services Administration is converting it into a modern, efficient office building for lease.

- The current plan calls for the AOC to lease floors 3, 4, 5 and 6 for the U.S. House of Representatives.
- This provides 200,000 usable square feet; and a flexible, quality work environment, including offices, conference rooms, administrative functional areas, and support spaces.

Federal Office Building 8 can provide quantity and quality of space needed to support the U.S. House of Representatives, including swing space for building renewals such as the Cannon House Office Building.

### Risk and Impact If Not Funded:

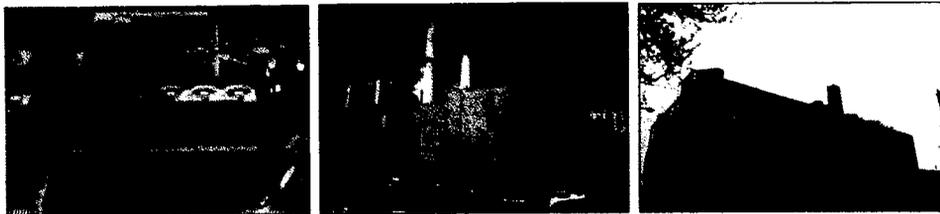
If this project is not funded, the AOC risks incurring lease costs for an unusable building.

- The base lease is \$12,956K per year or approximately \$1.080K per month (plus additional costs for security and off-hours utility usage) and is scheduled to commence in the first quarter FY 2013 (November 2012.)
- If construction funds are not available, the General Services Administration will expect lease payment regardless of occupancy, or reserves the right to lease to another government entity.

If final refurbishment and lease costs are not appropriated, the AOC risks losing the space as other potential tenants have expressed interest in leasing Federal Office Building 8. This would eliminate close proximity swing space required for major building renewals.



## Capitol Power Plant



### AOC MISSION

To serve Congress and the Supreme Court, preserve America's Capitol, and inspire memorable experiences.

### RESPONSIBILITIES IN SUPPORT OF AOC MISSION

The Capitol Power Plant (CPP) Jurisdiction is the centralized provider of utility services for the Capitol campus and provides dedicated space for satellite communication dishes. Operates and maintains a central steam plant for heating, a refrigeration plant that provides chilled water for air conditioning, and the tunnel distribution and associated metering systems to deliver these utilities. The CPP provides steam and chilled water for the U.S. Capitol, Senate office buildings, Senate garages, House office buildings, House garages, Library of Congress buildings, the U.S. Supreme Court, and the U.S. Botanic Garden. The CPP also provides steam and chilled water on a reimbursable basis to other clients, such as the Government Printing Office, the Thurgood Marshall building, the Postal Square building, Union Station and the Folger Shakespeare Library.

#### Facility Overview

Name/Type	Year Built	Age	Area (sq. ft)	Deferred Maintenance*	Capital Renewal*	Backlog**
Administration Building	1978	33	19,085	\$203,000	\$512,000	\$715,000
Coal Yard	1990	21	126,487	\$157,000	\$0	\$157,000
General Area	1909	102	269,659	\$230,000	\$129,000	\$359,000
Generator Building	1909	102	30,542	\$1,868,000	\$15,000	\$1,883,000
Main Boiler Plant	1909	102	74,820	\$9,019,000	\$41,375,000	\$50,394,000
Refrigeration Plant (East)	1937	74	22,696	\$1,901,000	\$5,052,000	\$6,953,000
Refrigeration Plant (West)	1978	33	122,917	\$21,379,000	\$9,096,000	\$30,475,000
West Refrigeration Plant (West Exp.)	2006	5	47,902	\$46,000	\$1,070,000	\$1,116,000
Storage Building (Butler Building)	2003	8	2,400	\$32,000	\$0	\$32,000
Tower Load Center (East)	1964	47	500	\$24,000	\$0	\$24,000
<b>Total</b>			<b>568,536</b>	<b>\$34,859,000</b>	<b>\$57,249,000</b>	<b>\$92,108,000</b>

\* Deferred Maintenance and Capital Renewal figures based on FY 2011 reporting.

\*\* Backlog equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance.



# Capitol Power Plant

## ECONOMIES AND EFFICIENCIES

In order to maximize funding in a zero-based budget environment, the AOC has made a concerted effort to identify economies and efficiencies to reduce costs and improve services. The Capitol Power Plant (CPP) jurisdiction recently identified and implemented several cost avoidance/savings initiatives. These enabled the AOC to apply funds toward the backlog of deferred maintenance and/or to use project funds in the most efficient and economic manner to continue to improve congressional facilities, systems, infrastructure and services.

**Initiative:** Tunnel Expansion Joint Replacement.

Cost Avoidance: \$500K.

In Fiscal Year 2011 CPP awarded a contract for an AE to design the replacement of 84 expansion joints in the R tunnel. The AE submitted a draft design which specified flanged expansion joints which was based on the existing equipment. At the direction of the CPP, the AE revised the specification to include a bid option for welded expansion joints. After the bids were received, the project was awarded to include the bid option resulting in construction cost avoidance of approximately \$500K (construction contract was awarded at \$4.5M instead of \$4.9M)

**Initiative:** Chiller Tube Maintenance.

Cost Avoidance: \$30K.

During the annual maintenance of two West Refrigeration Plant chillers last summer, the contractor notified CPP that the chiller condenser tubes had become blocked with excessive debris and would require additional cleaning which was not included in the standard maintenance contract. The cost for the additional work would be approximately \$20,000 per chiller for a total cost of \$40K. Rather than award a contract modification, CPP staff performed the additional cleaning in-house between other assignments and with overtime at a cost of \$10K resulting in maintenance cost avoidance of \$30K.

**Initiative:** Water Treatment (Salt Tank) Improvements.

Cost Savings: \$70K.

CPP uses large quantities of salt to regenerate water treatment systems. At the end of Fiscal Year 2010, CPP installed a new salt silo/brine system which replaced an outdated, leaking concrete tank and allowed CPP to purchase a less expensive quality of salt. The salt expenditures were reduced from approximately \$138K (in Fiscal Year 2010) to \$68K (in Fiscal Year 2011) resulting in an annual cost savings of \$70K.

**Initiative:** Reduction in Overtime and Converting to Compensatory Time.

Cost Savings: \$231K.

The CPP reduced overtime usage in Fiscal Year 2011 from 9% to 6% through the implementation of improved supervision and management controls. The CPP was also able to slightly reduce overtime costs by applying the use of compensatory time. Customer satisfaction and utility services were not impacted. This reduced overtime costs from \$734K (in Fiscal Year 2010) to \$503K (in Fiscal Year 2011) resulting in an annual savings of \$231K. The CPP was able to apply the cost savings toward other facility maintenance efforts. The AOC has also right-sized the Fiscal Year 2013 payroll budget requests as part of zero-based budgeting.



## Capitol Power Plant

### ECONOMIES AND EFFICIENCIES (continued)

**Initiative:** AOC Energy Savings – Overall Program Savings (Fiscal Year 2003 – Fiscal Year 2011.)

Cost Savings: \$12.4M.

Since Fiscal Year 2003 the AOC has reduced energy consumption by 19%, surpassing the goal of 18%. The total annual value of these savings is \$12.4 million using recent energy costs. Early in the energy program the majority of the savings were a result of the chiller plant upgrades within the Capitol Power Plant and improvements in the distribution tunnels. In Fiscal Year 2007 the AOC began an intensive effort to reduce energy consumption within the buildings. Improvements in the building are focused on (1) plug load reductions of building tenants (2) lighting systems improvements (3) HVAC savings through increased maintenance, better operational monitoring and scheduling improvements and (4) steam system savings in the buildings.

**Initiative:** AOC Energy Savings – Fiscal Year 2011.

Cost Savings: \$2.5M.

In Fiscal Year 2011, AOC reduced energy consumption by 4.3% in goal subject energy intensity as compared to the Fiscal Year 2003 goal subject energy intensity baseline. The sources of the energy savings were: Implementation of the Energy Savings Performance Contracts, Operational changes by each Jurisdiction, and “Free Cooling” at the Capitol Power Plant.

Energy Savings Performance Contracts – 74% of the Fiscal Year 2011 energy savings were related to the three on-going ESPC projects in the Capitol, House and Senate Office buildings. The major components of the ESPC projects are lighting improvements, installation of digital controls on HVAC systems and improvements to the steam distribution systems within the buildings.

Operational Changes by each Jurisdiction – 16% of the Fiscal Year 2011 energy savings were the result of operational and jurisdictional funded improvements in the buildings. Some examples of work done in the jurisdictions includes: (1) lighting system upgrades and fixture replacements (2) steam trap maintenance (3) demand response strategies which were implemented on gold days and often expanded to other periods of time (4) HVAC system shut downs at nights and weekends and (5) outreach to building tenants to encourage plug load reductions.

“Free Cooling” at the Capitol Power Plant – 10% of the Fiscal Year 2011 energy savings were the result of the Capitol Power Plant successfully implementing “free cooling” in the winter months. Through the free cooling effort the plant saved several million kilowatts of electricity during the Fiscal Year 2011 winter months.

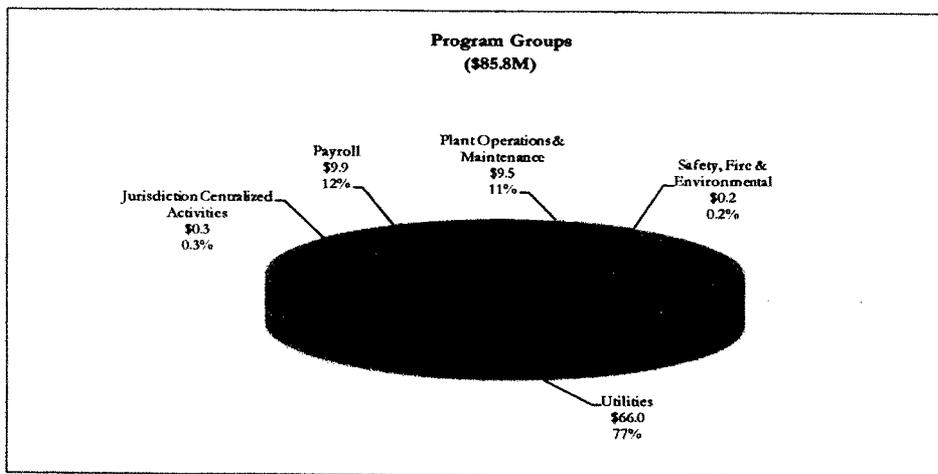


## Capitol Power Plant

### ZERO BASED JUSTIFICATION SUMMARY:

#### OPERATING BUDGET (FY 2013 Budget Request \$85.8M)

The Operating Budget of the Capitol Power Plant appropriation funds all costs associated with the daily care, maintenance and operation of its facility. The budget is divided into functional area Program Groups: Jurisdiction Centralized Activities, Payroll, Plant Operations and Maintenance, Safety, Fire and Environmental, and Utilities. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the HOB and AOC considered and prioritized funding based on historical data, current, and future requirements.

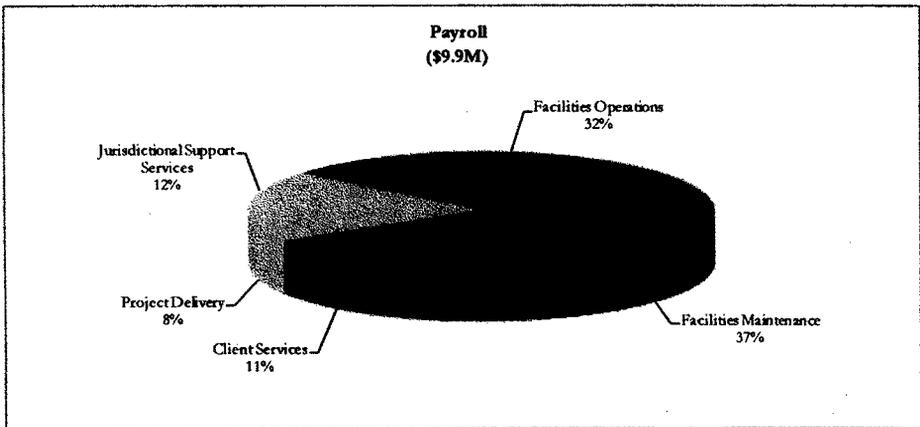




## Capitol Power Plant

### Payroll

The Capitol Power Plant appropriation is requesting \$9.9M for payroll. Work associated with operations accounts for 32% operation and maintenance accounts for 37%. This provides the manpower to operate and maintain heating and cooling equipment necessary to provide steam and chilled water to the AOC campus and customers. 11% of the work associated with client services provides operation and maintenance within the utility distribution system to all customer buildings. 8% of the work associated with project delivery accounts provides for planning, scope preparation, project review, contract administration, and client coordination. Work associated with support services accounts for 12% and provides inventory, human resource, financial and procurement support. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the CPP and AOC considered and prioritized funding based on historical data, current, and future requirements.



### Payroll Funded FTE Ceiling 85

#### Cost Accounting Code Definition:

**Facilities Maintenance:** Facilities maintenance activities encompass planned and corrective maintenance. Planned maintenance represents scheduled maintenance. Corrective maintenance includes emergency repairs.

**Facilities Operations:** Facilities operations activities include such tasks as custodial work, grounds care, road and walkway maintenance, power plant operations, and the provision of utilities. Facilities operations are associated with the day-to-day care of the Capitol complex.

**Client Services:** Client services include normal and special request services provided to AOC clients, their staffs, the public, citizens, and other constituencies. Examples include painting services, deliveries, and activities related to biennial election year office moves.

**Project Delivery:** AOC capital assets are provided and maintained through effective planning and project delivery. This includes planning, programming, design, construction, and the related management activities in the delivery of capital projects.

**Heritage Asset Stewardship:** Heritage asset stewardship activities include the care, maintenance, preservation, and presentation of the national treasures entrusted to the care of the AOC for present and future generations of visitors to the Capitol.

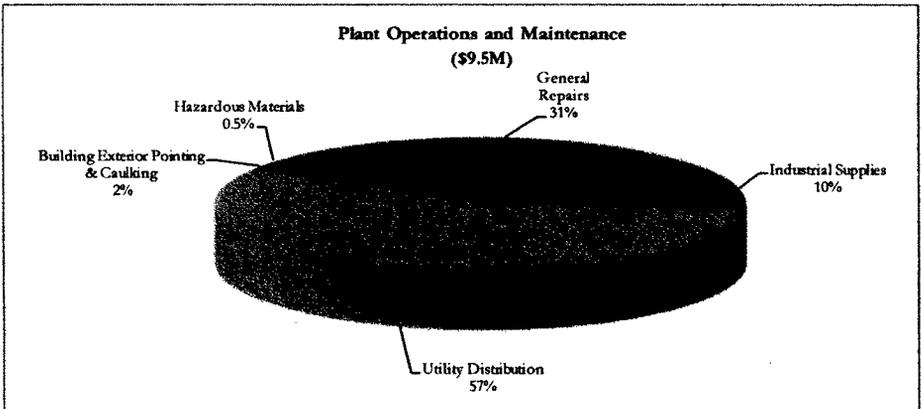
**Jurisdictional Support Services:** Support services activities encompass executive leadership and administrative support services such as human resources, information technology, financial, procurement, and campus-wide safety and security.



## Capitol Power Plant

### Plant Operations and Maintenance

The Capitol Power Plant (CPP) appropriation is requesting \$9.5M for the operation and maintenance of power plant equipment to include inspections of equipment, general annual repairs and maintenance, purchase of industrial supplies, operation and maintenance of the utility distribution system, exterior building maintenance and hazardous material abatement. Work associated with the utility distribution system accounts for 57% of the total request, which provides steam station repairs, concrete repairs, re-insulation work to steam lines, operations and maintenance contract for the utility distribution systems and maintenance of the energy meter system. General repairs and industrial supplies account for 41% of the request, which provides repairs, maintenance, chemicals to boiler and refrigeration equipment. Work associated with hazardous material and building exterior account for 2% of this request. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the CPP and AOC considered and prioritized funding based on historical data, current, and future requirements.



### Safety, Fire and Environmental

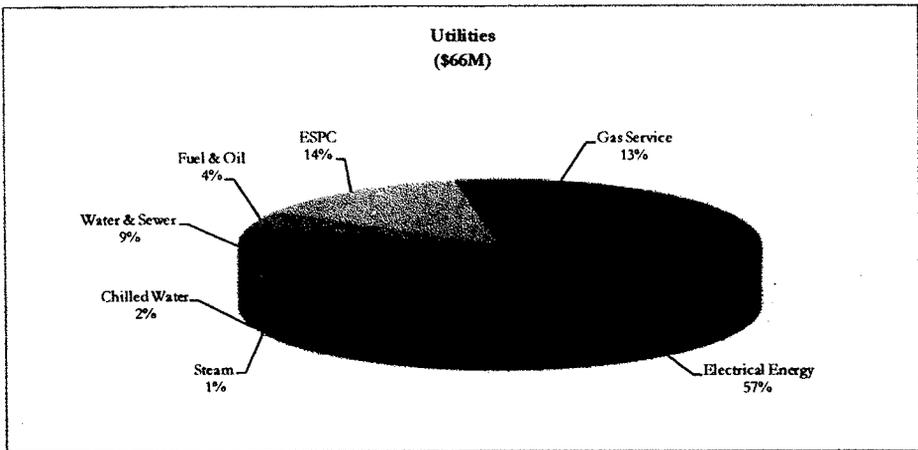
The Capitol Power Plant appropriation is requesting \$183K for safety – related activities in this program are: personal protective equipment, safety supplies and equipment and inspections and certifications. Personal protective equipment and safety supplies accounts for 56% of this request and provides equipment such as specialized safety clothing, i.e., arc flash protection apparel, safety shoes, safety glasses, confined space entry meters, fall protection devices and ear protection. Safety inspections and certifications accounts for 44% of this request and provides fire system inspections, boiler and refrigeration plant inspections. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the CPP and AOC considered and prioritized funding based on historical data, current, and future requirements.



## Capitol Power Plant

### Utilities

The Capitol Power Plant (CPP) appropriation is requesting \$66M for utilities. The CPP is responsible for the payment of all utilities for the entire Capitol campus, to include other facilities under the jurisdiction of the AOC, such as the National Audio Visual Conservation Center, Library of Congress facilities at Ft. Meade, the Alternate Computing Facility and the Senate Sergeant at Arms Mail Facility and payment for the Energy Savings Performance Contracts (ESPC) for the Senate Office Buildings, House Office Buildings and U.S. Capitol and steam and chilled water. Of the \$66M requested (excluding reimbursable) approximately 57% is used for electricity costs, 13% for natural gas, 14% is for payment of the Energy Savings Performance Contracts and the remaining 16% costs is for fuel oil, water and sewer services, steam and chilled water. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the CPP and AOC considered and prioritized funding based on historical data, current, and future requirements.





## Capitol Power Plant

### Jurisdiction Centralized Activities

The Capitol Power Plant (CPP) appropriation is requesting \$251K for centralized activities. Training and travel contribute to 43% of this request and is used primarily for required AOC and safety training. Emergency Preparedness accounts for 41% of this request and covers costs associated with program review and support in emergency preparedness exercises, updating current emergency preparedness plans and policies. Employee uniforms are funded with the remaining 16% and provide clothing in accordance with the AOC uniform policy. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the CPP and AOC considered and prioritized funding based on historical data, current, and future requirements.

Required Training (67% of total training)	Cost (\$000)
Safety Training (Asbestos/Lead Paint/HazCom, EARP, Hearing Conservation, Boiler safety, Environmental Management System (EMS), Traffic control, tunnel access refreshers, etc)	\$66
Policy training (Appropriation Law, COTR, Supervisory requirements, FEO, etc.)	\$4
<b>Total</b>	<b>\$70</b>



# Capitol Power Plant

## BUDGET SUMMARY

The Capitol Power Plant (CPP) appropriation is responsible for managing and operating the Capitol Power Plant. The CPP is the centralized provider of utility services for the Capitol campus and provides dedicated space for satellite communication dishes. The CPP operates and maintains a central steam plant for heating, a refrigeration plant that provides chilled water for air conditioning, and the tunnel distribution and associated metering systems to deliver these utilities. The CPP provides steam and chilled water for the U.S. Capitol, Senate office buildings, Senate garages, House office buildings, House garages, Library of Congress buildings, and the U.S. Botanic Garden. The CPP also provides steam and chilled water on a reimbursable basis to other clients, some of whom are not Legislative Branch entities, such as Union Station and the Folger Shakespeare Library.

Total Budget (\$000)					
Appropriation	FY 2011 <sup>1</sup> Operating Plan	FY 2011 <sup>2</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Operating Budget	101,765	87,912	85,612	85,833	221
Multi-Year Projects	15,070	12,107	37,617	32,700	(4,917)
<b>Total</b>	<b>116,835</b>	<b>100,018</b>	<b>123,229</b>	<b>118,533</b>	<b>(4,696)</b>

Operating Budget (\$000)					
Program Groups	FY 2011 <sup>1</sup> Operating Plan	FY 2011 <sup>2</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Facilities Maintenance	544	1,580			
Jurisdiction Centralized Activities	251	231	251	251	
Payroll	10,846	9,292	9,700	9,921	221
Plant Operations & Maintenance	5,980	6,358	9,463	9,463	
Safety, Fire and Environmental	183	152	183	183	
Utilities	83,961	70,299	66,015	66,015	
Annual-Funded Projects					
<b>Total</b>	<b>101,765</b>	<b>87,912</b>	<b>85,612</b>	<b>85,833</b>	<b>221</b>

Multi-Year Projects (\$000)					
Projects	FY 2011/2015 Enacted	FY 2011/2015 Actual Obs	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
<b>Total</b>	<b>15,070</b>	<b>12,107</b>	<b>37,617</b>	<b>32,700</b>	<b>(4,917)</b>

<sup>1</sup> Reflects FY 2010 Enacted with 0.2% rescission and initial congressionally-approved reprogramming.

<sup>2</sup> FY 2011 Actual Obligations can include reprogrammings/transfers from other appropriations.

Note: FY 2012 and FY 2013 figures do not include reimbursable.



# Capitol Power Plant

## BUDGET SUMMARY (continued)

Full Time Equivalents (FTE)						
Appropriation	Payroll Funded			Project Funded		
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	FY 2011 Actual	FY 2012 Estimate	FY 2013 Estimate
Capitol Power Plant	80	85	85	17	17	17

<sup>1</sup> FY 2012/2013 project funded FTEs are estimated figures and dependent to the numbers of projects funded.

FY 2013 Object Class (\$000)					
Object Class		FY 2011 <sup>1</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
11	Personnel Compensation	8,481	7,503	7,674	171
12	Personnel Benefits	2,483	2,197	2,247	50
21	Travel	9	8	8	-
22	Transportation of Things	-	-	-	-
23	Rent, Communications and Utilities	70,056	66,015	66,015	-
24	Printing and Reproduction	-	-	-	-
25	Other Contractual Services	26,652	11,410	10,535	(875)
26	Supplies and Materials	1,633	1,584	1,516	(69)
31	Equipment	64	63	60	(3)
32	Land and Structures	18,572	34,449	30,478	(3,971)
42	Insurance Claims and Indemnities	-	-	-	-
<b>Total</b>		<b>127,949</b>	<b>123,229</b>	<b>118,533</b>	<b>(4,696)</b>

<sup>1</sup> FY 2011 Actuals represents total obligations of funds incurred irrespective of the year of appropriation.



# Capitol Power Plant

## FY 2013 ANALYSIS OF CHANGE

	FY 2013 Appropriation	
	FTE	Amount (\$000)
<b>Fiscal Year 2012 Enacted (FTE reflects Payroll Funded only)</b>	<b>85</b>	<b>123,229</b>
Offsetting Collections .....		9,000
Adjusted, Appropriation, FY 2012.....		<u>132,229</u>
<b>Non-Recurring Costs</b>		-
Minor Construction.....		(4,000)
Utility Tunnel Program.....		(14,406)
WRP Chiller System Replacement, RPR, CPP.....		(800)
East Plant Chiller Relocation, RPR, CPP.....		(16,411)
Cogeneration Management Program.....		(2,000)
<b>Other Decreases</b>		
<b>Total Program Decreases</b>	<b>-</b>	<b>(37,617)</b>
<b>Mandatory Pay Related Costs:</b>		
FY 2013 Cost-of-Living Adjustment of 1.7%.....		109
FY 2013 Within Grade Increases.....		75
FY 2012 FEERS Adjustment from 11.7% to 11.9%.....		15
FY 2012 FEHB Employer Contribution Increase of 4%.....		22
<b>Total Mandatory Pay Related Costs</b>	<b>-</b>	<b>221</b>
<b>Price Level Changes:</b>		
<b>Total Price Level Changes</b>	<b>-</b>	<b>-</b>
<b>Program Increases:</b>		
Multi-Year Projects:		
WRPE Chiller Addition, Phase IIA, CPP.....		26,200
Cogeneration Management Program.....		2,500
Minor Construction.....		4,000
<b>Total Program Increases</b>	<b>-</b>	<b>32,700</b>
<b>Net Increase/Decrease</b>	<b>-</b>	<b>(4,696)</b>
Offsetting Collections .....		<u>(9,000)</u>
<b>Total Appropriation</b>	<b>85</b>	<b>118,533</b>



# Capitol Power Plant

## OPERATING BUDGET SUMMARY

The Operating Budget of the Capitol Power Plant appropriation funds all costs associated with the daily care, maintenance and operation of the Capitol Power Plant. The budget is divided into functional area Program Groups. In accordance with sound financial management practice, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process.

Operating Program (000)						
Program Groups	FY 2012 Enacted	Program Realignment/ Transfers	Mandatory Pay and Price Increases	Program Changes	FY 2013 Request	FY 2012/2013 Difference
Jurisdiction Centralized Activities	251	-	-	-	251	-
Payroll	9,700	-	221	-	9,921	221
Plant Operations & Maintenance	9,463	-	-	-	9,463	-
Safety, Fire and Environmental	183	-	-	-	183	-
Utilities	66,015	-	-	-	66,015	-
<b>Total</b>	<b>85,612</b>	<b>-</b>	<b>221</b>	<b>-</b>	<b>85,833</b>	<b>221</b>

### Program Groups - Description and Analysis of Changes

#### Jurisdiction Centralized Activities

**(FY 2012 Baseline: \$251K)**

**FY 2013 Request: \$251K)**

The Jurisdiction Centralized Activities Program Group funds training, registration, and seminar fees; travel; uniform allowances; vehicle leases, operations and maintenance; safety apparel; emergency preparedness, and gasoline and oil.

#### Payroll

**(FY 2012 Baseline: \$9,700K)**

**FY 2013 Request: \$9,921K)**

The Payroll Program Group funds salaries and benefits for employees specifically supporting the appropriation. It includes government staff salaries and other compensation (e.g., paid leave and lump sum annual leave payments upon separation); compensation above basic rates including overtime and holiday pay; employer contributions to the Civil Service Retirement System, the Federal Employees Retirement System and the Thrift Savings Plan, and employer contributions to Social Security, Medicare, Federal Employees Health Benefits and Federal Employees Group Life Insurance.

Additional funding of \$221K is requested for mandatory pay increases which include a Fiscal Year 2013 Cost-Of-Living Adjustment calculated using the Congressional Budget Office's economic assumption of 1.7%, Within Grade Increases of 1%, the Fiscal Year 2012 Federal Employee's Retirement System adjustment of 0.2%, agency health benefit contributions, and one more compensable day because 2013 is a leap year.



# Capitol Power Plant

## OPERATING BUDGET SUMMARY (continued)

### Power Plant Operation and Maintenance

(FY 2012 Baseline: \$9,463K)

FY 2013 Request: \$9,463K

The Power Plant Operations and Maintenance Program Group funds operations and maintenance of Power Plant equipment to include general annual repairs and maintenance, purchase of industrial supplies, insulation of steam and chilled water lines, and vehicle rentals.

### Safety, Fire and Environmental (SFE)

(FY 2012 Baseline: \$183K)

FY 2013 Request: \$183K

The Safety, Fire, and Environmental Program Group provides funding for safety-related activities, including procurement of personal protective equipment; confined-space entry meters; fall protection devices; electrical safety equipment; respirators and hard hats; and safety inspections and certifications. For the CPP, this Program Group provides funding for similar activities that are funded in the Jurisdiction Centralized Activities Program Group in other jurisdictions.

### Utilities

(FY 2012 Baseline: \$66,015K)

FY 2013 Budget Request: \$66,015K

The Utilities Program Group provides funding for the purchase of utilities for the entire Capitol campus including other facilities under the jurisdiction of the AOC, such as the National Audio Visual Conservation Center, the Alternate Computing Facility, and the Senate Sergeant at Arms Facility.

Utilities	FY 2012 Enacted	FY 2013 Budget Request			
		Realign	Price Increase	Program Increase	Total Request
Gas Service	17,734				17,734
Electrical Energy	39,500	(2,537)			36,963
Steam	700				700
Chilled Water	1,365				1,365
Water & Sewer	6,031				6,031
Fuel-Oil	2,100				2,100
Postal Square	750				750
Solid Fuel	450				450
Energy Saving Performance Contracts	6,385	2,537			8,922
Reimbursement, Steam & Chilled Water	(9,000)				(9,000)
<b>Total</b>	<b>66,015</b>				<b>66,015</b>

\*\$8,922K represents payments to Energy Service Companies for initial ESPC energy savings.



# Capitol Power Plant

## CAPITAL MULTI-YEAR PROJECTS SUMMARY

The Capital Budget consists of major construction or system replacement requirements to address fire, life-safety, and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs, with a focus on energy savings. It also may include funds that provide jurisdictions with the flexibility to respond to unforeseen minor construction requirements as generated from the AOC, Members, Committees, and other AOC clients.

<b>Multi-Year Projects (\$000)</b>		<b>Request Amount</b>
<b>Line Item Construction Program Projects:</b>		
WRPE Chiller Addition, Phase II A, CPP.....		26,200
	<b>Total</b>	<b>26,200</b>
<b>Other Projects:</b>		
Minor Construction.....		4,000
Cogeneration Management Program.....		2,500
	<b>Total</b>	<b>6,500</b>
	<b>Total Project Request</b>	<b>32,700</b>

### Minor Construction

**\$4,000K**

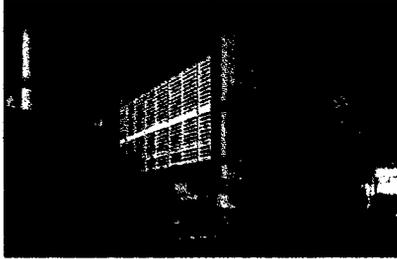
No increase is requested above the Fiscal Year 2012 Enacted amount in order to sustain the necessary level of service for unforeseen construction and repair projects for the Capitol Power Plant.



## Capitol Power Plant

**Project Title: WRP Chiller System Replacement  
Refrigeration Plant Revitalization, Phase IIA, CPP**

**Cost: \$26,200K**



**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction of the second phase of a three phase program; Deferred Maintenance; Mission/Energy Efficiency and Environmental Quality.

**Design Completed:** Anticipated completion in January 2012.

**Facility Condition Assessment:** 0.121 = Poor condition. (The AOC goal is all facilities in Good condition or rating in the range of .02 - .06. Higher ratings indicate facility is in worse condition.) Upon completion of this project, the Facility Condition Index should change to Good condition.

AOC Prioritization: 4 of 16 (75 considered.)

**Anticipated Start and End Dates:** Project duration is 24 months which includes one year of long-lead equipment order time. Anticipate award by December 2012, with completion by December 2014. Dates are contingent upon status of appropriations bill, fund availability, quality of contractor bids, congressional schedules and other factors.

**Citation Driven:** No.

**Client Request:** No.

**Previously Requested:** First time request for this phase.

**Program Cost:** The Refrigeration Plant Revitalization program was originally anticipated to be three phases; however, for affordability reasons, the three phases have been reworked to include additional sub-phases.

- Received \$7,200K between FY 2008 and FY 2011 for design of phases I - III.
- Received \$16,411K in FY 2012 for Phase I construction for the relocation of two existing chillers from the East Plant.
- Requesting \$26,200K for Phase IIA in FY 2013 for two chillers and associated infrastructure of which \$200K is designated for USCP overtime. This is currently an estimate and the AOC is working with the USCP to validate this amount.
- Anticipates requesting approximately \$20,000K in FY 2014 for cooling tower and other condenser water infrastructure.
- Anticipates requesting approximately \$111,400K to complete the program between FY 2015 and FY 2018.



## Capitol Power Plant

**Cost of Recurring Operations:** No new operational needs are identified with this program.

- However, approximately \$300K was spent in FY 2011 for unplanned maintenance of the four chillers in the West Refrigeration Plant.
- This project will replace these chillers and should allow the AOC to use unplanned maintenance funds for other Capitol Power Plant deferred maintenance.

**Project Description:**

The overall Refrigeration Plant Revitalization program seeks to replace four chillers in the West Refrigeration Plant which are over thirty years old and more than ten years beyond their useful life. The project installs two variable speed high efficiency centrifugal chillers and ancillary equipment in the West Refrigeration Plant Expansion to maintain reliable chilled water for cooling the facilities on the Capitol campus.

**Risk and Impact If Not Funded:**

The capacity of the West Refrigeration Plant chillers is required to meet the current cooling demands of the Capitol campus. There are currently four existing chillers in the West Plant that were installed in 1978 and are beyond their useful life. Not funding this project will allow the following to continue and increase in intensity:

- The reliability of the existing chillers will decrease and cannot be guaranteed to satisfy the overall campus cooling demand.
- Operational costs to the chilled water generation system in maintenance, repair and energy consumption will increase. Current technology chillers are 50% more efficient than the existing West Refrigeration Plant chillers.
- Chiller failures, which have happened in the recent past, will continue to occur and increase in number.
- The existing chillers use an ozone depleting refrigerant which is being phased out.
- CPP staff has encountered increased difficulty in obtaining spare parts required for chiller maintenance and repair.

Failure to complete this project will result in current and future capacity deficiencies, potential catastrophic chiller failure, and increased operating, repair, maintenance and energy costs. Impacts also include interruption of chilled water to the Capitol campus resulting in compromised environmental conditions impacting occupant comfort, information technology equipment, and curatorial preservation of artwork, furniture, documents, and frescos.



# Capitol Power Plant

**Project Title:** Cogeneration Management Program

**Cost:** \$2,500K

**Project Phase; Classification; Capital Improvements Plan (Goals):** Capital Improvement; Capital Construction; Energy/Mission Accomplishment.

**Design Completed:** Design is underway.

**Facility Condition Assessment:** Not Applicable.

**AOC Prioritization:** Not Applicable. This project will be financed using a Utility Energy Services Contract. The AOC will pay for construction management costs and USCP overtime.

**Anticipated Start and End Dates:** On-going with completion tentatively scheduled for FY 2015.

**Citation Driven:** No.

**Client Request:** No. However this project will result in energy savings required by the Energy Independence and Security Act.

**Previously Requested:** Yes.

- The AOC requested \$2,000K and funded in FY 2012.
- This will be an annual recurring cost until the project is complete.

**Cost of Recurring Operations:** The construction contract will be financed via a Utility Energy Services Contract.

- Recurring operations costs are yet to be determined; but the AOC anticipates dollars savings from not having to purchase energy to run the Capitol Power Plant.

## Project Description:

The project will provide for project management, construction management, and review and commissioning services by contracting for these on a temporary basis.

- The Cogeneration Utility Energy Services Contract will result in heavy construction at the Capitol Power Plant.
- Work involves specialized industrial equipment that must be installed and connected to critical operations equipment and systems. This is necessary to prevent negative impact to the delivery of steam and chilled water to the Capitol complex, while enhancing the energy efficiency of the Capitol Power Plant.
- Within the total amount of the request, \$200K will be required for USCP overtime. This is currently an estimate. The AOC is working with the USCP to validate this number.

The AOC must ensure the construction is properly managed. This is a temporary increase in workload and is most cost effectively supported through short term contracted staff rather than requesting an increase in Full Time Equivalents.

## Risk and Impact if Not Funded:

Without these funds and services, the AOC will be unable to monitor and verify the proper execution of the construction contract.

- The AOC will lose opportunities to save energy, as well as ensure security and continuity of government operations.

The AOC may be non-compliant with the Energy Independence and Security Act in terms of reducing energy.



## Library Buildings and Grounds



James Madison



John Adams



Thomas Jefferson

### AOC MISSION

To serve Congress and the Supreme Court, preserve America's Capitol, and inspire memorable experiences.

### RESPONSIBILITIES IN SUPPORT OF AOC MISSION

The Library Building and Grounds jurisdiction is responsible for the maintenance, repair, operations, mechanical and electrical infrastructure, heating, ventilation and air conditioning (HVAC), plumbing, painting, grounds maintenance, snow removal and any construction to the Library of Congress Buildings and Grounds. Facilities include the James Madison Memorial Building, John Adams Building, Thomas Jefferson Building, and Library of Congress Special Facilities Center. The Library Building and Grounds manages the Library of Congress facilities within the 100-acre campus at Fort Meade, Maryland. These include book and collection storage modules with environmentally-controlled conditions for Library collections. The Library Building and Grounds jurisdiction also is responsible for the structural and mechanical care of the Packard Campus of the National Audio-Visual Conservation Center located on 45 acres in Culpeper, Virginia. The Center is the Nation's centralized facility for acquisition, cataloging, storage and preservation of moving images and recorded sound.

#### Facility Overview

Facility	Year	Age	Area (sq. ft.)	Deferred Maintenance	Capital Renewal	Backlog
Book Storage Modules (Ft. Meade)	2002	9	169,543	\$0	\$18,000	\$18,000
James Madison Memorial Building	1980	31	2,084,576	\$60,563,000	\$92,406,000	\$152,969,000
John Adams Building	1938	73	765,931	\$70,775,000	\$40,578,000	\$111,353,000
Packard Campus	2007	4	426,266	\$4,047,000	\$0	\$4,047,000
St Cecilia Facilities Center	1990	21	42,654	\$0	\$0	\$50,000
Thomas Jefferson Building	1897	114	635,144	\$21,306,000	\$37,453,000	\$58,759,000
Warehouse Buildings (Ft. Meade)			187,143	\$18,367,000	\$592,000	\$18,959,000
<b>Total</b>			<b>4,311,257</b>	<b>\$175,058,000</b>	<b>\$171,047,000</b>	<b>\$346,155,000</b>

\* Deferred Maintenance and Capital Renewal figures based on FY 2011 reporting

\*\*Backlog equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance.



## Library Buildings and Grounds

### ECONOMIES AND EFFICIENCIES

In order to maximize funding in a zero-based budget environment, the AOC has made a concerted effort to find efficiencies and more effective processes. The Library Building and Grounds jurisdiction recently identified and implemented several cost avoidance/savings initiatives. These enabled the AOC to apply funds toward the backlog of deferred maintenance, and/or to use project funds in the most efficient and economic manner to continue to improve congressional facilities, systems, infrastructure and services.

**Initiative:** New employees are hired under alternate schedules (versus traditional Monday – Friday) to provide coverage on the weekends.

Cost Savings: \$305K.

During Fiscal Year 2010 and Fiscal Year 2011, several employees were hired under alternative schedules (versus Monday through Friday). With the alternative schedule, the LB&G maintains the same level of coverage on weekends (approximately 15% of the total LB&G work force) as previous to the program's implementation, while reducing the per hour (overtime) rate. Not only is cost savings derived from this initiative, the implementation of alternate schedules has provided a consistent rather than, rotating staff on weekends improving the continuity of operations, maintenance activities, and emergency response. LB&G was able to apply the in cost savings toward other facility maintenance efforts. The AOC and LB&G have also right-sized the Fiscal Year 2013 payroll budget request as part of zero-based budgeting.

**Initiative:** Reduced Overtime Work.

Cost Savings: \$500K.

Overtime costs were reduced from Fiscal Year 2010 to Fiscal Year 2011 by instituting alternative work schedules for employees (highlighted above), and by implementing methods to streamline maintenance operations to reduce overall completion time. Projects and plans are reviewed prior to commencement to identify time saving measures, and analyzed to determine if projects can be combined to save resources. Better planning has allowed LB&G to provide the same level of client service while still reducing overtime cost. LB&G was able to apply the in cost savings toward other facility maintenance efforts. The AOC and LB&G have also right-sized the Fiscal Year 2013 payroll budget request as part of zero-based budgeting.

**Initiative:** Installed Variable Frequency Drives (VFDs.)

Cost Avoidance: \$150K.

Night set back initiatives are programs implemented, within the LB&G jurisdiction, with the goal of reducing energy use as well as providing cost savings. Night set back programs are predominately HVAC and Lighting related, however other systems can and will be considered for future energy reductions. The Variable Frequency Drive Installation program as described below is a part of the HVAC set back initiative.

**Initiative:** Automatic Lighting Night Set Back.

Cost Avoidance: \$95K.

Night Set Back initiatives are programs implemented within the LB&G jurisdiction with the goal of reducing energy use as well as providing cost savings. Night Set Back programs are predominately HVAC and lighting related, however other systems can and will be considered for future energy reductions. The Automatic Lighting Shut Off program is a part of the Lighting Set Back initiative. This resulted in energy cost avoidance.

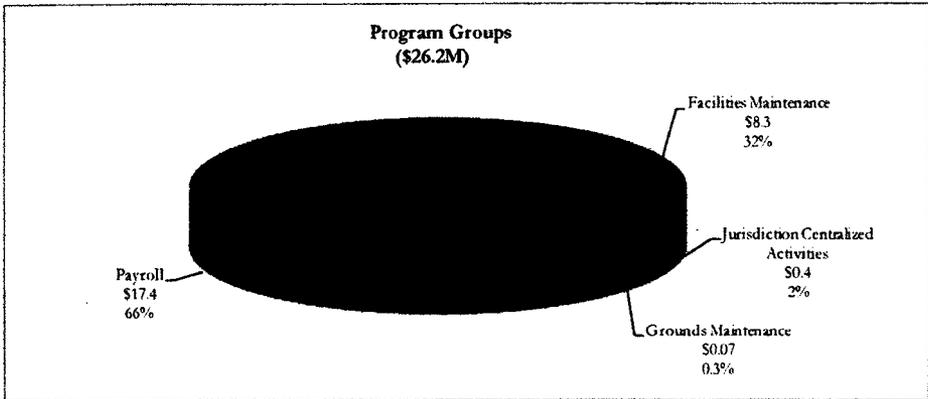


## Library Buildings and Grounds

### ZERO BASED JUSTIFICATION SUMMARY:

#### OPERATING BUDGET (FY 2013 Budget Request \$26.2M)

The Operating Budget of the Library Buildings and Grounds appropriation funds all costs associated with the daily care, maintenance and operation of the Library Buildings and Grounds with the exception of cleaning services. The budget is divided into functional area Program Groups: Facilities Maintenance, Grounds Maintenance, Jurisdiction Centralized Activities, and Payroll. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, LB&G and the AOC considered and prioritized funding based on historical data, current, and future requirements.

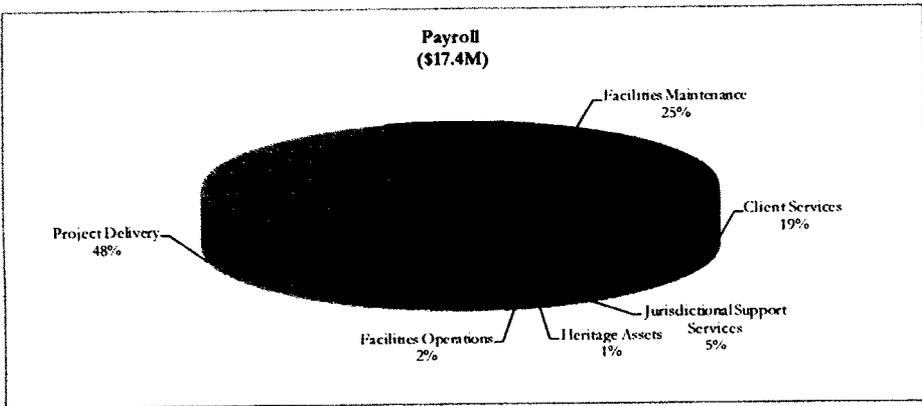




## Library Buildings and Grounds

### Payroll

The Library Buildings and Grounds (LB&G) appropriation is requesting \$17.4M for Payroll. Project delivery accounts for 48% of the total payroll. Work associated with project delivery includes time spent in planning, scope preparation, project design, project review, contract administration, client coordination, including planning for building outages, as well as startup and commissioning of new systems. Facilities maintenance and client services account for 25% and 19% respectively. Portions of employee duties related to these categories are maintenance activities; both planned and demand, emergency maintenance response, projects under the Space Modernization Program, and support for multi-year funded projects. To maintain the AOC's high level of customer satisfaction, employees spend time providing outreach, consultation, and briefing service to the clients; Library of Congress staff. Jurisdictional Support Services is 5% of the request, and provides for the necessary management, oversight, and guidance to ensure efficient jurisdiction operations. Due the large amount of heritage assets within the campus, specifically the Thomas Jefferson Building, a portion of the payroll covers the planning, management, and oversight of maintenance for these works of art to ensure they are available for future generations. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, LB&G and the AOC considered and prioritized funding based on historical data, current, and future requirements.



### Payroll Funded FTE Ceiling 160

#### Cost Accounting Code Definition:

**Facilities Maintenance:** Facilities maintenance activities encompass planned and corrective maintenance. Planned maintenance represents scheduled maintenance. Corrective maintenance includes emergency repairs.

**Facilities Operations:** Facilities operations activities include such tasks as custodial work, grounds care, road and walkway maintenance, power plant operations, and the provision of utilities. Facilities operations are associated with the day-to-day care of the Capitol complex.

**Client Services:** Client services include normal and special request services provided to AOC clients, their staffs, the public, citizens, and other constituencies. Examples include printing services, deliveries, and activities related to biennial election year office moves.

**Project Delivery:** AOC capital assets are provided and maintained through effective planning and project delivery. This includes planning, programming, design, construction, and the related management activities in the delivery of capital projects.

**Heritage Asset Stewardship:** Heritage asset stewardship activities include the care, maintenance, preservation, and presentation of the national treasures entrusted to the care of the AOC for present and future generations of visitors to the Capitol.

**Jurisdictional Support Services:** Support Services activities encompass executive leadership and administrative support services such as human resources, information technology, financial, procurement, and campus wide safety and security.



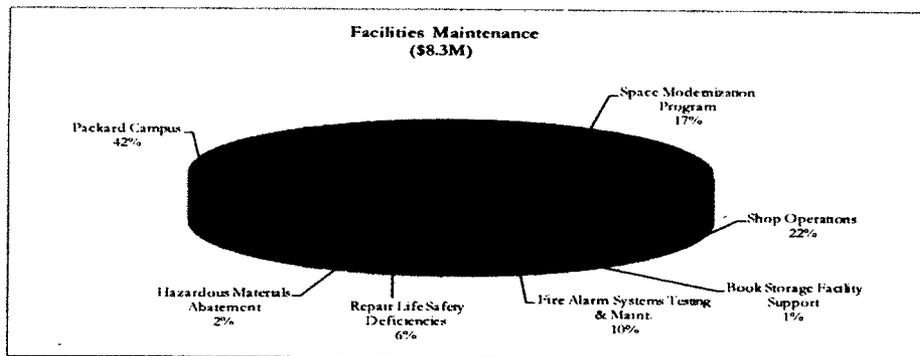
## Library Buildings and Grounds

### Facilities Maintenance

The Library Buildings and Grounds (LB&G) appropriation is requesting \$8.3M for Facilities Maintenance. This provides annual building maintenance service for daily Library of Congress operations (including site locations in Culpeper, Virginia and Fort Meade, Maryland.) Funding for the Packard Campus for Audio Visual Conservation in Culpeper represents 42% of the Facilities Maintenance request, and is used for the contract of the daily maintenance and care of the 426,266 square foot facility. Along with operations costs, the request covers costs associated with the extensive testing, sampling, and permit process that is required from laboratory and film processing activities.

The Library's Collection Storage Modules, located on the Fort Meade Army Installation, comprises 13% of the Facilities Maintenance request and covers the contract for daily operations and maintenance of the existing landscaping and structures, including storage warehouses. The space modernization program is 17% of the Facilities Maintenance request, and funds 25 to 30 smaller scale renovations such as office space reconfigurations, renovations of public spaces (Health Unit and Cafeterias), and space relocations related to Library reorganizations. Successful implementation of this program is key to achieving outstanding AOC client satisfaction.

Shop Operations is 22% of the Facilities Maintenance request, and includes materials and parts for use in plumbing, electrical, masonry, carpentry, elevator, sheet metal and other trades. Maintenance such as painting of public spaces, group re-lamping, pointing and caulking are funded from this group. This also covers supply and service for HVAC filters, grease trap maintenance, and back flow prevention inspections. Facilities Maintenance funds maintenance and inspection of murals, decorative paint schemes, sculptures, mosaics and other fine art heritage assets. Fire alarm systems and testing maintenance is 10% of the Facilities Maintenance request. Fire and life safety systems such as smoke and beam detectors, sprinklers, strobes, and flow switches require stringent inspection, testing and maintenance. Repair life safety deficiencies and hazardous materials abatement are 6% and 2% of the Facilities Maintenance request respectively. These funds cover costs to correct deficiencies and hazards identified in life safety inspections. This enables Library Buildings and Grounds to be proactive, ultimately cultivating a safer work environment. The hazardous materials abatement line covers costs associated with asbestos, lead, mold, and other hazardous materials removal. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, LB&G and the AOC considered and prioritized funding based on historical data, current, and future requirements.



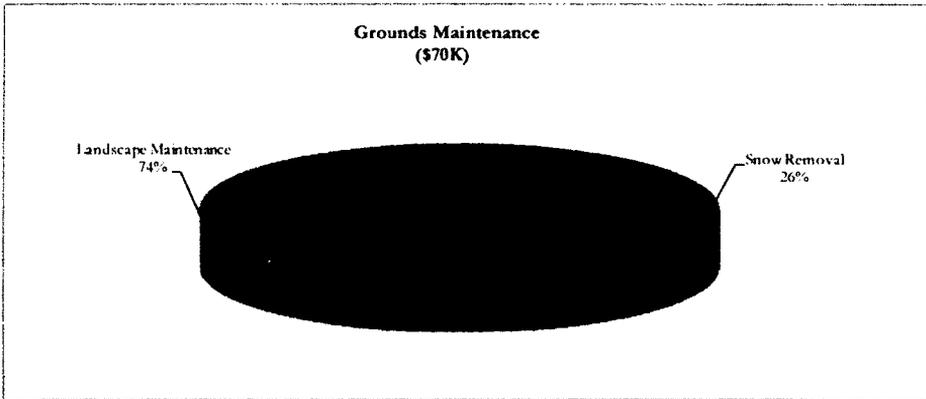
AOC FY 2013 Budget Request  
LBG-5



## Library Buildings and Grounds

### Grounds Maintenance

The Library Buildings and Grounds (LB&G) appropriation is requesting \$70K for Grounds Maintenance. Unlike other Architect of the Capitol jurisdictions which are served by the Capitol Grounds, the Library Buildings and Grounds is responsible for their own grounds keeping, landscape maintenance, and snow removal. Purchases for equipment needed to perform landscaping activities, and purchases for softscaping are funded from the landscape maintenance line. Further, salt, snow melt, snow blowers, spreaders, and other snow removal items are funded from the snow removal line. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, LB&G and the AOC considered and prioritized funding based on historical data, current, and future requirements.

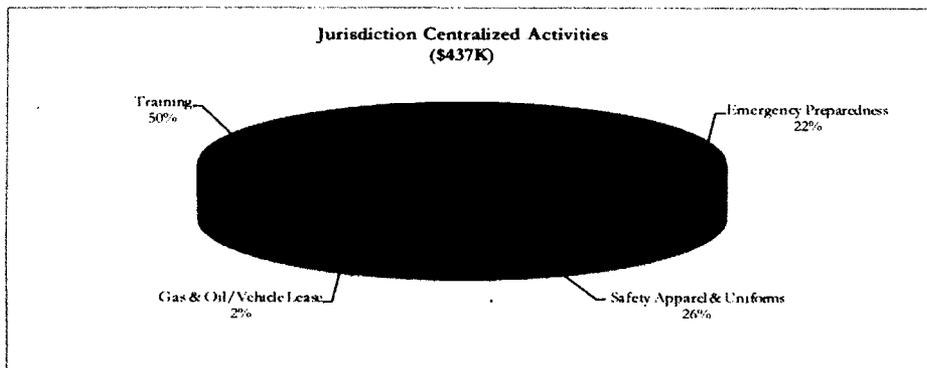




## Library Buildings and Grounds

### Jurisdiction Centralized Activities

The Library Buildings and Grounds (LB&G) appropriation is requesting \$437K for Jurisdiction Centralized Activities. Training and travel contribute to 50% of the request, with the majority of the expense covering required training. Emergency preparedness accounts for 22% of the Jurisdiction Centralized Activities request and funds support in emergency preparedness drills and exercises, updating and verifying current emergency preparedness plans and polices, and for emergency preparedness related projects such as decontamination sites. Employee uniforms are funded through the uniform allowance line and provides for shirts, pants, hats, jackets, and other clothing items in accordance with the AOC uniform policy, while the safety apparel line provides for safety shoes, safety glasses, and specialized safety clothing such as arc flash protection apparel. A minor portion of the Jurisdiction Centralized Activities account is used for the gas and oil necessary to maintain three government owned vehicles. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, LB&G and the AOC considered and prioritized funding based on historical data, current, and future requirements.



Category	Cost (\$K)
<b>Travel Training (77% of total training)</b>	
Safety (OSHA, first aid, electrical, fall protection, fire, hazardous waste...)	\$77
Supervisor (EEO, Coaching & Counseling, Ethics...)	\$24
Contracting Officer's Representative (COTR)	\$3
<b>Total</b>	<b>\$104</b>



# Library Buildings and Grounds

## BUDGET SUMMARY

The Library Buildings and Grounds appropriation is responsible for the maintenance, repair, operations, mechanical and electrical infrastructure, heating, ventilation and air conditioning (HVAC), plumbing, painting, and any construction to the Library of Congress Buildings and Grounds. Buildings include the Thomas Jefferson Building, John Adams Building, James Madison Memorial Building, and Library of Congress Special Facilities Center. The AOC manages Library Buildings and Grounds facilities within the 100-acre campus at Fort Meade, Maryland. These include book and collection storage modules with environmentally-controlled conditions for Library collections. The AOC also is responsible for the structural and mechanical care of the Packard Campus for Audio-Visual Conservation (centralized facility for acquisition, cataloging, storage and preservation of moving images and recorded sound) located on 45 acres in Culpeper, Virginia.

Total Budget (\$000)					
Appropriation	FY 2011 <sup>1</sup> Operating Plan	FY 2011 <sup>2</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Operating Budget	26,885	27,067	25,760	26,164	404
Multi-Year Projects	13,829	1,112	21,116	27,430	6,314
<b>Total</b>	<b>40,713</b>	<b>28,179</b>	<b>46,876</b>	<b>53,594</b>	<b>6,718</b>

Operating Budget (\$000)					
Program Groups	FY 2011 <sup>1</sup> Operating Plan	FY 2011 <sup>2</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Facilities Maintenance	8,864	9,910	8,253	8,253	
General Facilities	414	416			
Grounds Maintenance	170	165	70	70	
Jurisdiction Centralized Activities	437	311	437	437	
Payroll	17,000	15,472	17,000	17,404	404
Annual-Funded Projects		793			
<b>Total</b>	<b>26,885</b>	<b>27,067</b>	<b>25,760</b>	<b>26,164</b>	<b>404</b>

Multi-Year Projects (\$000)					
Projects	FY 2011/2015 Enacted	FY 2011/2015 Actual Obs	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
<b>Total</b>	<b>13,829</b>	<b>1,112</b>	<b>21,116</b>	<b>27,430</b>	<b>6,314</b>

<sup>1</sup> Reflects FY 2010 Enacted with 0.2% rescission and initial congressionally-approved reprogramming.

<sup>2</sup> FY 2011 Actual Obligations can include reprogrammings/transfers from other appropriations.



# Library Buildings and Grounds

## BUDGET SUMMARY (continued)

Full Time Equivalents (FTE)						
Appropriation	Payroll Funded			Project Funded		
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	FY 2011 Actual	FY 2012 Estimate	FY 2013 Estimate
Library Buildings & Grounds	148	160	160	80	80	80

<sup>1</sup>FY 2012/2013 project funded FTEs are estimated figures and dependent to the numbers of projects funded.

FY 2013 Object Class (\$000)				
Object Class	FY 2011 <sup>1</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
11 Personnel Compensation	18,074	12,955	13,262	307
12 Personnel Benefits	5,644	4,045	4,142	97
21 Travel	6	11	13	2
22 Transportation of Things	-	-	-	-
23 Rent, Communications and Utilities	-	-	-	-
24 Printing and Reproduction	-	-	-	-
25 Other Contractual Services	14,480	14,301	15,542	1,241
26 Supplies and Materials	1,101	1,848	2,204	356
31 Equipment	46	77	91	14
32 Land and Structures	2,168	13,638	18,338	4,700
42 Insurance Claims and Indemnities	1	1	2	1
<b>Total</b>	<b>41,520</b>	<b>46,876</b>	<b>53,594</b>	<b>6,718</b>

<sup>1</sup>FY 2011 Actuals represents total obligations of funds incurred irrespective of the year of appropriation.



# Library Buildings and Grounds

## FY 2013 ANALYSIS OF CHANGE

Fiscal Year 2012 Enacted (FTE reflects Payroll Funded only)	FY 2013 Appropriation	
	FTE	Amount (\$000)
	160	46,876
<b>Non-Recurring Costs</b>		
Minor Construction		(2,000)
ABA Space Reorganization, Phase III of V, JMMB		(500)
Secured Storage Facilities, Phase III of IV, Basement, JMMB		(2,000)
Air Handling Unit Replacement (Decks A & B) and Hazardous Materials Abatement (Decks B, C & D), TJB		(2,047)
Sprinkler System, West Main Pavilion 1st Floor, Phase III of III, TJB		(4,100)
LOC Egress Improvements		(1,126)
Garage Structural Repairs, Entry Improvements & Generator Replacement, Phase I of III, JAB		(5,000)
Fall Protection, JMMB		(4,034)
East and West Pavilion Copper Roof and Fall Protection Replacement Design, TJB		(309)
<b>Other Decreases</b>		
<b>Total Program Decreases</b>	-	(21,116)
<b>Mandatory Pay Related Costs:</b>		
FY 2013 Cost of Living Adjustment of 1.7%.....		26
FY 2013 Within Grade Increases.....		201
FY 2012 FERS Adjustment from 11.7% to 11.9%.....		131
FY 2012 FEHB Employer Contribution Increase of 4%.....		46
<b>Total Mandatory Pay Related Costs</b>	-	<b>404</b>
<b>Total Price Level Changes</b>	-	-
<b>Program Increases:</b>		
Multi-Year Projects:		
North Exit Stair B, Phase II of II, TJB.....		13,117
Secured Storage Facilities, Phase IV of IV, 3rd Floor, JMMB.....		2,400
Roof Repairs and Fall Protection Replacement Design, TJB.....		791
Fall Protection, JMMB.....		3,622
Collection Storage Module 5, LOC.....		5,000
Minor Construction.....		2,000
ABA Space Reorganization, Phase IV of V, JMMB.....		500
<b>Total Program Increases</b>	-	<b>27,430</b>
<b>Net Increase/Decrease</b>	-	<b>6,718</b>
<b>Total Appropriation</b>	<b>160</b>	<b>53,594</b>



# Library Buildings and Grounds

## OPERATING BUDGET SUMMARY

The Operating Budget of the Library Buildings and Grounds appropriation funds all costs associated with the daily care, maintenance and operation of the Library Buildings and Grounds with the exception of cleaning services. The budget is divided into functional area Program Groups. In accordance with sound financial management practices, these Program Groups are reviewed and adjusted to reflect changing program needs and price changes. Increases that cannot be absorbed are requested through the budget process.

Operating Program (2000)						
Program Groups	FY 2012 Enacted	Program Realignment/ Transfers	Mandatory Pay and Price Increase	Program Changes	FY 2013 Request	FY 2012/2013 Difference
Facilities Maintenance	8,253	-	-	-	8,253	-
Grounds Maintenance	70	-	-	-	70	-
Jurisdiction Centralized Activities	437	-	-	-	437	-
Payroll	17,000	-	404	-	17,404	404
<b>Total</b>	<b>25,760</b>	<b>-</b>	<b>404</b>	<b>-</b>	<b>26,164</b>	<b>404</b>

### Program Groups - Description and Analysis of Changes

#### Facilities Maintenance

**(FY 2012 Baseline: \$8,253K)**

**FY 2013 Request: \$8,253K)**

The Facilities Maintenance Program Group funds annual building maintenance services required throughout the buildings under the appropriation's purview. It includes repairing and modifying air conditioning systems, electrical systems, elevators, masonry, and plumbing; preventative interior and exterior building maintenance (painting, pointing, caulking, and surface preservation); solid and bulk waste disposal; maintenance of fire alarm systems; and systems maintenance, as applicable.

#### Grounds Maintenance

**(FY 2012 Baseline: \$70K)**

**FY 2013 Request: \$70K)**

The Grounds Maintenance Program Group funds leaf and snow removal, lawn and landscape maintenance and the purchase of grounds maintenance supplies and equipment for LOC facilities other than those located at Fort Meade and Culpeper.



## Library Buildings and Grounds

### OPERATING BUDGET SUMMARY (continued)

#### Jurisdiction Centralized Activities

**(FY 2012 Baseline: \$437K)**

**FY 2013 Request: \$437K)**

The Jurisdiction Centralized Activities Program Group funds training, registration, and seminar fees; travel; uniform allowances; vehicle leases, operations and maintenance; safety apparel; emergency preparedness activities and gasoline and oil, as applicable.

#### Payroll

**(FY 2012 Baseline: \$17,000K)**

**FY 2013 Request: \$17,404K)**

The Payroll Program Group funds salaries and benefits for employees specifically supporting the appropriation. It includes government staff salaries and other compensation (e.g., paid leave and lump sum annual leave payments upon separation); compensation above basic rates including overtime and holiday pay; employer contributions to the Civil Service Retirement System, the Federal Employees Retirement System and the Thrift Savings Plan and employer contributions to Social Security Medicare, Federal Employees Health Benefits and Federal Employees Group Life Insurance.

Additional funding of \$404K is requested for mandatory pay increases which include a Fiscal Year 2013 Cost-Of-Living Adjustment calculated using the Congressional Budget Office's economic assumption of 1.7%, Within Grade Increases of 1%, the Fiscal Year 2012 Federal Employee's Retirement System adjustment of 0.2%, agency health benefit contributions, and one more compensable day because 2013 is a leap year.



## Library Buildings and Grounds

### CAPITAL MULTI-YEAR PROJECTS SUMMARY

The Capital Budget consists of major construction or system replacement requirements to address fire, life-safety, and security issues; deferred maintenance; capital renewal, capital improvement; capital construction; and necessary studies and designs; with a focus on energy savings. It also may include funds that provide jurisdictions with the flexibility to respond to unforeseen Minor Construction requirements as generated from the AOC, Members, Committees, and other AOC clients.

<b>Multi-Year Projects (\$000)</b>		<b>Request Amount</b>
<b>Line Item Construction Program Projects:</b>		
North Exit Stair B, Phase II of II, TJB.....		13,117
Secured Storage Facilities, Phase IV of IV, 3rd Floor, JMMB.....		2,400
Roof Repairs and Fall Protection Replacement Design, TJB.....		791
Fall Protection, JMMB.....		3,622
Collection Storage Module 5, LOC.....		5,000
	<b>Total</b>	<b>24,930</b>
<b>Other Projects:</b>		
Minor Construction.....		2,000
ABA Space Reorganization, Phase IV of V, JMMB.....		500
	<b>Total</b>	<b>2,500</b>
	<b>Total Project Request</b>	<b>27,430</b>

#### Minor Construction

**\$2,000K**

No minor construction increase is requested above the Fiscal Year 2012 Enacted amount. This funding will sustain the necessary level of service for unforeseen construction and repair projects for the Library of Congress.



## Library Buildings and Grounds

**Project Title:** North Exit Stair B, Thomas Jefferson Building

**Cost:** \$13,117K



**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction; Capital Improvement; Regulatory Compliance (Citation and Life Safety)

**Study/Design Completed:** The AOC conducted a study to outline Thomas Jefferson Building deficient egress in April 2000. The AOC completed a design in May 2009.

**Facility Condition Index:** 0.028 = Good condition. (The AOC goal is for all facilities to be in Good condition with a Facility Condition Assessment rating in the range of 0.02 – 0.06. Higher ratings indicate facility is in worse condition.)

**AOC Prioritization:** 1 of 16 (75 considered.)

**Anticipated Start and End Dates:** Projected duration is 24 months. Anticipate award by April 2013 with completion by April 2015. Dates are contingent upon status of appropriations bill, funds availability, quality of contractor bids, congressional schedules, and other factors.

**Citation Driven:** Yes. Citation #31-2: "lack of exit stairwells and exit pathways in the Thomas Jefferson Building that are effectively protected against fire, smoke, or toxic fumes poses an undue danger to the lives and safety of the building occupants."

**Client Request:** No.

**Previously Requested:** Yes.

- The AOC received design funding in FY 2007.
- FY 2011 was the first year in which the AOC requested construction funding of \$18,109K.
- The request was reduced to the funding required just for book relocation swing space.



## Library Buildings and Grounds

**Program Cost:** Total costs are currently estimated at approximately \$19,500K.

- The AOC received \$1,270K for design in FY 2007.
- In FY 2011, the AOC received \$5,339K for book relocation.
- The AOC is requesting \$13,117K in FY 2013 for the construction costs.

### Cost of Recurring Operations:

The cost for recurring operations will be for the routine maintenance.

- These costs will be associated with checking and replacing fan belts, heat coils and ensuring the stair pressurization system is working in unison with the fire alarm system.
- These costs will be absorbed in the AOC's Library Buildings and Grounds Facilities Maintenance account.

### Project Description:

This project is an integral part of the approved abatement plan to address the Citation #31-2 regarding Library of Congress egress deficiencies.

- The project corrects common paths of travel violations and dead-end conditions to ensure that occupants will be able to exit the building in an efficient and rapid manner.
- The current conditions create an unsafe environment for building occupants due to lack of egress exits from the building and stacks in the event of fire or other emergencies.
- The recommended corrections for the Thomas Jefferson Building are to construct a new self-supporting masonry exit stair in the Northeast Stacks that extends from the cellar to the top floor of the building.
- In addition, the AOC will construct new fire-rated exit passageways, a fire-related exit enclosure and a cellar exit. The project includes creating paths of travel through adjacent rooms, new door openings, and modifications to existing door swings.

### Risk and Impact If Not Funded:

This project will partially address Citation #31-2. The citation covers four stairs, as well as smoke control and stairwell pressurizations.

- If the deficient egress capacity is not corrected, the building occupants (including staff, the public and Members of Congress) will not have the number of available exits required by code for the building population and configuration.
- This will result in longer travel times to the nearest exit, as well as overly crowded egress pathways. Ultimately, the egress shortage will delay evacuations during emergencies.

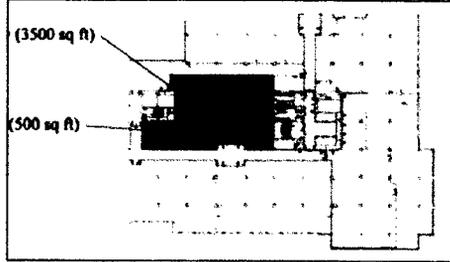
The risk to staff, Members of Congress and the public will remain but is difficult to quantify, since each emergency situation will be unique. Funding this project will keep the abatement plan on schedule and demonstrate progress toward abating the full citation.

## Library Buildings and Grounds



**Project Title:** Secured Storage Facilities, Phase IV of IV, 3rd Floor, JMMB

**Cost:** \$2,400K



**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction, Multi-Phase, Capital Improvement, Preservation and Mission Accommodation.

**Design Completed:** April 2008.

**Facility Condition Index:** 0.146 – Poor. (The AOC goal is all facilities in Good condition with a Facility Condition Assessment rating in the range of 0.02 – 0.06. Higher ratings indicate the facility is in worse condition.)

**AOC Prioritization:** 3 of 16 (75 considered.)

**Anticipated Start and End Dates:** Project duration is 24 months. Anticipate award by January 2013 or earlier with completion no later than December 2014. Dates are contingent upon status of appropriations bill, funds availability, quality of contractor bids, congressional schedules, and other factors.

**Citation Driven:** No.

**Client Request:** Yes. This is a high Library of Congress priority.

**Estimated Cost:** This project was originally a three-phase project.

- For affordability reasons, the project has been reworked into four phases. This is Phase IV of four phases.
- The FY 2012 request for \$2,045K will address the basement storage facilities and approximately \$2,400K is being requested in FY 2013 for the third floor storage facilities.

**Previously Requested:** Yes.

- The AOC requested \$2,045K in FY 2012 for Phase III of IV, and received \$2,000K
- The AOC split the final (previously Phase III of III) into Phase III and IV. The AOC requested \$2,045K in FY 2011 for Phase III of IV, but did not receive funds.
- In FY 2008 and 2009, the AOC requested \$3,750K for Phase III of III, but did not receive funds.
- In FY 2004 and 2005, the AOC requested and received funds for the first two phases of what was then a three-phase project.



## Library Buildings and Grounds

### Project Description:

In the 1990's, a series of thefts and mutilations caused the LOC to rethink its collections security and inventory controls.

- The Librarian closed the stacks to the public and staff, and then created a new rating system with varying security and control parameters.
- The Platinum-rated collections are considered to be the LOC's most priceless items. They are one-of-a-kind, or an extremely limited number are in existence. They require restricted access, the highest levels of security, the finest environmental controls and a police escort when moved. Gold-rated collections consist of rare items having prohibitive replacement cost, high market value and significant cultural, historical and/or artifact importance. They require a controlled environment including lighting controls and limited particulates to attain maximum life expectancy.
- Phase IV of IV builds out secured storage space on the third floor of the JMMB for these highly valued collections from the Law Library, and Prints and Photos.
- The LOC is non-compliant with the National Fire Protection Association's code for the Protection of Cultural Resource Properties for Museums, Libraries, and Places of Worship. These LOC collections have national and international significance.

### Risk and Impact If Not Funded:

Unprotected platinum and gold rated materials will continue to be stored in less than adequate secured and controlled environments.

- This will make them susceptible to theft and expose them to an environment that will cause them to decompose at a greater than desirable rate.

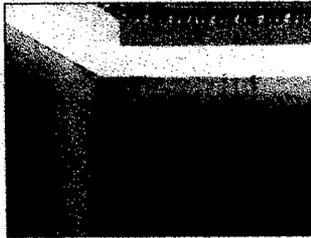
Valuable cultural resources will be lost for future generations to study and enjoy.



## Library Buildings and Grounds

**Project Title: Roof and Fall Protection Repairs & Replacement, TJB**

**Cost: \$791K**



**Project Phase; Classification; Capital Improvements Plan Goal(s):** Design; Deferred Maintenance; Mission Accommodation (including Life Safety.)

**Study Completed:** July 2010.

**Facility Condition Index:** 0.027 = Good condition. (The AOC goal is for all facilities to be in Good condition with a Facility Condition Index rating in the range of 0.02 – 0.06. Higher ratings indicate facility is in worse condition.)

**AOC Prioritization:** 7 of 16 (75 projects considered.)

**Anticipated Start and End Dates:** Project duration is one year. Anticipate contract award by May 2013, with design completion in May 2014. Dates are contingent upon status of appropriations bill, funds availability, quality of contractor bids, congressional schedules, and other factors.

**Citation Driven:** No.

**Client Request:** No.

**Previously Requested:** No.

- FY 2012 was the first year in which the AOC requested construction funding.
- The AOC funded an initial study using annual roof repair funds in FY 2009.

**Program Cost:** Total program costs are contingent upon the Design.

- Previous related costs include the \$91K in FY 2009 for Program of Requirements/Study.
- The AOC is requesting \$791K in FY 2013 to fund the design.
- The construction cost is currently estimated at \$5,000K but is contingent upon the results of the design. This could be a FY 2015 request.



## Library Buildings and Grounds

### Cost of Recurring Operations:

The AOC is currently expending funds on inefficient maintenance methods.

- Some areas of the roof cannot be safely accessed and require special rigging methods to perform repairs.
- Recent damage from rain water has occurred to architecturally sensitive interior locations in the building and this is driving costs to the AOC and LOC.
- After the design and construction is completed, at some point in the future, standard roof maintenance and repairs will be required.
- Any standard maintenance and repair costs to the new roof will be offset by the efficiency savings enabled by safe roof fall systems.

### Project Description:

The project will prepare a complete set of construction documents that will merge the roof repair recommendations from the study completed in July 2010, lightning protection system requirements and the newly designed roof fall protection systems.

- The previous study identified all conditions that allow water to penetrate the exterior enclosure and also identified specific roofing installations that do not meet current copper roofing standards.
- As part of the construction project, existing fall protection systems that are not compliant will be removed and replaced.
- The existing copper roof was replaced during the last repair and renewal project in 1997; however, due to budget constraints, flashing and other sections of the original roof were not fully replaced.
- As a result, these conditions are now failing, allowing water to enter the building and presenting a safety hazard.

### Risk and Impact If Not Funded:

Without this project, needed maintenance items such as repairing roof leaks, caulking of masonry joints, and painting window frames will not be performed, potentially leading to additional water damage of the interior spaces.

- These leaks have caused damage to the historic fabric and artwork of the building, and places valuable and rare Library of Congress collections at risk.
- As time passes, the leaks will increase in number, causing a greater threat to Library of Congress historic artifacts and building artwork and increase damage during periods of rain and snow.
- Water penetration often leads to the growth of mold which may have a negative impact on the indoor air quality of the facility and the health of the staff and public.

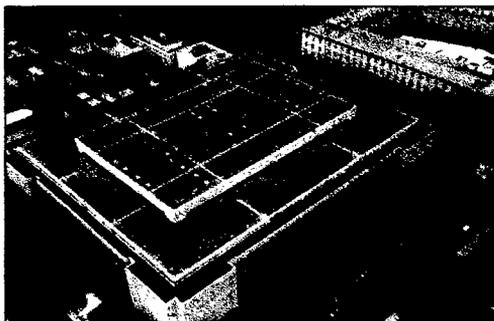
Deferral of the project will lead to increased damage, increase risk to life safety due to mold and mildew, and an increased cost of repair of the roof and roof fall system. The risk of structural damage will continue to increase.



## Library Buildings and Grounds

**Project Title:** Fall Protection, JMMB

**Cost:** \$3,622K



**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction; Capital Renewal; Regulatory Compliance (including Life Safety.)

**Design Completed:** September 2009.

**Facility Condition Index:** 0.145 = Poor condition. (The AOC goal is all facilities in Good condition with a Facility Condition Assessment rating in the range of 0.02 – 0.06. Higher ratings indicate the facility is in worse condition.)

**AOC Prioritization:** 10 of 16 (75 considered.)

**Anticipated Start and End Dates:** Project duration is two years. Anticipate award by January 2013 with completion in January 2015. Dates are contingent upon status of appropriations bill, funds availability, quality of contractor bids, congressional schedules, and other factors.

**Citation Driven:** No.

**Client Request:** No.

**Previously Requested:** Yes for Design. First request for construction.

- The AOC considered this project for submission in FY 2012. However due to fiscal constraints, an assessment of the immediacy of the project (at the time), and the logistics of key life safety projects within the JMMB, deferred this project and did not recommend funding in FY 2012.
- Design funds were appropriated in FY 2008.

**Program Cost:** Construction costs are currently estimated at \$3,053K.

- The cost has escalated as the project has been deferred.
- The FY 2012 Deferred Line Item Construction Project list showed a \$3,503K construction estimate.
- The AOC received \$76K in FY 2008 for design.
- The AOC is requesting \$3,622K in FY 2013 for construction. This represents cost growth due to project deferral and subsequent escalation.



## Library Buildings and Grounds

### Cost of Recurring Operations:

Currently all exterior façade maintenance tasks are being postponed.

- Once this project is complete, the AOC will absorb the maintenance tasks as part of Library Buildings and Grounds Facility Maintenance account by realizing other efficiencies.

### Project Description:

This work includes installation of multiple track-type systems above the roof level that will arrest the fall of maintenance workers, in addition to installation of individual fall protection anchorages where needed.

- Tieback anchors will be integrated with the fall protection systems. These will comply with current standards and codes for properly securing a suspended facilities maintenance scaffold.
- Noncompliant existing fall-protection systems will be removed.
- Presently there is no safe way to access various parts of the roof and building façade, leading to postponement of critical maintenance items such as cleaning/polishing of window frames to prevent deterioration of the bronze, repairing damaged masonry or masonry joints, and repairing roof leaks. Performing these repairs is critical to the preservation of the facility.

The project will also address life safety issues, as well as lessen the deterioration of the bronze window frames and stone façade. Additional interior and interstitial space degradation issues will also decrease as roof and façade leaks are addressed using the new roof fall protection system.

### Risk and Impact If Not Funded:

Without this project, needed maintenance tasks will continue to be postponed. Risks to the structure and people working in or walking outside the building will continue to increase.

- Maintenance items such as repairing roof leaks, caulking of masonry joints, and cleaning and polishing of bronze window frames will not be performed.
- Water damage of the interior spaces will continue.
- Spalling of the masonry façade could lead to pieces of stonework falling, creating a significant life safety risk.
- Water penetration will lead to the growth of mold which could have a negative impact on the indoor air quality. Stopping water infiltration is a necessary part of maintaining indoor air quality.

If this project is postponed, the James Madison Memorial Building will continue to deteriorate on the exterior, in the interstitial structural spaces and the interior. Risk of damage to the structure, collections and health of the public and staff will escalate.



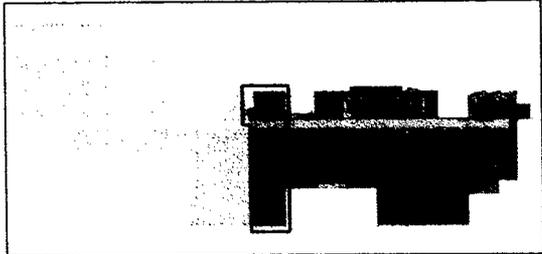
## Library Buildings and Grounds

**Project Title:** Collection Storage Module 5, Ft. Meade

**Cost:** \$5,000K



Past State of Storage



Future Modules

Module 5

Existing Modules

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction; Capital Construction; Mission Accommodation

**Design Completed:** FY 2004.

**Facility Condition Index:** Not Applicable

**AOC Prioritization:** 13 of 16 (75 considered.)

**Anticipated Start and End Dates:** Project duration is 24 months. Due to the revised funding strategy of requesting incremental funding over four years (similar to a trust fund), anticipate award by May 2016 with completion in May 2018. Dates are contingent upon status of appropriations bill, funds availability, quality of contractor bids, congressional schedules, design updates, and other factors.

**Citation Driven:** No.

**Client Request:** Yes. The Library of Congress has identified this project as their highest priority.

**Previously Requested:** Yes.

- The AOC requested \$15,960K in FY 2010 as a single phase project, but this was not funded.
- The AOC requested \$16,941K in FY 2011 as a single phase project but was not funded. Subsequently, the project was converted to a phased program for the FY 2012 budget.
- The AOC requested \$8,884K in FY 2012 for the first phase of an anticipated two phase construction program, but this phased approach was not approved and funds were not appropriated.



## Library Buildings and Grounds

**Program Cost:** The construction of Module 5 has been a long-term requirement for the Library of Congress. Modules 3 and 4 are being filled with collections, and it is estimated that a new module will be required prior to the FY 2016 proposed construction date of Module 5. The AOC has received:

- \$662K in the FY 2004 for design.
- \$331K in FY 2010 to divide the project into two phases.
- The AOC is requesting \$5,000K in FY 2013 to commence a four-year phased funding program for a proposed construction start of FY 2016.
- The AOC anticipates requesting an additional approximately \$5,000K per year in FY 2014, FY 2015 and FY 2016. As a result of escalation due to the FY 2016 construction start, the program cost will increase. The AOC will adjust future requests accordingly. Language may need to be included in the Appropriations Bill to set up a "trust-fund" like project in the LB&G's appropriation to allow the AOC to collect funds over a four year period during these austere fiscal times.
- Upon receipt of adequate funding, the AOC will proceed with construction.

**Cost of Recurring Operations:** To maintain Collection Storage Module 5, annual maintenance costs are estimated at \$215K starting in FY 2018.

### Project Description:

Throughout its history, one of the Library's primary goals has been to acquire, preserve, and provide access to a collection of knowledge and the copyrighted record of America's creativity. The Library is the greatest repository of human knowledge ever assembled, with holdings from the United States, and a majority of nations and cultures around the world. The Library of Congress presents the closest approximation to a comprehensive record of America's creativity largely through materials received under the mandatory deposit provisions of copyright law. The Library acquires these universal materials by collecting in all formats in which knowledge and creativity are recorded, preserving the collection through ongoing preservation research and application, and providing access to the collection. The responsibility to collect and sustain has required the periodic provision of additional collection storage space. The history of the Library's physical growth is largely the history of this need to accommodate a growing collection. This includes:

- The Library of Congress' Book Storage Facility complex at Fort Meade, Maryland was planned to meet this need in the most efficient and effective manner.
- The Capitol Complex Master Plan calls for 13 modules.
- The first four modules have been completed and the book storage modules (1 and 2) are virtually full.
- Modules 3 and 4 will be filled to capacity with special format materials (e.g. maps, manuscripts, and prints) within Fiscal Year 2013.
- Module 5 is intended to be a book storage facility, and it will relieve the current severely over-crowded conditions in the LOC book stacks on Capitol Hill.
- At present, there are approximately half a million volumes stacked on the floors of Library buildings due to lack of shelf space.
- To meet its mission, the Library of Congress' must continue to increase its collection rate.



## Library Buildings and Grounds

### **Risk and Impact If Not Funded:**

The Library's book and bound periodical collections grow by approximately 250,000 items annually and support the work of Congress and researchers. Special format collections grow as additional research materials are acquired.

- Book storage is required to ease the over-crowded conditions in the Libraries facilities.
- Storing books on the floor can lead to permanent loss or damage to the collection and also potential life-safety issues.

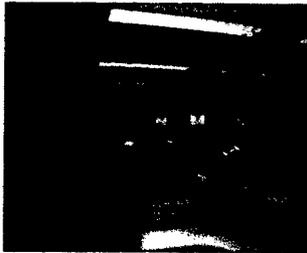
Without additional off-site storage, the current storage options will continue to shrink and deteriorate, exacerbating already dangerous conditions with regard to life safety, research, and collection preservation.



## Library Buildings and Grounds

**Project Title:** ABA Space Reorganization, Phase IV of V, JMMB

**Cost:** \$500K



**Project Phase; Classification; Capital Improvements Plan Goal(s):** Office space renovation. Note: This project was not considered as part of the AOC's Line Item Construction Project prioritization process since it is a phased maintenance and office space renovation effort, not a project.

**Design Completed:** Infrastructure design not required. Interior design layout will be finalized by the Library of Congress.

**Facility Condition Index:** 0.146 – Poor. (The AOC goal is all facilities in Good condition with a Facility Condition Assessment rating in the range of 0.02 – 0.06. Higher ratings indicate the facility is in worse condition.)

**AOC Prioritization:** Not Applicable.

**Anticipated Start and End Dates:** Project duration is contingent upon receipt of funding. Phase I was initiated in FY 2010, with subsequent phases in FY 2011 and FY 2012. The total program is now to be completed in more than four phases. Dates are contingent upon status of appropriations bill, funds availability, quality of contractor bids, congressional schedules, and other factors.

**Citation Driven:** No.

**Client Request:** Yes. This office space renovation is the final requirement necessary to complete the Library of Congress' reorganization.

**Previously Requested:** Yes.

- The AOC requested \$2,000K in FY 2012 and received \$500K for this re-phased project.
- The AOC also requested and received funds for the first two phases.
- The AOC requested \$2,387K and received \$2,000K in FY 2010.
- The AOC requested \$2,713K and received \$1,710K in FY 2011.
- The AOC previously estimated that \$1,973K would be required in FY 2013 for the final phase. By reducing the FY 2013 amount to \$500K, the AOC anticipates the possibility of requesting funds in FY 2014 and/or FY 2015 to complete the project if other funds are not available to complete the project in FY 2013.

**Program Cost:** The current cost is being re-evaluated based on re-phasing.

- The AOC is phasing the project based on the current fiscal environment. This could add phases IV and V.
- The original estimate was \$7,686K for three phases over three years, but this has changed due to the fiscal constraints.
- AOC infrastructure design not required. The interior design layout will be provided by the Library of Congress.



## Library Buildings and Grounds

**Cost of Recurring Operations:** The AOC will realize maintenance savings due to the newer materials and infrastructure. Any cost savings will be applied by the LB&G toward Deferred Maintenance efforts.

**Project Description:**

This project is needed to renovate approximately 195,000 square feet of space within the James Madison Memorial Building. Renovation areas will be on the 5<sup>th</sup> floor with work also occurring on the ground and basement levels.

- A new organizational structure within Library Services was enacted which fully merges acquisitions and cataloging functions. This change will deploy staff with unusual language skills more effectively, and fully merge acquisitions and cataloging functions based on the regional origin of materials selected for additions to the collections. The Library approved the reorganization in August of 2008.
- This project will be separated into multiple phases contingent upon receipt of funds.
- Work has begun and includes wall changes, alterations to the fire protection system, painting, and electrical work. Lighting systems will be adjusted to accommodate sprinkler system alterations.
- Asbestos abatement work is expected for the upgrade of Variable Air Volume boxes and relocation of light fixtures.
- Approximately 550 personnel from the Acquisitions and Bibliographic Access Directorate will be located within on-site swing space during the renovation effort.

**Risk and Impact If Not Funded:**

To start and stop the work would be disruptive to the ABA Directorate and other James Madison Memorial Building residents. This is a high LOC priority.



## Capitol Police Buildings, Grounds and Security



### AOC MISSION

To serve Congress and the Supreme Court, preserve America's Capitol, and inspire memorable experiences.

### RESPONSIBILITIES IN SUPPORT OF AOC MISSION

The Office of Security Programs manages the Capitol Police Buildings, Grounds & Security jurisdiction is responsible for the maintenance, care and operation of buildings, grounds and security enhancements of the United States Capitol Police (USCP), wherever located, the Alternate Computer Facility, and AOC security operations. Jurisdiction facilities include the USCP Headquarters; Courier Acceptance Site; Vehicle Maintenance/Hazardous Device Unit Facility; USCP Radio Mirror Site; Perimeter Security; USCP and Capitol Visitor Center Kiosks; Canine (K-9) Facility; Chemical/Explosive Storage Facility; Interim Offsite Delivery Facility; Reservation 6G parking lot; a 12-acre site; and leased space within the Fairchild Building and the Government Printing Office. The jurisdiction is also responsible for AOC security policies and procedures; AOC-wide support to Congressional continuity; USCP Command Center support during emergency and security incidents; and support to the United States Capitol Police Board and Congressional Accessibility Services Board.

#### Facility Overview

Alternate Computer Facility (ACF)	1983	28	345,282	\$543,000	\$12,829,000	\$13,372,000
Canine Facility	1996	15	4,272	\$7,000	\$0	\$7,000
Fairchild Building	2008	3	166,507	\$0	\$374,000	\$374,000
Interim Off Site Delivery	2006	5	5,261	\$5,000	\$0	\$5,000
Headquarters Building	1930	81	85,382	\$20,000	\$10,273,000	\$10,293,000
Vehicle Maintenance Facility	1996	15	23,842	\$0	\$0	\$0
		<b>Total</b>	<b>630,546</b>	<b>\$575,000</b>	<b>\$23,476,000</b>	<b>\$24,051,000</b>

\*Deferred Maintenance and Capital Renewal figures based on FY 2011 reporting.

\*\* Backlog equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance.



## Capitol Police Buildings, Grounds and Security

### ECONOMIES AND EFFICIENCIES

In order to maximize funding in a zero-based budget environment, the AOC has made a concerted effort to find efficiencies and more effective processes. The Capitol Police Buildings, Grounds & Security jurisdiction recently identified and implemented several cost avoidance/savings initiatives. These enabled the AOC to apply funds toward the backlog of deferred maintenance, and/or to use project funds in the most efficient and economic manner to continue to improve congressional facilities, systems, infrastructure and services.

**Initiative:** Contract Savings.

**Cost Avoidance:** \$716K.

In Fiscal Year 2012, Capitol Police Buildings, Grounds, and Security established a consolidated reliability based facilities management contract for the Alternate Computer Facility and Capitol Police Buildings & Grounds.

It reduces the number of primary facilities and custodial contracts from four to one. Cost avoidance projection is based on the difference between industry standard estimates for facilities and estimated Fiscal Year 2013 request.

**Initiative:** Streamlined the Web Requester System for higher level of effectiveness.

**Cost Savings:** Not yet determined.

Prior to implementation of the web requestor, both agencies, Office of Security Programs and the United States Capitol Police were processing work request through two different work order systems on two different computer networks. This was problematic because they were not interfaced together and a direct connection between the two networks does not exist; therefore, a manual transfer of information was required, which was time intensive and led to a large backlog of work requests. The implementation of the web requestor streamlined the entire process, resulting in more efficient use of time and greater customer satisfaction.

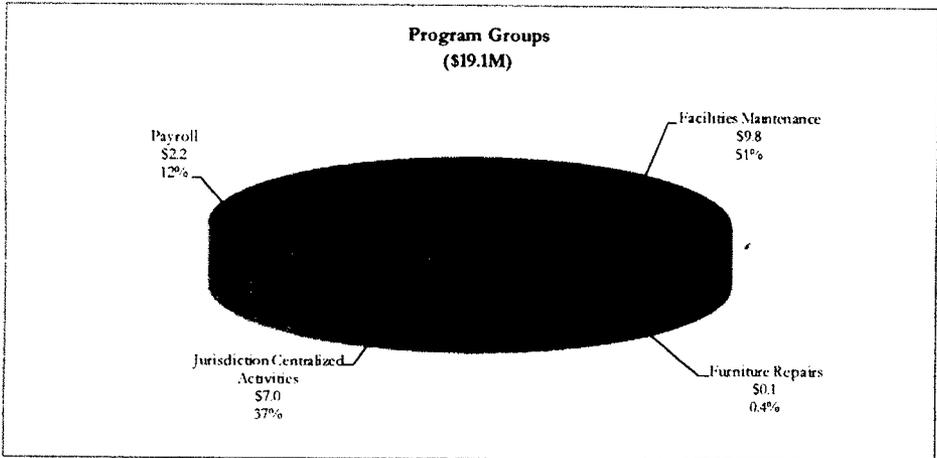


## Capitol Police Buildings, Grounds and Security

### ZERO BASED JUSTIFICATION SUMMARY:

#### OPERATING BUDGET (FY 2013 Budget Request \$19.1M)

The Operating Budget of the Capitol Police Buildings, Grounds & Security (CPBG&S) appropriation funds all costs associated with the daily care, maintenance and operation of its grounds and facilities, as well as various continuity, emergency response and security functions. The budget is divided into functional area Program Groups: Facilities Maintenance, Furniture Repair, Jurisdiction Centralized Activities, and Payroll. In accordance with sound financial management practice, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process. The Fiscal Year 2013 budget was prepared following an industry standard cost per square foot based on the facility type and function of the space. The industry standard estimates were then adjusted based on actual conditions and operational efficiencies to arrive at the baseline costs. Had these efficiencies not been achieved the required Fiscal Year 2013 budget would be \$19.8M. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, CPBG&S and the AOC considered and prioritized funding based on historical data, current, and future requirements.

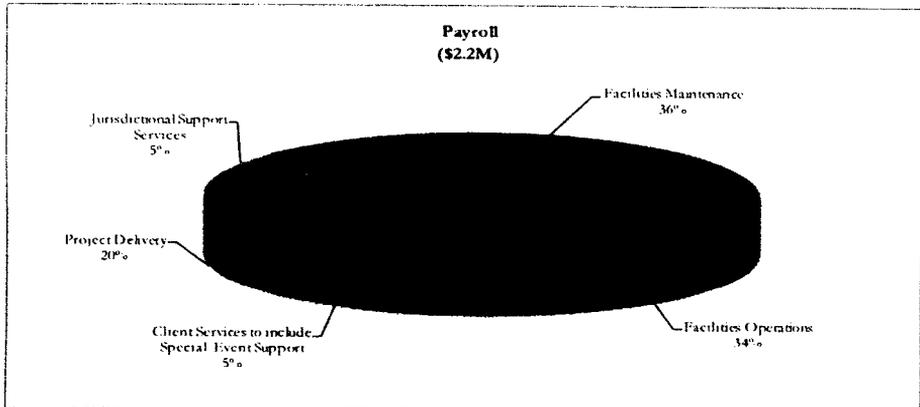




## Capitol Police Buildings, Grounds and Security

### Payroll

The Capitol Police Buildings Grounds & Security (CPBG&S) appropriation is requesting \$2.2M for payroll. This enables the AOC to continue comparable service levels of past years in direct support to Congress and staff, as well as the USCP. This provides the capability to minimally staff at 16 permanent FTEs. Facilities operations require six FTEs to manage contracts, inspect facilities, provide quality assurance, conduct planning, and coordinate with the clients. Facilities support requires three FTEs to centrally plan, coordinate and manage the execution of jurisdiction energy management, facility, physical security and other security projects across the Capitol campus, as well as provide support to Congressional continuity programs. AOC internal security operations requires two FTEs to implement and oversee internal security policies and procedures, and support USCP security and emergency incidents. Jurisdiction business operations are executed via four FTEs and include budget and financial analysis, safety and emergency preparedness, administration and correspondence, computer aided facilities management, and computer aided drafting. One FTE is required to lead and manage overall jurisdiction operations. Each function within the jurisdiction is driven by unique mission requirements to meet AOC and client requirements. Of the \$2.2M request, approximately 96% provides for Congressional Support and Supreme Court Operations, and 5% for Leadership and Administrative Support. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, CPBG&S and the AOC considered and prioritized funding based on historical data, current, and future requirements.



### Payroll Funded FTE Ceiling 16

#### Cost Accounting Code Definition:

**Facilities Maintenance:** Facilities maintenance activities encompass planned and corrective maintenance. Planned maintenance represents scheduled maintenance. Corrective maintenance includes unanticipated emergency repairs.

**Facilities Operations:** Facilities operations activities include such tasks as custodial work, grounds care, road and walkway maintenance, power plant operations, and the provision of utilities. Facilities operations are associated with the day-to-day care of the Capitol complex.

**Client Services & Special Event Support:** Client services include normal and special request services provided to AOC clients, their staffs, the public, citizens, and other constituencies. Examples include painting services, deliveries, special event support, and activities related to biennial election year office moves.

**Project Delivery:** AOC capital assets are provided and maintained through effective planning and project delivery. This includes planning, programming, design, construction, and the related management activities in the delivery of capital projects.

**Jurisdictional Support Services:** Leadership and administrative support activities encompass executive leadership and administrative support services such as human resources, information technology, financial management, and emergency, risk, safety and security.

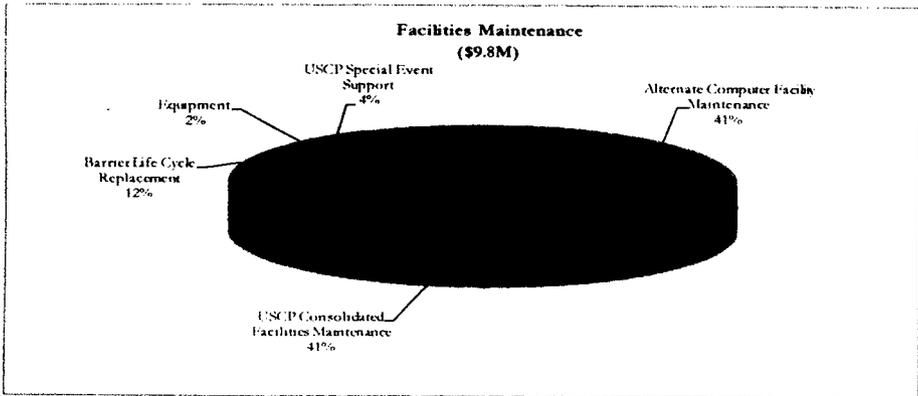
AOC FY 2013 Budget Request  
CPBG&S-4



## Capitol Police Buildings, Grounds and Security

### Facilities Maintenance

The Capitol Police Buildings Grounds & Security (CPBG&S) appropriation is requesting \$9.8M for facilities maintenance. CPBG&S maintenance budget is prepared per industry standard by cost per square foot based on the facility type and function of the space in support of the strategic business plan of AOC; as well as the mission objectives of the United States Capitol Police (USCP), Senate, House of Representatives, Library of Congress, and other Legislative Branch agencies. The Facilities Maintenance Program Group funds annual building maintenance and operations services required throughout the buildings under the appropriation's purview, to include repairing and modifying air conditioning systems, fire alarm systems, electrical systems, elevators, masonry, and plumbing; preventative interior and exterior building maintenance (e.g., painting, pointing, caulking, and surface preservation); solid and bulk waste disposal; general landscaping, lawn mowing, and snow removal. Maintenance services unique to CPBG&S include repair and preventive maintenance tasks for perimeter security elements such as kiosks (63), bollards (5000 +/-), security fencing and planters, as well as infrastructure support and life-cycle replacement of barriers. All maintenance tasks are initiated and assigned through the work order system with an annual issuance of over 9,954 scheduled preventive maintenance tasks and 3,851 corrective maintenance work orders. Additionally, Facilities Maintenance program group includes cleaning services for all facility locations to include interior offices, rest rooms, data centers, locker rooms, shower facilities, prisoner detention areas, as well as inspection areas, dog kennels, and security kiosks across the campus. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, CPBG&S and the AOC considered and prioritized funding based on historical data, current, and future requirements.





## Capitol Police Buildings, Grounds and Security

### Furniture

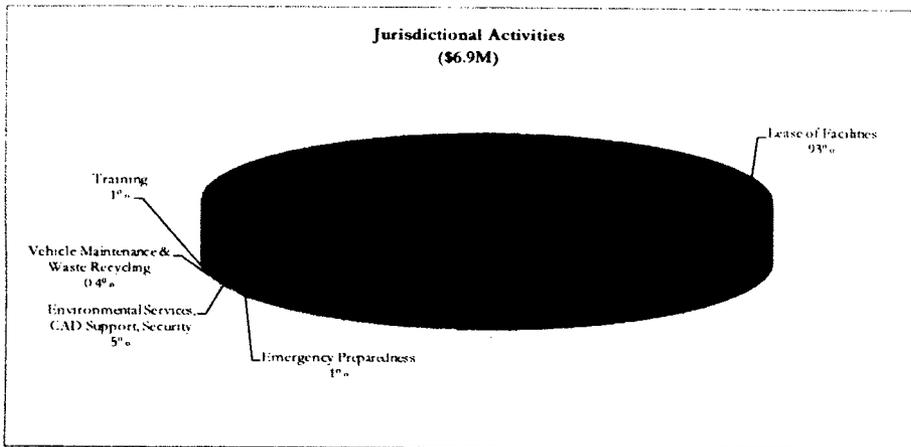
The Capitol Police Buildings Grounds & Security (CPBG&S) appropriation is requesting \$75K for furniture repairs and small purchases of new furniture. The Furniture Repair Program Group funds the installation, replacement, relocation, and/or repair of existing furniture, to include procurement of routine materials and supplies, upholstery and drapery work, and annual inventory of furniture items in support of all United States Capitol Police (USCP) and Architect of the Capitol Office of Security Programs personnel, wherever located. This funding level provides for furniture replacement, relocation services and repair parts at a reduced level, with approximately 52% provides for replacement furniture, 15% for relocation services and 33% for furniture repairs. Large furniture requirements will be supported through the use of Minor Construction funds. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, CPBG&S and the AOC considered and prioritized funding based on historical data, current, and future requirements.



# Capitol Police Buildings, Grounds and Security

## Jurisdiction Centralized Activities

The Capitol Police Buildings Grounds & Security (CPBG&S) appropriation is requesting \$6.9M for lease of facilities, training, uniform allowances, safety apparel, energy management, Computer Aided Drafting (CAD) services, and emergency preparedness. This provides the mandatory lease payments for the Fairchild Building, Government Printing Office and USCP Radio Mirror Site space that is occupied by USCP personnel, leases for four USCP Radio repeater towers within District of Columbia and surrounding area, and storage space for US Senate emergency and continuity support vehicles. Continuation of the Energy Management contract that will assist in reducing energy consumption to meet Energy Independence and Security Act (EISA) mandates. In addition, this funding level prepares the jurisdiction in case of an emergency by maintaining the Emergency Action Response Plan and performing tabletop exercises against the plan. Of the \$6.9M request, approximately 93% provides for lease of facilities, 5% for environmental services, 1% for emergency preparedness, and 1.4% for training, vehicle maintenance and waste recycling. This aligns with lease and contract requirements in support of the Capitol complex. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, CPBG&S and the AOC considered and prioritized funding based on historical data, current, and future requirements.



Activity	Cost (\$M)
Safety - Hazardous Waste Management, Respiratory Protection, OSHA	\$2
COTR, Appropriation Law	\$2
<b>Total</b>	<b>\$4</b>

Activity	Cost (\$M)
Fairchild Building	\$5,320
Government Printing Office (\$505k) and Verizon (\$159k) - lease spaces within building	\$664
USCP Radio Antennae (\$535k) and Senate Sergeant At Arms Vehicle Storage Leases (\$20k)	\$555
<b>Total</b>	<b>\$6,539</b>



# Capitol Police Buildings, Grounds and Security

## BUDGET SUMMARY

The Architect of the Capitol is responsible for the maintenance, care and operation of buildings, grounds and security enhancements of the United States Capitol Police (USCP), wherever located, the Alternate Computer Facility, and AOC security operations. Jurisdiction facilities include the USCP Headquarters; Courier Acceptance Site; Perimeter Security; USCP and Capitol Visitor Center Kiosks; Canine (K-9) Facility; Chemical/Explosive Storage Facility; Interim Offsite Delivery Facility; Reservation 6G parking lot; and leased space within the Fairchild Building and the Government Printing Office. New facilities acquired in Fiscal Year 2011 include the USCP Radio Mirror Site, Vehicle Maintenance/Hazardous Device Unit Facility, and a 12-acre site.

Total Budget (\$000)					
Appropriation	FY 2011 <sup>1</sup> Operating Plan	FY 2011 <sup>2</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Operating Budget	19,790	19,765	18,027	19,089	1,062
Multi-Year Projects	6,423	497	3,473	11,713	8,240
<b>Total</b>	<b>26,213</b>	<b>20,261</b>	<b>21,500</b>	<b>30,802</b>	<b>9,302</b>

Operating Budget (\$000)					
Program Groups	FY 2011 <sup>1</sup> Operating Plan	FY 2011 <sup>2</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Facilities Maintenance	10,090	11,155	9,338	9,828	490
Furniture Repair	232	212	75	75	-
Jurisdiction Centralized Activities	7,306	6,379	6,442	6,977	535
Payroll	2,162	2,018	2,172	2,209	37
Annual-Funded Projects	-	-	-	-	-
<b>Total</b>	<b>19,790</b>	<b>19,765</b>	<b>18,027</b>	<b>19,089</b>	<b>1,062</b>

Multi-Year Projects (\$000)					
Projects	FY 2011/2015 Enacted	FY 2011/2015 Actual Obs	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
<b>Total</b>	<b>6,423</b>	<b>497</b>	<b>3,473</b>	<b>11,713</b>	<b>8,240</b>

<sup>1</sup> Reflects FY 2010 Enacted with 0.2% rescission and initial congressionally-approved reprogramming.

<sup>2</sup> FY 2011 Actual Obligations can include reprogrammings/transfers from other appropriations.



## Capitol Police Buildings, Grounds and Security

### BUDGET SUMMARY (continued)

Full Time Equivalents (FTE)						
Appropriation	Payroll Funded			Project Funded		
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	FY 2011 Actual	FY 2012 Estimate	FY 2013 Estimate
Capitol Police Buildings, Grounds, and Security	14	16	16	32	32	32

<sup>1</sup>FY 2012/2013 project funded FTEs are estimated figures and dependent to the numbers of projects funded.

FY 2013 Object Class (\$000)				
Object Class	FY 2011 <sup>1</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
11 Personnel Compensation	4,368	1,626	1,654	28
12 Personnel Benefits	1,466	546	555	9
21 Travel	8	6	8	2
22 Transportation of Things				
23 Rent, Communications and Utilities	6,139	6,140	7,038	1
24 Printing and Reproduction				
25 Other Contractual Services	9,723	9,652	9,776	124
26 Supplies and Materials	57	57	58	1
31 Equipment				
32 Land and Structures	12,489	3,473	11,713	8
42 Insurance Claims and Indemnities				
<b>Total</b>	<b>34,251</b>	<b>21,500</b>	<b>30,802</b>	<b>9,302</b>

<sup>1</sup>FY 2011 Actuals represents total obligations of funds incurred irrespective of the year of appropriation.



# Capitol Police Buildings, Grounds and Security

## FY 2013 ANALYSIS OF CHANGE

	FY 2013 Appropriation	
	FTE	Amount (\$000)
<b>Fiscal Year 2012 Enacted (FTE reflects Payroll Funded only)</b>	<b>16</b>	<b>21,500</b>
<b>Non-Recurring Costs</b>		
Minor Construction.....		(1,000)
Fire Alarm System Replacement, HQ, USCP.....		(2,473)
<b>Other Decreases</b>		
<b>Total Program Decreases</b>	<b>-</b>	<b>(3,473)</b>
<b>Mandatory Pay Related Costs:</b>		
FY 2013 Cost of Living Adjustment of 1.7%.....		15
FY 2013 Within Grade Increases.....		15
FY 2012 FERS Adjustment from 11.7% to 11.9%.....		3
FY 2012 FEHB Employer Contribution Increase of 4%.....		4
<b>Total Mandatory Pay Related Costs</b>	<b>-</b>	<b>37</b>
<b>Total Price Level Changes</b>		<b>-</b>
<b>Program Increases:</b>		
Facilities Maintenance.....		490
Jurisdiction Centralized Activities.....		535
Multi-Year Projects:		
Garage Security Infrastructure, Phase 1A, SOB & HOB.....		7,373
Electrical Distribution Upgrade, ACF.....		1,840
Minor Construction.....		2,500
<b>Total Program Increases</b>	<b>-</b>	<b>12,738</b>
<b>Net Increase/Decrease</b>	<b>-</b>	<b>9,302</b>
<b>Total Appropriation</b>	<b>16</b>	<b>30,802</b>



## Capitol Police Buildings, Grounds and Security

### OPERATING BUDGET SUMMARY

The Operating Budget of the Capitol Police Buildings, Grounds & Security (CPBG&S) appropriation funds all costs associated with the daily care, maintenance and operation of its grounds and facilities. The budget is divided into functional area Program Groups. In accordance with sound financial management practice, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process.

Operating Program (\$000)						
Program Groups	FY 2012 Enacted	Program Realignment/Transfers	Mandatory Pay and Price Increases	Program Changes	FY 2013 Request	FY 2012/2013 Difference
Facilities Maintenance	9,338	-	-	490	9,828	490
Furniture Repair	75	-	-	-	75	-
Jurisdiction Centralized Activities	6,442	-	-	535	6,977	535
Payroll	2,172	-	37	-	2,209	37
<b>Total</b>	<b>18,027</b>	<b>-</b>	<b>37</b>	<b>1,025</b>	<b>19,089</b>	<b>1,062</b>

### Program Groups - Description and Analysis of Changes

#### Facilities Maintenance

(FY 2012 Baseline: \$9,338K)

FY 2013 Request: \$9,828K)

The Facilities Maintenance Program Group funds annual building maintenance services required throughout the buildings under the appropriation's purview. It includes repairing and modifying air conditioning systems, electrical systems, elevators, masonry, and plumbing; preventative interior and exterior building maintenance (e.g., painting, pointing, caulking, and surface preservation); solid and bulk waste disposal; maintenance of fire alarm systems; and systems maintenance, as applicable. For the CPBG&S appropriation, it also includes general landscaping, lawn mowing and snow removal services.

The program increases of \$490K reflect new mission requirements in FY 2013:

- **(\$198K) USCP Radio UPS System and Radio Tower Repeater Site Maintenance:** The USCP radio project is installing many uninterruptible power supply (UPS) systems across the Capitol campus. The funding requested for these elements will be used to provide a centralized contract to maintain batteries and components that make up the UPS systems, as well as maintenance tasks associated with upkeep and repair for communication shelters that will accompany four leased repeater towers within the District of Columbia and surrounding area. These shelters (4) will be equipped with HVAC units, electrical components (lights and power receptacles) as well as emergency generators and associated equipment. Centralized maintenance elements of these UPS systems and repeater sites are critical to the operation of the new USCP radio system.
- **(\$94K) Special Purpose Pedestrian Shade Pavilions (9):** To support emergency response, nine special purpose shade pavilions designed in adherence with architectural and preservation standards have been, or are being installed across the Capitol campus. These facilities are permanent structures comprised of decorative architectural features and special purpose equipment. Centralized maintenance of these special purpose systems is critical to the emergency response capabilities of the USCP.



## Capitol Police Buildings, Grounds and Security

### Facilities Maintenance (continued)

- (\$198K) Rayburn Range Operations and Maintenance:** To support the ongoing training and preparation of the USCP, maintenance and custodial support of the Rayburn shooting range is being transferred from the House Office Buildings to this appropriation. This item consists of several requirements needed for the ongoing operation and use of the firing range. These requirements include facility and equipment maintenance and operation, custodial, and lead abatement. Ongoing maintenance of the shooting range includes regular inspections and repair actions for the following systems; HVAC, plumbing, lighting, air exhaust systems, and specialty equipment such as target conveying systems and bullet stop. Custodial services include generalized cleaning and sweeping of the range on a daily basis, as well as general cleaning of the offices, rest rooms, and common areas. Special cleaning includes lead abatement of the bullet trap, which is considered hazardous waste, and includes special removal and disposal requirements.

### Furniture Repair

**(FY 2012 Baseline: \$75K)**

**FY 2013 Request: \$75K)**

The Furniture Repair Program Group funds the installation, replacement, relocation, and/or repair of existing furniture, to include procurement of routine materials and supplies, upholstery and drapery work, and annual inventory of furniture items in support of all USCP and AOC Office of Security Programs personnel, wherever located.

### Jurisdiction Centralized Activities

**(FY 2012 Baseline: \$6,442K)**

**FY 2013 Request: \$6,977K)**

The Jurisdiction Centralized Activities Program Group funds training, registration, and seminar fees; travel; uniform allowances; vehicles leases, operations and maintenance; safety apparel; emergency preparedness; computer aided drafting services, and gasoline and oil, as applicable. In addition, in the CPBG&S appropriation, it funds annual leases and associated costs for the 67 K Street Vehicle Maintenance/Hazardous Device Unit Response Facility; space within the GPO Building; the Fairchild Building; and the USCP Radio Mirror Site.

Additional funding is requested in the amount of \$535K for additional lease of space on four commercial antenna towers within the metropolitan area (North-Hughes Tower \$252K, South-Alexandria House \$190K, East-North Barnaby \$44K, and West-Atlington Garden \$49K). Leasing costs vary according to height and specific location of each tower. The locations selected will provide maximum distribution of radio signal to provide the coverage required by the United States Capitol Police (USCP) Radio Modernization Project.



## Capitol Police Buildings, Grounds and Security

### OPERATING BUDGET SUMMARY (continued)

#### Payroll

**(FY 2012 Baseline: \$2,172K)**

**FY 2013 Request: \$2,209K)**

The Payroll Program Group funds salaries and benefits for employees specifically supporting the appropriation. It includes government staff salaries and other compensation (e.g., paid leave and lump sum annual leave payments upon separation); compensation above basic rates including overtime and holiday pay; employer contributions to the Civil Service Retirement System, the Federal Employees Retirement System and the Thrift Savings Plan; employer contributions to Social Security, Medicare, Federal Employees Health Benefits and Federal Employees Group Life Insurance.

Additional funding of \$37K is requested for mandatory pay increases which include a Fiscal Year 2013 Cost-Of-Living Adjustment calculated using the Congressional Budget Office's economic assumption of 1.7%, Within Grade Increases of 1%, the Fiscal Year 2012 Federal Employee's Retirement System adjustment of 0.2%, agency health benefit contributions, and one more compensable day because 2013 is a leap year.

# Capitol Police Buildings, Grounds and Security



## CAPITAL MULTI-YEAR PROJECTS SUMMARY

The Capital Budget consists of major construction or system replacement requirements to address fire, life safety, and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs; with a focus on energy savings. It may also include funds that provide jurisdictions with the flexibility to respond to unforeseen Minor Construction requirements as generated from the AOC, Members, Committees, and other AOC clients.

Multi-Year Projects (\$000)		Request Amount
<b>Line Item Construction Program Projects:</b>		
Garage Security Infrastructure, Phase 1A, SOB & HOB.....		7,373
Electrical Distribution Upgrade, ACF.....		1,840
	<b>Total</b>	<b>9,213</b>
<b>Other Projects:</b>		
Minor Construction.....		2,500
	<b>Total</b>	<b>2,500</b>
	<b>Total Project Request</b>	<b>11,713</b>

### Minor Construction

**\$2,500K**

Reflects the required amount to sustain the necessary level of service for unforeseen construction and repair projects of the Capitol Police Buildings, Grounds & Security appropriation.



## Capitol Police Buildings, Grounds and Security

**Project Title:** Garage Security Infrastructure, Phase IA, SOB and HOB

**Cost:** \$7,373K



**Project Phase; Classification; Goal:** Design/Build; Phase I of a IV phase project; Capital Improvement; Security.

**Study Completed:** Not applicable.

**Facility Condition Index:** Not applicable.

**AOC Prioritization:** 2 of 15 (75 considered.)

**Anticipated Start and End Dates:** Project duration is 18 months. Anticipate contract award by February 2013 with completion by August 2014. Dates are contingent upon status of Appropriations Bill, funds availability, quality of contractor bids, congressional schedules and other factors.

**Citation Driven:** No.

**Client Request:** The USCP Board has requested this project.

**Previously Requested:** Yes.

This project was previously requested in FY 2011 and FY 2012. The cost estimate has increased as additional inspections have occurred, requirements have been refined, phasing has added increased costs and also due to inflation escalation.

- The AOC requested \$2,552K in FY 2011, but did not receive funding.
- The AOC phased the project and requested \$6,598K in FY 2012, but did not receive funding.

**Program Cost:**

The cost estimate for this multi-phased project has increased from the total of request of \$10,700K in FY 2012.

- The AOC is requesting \$7,373K in FY 2013 for Design/Build of Phase IA.
- The AOC anticipates requesting \$2,694K in FY 2014 for Phase IB
- The AOC anticipates requesting \$1,240K for Phase II in FY 2015
- The AOC anticipates requesting \$1,130K for Phase III in FY 2016.

The revised estimate for this project is approximately \$12,500K.



## Capitol Police Buildings, Grounds and Security

### Cost of Recurring Operations:

Additional maintenance costs will be required.

- These are anticipated to be approximately \$115K annually.
- Seven new kiosks are included in this phase.
- The other three phases will require additional maintenance costs also that will be calculated in conjunction with the future anticipated requests for these projects.

### Project Description:

The AOC will design and install the infrastructure for new hardware and devices necessary to allow the USCP to halt pedestrian traffic into and out of House and Senate parking garages during an emergency. This project is multi-phased.

- Included in the scope of this project are seven new police kiosks. These kiosks are to be located in the following buildings: one in the Cannon House Office Building, four in the Rayburn House Office Building, and two in the Senate Underground Garage.
- Kiosks will provide protection for security personnel at these posts. In addition, the kiosks will enable better vehicle access control due to improved infrastructure.
- Other phases of the project include four new terminal rooms, upgrades to seven existing terminal rooms, new card readers, cameras, alarms and new high speed, roll down doors, locks and controls.
- In future phases of this project, the AOC will install new screening areas from the garages into the buildings, as well as additional security measures in the garages such as cameras, call boxes, fire doors, and card readers in areas not addressed during the first phase.
- The project encompasses the Cannon House Office Building, the Rayburn House Office Building, the Senate Underground Garage, the East Underground Garage, the West Underground Garage, the Hart Senate Office Building and the Ford House Office Building.
- This project is linked to a FY 2013 budget request by the USCP for parts and labor to install alarms, lock down hardware, CCTV cameras, and card readers.

It is critical that this project is funded to provide USCP infrastructure and pathways to install their equipment. This project has been specifically requested by the U.S Capitol Police Board.

### Risk and Impact If Not Funded:

This project is directly related to the USCP Strategic Goal of providing protection for the Congressional community.

- Currently these facilities are not properly equipped to support the USCP's emergency lockdown function.
- This places Congressional Members, staff and the USCP at risk.

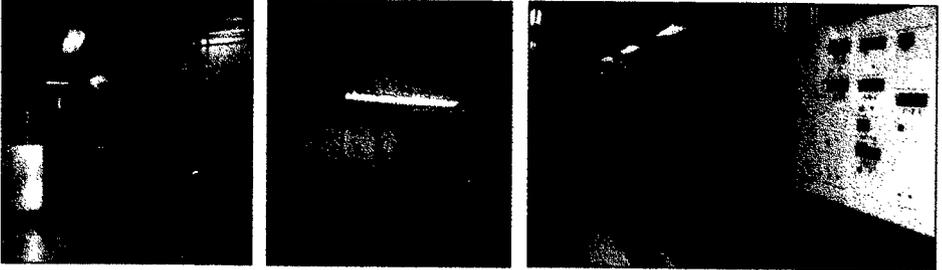
If this project is not funded, the facilities will continue to be vulnerable to attacks and the USCP will be unable to immediately secure the facilities in the event of an emergency.



## Capitol Police Buildings, Grounds and Security

**Project Title:** Electrical Distribution Upgrade, ACF

**Cost:** \$1,840K



**Project Phase; Classification; Capital Improvements Plan Goal(s):** Design; Capital Renewal; Mission Accommodation including Life Safety.

**Study Completed:** The need and urgency for this project became more apparent as the Critical Infrastructure Protection Analysis Study progressed. The study is approximately 50 percent completed.

**Facility Condition Index:** 0.008 = Excellent condition. (The AOC goal is for all facilities to be in Good condition with a Facility Condition Index rating in the range of 0.02 – 0.06. Higher ratings indicate facility is in worse condition.) The current rating does not yet take into account the Critical Infrastructure Protection Analysis Study results. The AOC anticipates that the study and new Facility Condition Index will indicate a significant reduction in the condition of the facility.

**AOC Prioritization:** 5 of 15 (75 considered.)

**Anticipated Start and End Dates:** Design duration is one year. Anticipate contract award by November 2012, with completion in 2013. Dates are contingent upon status of appropriations bill, funds availability, quality of contractor bids, congressional schedules, and other factors.

**Citation Driven:** No.

**Client Request:** Yes.

**Previously Requested:** This is the AOC's first request for design funding. Study funding was received in FY 2010.

**Program Cost:** This is a multi-phased project.

- The AOC received \$200K for a study in FY 2010.
- The AOC is requesting \$1,840K in FY 2013 for design.
- The AOC anticipates requesting construction funds in future years:
  - \$6,000K in FY 2015 for the first phase of construction.
  - \$5,000K in FY 2016 for the second phase of construction.
  - \$5,000K in FY 2017 for the third phase of construction.
  - \$5,000K in FY 2018 for the fourth phase of construction.
  - \$5,000K in FY 2019 for the fifth phase of construction.
  - \$4,000K in FY 2020 for the sixth phase of construction.



## Capitol Police Buildings, Grounds and Security

The AOC estimates the total project will be approximately \$32,000K.

### Cost of Recurring Operations:

The installation of additional electrical infrastructure to provide added reliability and redundancy to the Data Center will result in a net increase in operating/maintenance costs.

- However, unplanned, and costly emergency repairs will decrease.
- The AOC believes that increases in standard maintenance costs will be offset by decreases in emergency repairs.
- Funding this project and completion of all construction phases will reduce the possibility of a catastrophic failure of these critical systems.

### Project Description:

The project designs a replacement and upgrade to medium voltage, low voltage electrical distribution, all associated uninterruptible power supplies, and secondary power source architecture at the Alternate Computer Facility.

- The design will examine several solutions to best determine which electrical architecture is most advantageous to meet the stringent requirements of a Tier III data center.
- The goal is to design the electrical distribution and power sources to meet redundancy and reliability standards, and guarantee 99.982% availability.

### Risk and Impact If Not Funded:

The Alternate Computer Facility is utilized as a mission critical data center in support of congressional, Library of Congress, USCP and AOC operations.

- The facility is currently operating as a Tier I facility with no redundancy, limited reliability and limited safety devices as was evidenced by the recent earthquake.
- The electrical system is approaching the end of its service life. It has multiple single points of failure that present urgent operational concerns and reveal the inability of the AOC to effectively provide reliable data center solutions to stakeholders.
- Without this project, the aging electrical system will continue to deteriorate becoming both operationally burdensome and increasingly maintenance intensive.
- Since this is a mission critical data center, stakeholders will begin to experience a higher frequency of service interruptions, which exponentially increases the probability of system failures of Legislative Branch communication mediums.

The House Inspector General performed an investigation of the mission readiness of the facility in 2009. Report No. 09-AOC-21 identified multiple electrical deficiencies and prominently identified the need to upgrade the Alternate Computer Facility to a Tier III facility.



## Botanic Garden



### AOC MISSION

To serve Congress and the Supreme Court, preserve America's Capitol, and inspire memorable experiences.

### RESPONSIBILITIES IN SUPPORT OF AOC MISSION

The United States Botanic Garden (USBG) jurisdiction is responsible for the improvement, operation, care, and maintenance of the Conservatory, National Garden, Administration Building, Bartholdi Park and Fountain, the plant collections, the gardens and grounds, and the Production Facility at D.C. Village.

USBG is an institution dedicated to demonstrating the aesthetic, cultural, economic, therapeutic, and ecological importance of plants. The Botanic Garden provides Congress and the public a wide range of professional expertise and services related to education, botany, horticulture, plant conservation, sustainability, exhibits, and outreach.

#### Facility Overview

Name/Type	Year Built	Age	Area (sq. ft)	Deferred Maintenance*	Capital Renewal*	Backlog**
Administration Building	1931	80	3,788	\$365,000	\$79,000	\$444,000
Bartholdi Park and Fountain	1932	79	96,726	\$0	\$1,077,000	\$1,077,000
Conservatory	1933	78	106,335	\$1,246,000	\$3,777,000	\$5,023,000
Production Facility Greenhouse and Headhouse	1993	18	117,930	\$846,000	\$6,287,000	\$7,133,000
Production Facility Lath House	1994	17	4,760	\$250,000	\$0	\$250,000
Production Facility Pesticide Storage	1994	17	450	\$20,000	\$56,000	\$76,000
Production Facility Temporary Structures	2000	11	5,500	\$0	\$288,000	\$288,000
Production Facility Grounds	2000	11		\$63,000	\$147,000	\$210,000
		<b>Total</b>	<b>329,989</b>	<b>\$2,790,000</b>	<b>\$11,711,000</b>	<b>\$14,501,000</b>

\* Deferred Maintenance and Capital Renewal figures based on FY 2011 reporting.

\*\* Backlog equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance.



## Botanic Garden

### ECONOMIES AND EFFICIENCIES

In order to maximize funding in a zero-based budget environment, the AOC has made a concerted effort to find efficiencies and more effective processes. The Botanic Garden jurisdiction recently identified and implemented several cost avoidance/savings initiatives. These enabled the AOC to apply funds toward the backlog of deferred maintenance, and/or to use project funds in the most efficient and economic manner to continue to improve congressional facilities, systems, infrastructure and services.

**Initiative:** Relocation of Plant Collections.

Cost Savings: \$2K.

By reorganizing the Botanic Garden's plant collection, it was possible to completely close one of the Production Facility's greenhouses. This resulted in energy savings due to no cooling requirements over the hot summer months.

**Initiative:** Hawaii Exhibit Light Fixtures.

Cost Avoidance: \$500.

The number of light fixtures in the Hawaii exhibit greenhouse was reduced from eight fixtures to six fixtures. By changing from incandescent to LED fixtures, the Botanic Garden uses less electricity and lower maintenance costs.

**Initiative:** Production Facility Boiler Burner Upgrade.

Cost Avoidance: \$12K.

The Botanic Garden replaced its Production Facility boiler control system which optimizes fuel efficiency, while providing cost avoidance.

**Initiative:** Reduced Overtime.

Cost Savings: \$40K.

The Botanic Garden has completely eliminated regularly scheduled overtime in all divisions. The Botanic Garden was able to apply the cost savings toward other facility maintenance and plant conservation efforts. The AOC has also right-sized the Fiscal Year 2013 payroll budget requests as part of zero-based budgeting.

**Initiative:** Increased Use of Volunteers.

Cost Avoidance: \$30K.

By increasing the use of volunteers, the Botanic Garden has been able to provide public tours as well as informal education with discovery carts, while avoiding additional payroll costs.

**Initiative:** Educational Programs Expansion

Cost Avoidance: \$20K

The Botanic Garden has been able to provide excellent educational programs by working with collaborators who can handle the work associated with planning, execution, and upkeep of high quality programs and outreach to the community.

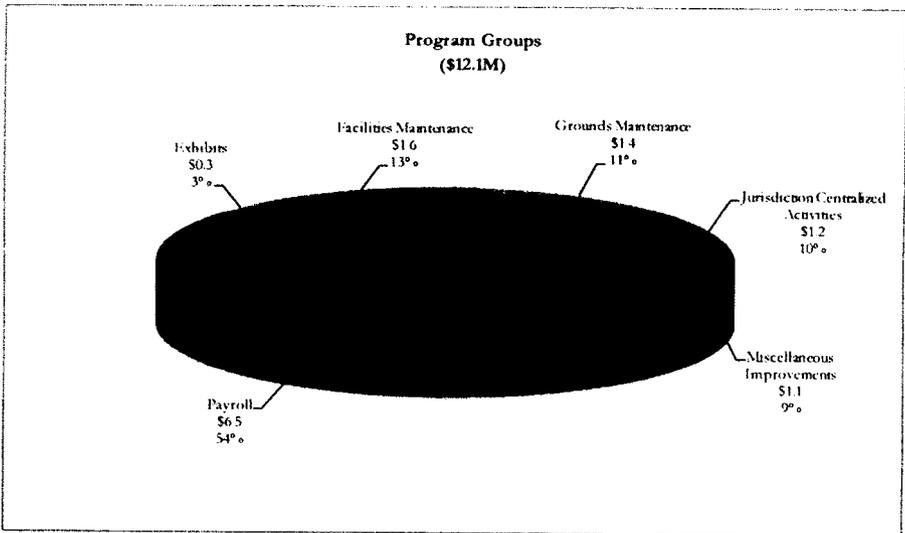


## Botanic Garden

### ZERO BASED JUSTIFICATION SUMMARY:

#### OPERATING BUDGET (*FY 2013 Budget Request \$12.1*)

The Operating Budget of the Botanic Garden appropriation funds all costs associated with the daily care, maintenance, improvement, and operation of its grounds and facilities. The budget is divided into functional area Program Groups: Exhibits (seasonal displays); Facilities Maintenance; Grounds Maintenance (including horticulture and fine gardening); Jurisdiction Centralized Activities (including education, collaborations, partnerships and outreach); Miscellaneous Improvements (similar to other appropriations Minor Construction accounts and used for emergent maintenance and repairs), and Payroll. The majority of the Botanic Garden's Operating Budget is in Payroll since maintenance of a botanic garden, plants and a conservatory; and the associated educational efforts are very manpower intensive. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the Botanic Garden and AOC considered and prioritized funding based on historical data, current, and future requirements.

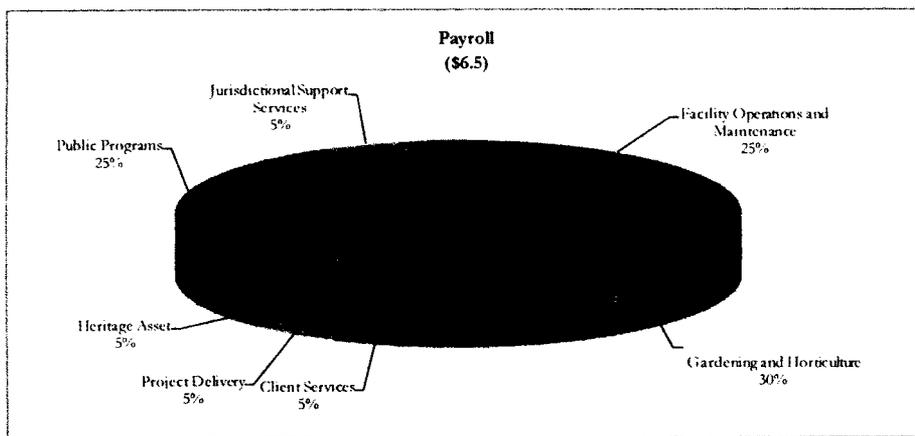




## Botanic Garden

### Payroll

The Botanic Garden appropriation is requesting \$6.5M for Payroll. This provides the capability to properly care for the Garden's facilities, fountains, and gardens. The facilities are in continual need of repair from weather-related issues as well as aging and environmental conditions. This Payroll request enables the Botanic Garden to fulfill its mission to educate people regarding the history, importance, and care of plants. The Garden's staff is specialized in their respective program areas. For example, the maintenance mechanics are specialists in care and maintenance of greenhouses, irrigation systems, fountains, and historic buildings. The horticulturists are specialized in areas of science, research, plant conservation, botany, taxonomy, and plant culture. The public programs staff provides expertise in areas such as signage, interpretation, communication, outreach, exhibits, and displays. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the Botanic Garden and AOC considered and prioritized funding based on historical data, current, and future requirements.



### Payroll Funded FTE Ceiling 68

#### Cost Accounting Code Definition:

**Facility Operations and Maintenance:** Facilities operations activities include such tasks as custodial work, grounds care, road and walkway maintenance, boiler plant operations, and the provision of utilities. Facilities operations are associated with the day-to-day care of the U.S. Botanic Garden (USBG). Facilities maintenance activities encompass planned and corrective maintenance. Planned maintenance represents scheduled maintenance. Corrective maintenance includes emergency repairs.

**Client Services:** Client services include normal and special request services provided to BG clients, the Congress, the public, citizens, and other constituencies. Examples include Congressional events.

**Project Delivery:** USBG capital assets are provided and maintained through effective planning and project delivery. This includes planning, programming, design, construction, and the related management activities in the delivery of USBG projects.

**Heritage Asset Stewardship:** Heritage asset stewardship activities include the care, maintenance, preservation, and presentation of the national treasures entrusted to the care of the USBG for present and future generations of visitors to the Capitol.

**Jurisdictional Support Services:** Leadership and administrative support activities encompass executive leadership and administrative support services such as human resources, information technology, financial, procurement, and safety and security.

**Public Programs:** Public programs include garden interpretation, education, outreach, exhibits, partnerships, signage, publications, and communications.

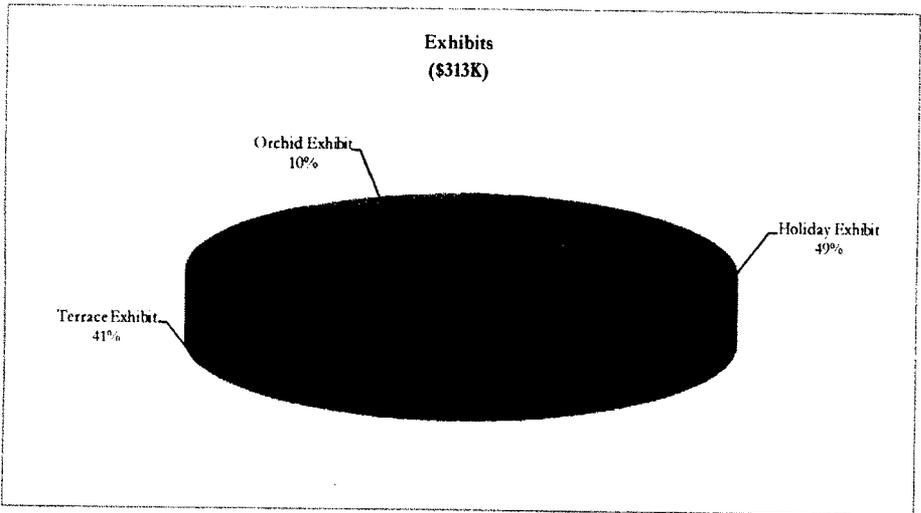
**Gardening and Horticulture:** Gardening and horticulture includes growing of rare and endangered plants, collections, display crops, and historic plants. In addition, this includes curating of plants, plant taxonomy, labels, shows, and garden improvement and development.



## Botanic Garden

### Exhibits

The Botanic Garden appropriation is requesting \$313K for the Exhibit Program. This funds the fabrication, installation and purchase of supplies for public displays such as sustainability exhibits, the holiday "trains" exhibit, orchid exhibits, and terrace exhibits. Of the \$313K requested, 49% is for the holiday exhibit which runs from Thanksgiving through New Year's Day and encompasses the highly anticipated holiday trains along with many man-made "green" building replicas such as the Capitol Building, Washington D.C.C. monuments, the White House, the Supreme Court Building, Botanic Garden, and other congressional buildings. The remaining 41% of the funding request is for the terrace exhibit. The terrace exhibit runs from late spring to early fall. It provides educational programs and horticultural exhibits such as living walls, green roofs, classification of plant families, importance of pollinators, and gardens for health and well-being to visitors of all ages. The remaining 10% is applied to the development of the Botanic Garden's orchid exhibit which is occurs in late winter. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the Botanic Garden and AOC considered and prioritized funding based on historical data, current, and future requirements.

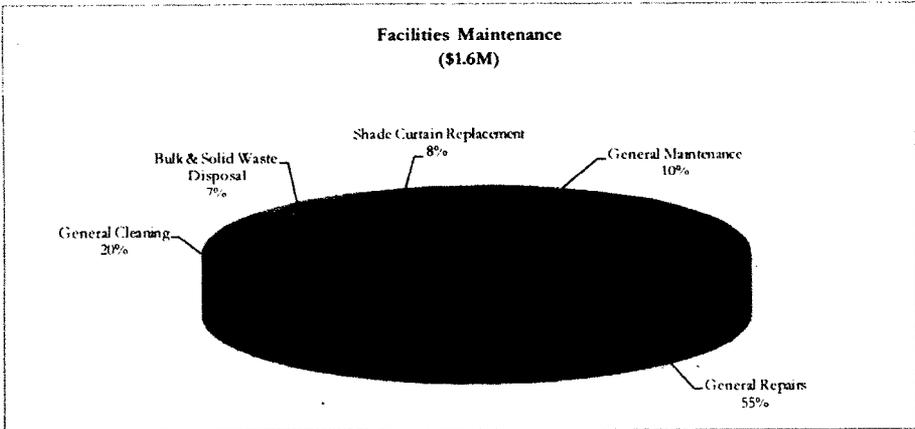




## Botanic Garden

### Facilities Maintenance

The Botanic Garden appropriation is requesting \$1.6M for Facilities Maintenance. This enables the performance of year-round and cyclical maintenance required for responsible stewardship of the Conservatory and Production Facility greenhouses. The Botanic Garden's outdoor buildings endure normal deterioration from the sun and weather, but much of the maintenance needs are for glasshouses where constant moist and sunny conditions accelerate corrosion. The original exterior metal work at the Production Facility is failing and needs maintenance. At the Production Facility and Conservatory, the greenhouse vent drives need continual maintenance so that drive pipes, gears, rack arms, and motors function to open and close the vents to allow for passive cooling and ventilation. The shade systems are on a regular schedule for multi-year phased replacement. Without replacement, the cloth becomes tattered from sunlight deterioration. These repairs are essential for the continued successful growth of the Botanic Garden's specialized collections of rare and endangered plants and heritage assets. The Conservatory elevator required for ADA compliance breaks down due to the moist environmental conditions and requires emergency repairs. The monumental doors in the Conservatory require ongoing maintenance due to wear and tear. Maintenance challenges also come from the surges of enormous visitation when there are marches and demonstrations. Thousands of added visitors contribute to the deterioration of the facilities and the need for increased cleaning and maintenance. The Facilities Maintenance program group funds supplies, materials, maintenance contracts, and cleaning contracts. The Botanic Garden also must contract for the disposal of bulk and solid waste associated with the care of gardens, plants and greenhouses. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the Botanic Garden and AOC considered and prioritized funding based on historical data, current, and future requirements.

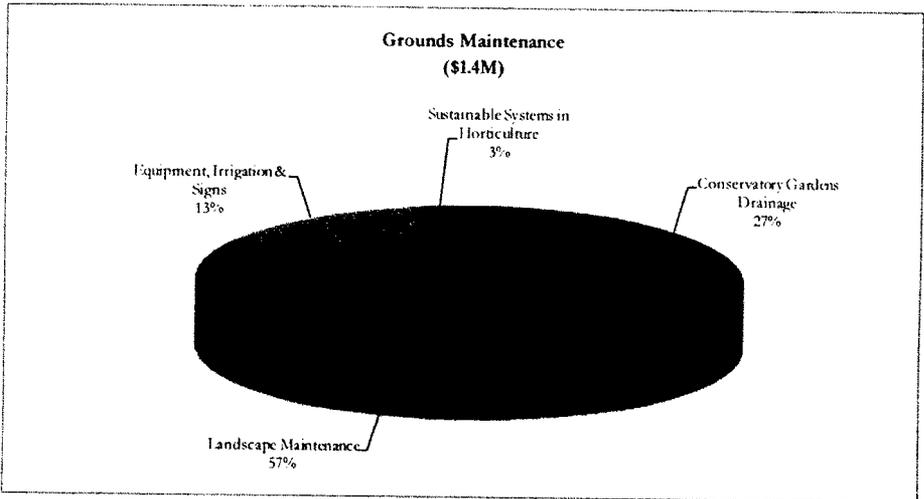




## Botanic Garden

### Grounds Maintenance

The Botanic Garden appropriation is requesting \$1.4M for Grounds Maintenance. This provides for the care and improvement of the outdoor gardens including those surrounding the Conservatory, the National Garden, the Bartholdi Park Gardens, and the Production Facility outdoor spaces. This also funds the plants and horticultural material for displays, exhibits, shows, and educational programs; as well as pest management, and grounds maintenance such as lawn care and snow removal. This funding provides for irrigation systems' repair, maintenance and upgrades to ensure better functioning with lower labor costs. These irrigations systems are in the Conservatory, outdoor gardens, and greenhouses. Efforts to reduce water use include utilization of more modern irrigation systems and water capture using design improvements such as creation of rain gardens. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the Botanic Garden and AOC considered and prioritized funding based on historical data, current, and future requirements.

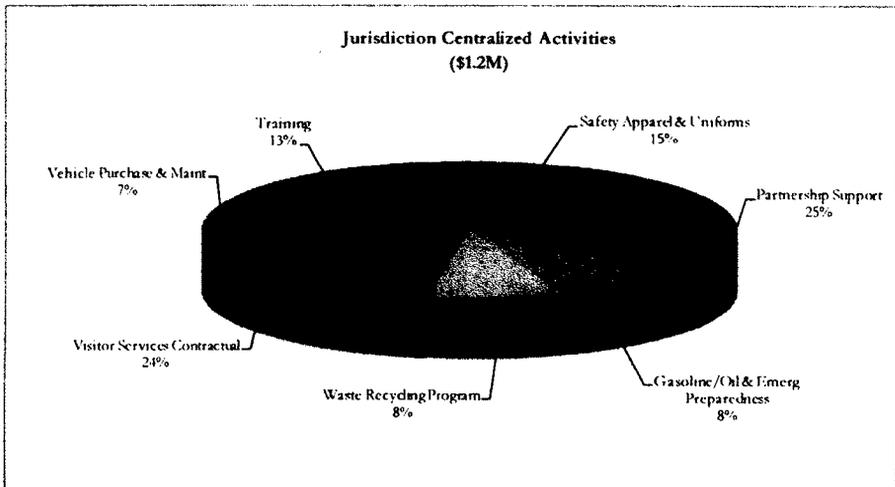




# Botanic Garden

## Jurisdiction Centralized Activities

The Botanic Garden appropriation is requesting \$1.2M for Jurisdictional Centralized Activities. This encompasses non-discretionary costs such as vehicle maintenance and training, as well as costs for fulfillment of its mission to demonstrate and educate the critical importance of plants. Funds are included for education and outreach to teachers, students, garden clubs and the general public. The Botanic Garden plans to harness developing technology to enable future delivery of high quality information at little cost. The migration of signage is underway to use Quick Response (QR) codes with repurposed video, using existing resources at little cost. Through its national programs and collaborations, the Botanic Garden is creating national guidelines and benchmarks for sustainable landscapes, native seed collection and research; and safeguarding native orchids. The Garden plans continued collaborations including development of a modern micro-propagation lab for the purpose of building and distributing populations of rare and endangered plants. Emerging science such as the investigation of complex plant/fungal/soil relationships will be used in exhibits and programs to illustrate to the public the importance of plant biodiversity to ensure options for future generations. In a successful partnership program, the Botanic Garden works with nationally-recognized collaborators to address urgent problems and national significance of caring for wild and cultivated plant resources. This account also includes funds for contracted visitor services; and uniforms and safety apparel for identification, security and life-safety. Through prudent use of limited funds, the Botanic Garden is meeting its unique mission in support of Congress and the public.



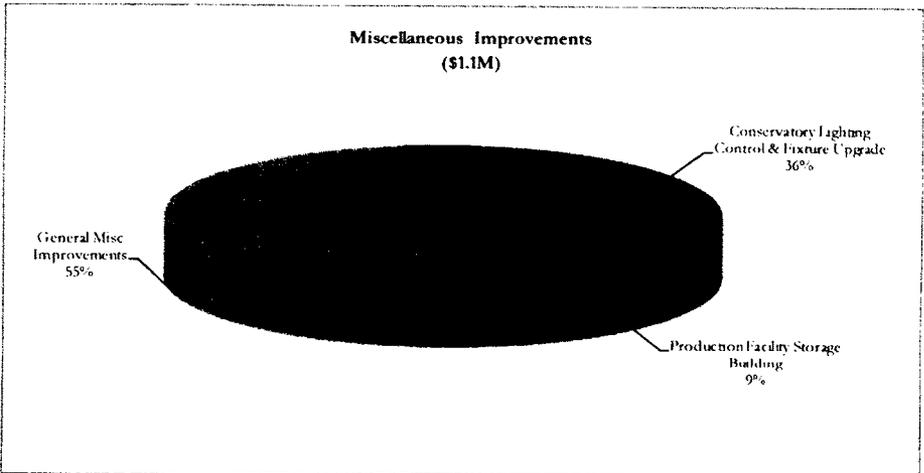
Safety - OSHA, Fall Protection, Scaffolding, Hazardous Waste, CPR, Hearing Conservation, etc.	\$60
Supervisory Training - EEO/Diversity, Ethics, Performance Coaching & Counseling, etc.	\$20
Appropriations Law, Ethics, Government Purchase Cards, HVAC installation, etc.	\$28
<b>Total</b>	<b>\$108</b>



## Botanic Garden

### Miscellaneous Improvements

The Botanic Garden appropriation is requesting \$1.1M for Miscellaneous Improvements. This funding is needed for a variety of necessary repairs. Repair of the exterior stone on the Conservatory is a priority in Fiscal Year 2013. Exterior stone has been falling from the cornice level (roof line) of the Conservatory building since 2008. Pieces of stone weighing 5 to 15 pounds are falling from a height of 40 feet, creating a public safety hazard and threatening the integrity of the facility. In addition, failures of the roof slab require being addressed to prevent stone from falling onto the concrete deck over the Galleries. These stones are heavy enough to fall through the concrete deck and the gypsum ceilings into public areas that feature popular exhibits, such as the trains during the holiday season. One of the skylights is leaking which is causing a serious life safety indoor air quality issue due to the mold and wood rot. The leaking water is migrating into the mechanical areas jeopardizing equipment and public safety. The leaking water also compromises the integrity of the Conservatory envelope and threatens plant collections. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the Botanic Garden and AOC considered and prioritized funding based on historical data, current, and future requirements.





# Botanic Garden

## BUDGET SUMMARY

The Architect of the Capitol is responsible for the maintenance, modification, and operation of the Botanic Garden. The Architect performs these duties in connection with the Botanic Garden under the direction of the Joint Committee on the Library, which is charged by law with control over the Botanic Garden. Day-to-day operations are managed by the Executive Director. This appropriation provides for the operation, care, and maintenance of the Conservatory, National Garden, Administration Building, Bartholdi Park and Fountain, the plant collections, the gardens and grounds, and the Production Facility at D.C. Village.

Total Budget (\$000)					
Appropriation	FY 2011 <sup>1</sup> Operating Plan	FY 2011 <sup>2</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Operating Budget	12,304	12,061	12,000	12,140	140
Multi-Year Projects	1,502	389			
<b>Total</b>	<b>13,806</b>	<b>12,449</b>	<b>12,000</b>	<b>12,140</b>	<b>140</b>

Operating Budget (\$000)					
Program Groups	FY 2011 <sup>1</sup> Operating Plan	FY 2011 <sup>2</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Administrative Support	71	26	-	-	-
Exhibits	313	405	313	313	-
Facilities Maintenance	1,352	2,157	1,595	1,595	-
Grounds Maintenance	1,860	1,714	1,405	1,405	-
Jurisdiction Centralized Activities	1,316	969	1,229	1,229	-
Miscellaneous Improvements	1,016	733	1,082	1,082	-
Payroll	6,376	6,057	6,376	6,516	140
Annual-Funded Projects					
<b>Total</b>	<b>12,304</b>	<b>12,061</b>	<b>12,000</b>	<b>12,140</b>	<b>140</b>

Multi-Year Projects (\$000)					
Projects	FY 2011/2015 Enacted	FY 2011/2015 Actual Obs	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
<b>Total</b>	<b>1,502</b>	<b>389</b>	<b>-</b>	<b>-</b>	<b>-</b>

<sup>1</sup> Reflects FY 2010 Enacted with 0.2% rescission and initial congressionally-approved reprogramming.

<sup>2</sup> FY 2011 Actual Obligations can include reprogrammings/transfers from other appropriations.



# Botanic Garden

## BUDGET SUMMARY (continued)

Full Time Equivalents (FTE)						
Appropriation	Payroll Funded			Project Funded		
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	FY 2011 Actual	FY 2012 Estimate	FY 2013 Estimate
Botanic Garden	65	68	68	1	1	1

<sup>1</sup>FY 2012/2013 project funded FTEs are estimated figures and dependent to the numbers of projects funded.

FY 2013 Object Class (\$000)					
Object Class	FY 2011 <sup>1</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference	
11 Personnel Compensation	4,507	4,633	4,735	102	
12 Personnel Benefits	1,695	1,743	1,781	38	
21 Travel	33	29	29	-	
22 Transportation of Things	-	-	-	-	
23 Rent, Communications and Utilities	-	-	-	-	
24 Printing and Reproduction	-	-	-	-	
25 Other Contractual Services	5,172	4,481	4,481	-	
26 Supplies and Materials	803	696	696	-	
31 Equipment	29	25	25	-	
32 Land and Structures	455	394	394	-	
42 Insurance Claims and Indemnities	-	-	-	-	
<b>Total</b>	<b>12,694</b>	<b>12,000</b>	<b>12,140</b>	<b>140</b>	

<sup>1</sup> FY 2011 Actuals represents total obligations of funds incurred irrespective of the year of appropriation.



# Botanic Garden

## FY 2013 ANALYSIS OF CHANGE

	FY 2013 Appropriation	
	FTE	Amount (\$000)
<b>Fiscal Year 2012 Enacted (FTE reflects Payroll Funded only)</b>	<b>68</b>	<b>12,000</b>
Non-Recurring Costs	-	-
Other Decreases	-	-
<b>Total Program Decreases</b>	<b>-</b>	<b>-</b>
<b>Mandatory Pay Related Costs:</b>		
FY 2013 Cost of Living Adjustment of 1.7%.....		66
FY 2013 Within Grade Increases.....		47
FY 2012 FERS Adjustment from 11.7% to 11.9%.....		9
FY 2012 FEHB Employer Contribution Increase of 4%.....		18
<b>Total Mandatory Pay Related Costs</b>	<b>-</b>	<b>140</b>
Total Price Level Changes	-	-
Total Program Increases	-	-
Net Increase/Decrease	-	140
<b>Total Appropriation</b>	<b>68</b>	<b>12,140</b>



## Botanic Garden

### OPERATING BUDGET SUMMARY

The Operating Budget of the Botanic Garden appropriation funds all costs associated with the daily care, maintenance and operation of its grounds and facilities. The budget is divided into functional area Program Groups. In accordance with sound financial management practice, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process.

Operating Programs (3006)						
Program Groups	FY 2012 Enacted	Program Realignment/ Transfers	Mandatory Pay and Price Increases	Program Changes	FY 2013 Request	FY 2012/2013 Difference
Exhibits	313	-	-	-	313	-
Facilities Maintenance	1,595	-	-	-	1,595	-
Grounds Maintenance	1,405	-	-	-	1,405	-
Jurisdiction Centralized Activities	1,229	-	-	-	1,229	-
Miscellaneous Improvements	1,082	-	-	-	1,082	-
Payroll	6,376	-	140	-	6,516	140
<b>Total</b>	<b>12,000</b>	<b>-</b>	<b>140</b>	<b>-</b>	<b>12,140</b>	<b>140</b>

### Program Groups - Description and Analysis of Changes

#### Exhibits

**(FY 2012 Baseline: \$313K)**

**FY 2013 Request: \$313K)**

The Exhibit Program Group funds the fabrication, installation and purchase of supplies for the Botanic Garden such as sustainability exhibits, the holiday exhibit, spring flower exhibits and other terrace exhibits.

#### Facilities Maintenance

**(FY 2012 Baseline: \$1,595K)**

**FY 2013 Request: \$1,595K)**

The Facilities Maintenance Program Group funds annual building maintenance services required throughout the buildings under the appropriation's purview. It includes repairing and modifying air conditioning systems, electrical systems, elevators, masonry, and plumbing; preventative interior and exterior building maintenance (e.g., painting, pointing, caulking, and surface preservation); solid and bulk waste disposal; maintenance of fire alarm systems; and systems maintenance, as applicable.

#### Grounds Maintenance

**(FY 2012 Baseline: \$1,405K)**

**FY 2013 Request: \$1,405K)**

The Grounds Maintenance Program Group funds trash, leaf, and snow removal; lawn, tree, sign, and irrigation systems maintenance; and the purchase of grounds maintenance supplies and equipment.



## Botanic Garden

### OPERATING BUDGET SUMMARY (continued)

#### Jurisdiction Centralized Activities

**(FY 2012 Baseline: \$1,229K)**

**FY 2013 Request: \$1,229K)**

The Jurisdiction Centralized Activities Program Group funds training, registration, and seminar fees; travel; uniform allowances; vehicles leases, operations and maintenance; safety apparel; emergency preparedness; computer-aided drafting services, and gasoline and oil, as applicable.

#### Miscellaneous Improvements

**(FY 2012 Baseline: \$1,082K)**

**FY 2013 Request: \$1,082K)**

The Miscellaneous Improvements Program Group funds the repair, replacement, and improvement of BG facilities. The scope of these projects exceeds normal maintenance requirements.

#### Payroll

**(FY 2012 Baseline: \$6,376K)**

**FY 2013 Request: \$6,516K)**

The Payroll Program Group funds salaries and benefits for employees specifically supporting the appropriation. It includes government staff salaries and other compensation (e.g., paid leave and lump sum annual leave payments upon separation); compensation above basic rates including overtime and holiday pay; employer contributions to the Civil Service Retirement System, the Federal Employees Retirement System and the Thrift Savings Plan; employer contributions to Social Security, Medicare, Federal Employees Health Benefits and Federal Employees Group Life Insurance.

Additional funding of \$140K is requested for mandatory pay increases which include a Fiscal Year 2013 Cost-Of-Living Adjustment calculated using the Congressional Budget Office's economic assumption of 1.7%, Within Grade Increases of 1%, the Fiscal Year 2012 Federal Employee's Retirement System adjustment of 0.2%, agency health benefit contributions, and one more compensable day because 2013 is a leap year.



## Capitol Visitor Center



### AOC MISSION

To serve Congress and the Supreme Court, preserve America's Capitol, and inspire memorable experiences.

### RESPONSIBILITIES IN SUPPORT OF AOC MISSION

The Capitol Visitor Center (CVC) jurisdiction is responsible for the operations of the visitor center complex and related facilities. The CVC was established by Congress with the intent to provide greater security for all persons working in or visiting the United States Capitol and a more convenient place in which to learn about the work of Congress and the U.S. Capitol Building.

The CVC represents a modern, secure, educational, and convenient addition that respects the Capitol's historic setting while greatly enhancing visitor access to the Capitol Building and the work of Congress. A little less than three years since its opening, the CVC has now welcomed over seven million visitors to the nation's Capitol Building.

#### Facility Overview

Name/Type	Year Built	Age	Area (sq. ft.)	Deferred Maintenance*	Capital Renewal*	Backlog**
Capitol Visitor Center	2006	5	710,598	\$106,000	\$0	\$106,000
<b>Total</b>			<b>710,598</b>	<b>\$106,000</b>	<b>\$0</b>	<b>\$106,000</b>

\* Deferred Maintenance and Capital Renewal figures based on FY 2011 reporting.

\*\* Backlog equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance.

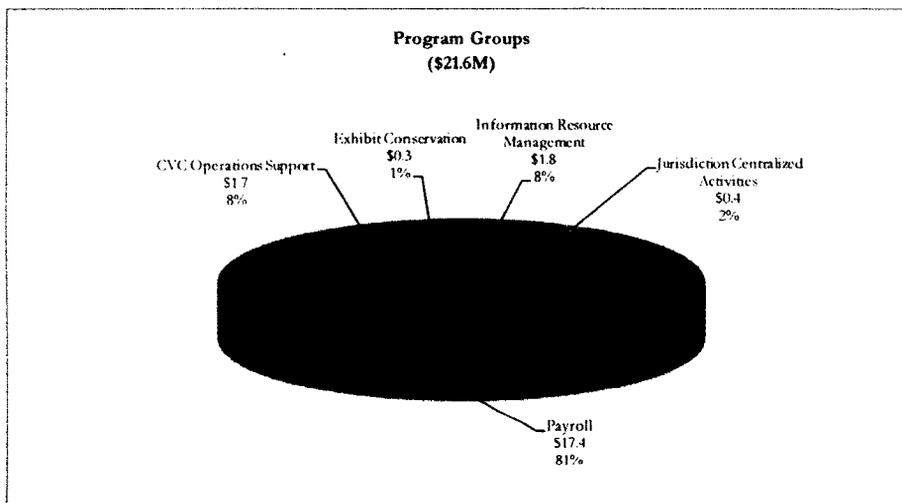


## Capitol Visitor Center

### ZERO BASED JUSTIFICATION SUMMARY:

#### OPERATING BUDGET (*FY 2013 Budget Request \$21.6M*)

The Operating Budget for the Capitol Visitor Center (CVC) appropriation funds all costs associated with the daily operation of its facilities. The budget is divided into functional area Program Groups: Exhibit Conservation, Information Resource Management, Jurisdiction Centralized Activities, Payroll, and CVC Operations Support. Prior to development of the AOC FY 2013 zero-based budget request, the CVC and AOC considered and prioritized funding based on historical data, current, and future requirements.





## Capitol Visitor Center

### Payroll

The Capitol Visitor Center (CVC) appropriation is requesting \$17.4M for payroll requirements. Of the \$17.4M, approximately 9% is for Congressional Services (including normal and special request services provided to Congress, their staff, and the public); 3% is associated with Leadership; 17% is for Central Jurisdiction Support Services which provides the labor integral to CVC operations on support of the Congress and public, such as CVC-unique human capital management, CVC-unique information technology system and tools, and CVC-unique legal support. The CVC payroll request includes 71% for Public and Visitor Services (including visitor assistance services provided to enhance the experience of the visitor and constituents.) It is comprised of:

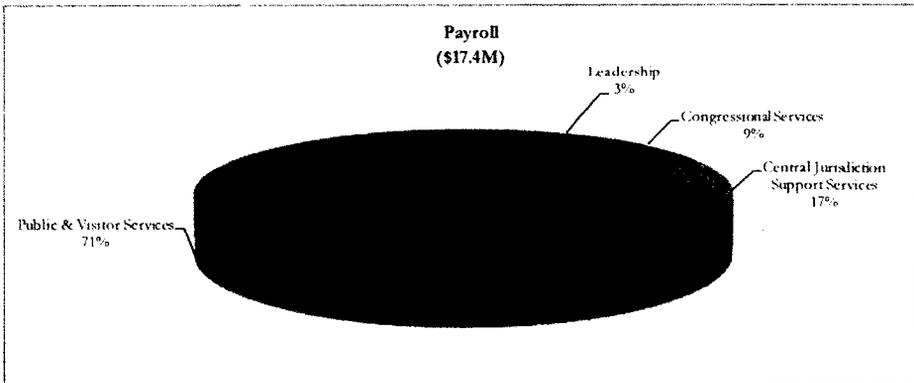
1% Restaurant Services (activities associated with providing food and restaurant services and support, managing the contract with foodservice provider, and ensuring a quality restaurant service operation on a daily basis);

6% Exhibit Services (activities associated with public exhibits, events, education and public programs, and related visitor services);

10% Gift Shop Services (activities associated with managing and maintaining Gift Shops within the CVC, including those activities provided by sales, inventory, merchandising, back-office and management staff); and

83% Visitor Services (activities associated with tours, special events, and visitor assistance provided by the guides, visitor assistants, schedulers and management staff)

Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the CVC and AOC considered and prioritized funding based on historical data, current, and future requirements.



### Payroll Funded FTE Ceiling 247



## Capitol Visitor Center

### Exhibit Conservation

The Capitol Visitor Center (CVC) appropriation is requesting \$290K for Exhibit Conservation. This funding supports the CVC's ability to provide quality exhibit rotations and maintain the operational aspects of Exhibition Hall. This request involves approximately 78% for exhibit rotations, 17% for Exhibit Hall updates and 5% for exhibit conservation and supplies. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the CVC and AOC considered and prioritized funding based on historical data, current, and future requirements.

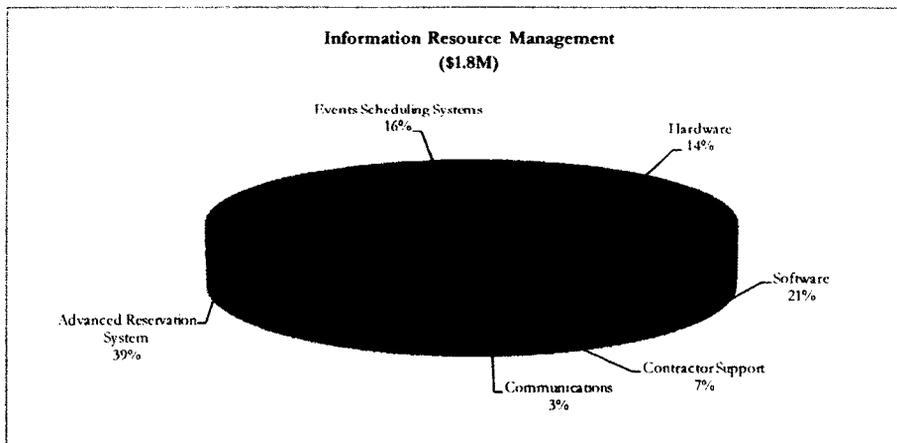
### Information Resource Management

The Capitol Visitor Center (CVC) appropriation is requesting \$1.8M for information technology software, hardware and services specific to the CVC. This includes 39% for the Advanced Reservation System (ARS) used by Congress and the public to book tours. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the CVC and AOC considered and prioritized funding based on historical data, current, and future requirements.

CVC maintains two gift shops and a restaurant, both of which record cash and credit card transactions on a daily basis. This request includes 35% primarily for computer hardware and software to support CVC's networks which are subject to stringent audit requirements for the purpose of maintaining a secure financial environment.

The CVC manages reservations for the two Congressional Meeting Rooms and the Congressional Auditorium. This request includes 16% to maintain the room booking software used by Congress to reserve these spaces.

The remaining approximately 10% is to provide support for the CVC's website and communication activities that provide information to the Congress and the public.



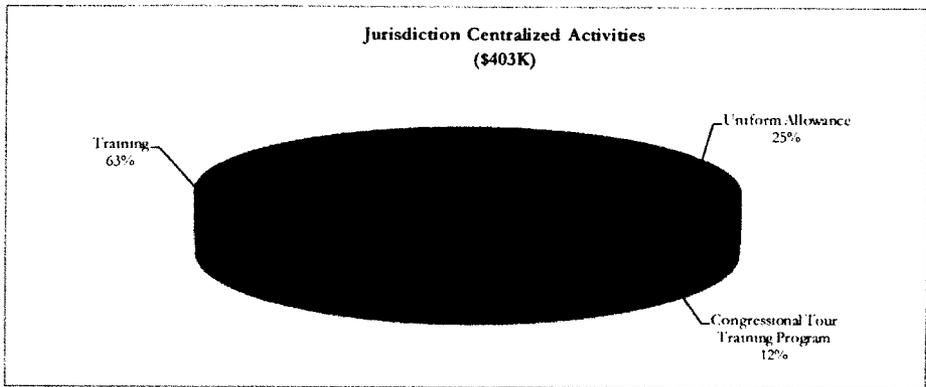


## Capitol Visitor Center

### Jurisdiction Centralized Activities

Capitol Visitor Center (CVC) appropriation is requesting \$403K for Jurisdiction Centralized Activities provides the labor integral to CVC operations. This request involves 63% for training or approximately \$1000 per FTE. This funding is needed to maintain the CVC high level of technical expertise and customer service.

This request also involves approximately 25% for uniforms for front-line staff for safety, security and identification purposes; and 12% to maintain the Congressional Tour Training Program (formerly known as CHIP) to ensure informative tours. Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the CVC and AOC considered and prioritized funding based on historical data, current, and future requirements.



Required Training (79% of total training)	Cost (\$000)
EEO and Supervisory Training	\$36
Appropriations Law	\$5
Supervisory and Management Training	\$50
Customer Service Training in-line with the legislated mission of the CVC	\$86
<b>Total</b>	<b>\$177</b>



## Capitol Visitor Center

### CVC Operations Support

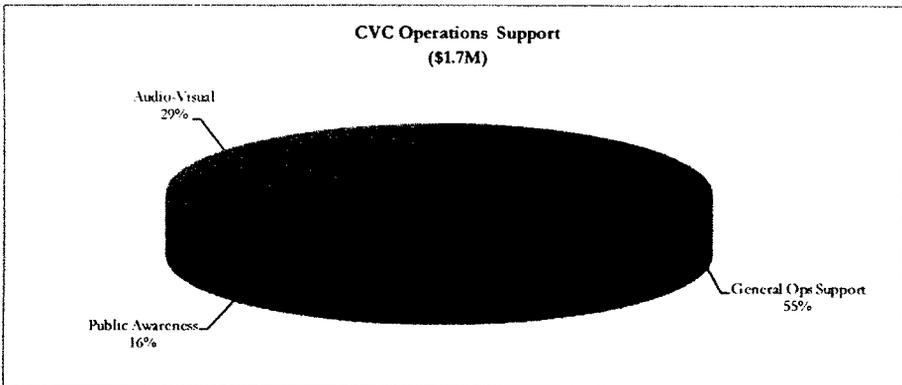
The Capitol Visitor Center (CVC) appropriation is requesting \$1.7M for CVC Operations Support.

This request includes 55% for general operations support. Of this, approximately 56% is required for annual maintenance and replacement of the listening devices used by the guides and visitors during tours; 16% to monitor visitor satisfaction; 14% to provide educational support for tours and the visiting public; 8% to maintain the radios used by the guide staff; and 6% to maintain a fleet of six shuttles and the purchase of miscellaneous equipment such as stanchions and patio umbrellas.

This request includes 29% for audio-visual support to include all annual maintenance contracts and replacement part requirements for the audio-visual equipment in the Congressional Auditorium, the Congressional Meeting Rooms and Exhibition Hall.

This request also contains 16% for public awareness to include graphic design support and the printing of brochures.

Prior to development of the AOC Fiscal Year 2013 zero-based budget request, the CVC and AOC considered and prioritized funding based on historical data, current, and future requirements.





# Capitol Visitor Center

## BUDGET SUMMARY

Congress established the U.S. Capitol Visitor Center (CVC) with the intent to provide greater security for all persons working in or visiting the United States Capitol and a more convenient place in which to learn about the work of Congress and the U.S. Capitol Building. In the past, the appropriation has provided funding for construction of the facility; and operational start-up costs and facility maintenance activities to support the CVC.

Total Budget (\$000)					
Appropriation	FY 2011 <sup>1</sup> Operating Plan	FY 2011 <sup>2</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Operating Budget	22,726	22,083	21,276	21,588	312
Multi-Year Projects					
<b>Total</b>	<b>22,726</b>	<b>22,083</b>	<b>21,276</b>	<b>21,588</b>	<b>312</b>

Operating Budget (\$000)					
Program Groups	FY 2011 <sup>1</sup> Operating Plan	FY 2011 <sup>2</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
Administrative	364	373			
Exhibits	232	157	290	290	
Information Resources	2,118	2,503	1,771	1,771	
Jurisdiction Centralized Activities	696	512	403	403	
Payroll	17,672	16,570	17,068	17,380	312
Visitor Services	1,643	1,969	1,744	1,744	
Annual-Funded Projects					
<b>Total</b>	<b>22,726</b>	<b>22,083</b>	<b>21,276</b>	<b>21,588</b>	<b>312</b>

Projects Budget - Multi-Year (\$000)					
Projects	FY 2011/2015 Enacted	FY 2011/2015 Actual Obs	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
<b>Total</b>	-	-	-	-	-

<sup>1</sup> Reflects FY 2010 Enacted with 0.2% rescission and initial congressionally-approved reprogramming.

<sup>2</sup> FY 2011 Actual Obligations can include reprogrammings/transfers from other appropriations.



# Capitol Visitor Center

## BUDGET SUMMARY (continued)

Full Time Equivalents (FTE)						
Appropriation	Payroll Funded			Project Funded		
	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	FY 2011 Actual	FY 2012 Estimate	FY 2013 Estimate
Capitol Visitor Center	219	247	247			

<sup>1</sup>FY 2012/2013 project funded FTEs are estimated figures and dependent to the numbers of projects funded.

FY 2013 Object Class (\$000)				
Object Class	FY 2011 <sup>1</sup> Actual Obligations	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Difference
11 Personnel Compensation	12,338	12,715	12,947	232
12 Personnel Benefits	4,224	4,353	4,433	80
21 Travel	24	11	11	-
22 Transportation of Things	-	-	-	-
23 Rent, Communications and Utilities	93	44	44	-
24 Printing and Reproduction	-	-	-	-
25 Other Contractual Services	5,686	3,103	3,103	-
26 Supplies and Materials	43	20	20	-
31 Equipment	2,202	1,031	1,031	-
32 Land and Structures	939	-	-	-
42 Insurance Claims and Indemnities	-	-	-	-
<b>Total</b>	<b>25,548</b>	<b>21,276</b>	<b>21,588</b>	<b>312</b>

<sup>1</sup>FY 2011 Actuals represents total obligations of funds incurred irrespective of the year of appropriation.



# Capitol Visitor Center

## FY 2013 ANALYSIS OF CHANGE

	FY 2013 Appropriation	
	FTE	Amount (\$000)
<b>Fiscal Year 2012 Enacted (FTE reflects Payroll Funded only)</b>	247	21,276
<b>Non-Recurring Costs</b>	-	-
<b>Other Decreases</b>	-	-
<b>Total Program Decreases</b>	-	-
<b>Mandatory Pay Related Costs:</b>		
FY 2013 Cost of Living Adjustment of 1.7%.....		121
FY 2013 Within Grade Increases.....		126
FY 2012 FERS Adjustment from 11.7% to 11.9%.....		25
FY 2012 FEHB Employer Contribution Increase of 4%.....		40
<b>Total Mandatory Pay Related Costs</b>	-	312
<b>Total Price Level Changes</b>	-	-
<b>Total Program Increases</b>	-	-
<b>Net Increase/Decrease</b>	-	312
<b>Total Appropriation</b>	247	21,588



# Capitol Visitor Center

## OPERATING BUDGET SUMMARY

The Operating Budget of the Capitol Visitor Center (CVC) funds all costs associated with the operation and administration of the CVC. The budget is divided into functional area Program Groups. In accordance with sound financial management practice, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process.

Operating Program (\$000)						
Program Groups	FY 2012 Enacted	Program Realignment/Transfers	Mandatory Pay and Price Increases	Program Changes	FY 2013 Request	FY 2012/2013 Difference
CVC Exhibits	290	-	-	-	290	-
Information Resources	1,771	-	-	-	1,771	-
Jurisdiction Centralized Activities	403	-	-	-	403	-
Payroll	17,068	-	312	-	17,380	312
Visitor Services	1,744	-	-	-	1,744	-
<b>Total</b>	<b>21,276</b>	<b>-</b>	<b>312</b>	<b>-</b>	<b>21,588</b>	<b>312</b>

### Program Groups - Description and Analysis of Changes

#### CVC Exhibits

(FY 2012 Baseline: \$290K)

FY 2013 Request: \$290K)

The Exhibits Program Group funds exhibit supplies; document rotation; the on-line exhibition; education and public programs; and exhibit conservation for the exhibitions located throughout the CVC.

#### Information Resources Management

(FY 2012 Baseline: \$1,771K)

FY 2013 Request: \$1,771K)

The Information Resources Program Group funds the information technology needs specific to the Capitol Visitor Center including the Advance Reservation and Catering/Events Scheduling systems. This Program Group also supports website maintenance and the contract costs for Local Area Network administrators.

#### Jurisdiction Centralized Activities

(FY 2012 Baseline: \$403K)

FY 2013 Request: \$403K)

The Jurisdiction Centralized Activities Program Group funds training, registration, and seminar fees; travel; uniform allowances; the Congressional staff tour training program; and emergency preparedness.



## Capitol Visitor Center

### OPERATING BUDGET SUMMARY (continued)

#### Payroll

**(FY 2012 Baseline: \$17,068K)**

**FY 2013 Request: \$17,380K)**

The Payroll Program Group funds salaries and benefits for employees specifically supporting the appropriation. It includes government staff salaries and other compensation (e.g., paid leave and lump sum annual leave payments upon separation); compensation above basic rates including overtime and holiday pay; employer contributions to the Civil Service Retirement System, the Federal Employees Retirement System and the Thrift Savings Plan; and employer contributions to Social Security, Medicare, Federal Employees Health Benefits and Federal Employees Group Life Insurance.

Additional funding of \$312K is requested for mandatory pay increases which include a Fiscal Year 2013 Cost-Of-Living Adjustment calculated using the Congressional Budget Office's economic assumption of 1.7%, Within Grade Increases of 1%, the Fiscal Year 2012 Federal Employee's Retirement System adjustment of 0.2%, agency health benefit contributions, and one more compensable day because 2013 is a leap year.

#### Visitor Services

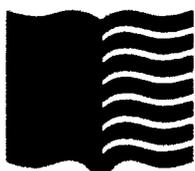
**(FY 2012 Baseline: \$1,744K)**

**FY 2013 Request: \$1,744K)**

The Visitor Services Program Group funds equipment and activities provided by the CVC in support of its mission to directly enhance the visitor experience. Visitor Services manages and conducts visitor tours; provides visitors with general assistance and way finding; manages visitor flow-through the Orientation Theaters; operates audiovisual equipment, provides interpretive historical information throughout the facility and specifically within Exhibition Hall; provides assistance to visitors with special needs; and supports the United States Capitol Police with safety and security matters. Funding is provided under this program group for wayfinding, audiovisual equipment, ropes and stanchions, wheelchairs, visitor headsets, guide service radios and ancillary equipment, and shuttle carts. Funding is also provided for services to promote public awareness and to obtain visitor feedback.

**LIBRARY OF CONGRESS**  
**FISCAL 2013 BUDGET JUSTIFICATION**

SUBMITTED FOR USE OF THE COMMITTEES ON APPROPRIATIONS



**LIBRARY OF  
CONGRESS**



## THE LIBRARIAN OF CONGRESS

January 25, 2012

Dear Mr. Chairman and Senator Nelson:

I am pleased to submit the fiscal 2013 Congressional Budget Justification of the Library of Congress.

In developing this request, the Library took very seriously the fiscal environment and budgetary goals of the Congress. In response to the clear guidance in the House Report calling for zero-base analyses, we are conducting an intensive examination of all Library programs, projects, and activities. This review builds upon the Librarian's multi-year Management Agenda, commenced in 2009, through which we are making difficult decisions about programs, investments and priorities. The challenge is to prune and plan intelligently, in a manner that promotes but does not undercut the Library's core mission.

I know that you are aware and appreciate that the Library of Congress is the largest and most comprehensive collection of knowledge in the world. It plays a key role in both the education and the security of the Nation. Therefore, even as we work to prioritize resources, we have no choice but to move forward with certain essential projects—among these, improving our information technology infrastructure and providing online access to Members of Congress for sensitive reports and other materials.

The long list of work to be done by the Library's programs will be challenged, if not incapacitated, without proper resources. Moreover, I must emphasize that the Library is already a lean operation; we have 1,300 fewer staff than 15 years ago.

For fiscal 2013, the Library is requesting a total budget of \$643.5 million. This funding will allow us to maintain current services at the reduced fiscal 2012 levels, adjusted for inflation, while making necessary decisions to realign resources.

I ask your continued support as we work to position the Library to continue to provide the best of its services to the Congress and the American people now and into the future.

Sincerely,

A handwritten signature in cursive script that reads "James H. Billington".

James H. Billington  
The Librarian of Congress

The Honorable Ander Crenshaw  
Chairman, Subcommittee on Legislative Branch  
Committee on Appropriations  
U.S. House of Representatives  
Washington, DC 20515

The Honorable Ben Nelson  
Chairman, Subcommittee on Legislative Branch  
Committee on Appropriations  
United States Senate  
Washington, DC 20510



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# LIBRARY OF CONGRESS OVERVIEW

## FISCAL 2013

The Library of Congress is submitting a fiscal 2013 budget request to maintain current services funding levels, adjusted for inflation.

The Library of Congress is committed to sustaining and even strengthening its core mission services to the Congress and to the American people even in difficult times. No other library in the world has the information and knowledge resources of the Library of Congress. The Library has been sustained for 212 years through wars and depressions. The challenge today is to continue the core functions of the Library within the current federal budget environment.

The Library must make difficult decisions in order to preserve and enhance key mission priorities with smaller budgets and avoid uniformly cutting and degrading all services across the institution. In response to the call for a zero-base approach in the House Report 112-148 for fiscal 2012, the Library is conducting an intensive, institution-wide budget review, looking from the ground up at the Library's core functional areas. The House specified that the review's methodology and guidelines be established by legislative branch budget officers, under the coordination of the Library of Congress. The House also directed the Librarian of Congress to consider managing within the Office of the Librarian all of the Library's information technology planning and resource allocations, to ensure that information technology requirements are properly prioritized and that resources are effectively used.

The Library's budget review is ongoing and focuses on identifying, defining, and justifying the core functional areas of the institution, those that serve the most critical role in enabling the Library to deliver on its mission and related strategic goals and objectives. The primary emphasis of the review is on how current resources are being deployed in relation to the Library's strategic goals, as well as how elements of the Library's information technology investments – a strategically important and growing segment of the budget – are defined and prioritized. The Librarian of Congress acknowledged the unprecedented scope of this task in guidance he directed to the Executive Committee, writing, "the time has passed when we can follow a traditional approach of more or less applying cuts evenly across the board."

The ultimate goal of the budget review is to offer a set of

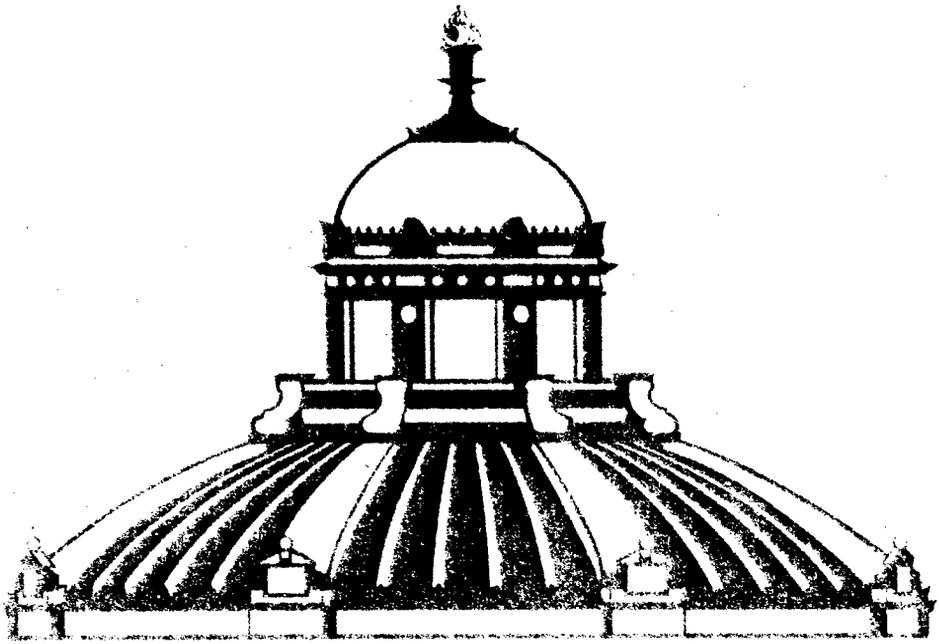
well-informed choices about how best to allocate scarce resources.

The process of examining the Library's program and investment priorities began in 2009 with the Librarian's Management Agenda. The Management Agenda called for development and implementation of coordinated plans for information resource management, enterprise architecture, human capital management, facilities management, web site content, acquisition of electronic works through mandatory deposit, and the creation of a culture of innovation at the Library to ensure that new ideas and solutions are built into Library operations. It resulted in an updated Strategic Plan that emphasizes accountability for performance and guides program and budget priorities today.

The fiscal 2012 budget reductions have meant that the Library must operate some key programs at a barely sustainable level. Senate Report 112-80 affirmed that the funding reductions proposed in the fiscal 2012 bill "in no way suggest that the quality of work and professionalism of the agencies that serve the legislative branch should be questioned." Although the Library is not being penalized by the fiscal 2012 funding reductions, the report acknowledges the impact: "The reduction and/or elimination of critical positions will severely impact the timeliness of services to Congress and the public, while demand for these services already exceeds the Library's capacity within current funding levels. These cuts will slow the Library's acquisitions and preservation efforts, creating gaps in the collections that cannot be recovered, and will impede the Library's ability to provide timely, authoritative, and in-depth research and analysis to the Congress and the public." The Library is working to determine the most effective and least damaging ways to absorb the fiscal 2012 reductions. Focused efforts are also underway across the Library to assess whether there are more efficient ways to operate.

In fiscal 2013, the Library requests funding for staff pay and price level increases so that it can maintain current operations at the reduced fiscal 2012 level. The Library also is requesting that the funding provided in fiscal 2010 to complete the transfer of special collection materials to Ft. Meade Modules 3 and 4 be extended beyond fiscal 2013.







# SUMMARY TABLES

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Library of Congress Resource Summary (Dollars in thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
<b>Library of Congress, S&amp;E</b>											
Library Services	1,558	\$232,868	1,480	\$231,050	1,431	\$219,794	1,431	\$225,501	0	\$5,707	2.6%
Office of Strategic Initiatives	352	110,041	334	109,515	355	107,737	355	110,432	0	2,695	2.5%
Law Library	97	16,889	92	16,424	96	16,350	96	16,803	0	453	2.8%
Office of the Librarian	179	20,476	106	19,535	320	19,746	170	19,487	-150	-259	-1.3%
Office of Support Operations	288	54,950	270	54,174	274	53,679	274	54,980	0	1,301	2.4%
Off of Inspector General	18	2,898	17	2,888	16	2,787	16	2,848	0	61	2.2%
<b>Total Budget, LC, S&amp;E</b>	<b>2,492</b>	<b>\$438,122</b>	<b>2,299</b>	<b>\$433,586</b>	<b>2,492</b>	<b>\$420,093</b>	<b>2,342</b>	<b>\$430,051</b>	<b>-150</b>	<b>\$9,958</b>	<b>2.4%</b>
CDS & Law Offsetting Collections		- 6,337		0		- 6,350		- 6,350		0	0.0%
<b>Total, Approp, LC, S&amp;E</b>	<b>2,492</b>	<b>\$431,785</b>	<b>2,299</b>	<b>\$433,586</b>	<b>2,492</b>	<b>\$413,743</b>	<b>2,342</b>	<b>\$423,701</b>	<b>-150</b>	<b>\$9,958</b>	<b>2.4%</b>
<b>Copyright Office, S&amp;E</b>											
COP Basic	439	\$ 47,418	425	\$ 45,981	439	\$ 45,075	439	\$ 46,074	0	\$ 999	2.2%
COP Licensing	30	5,449	26	5,266	30	5,109	30	5,202	0	93	1.8%
COP Royalty Judges	6	1,500	6	1,202	6	1,466	6	1,496	0	30	2.0%
<b>Total Budget, CO, S&amp;E</b>	<b>475</b>	<b>\$ 54,367</b>	<b>457</b>	<b>\$ 52,449</b>	<b>475</b>	<b>\$ 51,650</b>	<b>475</b>	<b>\$ 52,772</b>	<b>0</b>	<b>\$ 1,122</b>	<b>2.2%</b>
Basic offsetting collections		- 30,690		0		- 30,029		- 28,029		2,000	- 6.7%
Licensing offsetting collections		- 5,449		0		- 5,109		- 5,202		- 93	1.8%
CRJ offsetting collections		- 400		0		- 375		- 380		- 5	1.3%
<b>Total, Approp, CO, S&amp;E</b>	<b>475</b>	<b>\$ 17,828</b>	<b>457</b>	<b>\$ 52,449</b>	<b>475</b>	<b>\$ 16,137</b>	<b>475</b>	<b>\$ 19,161</b>	<b>0</b>	<b>\$ 3,024</b>	<b>18.7%</b>
<b>Congressional Research Service, S&amp;E</b>											
CRS, S&E	651	\$111,017	647	\$110,800	651	\$106,790	620	\$109,205	-31	\$2,415	2.3%
<b>Books for the Blind and Physically Handicapped, S&amp;E</b>											
BBPH, S&E	128	\$68,046	112	\$59,253	128	\$50,674	120	\$51,522	-8	\$848	1.7%
<b>Total Resource Summary, LC</b>											
<b>Total Budget</b>	<b>3,746</b>	<b>\$671,552</b>	<b>3,515</b>	<b>\$656,088</b>	<b>3,746</b>	<b>\$629,207</b>	<b>3,557</b>	<b>\$643,550</b>	<b>-189</b>	<b>\$14,343</b>	<b>2.3%</b>
<b>Total Offsetting Collections</b>		<b>- 42,876</b>		<b>0</b>		<b>- 41,863</b>		<b>- 39,961</b>		<b>1,902</b>	<b>- 4.5%</b>
<b>Total Appropriations, LC</b>	<b>3,746</b>	<b>\$628,676</b>	<b>3,515</b>	<b>\$656,088</b>	<b>3,746</b>	<b>\$587,344</b>	<b>3,557</b>	<b>\$603,589</b>	<b>-189</b>	<b>\$16,245</b>	<b>2.8%</b>

**Library of Congress  
Resource Summary  
Analysis of Change  
(Dollars in Thousands)**

Appropriation/PPA	Fiscal 2012 Spending Plan	Fiscal 2013							Fiscal 2013 Total Request
		Mandatory Pay Increases	Price Level	Sub-total	Non-Recurring	Current Services Request	Program Increases	Total Net Change	
<b>Library of Congress, S&amp;E</b>									
Library Services	\$219,794	\$3,731	\$1,976	\$5,707	-\$1,715	\$223,786	\$1,715	\$5,707	\$225,501
Office of Strategic Initiatives	107,737	1,128	1,567	2,695	0	110,432	0	2,695	110,432
Law Library	16,350	259	194	453	0	16,803	0	453	16,803
Office of the Librarian	19,746	-363	104	-259	0	19,487	0	-259	19,487
Office of Support Operations	53,679	667	634	1,301	0	54,980	0	1,301	54,980
Office of the Inspector General	2,787	55	6	61	0	2,848	0	61	2,848
<b>Total Budget, LC, S&amp;E</b>	<b>\$420,093</b>	<b>\$5,477</b>	<b>\$4,481</b>	<b>\$9,958</b>	<b>-\$1,715</b>	<b>\$428,336</b>	<b>\$1,715</b>	<b>\$9,958</b>	<b>\$430,051</b>
CDS & Law Offsetting Collections	- 6,350	0	0	0	0	- 6,350	0	0	- 6,350
<b>Total Approp, LC, S&amp;E</b>	<b>\$413,743</b>	<b>\$5,477</b>	<b>\$4,481</b>	<b>\$9,958</b>	<b>-\$1,715</b>	<b>\$421,986</b>	<b>\$1,715</b>	<b>\$9,958</b>	<b>\$423,701</b>
<b>Copyright Office, S&amp;E</b>									
COP Basic	\$ 45,075	\$ 857	\$ 142	\$ 999	\$ 0	\$ 46,074	\$ 0	\$ 999	\$ 46,074
COP Licensing	5,109	54	39	93	0	5,202	0	93	5,202
COP Royalty Judges	1,466	25	5	30	0	1,496	0	30	1,496
<b>Total, Budget, CO, S&amp;E</b>	<b>\$ 51,850</b>	<b>\$ 936</b>	<b>\$ 186</b>	<b>\$ 1,122</b>	<b>\$ 0</b>	<b>\$ 52,772</b>	<b>\$ 0</b>	<b>\$ 1,122</b>	<b>\$ 52,772</b>
Basic offsetting collections	- 30,029	0	0	0	2,000	- 28,029	0	2,000	- 28,029
Licensing offsetting collections	- 5,109	- 54	- 39	- 93	0	- 5,193	0	- 93	- 5,202
CRJ offsetting collections	- 375	0	- 5	- 5	0	- 380	0	- 5	- 380
<b>Total, Approp, CO, S&amp;E</b>	<b>\$16,137</b>	<b>\$862</b>	<b>\$142</b>	<b>\$1,024</b>	<b>\$2,000</b>	<b>\$19,170</b>	<b>\$0</b>	<b>\$3,024</b>	<b>\$19,161</b>
<b>Congressional Research Service, S&amp;E</b>									
CRS, S&E	\$106,790	\$2,112	\$303	\$2,415	\$0	\$109,205	\$0	\$2,415	\$109,205
<b>Books for the Blind and Physically Handicapped, S&amp;E</b>									
BBPH, S&E	\$50,674	\$245	\$603	\$848	\$0	\$51,522	\$0	\$848	\$51,522
<b>Total, Library of Congress</b>									
<b>Total Budget</b>	<b>\$629,207</b>	<b>\$8,770</b>	<b>\$5,573</b>	<b>\$14,343</b>	<b>-\$1,715</b>	<b>\$641,835</b>	<b>\$1,715</b>	<b>\$14,343</b>	<b>\$643,550</b>
<b>Total Offsetting Collections</b>	<b>- 41,863</b>	<b>- 54</b>	<b>- 44</b>	<b>- 98</b>	<b>2,000</b>	<b>- 39,952</b>	<b>0</b>	<b>1,902</b>	<b>- 39,961</b>
<b>Total Appropriations</b>	<b>\$587,344</b>	<b>\$8,716</b>	<b>\$5,529</b>	<b>\$14,245</b>	<b>\$285</b>	<b>\$601,883</b>	<b>\$1,715</b>	<b>\$16,245</b>	<b>\$603,589</b>

**Library of Congress  
Summary by Object Class**

(Dollars in Thousands)

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
00.0 Lapse Reserve	\$ 499	\$ 0	\$ 499	\$ 506	+ 7	1.4%
<b>Total, Lapse Reserve</b>	<b>\$ 499</b>	<b>\$ 0</b>	<b>\$ 499</b>	<b>\$ 506</b>	<b>+\$ 7</b>	<b>1.4%</b>
11.1 Full-time permanent	\$325,397	\$321,772	\$307,405	\$314,140	+ \$ 6,735	2.2%
11.3 Other than full-time permanent	6,235	6,250	5,935	6,061	+ 126	2.1%
11.5 Other personnel compensation	1,471	1,371	777	797	+ 20	2.6%
11.5A Staff Awards	2,875	2,781	2,231	2,278	+ 47	2.1%
11.8 Special personal services payment	369	404	405	414	+ 9	2.2%
12.1 Civilian personnel benefits	89,714	89,746	86,088	87,921	+ 1,833	2.1%
13.0 Benefits for former personnel	172	100	4,787	4,787	0	0.0%
<b>Total, Pay</b>	<b>\$426,233</b>	<b>\$422,424</b>	<b>\$407,628</b>	<b>\$416,398</b>	<b>+\$ 8,770</b>	<b>2.2%</b>
21.0 Travel & transportation of persons	1,952	1,601	1,692	1,728	+ 36	2.1%
22.0 Transportation of things	598	540	594	604	+ 10	1.7%
23.1 Rental payments to GSA	4,217	4,208	5,084	5,636	+ 552	10.9%
23.2 Rental payments to others	646	662	734	764	+ 30	4.1%
23.3 Communication, utilities & misc charges	4,596	4,245	4,511	4,407	- 104	- 2.3%
24.0 Printing & reproduction	4,108	3,852	3,937	3,990	+ 53	1.3%
25.1 Advisory & assistance services	32,029	34,026	29,792	30,195	+ 403	1.4%
25.2 Other services	48,116	44,884	46,415	47,034	+ 619	1.3%
25.3 Other purch of gds & services from gov acc	12,376	11,442	12,066	12,347	+ 281	2.3%
25.4 Operation & maintenance of facilities	7,671	7,383	7,106	7,206	+ 100	1.4%
25.5 Research & development contracts	10	8	45	46	+ 1	2.2%
25.6 Medical care	12	13	20	20	0	0.0%
25.7 Operation & maintenance of equipment	19,059	17,181	21,179	22,649	+ 1,470	6.9%
25.8 Subsistence & support of persons	53	41	84	85	+ 1	1.2%
26.0 Supplies & materials	7,607	7,462	7,092	7,198	+ 106	1.5%
31.0 Equipment	94,889	89,030	74,735	76,192	+ 1,457	1.9%
32.0 Land and Structures	0	87	0	0	0	0.0%
41.0 Grants, subsidies & contributions	6,782	6,776	5,889	6,434	+ 545	9.3%
42.0 Insurance claims & indemnities	3	53	3	3	0	0.0%
94.0 Financial Transfers	96	170	102	108	+ 6	5.9%
<b>Total, Non-Pay</b>	<b>\$244,820</b>	<b>\$233,664</b>	<b>\$221,080</b>	<b>\$226,646</b>	<b>+\$ 5,566</b>	<b>2.5%</b>
<b>Total, Library of Congress</b>	<b>\$671,552</b>	<b>\$656,088</b>	<b>\$629,207</b>	<b>\$643,550</b>	<b>+\$ 14,343</b>	<b>2.3%</b>

<sup>1</sup>The Library of Congress uses cash awards to recognize and acknowledge exceptional contributions to the Library, the Congress, and the American people.

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**Library of Congress**
**Analysis of Change**

 (Dollars in Thousands)
 

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	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	3,746	\$629,207
<b>Non-recurring Costs:</b>		
Reduction of unfunded authorized FTEs	- 189	0
Conclusion of 3-year (2010-12) Ft. Meade Modules 3 and 4 Start-up	0	- 1,715
<b>Total, Non-recurring Costs</b>	- 189	- 1,715
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		5,253
Within-grade increases		1,822
Foreign Service Nationals (FSN) pay adjustment		301
FERS agency rate adjustment from 11.2% to 11.9%		463
One Extra Day		1,625
Abolishment of Workers' Compensation annual base		- 694
<b>Total, Mandatory Pay and Related Costs</b>	0	8,770
<b>Price Level Changes</b>		5,573
<b>Program Increases</b>		
Continuation of Ft. Meade Modules 3 & 4 Start-up		1,715
<b>Total, Program Increases</b>	0	1,715
<b>Net Increase/Decrease</b>	- 189	\$ 14,343
<b>Total Budget</b>	3,557	\$643,550
<b>Total Offsetting Collections</b>	0	- 39,961
<b>Total Appropriation</b>	3,557	\$603,589

## Library fo Congress

## Staffing Summary - On-Board/FTEs

Direct Funded by Appropriation/PPA	On-Board	FTEs				Change
	Fiscal 2011 Year-end Actual	Fiscal 2011 Acutal FTE Usage	Fiscal 2012 Spending Plan	Fiscal 2013 Request		
<b>Library of Congress, S&amp;E</b>						
Library Services	1,506	1,480	1,431	1,431	0	
Office of Strategic Initiatives	314	334	355	355	0	
Law Library	94	92	96	96	0	
Office of the Librarian	109	106	109	109	0	
Office of Support Operations	275	270	274	274	0	
Office of the Inspector General	16	17	16	16	0	
Unfunded LC, S&E FTE Reserve	0	0	211	61	- 150	
<b>Total, Library of Congress, S&amp;E</b>	<b>2,314</b>	<b>2,299</b>	<b>2,492</b>	<b>2,342</b>	<b>- 150</b>	
<b>Copyright Office, S&amp;E</b>						
COP Basic	426	425	439	439	0	
COP Licensing	24	26	30	30	0	
COP CRJ	6	6	6	6	0	
<b>Total, Copyright Office, S&amp;E</b>	<b>456</b>	<b>457</b>	<b>475</b>	<b>475</b>	<b>0</b>	
<b>Congressional Research Service, S&amp;E</b>						
CRS, S&E	658	647	651	620	- 31	
<b>Books for the Blind and Physically Handicapped, S&amp;E</b>						
BBPH, S&E	123	112	128	120	- 8	
<b>Total, Library of Congress</b>						
<b>Total, Library of Congress</b>	<b>3,551</b>	<b>3,515</b>	<b>3,746</b>	<b>3,557</b>	<b>-189<sup>1</sup></b>	

<sup>1</sup>As a result of significant budget cuts in fiscal 2011 and fiscal 2012, the Library has realigned resources to cover core program requirements. This realignment resulted in reduced funding in support of staff. To align the authorized FTE level with the reduced funding, the Library is requesting a reduction in the authorized FTE level from 3,746 to 3,557, a decrease of 189.

**Library of Congress**  
**Fiscal 2013 Supplemental Data on Mandatory Pay Increases**  
(Dollars in Thousands)

Category	LC, S&E	CO, S&E	CRS, S&E	BBPH, S&E	Total
1. Within-grade (WIG) Increases	\$1,205	\$184	\$ 388	\$ 45	\$1,822
2. Jan. 2013 Locality-based Comparability Pay Raise	3,335	540	1,234	144	5,253
3. Foreign Service Nationals (FSN) Pay Adjustment	301	0	0	0	301
4. FERS agency rate adjustment	291	47	113	12	463
5. One Extra Day	1,039	165	377	44	1,625
6. Abolishment of Workers' Compensation annual base	- 694	0	0	0	-694
<b>Total Mandatory Pay Increases</b>	<b>\$5,477</b>	<b>\$936</b>	<b>\$2,112</b>	<b>\$245</b>	<b>\$8,770</b>

**Explanation of Calculations**

1. Within-grade (WIG) increases calculated against current on-board staff eligible for WIGs during fiscal 2013.
2. January 2013 pay raise calculated at 1.275% of pay base. (CBO Pay Rate of 1.7% X 9 months or 75%).
3. Pay adjustment for overseas Foreign Service nationals. Computation based on individual country rates, provided by the Department of State, applied to pay base. Country rates used for fiscal 2013 are as follows: Brazil - 4.5%; Egypt - 9%; Kenya - 5%; India - 4.3%; Pakistan - 7%; and Indonesia - 6.3%.
4. Effective October 1, 2010, per P.L. 111-84, the National Defense Authorization Act for fiscal 2010, the agency contribution to the Federal Employees Retirement System (FERS) increased by 0.5%, from 11.2% to 11.7%. Effective October 1, 2011, per OPM Benefits Administration Letter No. 11-304, the agency contribution to FERS increased by 0.2%, from 11.7% to 11.9%. The Library estimates agency FERS participation in fiscal 2013 to be 82%.
5. Fiscal 2013 has one extra day – 261 vs. 260 days. Pay base divided by 260 equals amount requested for one extra day.
6. With enactment of P.L. 112-74, the Legislative Branch Appropriations Act, 2012, the following new Administrative Provision authority was made available to the Library: "SEC. 1303. (a) In General- Available balances of expired Library of Congress appropriations shall be available to the Library of Congress to make the deposit to the credit of the Employees' Compensation Fund required by subsection 8147(b) of title 5, United States Code. (b) Effective Date- This section shall apply with respect to appropriations for fiscal 2012 and each fiscal year thereafter." Beginning in fiscal 2013, the Library will pay the annual Employees' Compensation Fund billing from prior year expired appropriations, and will not require a fiscal 2013 annual appropriation.

**Library of Congress**  
**Fiscal 2013 Supplemental Data on Price Level Increases**  
(Dollars in Thousands)

Category	LC, S&E	CO, S&E	CRS, S&E	BBPH, S&E	Total
1. General inflationary increase	\$1,691	\$140	\$158	\$532	\$2,521
2. Field Office inflationary increase	239	-	-	-	239
3. Acquisitions inflation	653	-	-	-	653
4. Software maintenance	1,103	46	145	-	1,294
5. GSA Space Rental adjustment	325	-	-	71	396
6. National Film Preservation Foundation grant	470	-	-	-	470
<b>Total Price Level Increases</b>	<b>\$4,481</b>	<b>\$186</b>	<b>\$303</b>	<b>\$603</b>	<b>\$5,573</b>

**Explanation of Calculations**

1. General inflationary increase calculated using CBO rate of 1.4% of non-pay base for fiscal 2013 (except as noted below).
2. Inflationary increase for overseas field offices. Computation based on individual country rates, provided by the Department of State, applied to non-pay base. Country rates used for fiscal 2013 are as follows: Brazil - 4.5%; Egypt - 9%; Kenya - 5%; India - 4.3%; Pakistan - 7%; and Indonesia - 6.3%.
3. Inflationary rate for acquisition of library materials determined by annual study and/or actual historical rates. Rates used for fiscal 2013 are as follows: Books for the Law Library - 3.17%; Books for the General Collections (GENPAC) - 3.97%.
4. Software maintenance inflationary increase calculated using actual historical rate of 15% of software maintenance base.
5. GSA-managed leased space increase based on estimates provided by GSA for fiscal 2013.
6. Per P.L. 110-336, Sec. 3, (b)(1), increase grant to the National Film Preservation Foundation from \$530 thousand to \$1 million.

**Library of Congress**  
**Total Funds Available - All Sources**  
(Dollars in Thousands)

	Fiscal 2011 Actual	Fiscal 2012 Budget	Fiscal 2013 Request
<b>Total Appropriations</b>			
Library of Congress	\$628,676	\$629,207	\$643,550
AOC - Library Buildings and Grounds	41,013	46,876	53,594
Appropriation transfers to/from the Library of Congress:			
Transfer to U.S. Capitol Police	-76	0	0
<b>Subtotal, Appropriations</b>	<b>\$669,613</b>	<b>\$676,083</b>	<b>\$697,144</b>
<b>Receipts (Actual Collected and Estimated)</b>			
Sales of catalog cards and publications	\$ 3,567	\$ 6,000	\$ 6,000
Collections to Global Legal Information Network	15	350	350
Copyright fees	27,359	30,029	29,029
Licensing and CRJ fees	5,849	5,484	5,582
<b>Subtotal, Receipts</b>	<b>\$ 38,790</b>	<b>\$ 41,863</b>	<b>\$ 40,961</b>
<b>Non-Appropriated Funds</b>			
Gift and Trust Funds <sup>1</sup>	\$ 17,932	\$ 18,082	\$ 19,346
Revolving Fund Revenue (Actual & Estimated)	93,809	167,725	176,957
Reimbursable Activities (Actual & Estimated)	556	2,000	2,000
<b>Subtotal, Non-Appropriated Funds</b>	<b>\$112,297</b>	<b>\$187,807</b>	<b>\$198,303</b>
<b>Total Funds Available</b>			
<b>Total</b>	<b>\$818,700</b>	<b>\$905,753</b>	<b>\$936,408</b>

<sup>1</sup>Includes new gift and trust fund contributions and income realized; excludes prior-year carryover funds.

**Library of Congress**  
**Statement of Receipts**  
(Dollars in Thousands)

	Fiscal 2011 Actual	Fiscal 2012 Estimate	Fiscal 2013 Estimate
<b>Statement of Receipts, Treasury Department General Fund Account</b>			
Other miscellaneous receipts	\$338	\$250	\$250
<b>Total Receipts into General Fund Account</b>	<b>\$338</b>	<b>\$250</b>	<b>\$250</b>
<b>Statement of Receipts, Payments to Copyright Owners</b>			
Receipts from fees, Digital audio recording devices and media (DART)	\$4,135	\$2,056	\$2,056
Receipts from interest on investments in public debt securities (DART)	2	1	2
<b>Total Receipts into Special Fund Account</b>	<b>\$4,137</b>	<b>\$2,057</b>	<b>\$2,058</b>



# LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Library of Congress, S&E Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012 Spending Plan		Fiscal 2013 Request		Fiscal 2012/2013 Net Change		Percent Change
	Spending Plan		Actual Obligations		FTE	\$	FTE	\$	FTE	\$	
	FTE	\$	FTE	\$							
Library Services	1,558	\$232,868	1,480	\$231,050	1,431	\$219,794	1,431	\$225,501	0	\$5,707	2.6%
Office of Strategic Initiatives	352	110,041	334	109,515	355	107,737	355	110,432	0	2,695	2.5%
Law Library	97	16,889	92	16,424	96	16,350	96	16,803	0	453	2.8%
Office of the Librarian	179	20,476	106	19,535	320	19,746	170	19,487	-150	-259	-1.3%
Office of Support Operations	288	54,950	270	54,174	274	53,679	274	54,980	0	1,301	2.4%
Off of Inspector General	18	2,898	17	2,888	16	2,787	16	2,848	0	61	2.2%
<b>Total, LC, S&amp;E</b>	<b>2,492</b>	<b>\$438,122</b>	<b>2,299</b>	<b>\$433,586</b>	<b>2,492</b>	<b>\$420,093</b>	<b>2,342</b>	<b>\$430,051</b>	<b>-150</b>	<b>\$9,958</b>	<b>2.4%</b>

**Library of Congress, Salaries and Expenses  
Summary By Object Class**  
(Dollars in Thousands)

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
00 0 Lapse Reserve	\$ 499	\$ 0	\$ 499	\$ 506	+ 7	1.4%
<b>Total, Lapse Reserve</b>	<b>\$ 499</b>	<b>\$ 0</b>	<b>\$ 499</b>	<b>\$ 506</b>	<b>+ \$ 7</b>	<b>1.4%</b>
11.1 Full-time permanent	\$207,668	\$204,971	\$196,115	\$200,495	+ \$4,380	2.2%
11.3 Other than full-time permanent	3,711	3,614	3,686	3,765	+ 79	2.1%
11.5 Other personnel compensation	1,167	1,102	737	755	+ 18	2.4%
11.5A Staff Awards <sup>1</sup>	1,730	1,725	1,492	1,524	+ 32	2.1%
11.8 Special personal services payment	354	404	405	414	+ 9	2.2%
12.1 Civilian personnel benefits	57,836	58,163	55,416	56,375	+ 959	1.7%
13.0 Benefits for former personnel	125	68	3,025	3,025	0	0.0%
<b>Total, Pay</b>	<b>\$272,591</b>	<b>\$270,047</b>	<b>\$260,876</b>	<b>\$266,353</b>	<b>+ \$5,477</b>	<b>2.1%</b>
21.0 Travel & transportation of persons	1,280	1,095	1,150	1,177	+ 27	2.3%
22.0 Transportation of things	533	500	541	550	+ 9	1.7%
23.1 Rental payments to GSA	2,484	2,395	3,272	3,752	+ 480	14.7%
23.2 Rental payments to others	371	372	429	455	+ 26	6.1%
23.3 Communication, utilities & misc charges	3,246	3,024	3,158	3,035	- 123	- 3.9%
24.0 Printing & reproduction	2,763	2,648	2,628	2,663	+ 35	1.3%
25.1 Advisory & assistance services	30,528	32,505	27,471	27,842	+ 371	1.4%
25.2 Other services	35,021	32,335	32,125	32,544	+ 419	1.3%
25.3 Other purch of gds & services from gov acc	11,149	10,297	10,961	11,227	+ 266	2.4%
25.4 Operation & maintenance of facilities	7,631	7,370	7,066	7,165	+ 99	1.4%
25.6 Medical care	12	13	20	20	0	0.0%
25.7 Operation & maintenance of equipment	17,098	15,474	19,194	20,464	+ 1,270	6.6%
25.8 Subsistence & support of persons	28	19	48	49	+ 1	2.1%
26.0 Supplies & materials	3,225	3,042	3,340	3,394	+ 54	1.6%
31.0 Equipment	42,783	45,405	41,321	42,310	+ 989	2.4%
32.0 Land and structures	0	87	0	0	0	0.0%
41.0 Grants, subsidies & contributions	6,782	6,776	5,889	6,434	+ 545	9.3%
42.0 Insurance claims & indemnities	3	12	3	3	0	0.0%
94.0 Financial transfers	95	170	102	108	+ 6	5.9%
<b>Total, Non-Pay</b>	<b>\$165,032</b>	<b>\$163,539</b>	<b>\$158,718</b>	<b>\$163,192</b>	<b>+ \$4,474</b>	<b>2.8%</b>
<b>Total, Library of Congress, Salaries &amp; Expenses</b>	<b>\$438,122</b>	<b>\$433,586</b>	<b>\$420,093</b>	<b>\$430,051</b>	<b>+ \$9,958</b>	<b>2.4%</b>

<sup>1</sup>The Library of Congress uses cash awards to recognize and acknowledge exceptional contributions to the Library, the Congress, and the American people.

**Library of Congress, S&E  
Analysis of Change**  
(Dollars in Thousands)

	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	<b>2,492</b>	<b>\$420,093</b>
<b>Non-recurring Costs:</b>		
Reduction of Unfunded authorized	-150	0
Conclusion of 3-year (2010-12) Ft. Meade Modules 3 and 4 Start-up	0	- 1,715
<b>Total, Non-recurring Costs</b>	<b>-150</b>	<b>- 1,715</b>
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		3,335
Within-grade increases		1,205
Foreign Service Nationals (FSN) pay adjustment		301
One Extra Day		1,039
FERS agency rate adjustment from 11.2% to 11.9%		291
Abolishment of Workers' Compensation annual base		- 694
<b>Total, Mandatory Pay and Related Costs</b>	<b>0</b>	<b>5,477</b>
<b>Price Level Changes</b>		<b>4,481</b>
<b>Program Increases</b>		
Continuation of Ft. Meade Modules 3 & 4 Start-up		1,715
<b>Total, Program Increases</b>	<b>0</b>	<b>1,715</b>
<b>Net Increase/Decrease</b>	<b>- 150</b>	<b>\$ 9,958</b>
<b>Total Budget</b>	<b>2,342</b>	<b>\$430,051</b>
<b>Total Offsetting Collections</b>	<b>0</b>	<b>- 6,350</b>
<b>Total Appropriation</b>	<b>2,342</b>	<b>\$423,701</b>



# Library Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Library Services Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
<b>Associate Librarian for Library Services (ALLS)</b>											
ALLS	22	\$ 7,247	17	\$ 5,622	22	\$ 7,052	22	\$ 7,180	0	\$ 128	1.8%
American Folklife Center	23	3,555	21	3,521	23	3,488	23	3,560	0	72	2.1%
Veterans History Project	26	2,282	22	2,167	26	2,321	26	2,369	0	48	2.1%
<b>Total, ALLS</b>	<b>71</b>	<b>\$ 13,084</b>	<b>60</b>	<b>\$ 11,310</b>	<b>71</b>	<b>\$ 12,861</b>	<b>71</b>	<b>\$ 13,109</b>	<b>0</b>	<b>\$ 248</b>	<b>1.9%</b>
<b>Acquisitions and Bibliographic Access (ABA)</b>											
<b>Total, Acq &amp; Bib Acc</b>	<b>564</b>	<b>\$ 94,184</b>	<b>544</b>	<b>\$ 97,039</b>	<b>494</b>	<b>\$ 86,098</b>	<b>494</b>	<b>\$ 88,612</b>	<b>0</b>	<b>\$ 2,514</b>	<b>2.9%</b>
<b>Collections and Services (CS)</b>											
Collections & Services	565	\$ 65,910	546	\$ 65,854	528	\$ 62,120	528	\$ 63,912	0	\$ 1,792	2.9%
Packard Campus	116	17,620	107	16,722	112	19,083	112	19,444	0	361	1.9%
<b>Total, Collections &amp; Services</b>	<b>681</b>	<b>\$ 83,530</b>	<b>653</b>	<b>\$ 82,576</b>	<b>640</b>	<b>\$ 81,203</b>	<b>640</b>	<b>\$ 83,356</b>	<b>0</b>	<b>\$ 2,153</b>	<b>2.7%</b>
<b>Partnerships and Outreach Programs (POP)</b>											
Partnerships & Outreach Prgms	54	\$ 6,602	49	\$ 6,557	52	\$ 5,966	52	\$ 6,101	0	\$ 135	2.3%
Cat Dist Service	22	5,988	20	4,245	21	6,000	21	6,000	0	0	0.0%
<b>Total, Part &amp; Outreach Prgm</b>	<b>76</b>	<b>\$ 12,590</b>	<b>69</b>	<b>\$ 10,802</b>	<b>73</b>	<b>\$ 11,966</b>	<b>73</b>	<b>\$ 12,101</b>	<b>0</b>	<b>\$ 135</b>	<b>1.1%</b>
<b>Preservation (PRES)</b>											
Preservation	111	\$ 14,878	105	\$ 15,037	102	\$ 13,886	102	\$ 14,166	0	\$ 280	2.0%
Mass Deacid Prgm	0	5,664	0	5,664	0	5,664	0	5,743	0	79	1.4%
<b>Total, Preservation</b>	<b>111</b>	<b>\$ 20,542</b>	<b>105</b>	<b>\$ 20,701</b>	<b>102</b>	<b>\$ 19,550</b>	<b>102</b>	<b>\$ 19,909</b>	<b>0</b>	<b>\$ 359</b>	<b>1.8%</b>
<b>Technology Policy (TECH)</b>											
Technology Policy	55	\$ 8,938	49	\$ 8,622	51	\$ 8,116	51	\$ 8,414	0	\$ 298	3.7%
<b>Total, Library Services (LS)</b>											
<b>Total, Library Services</b>	<b>1,558</b>	<b>\$ 232,868</b>	<b>1,480</b>	<b>\$ 231,050</b>	<b>1,431</b>	<b>\$ 219,794</b>	<b>1,431</b>	<b>\$ 225,501</b>	<b>0</b>	<b>\$ 5,707</b>	<b>2.6%</b>

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

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$126,137	\$124,788	\$115,936	\$118,591	+ \$2,655	2.3%
11.3 Other than full-time permanent	3,114	3,052	2,930	2,992	+ 62	2.1%
11.5 Other personnel compensation	1,513	1,505	1,051	1,076	+ 25	2.4%
11.8 Special personal services payment	22	21	22	23	1	0.0%
12.1 Civilian personnel benefits	34,666	34,765	32,374	33,362	+ 988	3.1%
13.0 Benefits for former personnel	0	0	2,300	2,300	0	0.0%
<b>Total, Pay</b>	<b>\$165,452</b>	<b>\$164,131</b>	<b>\$154,613</b>	<b>\$158,344</b>	<b>+ \$3,731</b>	<b>2.4%</b>
21.0 Travel & transportation of persons	853	743	726	747	+ 21	2.9%
22.0 Transportation of things	458	439	468	476	+ 8	1.7%
23.1 Rental payments to GSA	61	60	65	70	+ 5	7.7%
23.2 Rental payments to others	358	359	418	440	+ 22	5.3%
23.3 Communication, utilities & misc charges	827	768	793	809	+ 16	2.0%
24.0 Printing & reproduction	2,099	2,142	2,070	2,097	+ 27	1.3%
25.1 Advisory & assistance services	9,587	8,852	9,498	9,618	+ 120	1.3%
25.2 Other services	11,751	12,056	11,869	12,009	+ 140	1.2%
25.3 Other purch of gds & services from gov acc	8,623	8,217	8,693	8,912	+ 219	2.5%
25.4 Operation & maintenance of facilities	13	11	8	9	+ 1	12.5%
25.7 Operation & maintenance of equipment	2,549	1,669	3,217	3,388	+ 171	5.3%
25.8 Subsistence & support of persons	28	19	49	49	0	0.0%
26.0 Supplies & materials	2,476	2,390	2,642	2,687	+ 45	1.7%
31.0 Equipment	26,958	28,338	23,884	24,587	+ 703	2.9%
41.0 Grants, subsidies & contributions	679	673	679	1,151	+ 472	69.5%
42.0 Insurance claims & indemnities	0	13	0	0	0	0.0%
94.0 Financial transfers	96	170	102	108	+ 6	5.9%
<b>Total, Non-Pay</b>	<b>\$ 67,416</b>	<b>\$ 66,919</b>	<b>\$ 65,181</b>	<b>\$ 67,157</b>	<b>+ \$1,976</b>	<b>3.0%</b>
<b>Total, Library Services</b>	<b>\$232,868</b>	<b>\$231,050</b>	<b>\$219,794</b>	<b>\$225,501</b>	<b>+ \$5,707</b>	<b>2.6%</b>

**Library of Services  
Analysis of Change**  
(Dollars in Thousands)

	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	<b>1,431</b>	<b>\$219,794</b>
<b>Non-recurring Costs:</b>		
Conclusion of 3-year (2010-12) Ft. Meade Modules 3 & 4 Start-up	0	- 1,715
<b>Total, Non-recurring Costs</b>	<b>0</b>	<b>- 1,715</b>
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		1,942
Within-grade increases		704
Foreign Service Nationals (FSN) pay adjustment		301
One Extra Day		615
FERS agency rate adjustment from 11.2% to 11.9%		169
<b>Total, Mandatory Pay and Related Costs</b>	<b>0</b>	<b>3,731</b>
<b>Price Level Changes</b>		<b>1,976</b>
<b>Program Increases</b>		<b>0</b>
Continuation of Ft. Meade Modules 3 & 4 Start-up		1,715
<b>Total, Program Increases</b>	<b>0</b>	<b>1,715</b>
<b>Net Increase/Decrease</b>	<b>0</b>	<b>\$ 5,707</b>
<b>Total Budget</b>	<b>1,431</b>	<b>\$225,501</b>
<b>Total Offsetting Collections</b>	<b>0</b>	<b>- 6,000</b>
<b>Total Appropriation</b>	<b>1,431</b>	<b>\$219,501</b>

## Fiscal 2013 Program Changes: \$1.715 million

### Ft. Meade Collections Transfer Program:

**\$1.715 million**

Retaining the Ft. Meade funding of \$1.715 million that is scheduled to non-recur in fiscal 2013 will allow the Library to complete the transfer of special format collections to Modules 3 and 4. This funding also will allow the Library to continue to transfer collections from severely overcrowded areas of the Thomas Jefferson and John Adams Building book stacks to a temporary storage location at the Landover Center Annex, pending the availability of Module 5 at Ft. Meade.

#### Completion of Special Collections Transfer to Ft. Meade [\$674 thousand]

The program for the transfer of special collections material to Ft. Meade Modules 3 and 4 consists of three separate but interdependent initiatives: (1) the physical transfer of designated materials; (2) the stabilization of the material, much of it brittle, through a rehousing program; and (3) the combined steps of inventory control, integration into the Library's Integrated Library System, and management of an effective tracking process to maintain control of significant numbers of items as they are in transit. The sequencing of these components can vary based on the specific requirements of each collection and the need to free up shelving on Capitol Hill for the processing of materials and staging of subsequent moves.

The more complex requirements for the special collections transfer to Ft. Meade Modules 3 and 4, as opposed to Modules 1 and 2, became evident after initial planning took place prior to requesting funding in fiscal 2010. Integrating inventory management steps with the physical transport of material has become key to ensuring a 100 percent retrieval rate from Ft. Meade, where up to 1.6 million containers ultimately will be arranged by size. The individual examination of collection materials in preparation for the move has offered an opportunity to efficiently address the requirements of individual collection items for stabilization or rehousing. This work for the Modules 3 and 4 collections has resulted in a slower move, but it has proven to be cost effective for the long term and essential to the ongoing servicing of these materials from a remote site.

During the fiscal 2010–2012 period the Library will have accomplished majority of the physical transfer to Ft. Meade of designated materials, however much of the

associated inventory control work and rehousing will remain to be completed. Funding of \$674 thousand will allow Library Services to make significant progress toward completing the remaining inventory and rehousing workloads by the end of fiscal 2013. The funding would cover the projected cost of 17 contract personnel over a six-month period, as described below, and would non-recur in fiscal 2014:

- one inventory control/stack maintenance senior work leader (\$43,000)
- four materials handlers (\$167,000)
- two proofers (\$87,000)
- two technicians (\$80,000)
- one inspector (\$57,000)
- seven rehousing technicians (\$240,000)

#### General Collections Storage at Landover Center Annex [\$1.041 million]

With the operational challenges of significant crowding of general collections material at the Library's facilities on Capitol Hill and construction of Ft. Meade Module 5 not yet funded, the Library has established an interim storage facility at the Landover Center Annex in space vacated by collections moving to the Packard Campus and to Modules 3 and 4. Estimated capacity for this interim storage is 800 thousand books and bound periodicals, which will be transferred over a two-year period, half of it during fiscal 2013. The Landover Center Annex transfer program involves selecting items for transfer from areas of the general collection book stacks that are most crowded, inventorying the items, and shelving them at Landover using tracking software. Funding of \$1.041 million is required in fiscal 2013 and 2014 for contract staff to supplement the CALM workforce to implement the Landover transfer program through the activities listed below. Funding will non-recur in fiscal 2015.

- removal of items from shelves (\$250,000)
- inventory (\$525,000)
- quality assurance (\$100,000)
- materials handlers (\$166,000)



# Associate Librarian for Library Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Associate Librarian for Library Services Summary By Object Class (Dollars in Thousands)

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$5,360	\$5,134	\$5,640	\$5,762	+ \$122	2.2%
11.3 Other than full-time permanent	158	150	120	123	+ 3	2.5%
11.5 Other personnel compensation	80	78	85	86	+ 1	1.2%
12.1 Civilian personnel benefits	1,478	1,447	1,494	1,540	+ 46	3.1%
13.0 Benefits for former personnel	0	0	25	25	0	0.0%
<b>Total, Pay</b>	<b>\$7,076</b>	<b>\$6,809</b>	<b>\$7,364</b>	<b>\$7,536</b>	<b>+ \$172</b>	<b>2.3%</b>
21.0 Travel & transportation of persons	121	84	98	99	+ 1	1.0%
22.0 Transportation of things	135	109	170	172	+ 2	1.2%
23.3 Communication, utilities & misc charges	317	318	318	323	+ 5	1.6%
24.0 Printing & reproduction	426	265	316	321	+ 5	1.6%
25.1 Advisory & assistance services	655	570	592	600	+ 8	1.4%
25.2 Other services	1,491	1,640	1,811	1,836	+ 25	1.4%
25.3 Other purch of gds & services from gov acc	351	237	305	309	+ 4	1.3%
25.7 Operation & maintenance of equipment	45	21	25	25	0	0.0%
25.8 Subsistence & support of persons	23	16	24	24	0	0.0%
26.0 Supplies & materials	183	167	183	186	+ 3	1.6%
31.0 Equipment	2,113	931	1,506	1,527	+ 21	1.4%
41.0 Grants, subsidies & contributions	148	143	149	151	+ 2	1.3%
<b>Total, Non-Pay</b>	<b>\$6,008</b>	<b>\$4,501</b>	<b>\$5,497</b>	<b>\$5,573</b>	<b>+ \$ 76</b>	<b>1.4%</b>
<b>Total, Associate Librarian for Library Services</b>	<b>\$13,084</b>	<b>\$11,310</b>	<b>\$12,861</b>	<b>\$13,109</b>	<b>+ \$248</b>	<b>1.9%</b>

**Associate Librarian for Library Services**  
**Analysis of Change**  
(Dollars in Thousands)

	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	71	\$12,861
<b>Non-recurring Costs</b>		0
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		98
Within-grade increases		35
One Extra Day		30
FERS agency rate adjustment from 11.2% to 11.9%		8
<b>Total, Mandatory Pay and Related Costs</b>	0	171
<b>Price Level Changes</b>		77
<b>Program Costs</b>		0
<b>Net Increase/Decrease</b>	0	\$ 248
<b>Total Budget</b>	71	\$13,109
<b>Total Offsetting Collections</b>	0	0
<b>Total Appropriation</b>	71	\$13,109

# Associate Librarian for Library Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$13.109 million** for the Office of the Associate Librarian for Library Services in fiscal 2013, an increase of \$0.248 million, or 1.9 percent, over fiscal 2012. This increase supports mandatory pay related and price level increases.

### Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
LS_ALLS	71	\$13,084	60	\$11,310	71	\$12,861	71	\$13,109	0	\$248	1.9%

## PROGRAM OVERVIEW

The Office of the Associate Librarian for Library Services (ALLS) plans, coordinates, and leads the activities of five Library Services (LS) directorates: Acquisitions and Bibliographic Access, Collections and Services, Partnerships and Outreach Programs, Preservation, and Technology Policy. Additionally, ALLS is the organizational location of the American Folklife Center (AFC) and Veterans History Project (VHP). Under the leadership of the Associate Librarian, these programs develop, describe, preserve, sustain, and provide access to the Library's universal collection of knowledge and creativity.

ALLS has established a framework for LS program management to meet five strategic goals that link to the Library's Strategic Plan:

- Collect and preserve the record of America's creativity and the world's knowledge.
- Provide the most effective methods of connecting users to the collections.
- Deepen the general understanding of American cultural, intellectual, and social life and of other people and nations.
- Provide leadership and services to the Library and information community.
- Manage for results.

The Associate Librarian manages LS programs by providing cross-unit guidelines, goals, and performance standards and by working with the directors and other LS managers to develop and execute service unit policies. This work includes leading and managing the formulation

of the annual budget through an assessment of internal priorities and operational considerations, tracking trends and key indicators, and managing performance planning and management.

ALLS leadership and administrative staff collaborate with the entire Library to execute its programs and represent LS as a whole in interactions with the Library's other service units as well as in the Executive, Operations, and other Library-wide committees. Outside of the Library, the Associate Librarian is a principal representative to both national and international library, information, and related industry groups.

AFC preserves and presents American folklife by building and maintaining a multiformat ethnographic archive documenting traditional expressive culture. VHP oversees a nationwide volunteer effort to build an archive of oral histories from World War I through current conflicts. The VHP collection includes submissions from every state and is the largest oral history project in the United States, currently comprising more than 75 thousand collections. (Additional information on AFC and VHP can be found in Appendix A.)

### Fiscal 2011 Priority Activities

ALLS continued to focus on its highest priorities including sustaining and preserving the Library's collections, acquiring and describing new knowledge including digital content and providing access to items in the collections. Work began on establishing a formal collection development office as well as on the review and update of the Library Services strategic plan.

**Fiscal 2012 Priority Activities**

ALLS will continue to remain focused on sustaining, preserving, acquiring, describing, and providing access to the collections. The programmatic evaluation of LS operations and constituent services will continue for improved effectiveness and timeliness.

**Fiscal 2013 Priority Activities**

ALLS will remain focused on collecting and preserving the record of America's creativity and the world's knowledge; providing the most effective methods of connecting users to the collections; and providing leadership and services to the library and information community.



# Acquisitions and Bibliographic Access

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Acquisitions and Bibliographic Access Summary By Object Class (Dollars in Thousands)

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$50,411	\$50,372	\$45,131	\$46,285	+\$1,154	2.6%
11.3 Other than full-time permanent	676	665	642	655	+ 13	2.0%
11.5 Other personnel compensation	841	842	408	420	+ 12	2.9%
11.8 Special personal services payment	0	10	0	0	0	0.0%
12.1 Civilian personnel benefits	13,341	13,579	12,214	12,623	+ 409	3.3%
13.0 Benefits for former personnel	0	0	1,275	1,275	0	0.0%
<b>Total, Pay</b>	<b>\$65,269</b>	<b>\$65,468</b>	<b>\$59,670</b>	<b>\$61,258</b>	<b>+\$1,588</b>	<b>2.7%</b>
21.0 Travel & transportation of persons	435	468	360	377	+ 17	4.7%
22.0 Transportation of things	270	266	246	252	+ 6	2.4%
23.1 Rental payments to GSA	62	60	65	69	+ 4	6.2%
23.2 Rental payments to others	350	351	410	432	+ 22	5.4%
23.3 Communication, utilities & misc charges	314	287	278	288	+ 10	3.6%
24.0 Printing & reproduction	100	94	70	73	+ 3	4.3%
25.1 Advisory & assistance services	547	695	551	559	+ 8	1.5%
25.2 Other services	1,821	2,179	1,858	1,892	+ 34	1.8%
25.3 Other purch of gds & services from gov acc	7,213	7,224	7,378	7,590	+ 212	2.9%
25.4 Operation & maintenance of facilities	13	11	8	9	+ 1	12.5%
25.7 Operation & maintenance of equipment	42	42	37	40	+ 3	8.1%
26.0 Supplies & materials	319	308	266	277	+ 11	4.1%
31.0 Equipment	17,333	19,416	14,799	15,388	+ 589	4.0%
94.0 Financial transfers	96	170	102	108	+ 6	5.9%
<b>Total, Non-Pay</b>	<b>\$28,915</b>	<b>\$31,571</b>	<b>\$26,428</b>	<b>\$27,354</b>	<b>+\$ 926</b>	<b>3.5%</b>
<b>Total, Acquisitions &amp; Bibliographic Access</b>	<b>\$94,184</b>	<b>\$97,039</b>	<b>\$86,098</b>	<b>\$88,612</b>	<b>+\$2,514</b>	<b>2.9%</b>

**Acquisitions and Bibliographic Access**  
**Analysis of Change**  
(Dollars in Thousands)

	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	<b>494</b>	<b>\$86,098</b>
<b>Non-recurring Costs</b>		<b>0</b>
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		723
Within-grade increases		262
Foreign Service Nationals (FSN) pay adjustment		301
One Extra Day		242
FERS agency rate adjustment from 11.2% to 11.9%		60
<b>Total, Mandatory Pay and Related Costs</b>	<b>0</b>	<b>1,588</b>
<b>Price Level Changes</b>		<b>926</b>
<b>Program Costs</b>		<b>0</b>
Net Increase/Decrease	<b>0</b>	<b>\$ 2,514</b>
<b>Total Budget</b>	<b>494</b>	<b>\$88,612</b>
<b>Total Offsetting Collections</b>	<b>0</b>	<b>0</b>
<b>Total Appropriation</b>	<b>494</b>	<b>\$88,612</b>

# Acquisitions and Bibliographic Access

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$88.612 million** for Acquisitions and Bibliographic Access in fiscal 2013, an increase of \$2,514 million, or 2.9 percent, over fiscal 2012. This increase supports mandatory pay related and price level increases.

### Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	%
LS_ABA	564	\$94,184	544	\$97,039	494	\$86,098	494	\$88,612	0	\$2,514	2.9%

## PROGRAM OVERVIEW

The Acquisitions and Bibliographic Access (ABA) Directorate acquires digital and physical materials for the Library's collections and makes them accessible to the Congress, on-site researchers, and Library web site users. ABA provides leadership, policy, standards, and training nationally and internationally. It also mitigates risks to the Library's collections through inventory and physical security controls. ABA administers the Books for the General Collections (GENPAC) funding, which supports the acquisition of book and serial publications, online content, special formats, and domestic and foreign materials of legislative and research value. With the Law Library, ABA manages a separate fund for the purchase of law collections materials.

ABA's direct services to publishers and libraries include distributing surplus books to nonprofit institutions nationwide, leading the 799-member Program for Cooperative Cataloging (PCC), acquiring library materials from developing countries for U.S. libraries on a cost recovery basis, and managing the Cataloging in Publication (CIP) and Dewey Decimal Classification programs. ABA administers the Library's six overseas offices located in Brazil, Egypt, India, Indonesia, Kenya, and Pakistan, that acquire, catalog, and preserve collections from developing countries. Additionally, ABA provides courseware and training for Library Services divisions.

### Fiscal 2011 Priority Activities

ABA continued cross-training staff for increased efficiency and output in acquisitions and bibliographic access duties. ABA staff moved to temporary spaces

as part of the Architect of the Capitol's assistance in reconfiguring ABA work areas for improved workflows and increased production. Based on plans devised in fiscal 2010, ABA, in collaboration with other U.S. national libraries, carried out a national test to determine the feasibility, compatibility, and efficiencies to be gained by adopting a new set of international rules for bibliographic description. ABA maintained its high bibliographic access production levels (363,122 items cataloged) and again fully executed the GENPAC and Books Law funding, totaling more than \$18 million plus an additional \$10 million from gifts and other sources – a record expenditure level. ABA sustained its focus on revamping the CIP program: it shifted from pilot mode to full operation the importing of cataloging data from publishers; it prepared plans to include e-books in the CIP program; and it increased the number of partner libraries that supply bibliographic records needed by the Library. ABA expanded the PCC by 42 members. Addressing the fiscal 2009 Government Accountability Office study recommendations, ABA and other Library Services' units contracted with the Council for American Overseas Research Centers to establish an alternative and less costly approach to acquiring materials in West Africa, an underserved part of the world; took concrete steps towards replacing an obsolete automated system for managing the acquisitions work of the overseas offices on behalf of the Library and the cooperative acquisitions participants; shifted more cataloging responsibility to the offices; and selected more digital content and Web resources from underdeveloped areas of the world that have become ever more important to the Congress.

### Fiscal 2012 Priority Activities

In addition to continuing to cross-train staff to assume both acquisitions and cataloging functions, ABA also will redeploy staff to fulfill needs caused by the deep attrition resulting from the VSIP/VERA opportunity afforded staff early in fiscal 2012. Extending the collaboration with other U.S. national libraries, ABA will train its staff to implement new rules for bibliographic description in fiscal 2013. Subject to the availability of funding, ABA will execute the next phase of space reconfiguration in support of the ABA reorganization, including the purchase of additional furniture and equipment. In support of the *Library of Congress Strategic Plan: Fiscal Year 2011–2016* goal to “Acquire, preserve, and provide access to a universal collection of knowledge and the record of America’s creativity,” ABA will fully execute the GENPAC and Books Law funding (\$17 million) and catalog 330 thousand collection items. The overseas offices will continue their assessment of using an alternative approach to collecting materials in West Africa, comparing the efficiency of this approach to the established operations of the offices. The overseas offices will begin testing implementation in at least one office of a replacement system for managing the offices’ acquisitions work. ABA will co-lead an effort to replace the MARC standard for online bibliographic data that was created by the Library in the 1960s and is long overdue for replacement. Working with international partners, ABA will manage a pilot between the Library and several other national libraries to test the exchange

of vital government information that is increasingly produced only in digital form.

### Fiscal 2013 Priority Activities

ABA will continue to expend appropriated and gift funds, supplemented with exchange programs, to acquire collection resources from all parts of the world, especially those areas of strategic interest to the Congress. With the ongoing reduced staffing levels, ABA will sustain its work and output at high levels by broadening the supply of bibliographic data available through the CIP program, vendors, and content creators. ABA will continue to work with the library and information community to find a replacement for the MARC standard. In parallel with this work, ABA will lead the U.S. library community’s implementation of the new set of instructions for bibliographic description. These two activities will increase access to bibliographic and metadata from vital sources beyond the library community, e.g., publishers and web content producers. ABA will maintain its revitalization of the CIP program, seeking new ways to expand the program. ABA will focus on judiciously expanding its use of vendors to supply bibliographic data for materials they acquire for the Library, particularly in foreign languages. The overseas offices will increase the amount of bibliographic data they supply to the Library and their cooperative partners and increase their digitization efforts.



# Collections and Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Collections and Services Summary By Object Class (Dollars in Thousands)

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$50,569	\$50,022	\$47,159	\$48,183	+ \$1,024	2.2%
11.3 Other than full-time permanent	1,851	1,845	1,801	1,839	+ 38	2.1%
11.5 Other personnel compensation	431	433	394	403	+ 9	2.3%
12.1 Civilian personnel benefits	14,414	14,396	13,670	14,068	+ 398	2.9%
13.0 Benefits for former personnel	0	0	800	800	0	0.0%
<b>Total, Pay</b>	<b>\$67,265</b>	<b>\$66,696</b>	<b>\$63,824</b>	<b>\$65,293</b>	<b>+ \$1,469</b>	<b>2.3%</b>
21.0 Travel & transportation of persons	206	125	180	182	+ 2	1.1%
22.0 Transportation of things	1	0	0	0	0	0.0%
23.3 Communication, utilities & misc charges	79	72	77	78	+ 1	1.3%
24.0 Printing & reproduction	73	64	94	95	+ 1	1.1%
25.1 Advisory & assistance services	1,204	992	1,233	1,250	+ 17	1.4%
25.2 Other services	6,799	7,030	7,188	7,265	+ 77	1.1%
25.3 Other purch of gds & services from gov acc	99	80	91	93	+ 2	2.2%
25.7 Operation & maintenance of equipment	1,101	442	1,807	1,835	+ 28	1.5%
25.8 Subsistence & support of persons	5	4	25	25	0	0.0%
26.0 Supplies & materials	1,231	1,230	1,471	1,492	+ 21	1.4%
31.0 Equipment	4,937	5,311	4,683	4,748	+ 65	1.4%
41.0 Grants, subsidies & contributions	530	530	530	1,000	+ 470	88.7%
<b>Total, Non-Pay</b>	<b>\$16,265</b>	<b>\$15,880</b>	<b>\$17,379</b>	<b>\$18,063</b>	<b>+ \$684</b>	<b>3.9%</b>
<b>Total, Collections and Services</b>	<b>\$83,530</b>	<b>\$82,576</b>	<b>\$81,203</b>	<b>\$83,356</b>	<b>+ \$2,153</b>	<b>2.7%</b>

**Collections and Services**  
**Analysis of Change**  
(Dollars in Thousands)

	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	640	\$81,203
<b>Non-recurring Costs:</b>		
Conclusion of 3-year (2010-12) Ft. Meade Modules 3 & 4 Start-up	0	- 1,715
<b>Total, Non-recurring Costs</b>	<b>0</b>	<b>- 1,715</b>
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		835
Within-grade increases		303
One Extra Day		255
FERS agency rate adjustment from 11.2% to 11.9%		76
<b>Total, Mandatory Pay and Related Costs</b>	<b>0</b>	<b>1,469</b>
<b>Price Level Changes</b>		<b>684</b>
<b>Program Increases</b>		<b>0</b>
Continuation of Ft. Meade Modules 3 & 4 Start-up		1,715
<b>Total, Program Increases</b>	<b>0</b>	<b>1,715</b>
<b>Net Increase/Decrease</b>	<b>0</b>	<b>\$ 2,153</b>
<b>Total Budget</b>	<b>640</b>	<b>\$83,356</b>
<b>Total Offsetting Collections</b>	<b>0</b>	<b>0</b>
<b>Total Appropriation</b>	<b>640</b>	<b>\$83,356</b>

# Collections and Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$83.356 million** for Collections and Services in fiscal 2013, an increase of \$2.153 million, or 2.7 percent, over fiscal 2012. This increase supports mandatory pay related and price level increases, a program reduction of \$1.715 million for conclusion of the 3-year (fiscal 2010 – 2012) start-up project for Ft. Meade Modules 3 and 4, and a program increase of \$1.715 million for continued operational requirements in support of the special collections transfers to Ft. Meade and the initiation of collections transfer to the Landover Center Annex.

### Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
LS_CS	681	\$83,530	653	\$82,576	640	\$81,203	640	\$83,356	0	\$2,153	2.7%

## PROGRAM OVERVIEW

Major activities of the Collections and Services (CS) Directorate include developing the Library's collections in almost all languages, subjects, and formats; organizing and managing the secure storage of 145 million items; serving requested items to patrons; and providing on- and off-site reference/information services through specialist librarians staffing Library of Congress reading rooms and research centers on Capitol Hill as well as via the Internet, through email or the Ask-a-Librarian program. CS staff also coordinate collections-based digitization projects to increase public access to high-research value Library materials. CS divisions play a critical role in collections inventory control as well as collections safety. As part of the Library's ongoing space management program, CS transfers general and special collections from the Library's overcrowded Capitol Hill facilities to the Landover Center Annex and to the high-density, state-of-the-art modules at Ft. Meade.

The Library's Packard Campus National Audio-Visual Conservation Center, referred to as the Packard Campus and located in Culpeper, VA, consolidates, develops, preserves, and provides broad public access to a comprehensive collection of the world's audio-visual heritage of moving images and recorded sounds. This state-of-the-art facility with its new systems for born-digital collections acquisition, preservation, reformatting, and playback-on-demand access, significantly increases the number of Library audio-visual collections digitized for preservation, public service, and access.

## Fiscal 2011 Priority Activities

CS focused on transferring Library materials to the facilities at Ft. Meade. The Library transferred 164,041 containers to Ft. Meade Modules 3 and 4, representing 68.6 percent of the 3-year target of 239,000 trackable containers and exceeding the fiscal 2011 target by 8,691 containers. CS staff analyzed collections and set acquisition strategies in accordance with the Library's collection policies and physically served more than 1 million items to patrons in reading rooms and via the Inter-Library and Congressional Loan Programs. Library staff maintained Capitol Hill campus research centers, providing wide-ranging collections access and reference services, carrying out 508,063 direct reference service transactions. The staff also presented a wide array of public programs to promote the research value of the Library's collections and information services. The Packard Campus increased the quantity of audio-visual materials digitized for preservation and access from 735 terabytes at the end of fiscal 2010 to 1.727 petabytes at the end of fiscal 2011. On May 10, 2011, the Library publicly launched the National Jukebox web site, the most significant recorded sound access project in the Library's history.

## Fiscal 2012 Priority Activities

CS staff will complete majority of the physical transfer of designated special collections to the new facilities at Ft. Meade and continue to process and inventory those materials on site. They also will manage the growing collections housed on Capitol Hill. CS will continue to staff and maintain its reading rooms and research

centers, which provide reference services and access to collections and services both on-site and via the Internet. CS staff will continue to identify and address critical areas of knowledge and creativity not included in the mandatory copyright deposit program, including the addition of items to the multilingual area studies holdings. They also will actively work with the new Collection Development Officer to assist in building the Library's digital collections by converting select works to digital form, identifying and acquiring electronic resources from external sources, and receiving electronic-only serials through mandatory copyright deposit. CS staff will organize a wide variety of on-site public lectures, symposia, concerts, and other programs and will provide remote users with online workshops and webinars to increase and facilitate electronic research on the Library's web site.

The Packard Campus will bring online two additional audio preservation rooms (8 and 9) and will be close to completing design of the final two rooms (10 and 11). Additional work will be performed on the born digital support infrastructure to enable capture and encoding capabilities in several areas. These born digital capabilities include: completing the phase 1 roll out of the Capitol Hill video transmission system; continuing the build out of the live capture room for acquiring off-web and off-air television and radio programming; enabling the first automated quality control and proxy (access) file production system; receiving the first pilot transfers of Copyright e-Deposits of audio-visual works; and bringing online the production storage area network (SAN) for the digital film lab and testing the ingesting of files into the archive.

### **Fiscal 2013 Priority Activities**

CS will complete the processing and inventory of special

collection materials in Ft. Meade Modules 3 and 4 and will work with other Library staff and the Architect of the Capitol to plan for Ft. Meade Module 5, beginning the identification of materials for transfer. While continuing to staff and maintain reading rooms and research centers, CS staff also will focus on re-aligning resources to ensure the most efficient and cost-effective reference and research services, as well as access to collections and services both on-site and via the Internet. They also will continue to identify and address critical areas of knowledge and creativity not included in the mandatory deposit program, including the addition of items to the multilingual area studies holdings. CS staff will actively assist in the building of the Library's digital collections by converting select works to digital form, identifying and acquiring electronic resources from external sources, receiving electronic-only serials through mandatory deposit, and identifying other electronic-only works (i.e., e-books). They will also organize on-site public lectures, symposia, concerts, and other programs and will provide remote users with online workshops and webinars to increase and facilitate electronic research on the Library's web site.

The Packard Campus will build the tenth audio preservation room and complete design on the final room (11); add capacity to the automated quality control and proxy file generation system; complete the Born Digital Direct File Submission infrastructure and begin final pilot testing for e-Deposits from outside media submitters; add high definition JPEG2000 archival encoding and 4K film resolution archiving; complete the "orderless ingest" functionality within the Packard Campus workflow software (the ability to ingest files without human intervention); and begin technology refresh of archival productions systems that will be nearing end-of-life (including SAMMA video encoders and Pyramix digital audio workstations).



# Partnerships and Outreach Programs

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Partnerships and Outreach Programs Summary By Object Class (Dollars in Thousands)

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$ 6,224	\$ 6,032	\$ 5,923	\$ 6,018	+ \$ 95	1.6%
11.3 Other than full-time permanent	36	26	0	0	0	0.0%
11.5 Other personnel compensation	68	64	71	72	+ 1	1.4%
12.1 Civilian personnel benefits	1,714	1,656	1,646	1,681	+ 35	2.1%
13.0 Benefits for former personnel	0	0	25	25	0	0.0%
<b>Total, Pay</b>	<b>\$ 8,042</b>	<b>\$ 7,778</b>	<b>\$ 7,665</b>	<b>\$ 7,796</b>	<b>+ \$131</b>	<b>1.7%</b>
21.0 Travel & transportation of persons	39	21	35	35	0	0.0%
22.0 Transportation of things	51	63	52	52	0	0.0%
23.3 Communication, utilities & misc charges	59	48	61	61	0	0.0%
24.0 Printing & reproduction	294	319	394	395	+ 1	0.3%
25.1 Advisory & assistance services	1,120	553	1,060	1,062	+ 2	0.2%
25.2 Other services	1,224	975	759	759	0	0.0%
25.3 Other purch of gds & services from gov acc	937	668	900	901	+ 1	0.1%
25.7 Operation & maintenance of equipment	26	15	56	56	0	0.0%
26.0 Supplies & materials	61	60	58	58	0	0.0%
31.0 Equipment	737	289	926	926	0	0.0%
42.0 Insurance claims & indemnities	0	13	0	0	0	0.0%
<b>Total, Non-Pay</b>	<b>\$ 4,548</b>	<b>\$ 3,024</b>	<b>\$ 4,301</b>	<b>\$ 4,305</b>	<b>+ \$ 4</b>	<b>0.1%</b>
<b>Total, Partnerships &amp; Outreach Programs</b>	<b>\$12,590</b>	<b>\$10,802</b>	<b>\$11,966</b>	<b>\$12,101</b>	<b>+ \$135</b>	<b>1.1%</b>

**Partnerships and Outreach Programs**  
**Analysis of Change**  
(Dollars in Thousands)

	<b>Fiscal 2013 Agency Request</b>	
	<b>FTE</b>	<b>Amount</b>
<b>Fiscal 2012 Spending Plan</b>	<b>73</b>	<b>\$11,966</b>
<b>Non-recurring Costs</b>		<b>0</b>
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		74
Within-grade increases		27
One Extra Day		23
FERS agency rate adjustment from 11.2% to 11.9%		7
<b>Total, Mandatory Pay and Related Costs</b>	<b>0</b>	<b>131</b>
<b>Price Level Changes</b>		<b>4</b>
<b>Program Costs</b>		<b>0</b>
<b>Net Increase/Decrease</b>	<b>0</b>	<b>\$ 135</b>
<b>Total Budget</b>	<b>73</b>	<b>\$12,101</b>
<b>Total Offsetting Collections</b>	<b>0</b>	<b>- 6,000</b>
<b>Total Appropriation</b>	<b>73</b>	<b>\$ 6,101</b>

## Partnerships and Outreach Programs

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

### FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$12.101 million** for Partnerships and Outreach Programs in fiscal 2013, an increase of \$0.135 million, or 1.1 percent, over fiscal 2012. This increase supports mandatory pay related and price level increases.

#### Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change		Percent Change		
	Spending Plan		Actual Obligations				FTE	\$		FTE	\$
	FTE	\$	FTE	\$							
LS_POP	76	\$12,590	69	\$10,802	73	\$11,966	73	\$12,101	0	\$135	1.1%

### PROGRAM OVERVIEW

The Partnerships and Outreach Programs (POP) Directorate increases the visibility and usefulness of the Library's resources. This is accomplished through programs and services targeted to the needs of the Library's public constituencies.

Library visitors learn about the Library's work and collections through exhibitions, publications, building tours, retail services, and public programs that present its rich resources in engaging ways. For the scholarly community, on-site fellowships funded by gift and trust funds enable scholars from around the world to conduct research in the Library's renowned John W. Kluge Center.

Service to the library and information services community takes the form of education and training services for federal librarians, national reading promotion programs for students and educators, and the distribution of cataloging records and resources for libraries and information service providers.

#### Fiscal 2011 Priority Activities

The highlights of fiscal 2011 were the opening of the Civil War Sesquicentennial exhibition, "The Last Full Measure: Civil War Photographs from the Liljenquist Family Collection," the opening of the Graphic Arts Galleries in the Thomas Jefferson Building, and the completion of the "Library of Congress: Gateway to Knowledge" national mobile tour. Following the launch at the National Book Festival in September 2010, the "Gateway to Knowledge" tractor-trailer exhibit embarked upon a 60-venue tour throughout the Midwest and the South to present the Library's riches to areas of the United States, in particular rural communities. Through

Madison Council funding support, the tour was extended to 90 stops, reaching 34 states bordering and east of the Mississippi River. In fiscal 2011, "With Malice toward None: The Abraham Lincoln Bicentennial Exhibition" continued to attract record-setting attendance as a traveling exhibition with a fifth and final installation in Omaha, Nebraska.

Major publications released in fiscal 2011 included *The Washington Haggadah*, published in association with Harvard University Press, a facsimile of a rare late fifteenth-century Haggadah held by the Hebraic Division of the Library; *Long Remembered: Lincoln and His Five Versions of the Gettysburg Address*, co-published by the Library of Congress and Levenson Press; and *The Library of Congress Illustrated Timeline of the Civil War*, published in association with Little, Brown and Company, and drawn from rare source material in the Civil War collections of the Library of Congress.

In fiscal 2011, the Visitor Services Office (VSO) worked with a growing number of visitors to the Library. More than one million visitors entered the Thomas Jefferson Building main visitor entrances. The number of visitors to the Great Hall averages 3,500 each day. VSO trained volunteer docents to provide visitors with an inspiring experience by conducting guided tours of the Thomas Jefferson Building. The number of guided tours was up by 15 percent in fiscal 2011. More than 7,900 tours were given to almost 200,000 visitors. Approximately 850 tour groups were comprised of K-12 students.

#### Fiscal 2012 Priority Activities

Interpretive exhibitions, publications, tours, and programs will continue to showcase the Library's

collections and provide visitors with an opportunity to learn about the breadth of the Library's collections and work. New exhibitions scheduled to open in the Thomas Jefferson Building during fiscal 2012 include: "Sakura: Cherry Blossoms as Living Symbols of Friendship;" "To Know Wisdom and Instruction: The Armenian Literary Tradition at the Library of Congress;" "Words Like Sapphires: 100 Years of Hebraica at the Library of Congress;" "Herblock and the Environment;" and "The Civil War in American Memory."

POP will support the Library's goal to establish metrics to regularly review the status of the public experience, both on-site and online.

### **Fiscal 2013 Priority Activities**

POP will continue to provide Library visitors with an experience that collectively enhances their understanding and appreciation of the Library, its collections, and services. POP will continue to review the overall public experience offerings and collaborate with other areas of the Library in determining what should be adjusted in support of the Library's Strategic Plan. The Library will investigate offering expanded information services to the entire federal government through the FEDLINK program.



# Preservation

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

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

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$7,673	\$7,493	\$6,909	\$7,059	+ \$150	2.2%
11.3 Other than full-time permanent	393	365	366	374	+ 8	2.2%
11.5 Other personnel compensation	36	46	38	39	+ 1	2.6%
11.8 Special personal services payment	22	11	22	23	1	0.0%
12.1 Civilian personnel benefits	2,241	2,216	2,032	2,090	+ 58	2.9%
13.0 Benefits for former personnel	0	0	100	100	0	0.0%
<b>Total, Pay</b>	<b>\$10,365</b>	<b>\$10,131</b>	<b>\$9,467</b>	<b>\$9,685</b>	<b>+ \$218</b>	<b>2.3%</b>
21.0 Travel & transportation of persons	28	23	27	27	0	0.0%
23.2 Rental payments to others	8	8	8	8	0	0.0%
23.3 Communication, utilities & misc charges	2	2	2	2	0	0.0%
24.0 Printing & reproduction	1,207	1,400	1,196	1,213	+ 17	1.4%
25.1 Advisory & assistance services	5,920	5,904	5,832	5,914	+ 82	1.4%
25.2 Other services	396	213	227	230	+ 3	1.3%
25.3 Other purch of gds & services from gov acc	17	7	18	18	0	0.0%
25.7 Operation & maintenance of equipment	393	258	380	385	+ 5	1.3%
28.0 Supplies & materials	651	601	635	644	+ 9	1.4%
31.0 Equipment	1,555	2,154	1,758	1,783	+ 25	1.4%
<b>Total, Non-Pay</b>	<b>\$10,177</b>	<b>\$10,570</b>	<b>\$10,083</b>	<b>\$10,224</b>	<b>+ \$141</b>	<b>1.4%</b>
<b>Total, Preservation</b>	<b>\$20,542</b>	<b>\$20,701</b>	<b>\$19,550</b>	<b>\$19,909</b>	<b>+ \$359</b>	<b>1.8%</b>

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**Preservation  
Analysis of Change**  
(Dollars in Thousands)

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	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	102	\$19,550
<b>Non-recurring Costs</b>		0
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		124
Within-grade increases		45
One Extra Day		38
FERS agency rate adjustment from 11.2% to 11.9%		11
<b>Total, Mandatory Pay and Related Costs</b>	0	218
<b>Price Level Changes</b>		141
<b>Program Costs</b>		0
<b>Net Increase/Decrease</b>	0	\$ 359
<b>Total Budget</b>	102	\$19,909
<b>Total Offsetting Collections</b>	0	0
<b>Total Appropriation</b>	102	\$19,909

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# Preservation

LIBRARY OF CONGRESS SALARIES AND EXPENSES

## FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$19.909 million** for the Preservation Directorate in fiscal 2013, an increase of \$0.359 million, or 1.8 percent, over fiscal 2012. This increase supports mandatory pay related and price level increases.

### Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
LS_PRES	111	\$20,542	105	\$20,701	102	\$19,550	102	\$19,909	0	\$359	1.8%

## PROGRAM OVERVIEW

The Preservation (PRES) Directorate ensures long-term uninterrupted access to the intellectual content of the Library's collections in original or reformatted form. PRES accomplishes this directly through conserving, binding and repairing, reformatting, and testing collections, and educating staff and users. PRES indirectly accomplishes this by coordinating and overseeing all Library-wide activities related to the preservation and physical protection of Library materials.

Preservation of the Library's collections is accomplished through item-level treatment of rare, at-risk special collection photographs, prints, books, audio-visual, and other collection items. It is also accomplished through preventive conservation involving housing and stabilization of collections on Capitol Hill, at the Packard Campus, and Ft. Meade. Programs that extend the lives of collection items include environmental monitoring and control, emergency preparedness and response, needs assessments, supply and lab management duties, and care and handling training, which involves training specialists to become in-house and off-site emergency response team members. PRES staff also repair, folder, and box general and reference collections materials; prepare newly acquired collections for commercial binding and shelving; support microfilm, facsimile, and digital reformatting programs; and administer the Mass Decidification Program to treat books and sheets of paper. PRES scientists oversee testing and quality assurance programs; conduct forensic analysis to identify materials and reduce risks; and develop standards and specifications to increase the longevity and usability of the Library's traditional, audio-visual, and digital collections.

## Fiscal 2011 Priority Activities

Staff addressed preservation needs of the Library's collections by treating more than 7.3 million books, serials, prints, photographs, and other high value, high use and/or at-risk items, made accessible through binding, conservation, mass deacidification, and reformatting. Preservation staff housed more than 294 thousand manuscripts, maps, photographs, and other items; labeled more than 30 thousand items; and surveyed more than 557 thousand items. PRES also continued to improve preservation workflow efficiency through realignment of staff and/or procedures, particularly for conservation, binding, and reformatting, including pilot projects on deferred binding and hybrid reformatting systems that produce computer output microfilm (COM) from digitized images.

PRES, working with the Office of Strategic Initiatives (OSI), identified criteria for the preservation of digital materials and co-drafted digitization policy and guidelines to be incorporated into current programs to further increase access to the Library's collections and to meet the Library's annual objective for preservation of digital materials.

PRES ensured that the Library met its annual objective to move collections to Ft. Meade by deploying staff to increase supplies and the preparation of collections, including preparing the Library's Master Negative Microfilm collection for transport to Ft. Meade. PRES also recommended and reviewed statements of work to move some of the Library's collections to shared remote, underground storage systems.

PRES developed an organizational framework for coordinating its conservation research with partners and

other research facilities by collaboration with scientists through a technology conference with federal agencies, more than a dozen shared internships (including a digital humanities fellowship funded by the Council on Library and Information Resources/Mellon), memoranda of understanding with the National Institute of Standards and Technology and the Lawrence Berkeley National Laboratory (LBNL) and joint publications and presentations on projects addressing needs of partner conservators. Staff also issued a contract for a meta-analysis review of mass deacidification research findings to identify consensus, eliminate redundancy, and focus research questions to maximize efficiencies and sustainability. Staff completed a housing project for the Library's analytical science studies collections, which support on-site and remote shared-access to physical and digital data sets and evidence.

To expand options for response to emergencies affecting the Library's collections, PRES implemented a collections emergency response contract. To help others, PRES put a generic version on the Library's web site that, following the Japanese tsunami, was translated into Japanese along with other Library emergency guidelines and used by PRES staff presenting workshops in Japan.

PRES continued its international leadership role in cultural heritage preservation through the organization of a 3-part "Preservation – Future Directions" symposium that reviewed past, present, and future priorities for preserving the human record, including options for environmentally controlled remote cold storage, mass deacidification treatments, and digitization. To highlight foundation funding and training programs, PRES organized six special Topics in Preservation Series (TOPS) lectures, which (along with the Future Directions Symposium) were webcast, videotaped, and put on the Library's web pages.

PRES also developed and taught three new courses: a semester-long preservation course for University of Maryland graduate students, a week-long course for Federal Library and Information Center Committee's (FLICC) federal library professionals, and a week-long course for Russian dignitaries on behalf of the Open World Leadership Center. PRES also developed workshops for FLICC on emergency preparedness and participated in activities for Preservation Week, an initiative developed by the Library in conjunction with the American Library Association (ALA).

### **Fiscal 2012 Priority Activities**

PRES will continue to address the needs of the Library's collections by treating more than 5 million additional

books, serials, prints, photographs, and other high value, high use and/or at-risk items, by making them accessible through binding, conservation, mass deacidification, and reformatting. PRES will complete documentation of the Library's top treasures, and will work with OSI to begin high resolution scanning of the next tier of world-treasures for access and security purposes. To expand the abilities of PRES to respond to emergency events that affect the Library's collections, PRES will begin training reformatting staff in the salvage of master microfilms. PRES will continue to improve preservation workflow efficiency through the realignment of binding and reformatting staff.

PRES will work with OSI to identify and propose criteria for the preservation of the Library's digital materials, as well as review a draft policy and guidelines document to be incorporated into current programs to further increase access to the Library's collections. PRES will share a proposed organizational framework for coordinating its conservation research with partners and other research facilities by collaboration with scientists through mid-career training partnerships, a series of meetings with the National Science Foundation on heritage science education, a shared internship with George Washington University's forensic science program, increased access to experimental sound recordings through collaboration with the LBNL and the Smithsonian Institution, and collaboration on a collections demographics questionnaire survey of select Library reading rooms with the University College of London.

PRES will continue its international leadership role helping agencies in need, such as the Institut d'Egypte following their devastating fire, and in cultural heritage preservation through presentations for the International Federation of Library Association's Preservation and Conservation (IFLA PAC), FLICC, ALA, American Institute for Conservation (AIC) and other professional organizations, and through participation at Preservation Week and TOPS. An additional program will include a Future Directions Symposium marking the 10 year anniversary of the Library's collaboration with scientists from LBNL to develop a system to capture sound from damaged analog sound recordings.

### **Fiscal 2013 Priority Activities**

PRES will continue to address the needs of the Library's collections by treating more than 5 million additional books, serials, prints, photographs, and other high value, high use and/or at-risk items, by making them accessible through binding, conservation, mass deacidification, and reformatting. PRES will continue to improve preservation workflow efficiency through the realignment

of binding and reformatting staff.

As part of the *Library of Congress Strategic Plan: Fiscal Years 2011-2016*, PRES will work with OSI to propose, pilot and evaluate guidelines, best practices, and workflows for the preservation of the Library's digital materials, in preparation for adopting a Library-wide policy and guidelines document to reflect industry standards, trends and findings to ensure preservation and access to the Library's digital collections. PRES will complete an organizational framework for coordinating its conservation research with partners and other research

facilities by collaboration with scientists, in particular participating in a new Harvard University course on Science and the Human Past, sharing Library case studies for a module called "The Written Past."

PRES will continue its international leadership role in cultural heritage preservation through presentations for IFLA PAC, FLICC, ALA, AIC and other professional organizations, as well as Preservation Week and TOPS, including recognition of conservation training at the University of Delaware.



# Technology Policy

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

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

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11 1 Full-time permanent	\$5,901	\$5,734	\$5,173	\$5,285	+ \$112	2.2%
11.5 Other personnel compensation	57	43	55	56	+ 1	1.8%
12.1 Civilian personnel benefits	1,477	1,472	1,319	1,361	+ 42	3.2%
13.0 Benefits for former personnel	0	0	75	75	0	0.0%
<b>Total, Pay</b>	<b>\$7,435</b>	<b>\$7,249</b>	<b>\$6,622</b>	<b>\$6,777</b>	<b>+ \$155</b>	<b>2.3%</b>
21.0 Travel & transportation of persons	25	23	27	27	0	0.0%
23.3 Communication, utilities & misc charges	54	40	57	57	0	0.0%
25.1 Advisory & assistance services	141	139	230	234	+ 4	1.7%
25.2 Other services	20	19	26	26	0	0.0%
25.3 Other purch of gds & services from gov acc	6	2	2	2	0	0.0%
25.7 Operation & maintenance of equipment	941	891	911	1,046	+ 135	14.8%
26.0 Supplies & materials	32	23	29	30	+ 1	3.4%
31.0 Equipment	284	236	212	215	+ 3	1.4%
<b>Total, Non-Pay</b>	<b>\$1,503</b>	<b>\$1,373</b>	<b>\$1,494</b>	<b>\$1,637</b>	<b>+ \$143</b>	<b>9.6%</b>
<b>Total, Technology Policy</b>	<b>\$8,938</b>	<b>\$8,622</b>	<b>\$8,116</b>	<b>\$8,414</b>	<b>+ \$298</b>	<b>3.7%</b>

**Technology Policy  
Analysis of Change**  
(Dollars in Thousands)

	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	51	\$8,116
<b>Non-recurring Costs</b>		0
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		88
Within-grade increases		32
One Extra Day		27
FERS agency rate adjustment from 11.2% to 11.9%		8
<b>Total, Mandatory Pay and Related Costs</b>	0	155
<b>Price Level Changes</b>		143
<b>Program Costs</b>		0
<b>Net Increase/Decrease</b>	0	\$ 298
<b>Total Budget</b>	51	\$8,414
<b>Total Offsetting Collections</b>	0	0
<b>Total Appropriation</b>	51	\$8,414

# Technology Policy

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$8.414 million** for the Technology Policy Directorate in fiscal 2013, an increase of \$0.298 million, or 3.7 percent, over fiscal 2012. This increase supports mandatory pay related and price level increases.

### Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
LS_TECH	55	\$8,938	49	\$8,622	51	\$8,116	51	\$8,414	0	\$298	3.7%

## PROGRAM OVERVIEW

The Technology Policy (TECH) Directorate coordinates information technology policy and operations in Library Services (LS). It supports information systems, most notably, the Library's online catalog, and develops and maintains technical standards for library and information communities. TECH works closely with the Library's Office of Strategic Initiatives (OSI) and Information Technology Services (ITS), ensuring the successful management and completion of projects, effective functioning of systems, and full compliance with information technology security measures. TECH includes three divisions:

**Automation and Planning Liaison Office (APLO)** supports LS computer workstation, wiring, and telecommunications needs. It also coordinates the procurement and management of hardware and software assets.

**Integrated Library System Program Office (ILSPO)** manages technology development projects and programs including the support of both new and legacy library systems, software releases, enhancements, and record loads.

**Network Development and MARC Standards Office (NDMSO)** is the center for library and information network standards. It also is a national and international leader in the development and maintenance of standards that are the foundation of most library catalogs and digital library applications in major institutions worldwide. The office is responsible for many of the software development, research, and productivity tools used within LS.

## Fiscal 2011 Priority Activities

TECH continued to identify workflows and procedures that could be further optimized, streamlined, and automated without additional cost.

TECH directed a large percentage of its resource base to finish current optimization projects and improve existing business processes. This included finalizing the LS Continuity of Operations Plan; working with ITS and outside contractors to set up an environment to start to consolidate more than 400 LS databases into a standardized and centralized database; managing the new asset management system; and the Tangible Media Project to define the processes and workflows to transfer digital media to secure storage. To date two terabytes of data have been transferred to secure storage including more than 600 CDs of geographic information system materials from the Geography and Map Division.

TECH implemented a Web scale discovery service, which is a consolidated index to the articles and other materials in the Library's electronic resources systems. The system has improved both seamless access to the Library's subscription databases and the search experience for researchers. By the end of September 2011, record totals in the system included 118,805 bibliographic, 178,706 holdings, 915 resource, 813 license, 178 contact, and 439 order records, as well as 140,664,657 searches.

TECH completed the upgrade of the Integrated Library System (ILS) to a new release of Voyager, along with a new online public access catalog (OPAC) interface that has improved the ability to configure the user interface and meet requirements of the Americans with Disabilities Act.

TECH released a new version of the Automated Call Slip (ACS), which simplified the user request process for items in the collections by reducing each request to a single click, and increased the efficiency of the system for the Collection Access and Loan Management Division (CALM) staff in the stacks and at charge stations.

The National Library Catalog is available to users within the Library and is now more robust and scalable. Currently there are 15,279,742 bibliographic and 18,203,200 holdings records in the database and 8,655,713 vocabulary items in [id.loc.gov](http://id.loc.gov), the Library's Authority and Vocabulary service.

The Library released a completely redesigned finding aids search application. The many improved features include improved keyword searching; browse lists with expanded name, title, and subject entries; alerts; more powerful displays for navigating; hidden MODS and Dublin Core metatags; improved linking; and PDF versions for printing and downloading.

LS received the first e-Deposit deliveries for e-journals. TECH staff revised and refined e-Deposit requirements; led workflow analysis for LS deposit processing; revised and refined LS processing workflow documentation; consulted in the development of the prototype Delivery Management System (DMS); with assistance from OSI, coordinated LS e-Deposit system and user acceptance testing; drafted and revised test cases; and initiated an effort to revise copyright best edition statements for textual works, audio-visual materials, still images, and databases/datasets. TECH assumed responsibility for ownership of the DMS, making it a subsystem of the ILS. In addition, TECH managed almost 4 thousand IT-related requests from LS staff.

### **Fiscal 2012 Priority Activities**

TECH will continue to improve existing and new services for the Library, Library staff, patrons, and other institutions and will collaborate with LS divisions to improve the efficiency of everyday work. TECH will work with experts and patrons to create new and improved automated services and undertake development projects to create better tools for research. TECH also will continue to perform the many broad ranging IT

related tasks in support of the LS organization.

The Tangible Media Project will expand its services to additional LS divisions to transfer digital content stored on a variety of consumer oriented media to enterprise storage systems. In particular TECH will address the Asian Division's need to transfer 8 thousand DVDs containing scans of Chinese rare books, equaling 56 terabytes of content.

ACS 2.0 will be developed to make the ACS functionality available in all reading rooms, enabling new efficiencies across LS reading rooms operations both for those entering call slips and the CALM staff as they retrieve items.

The Centralized Database Platform Project can begin to be populated with the upgrade of APEX 4.0 by ITS in February. TECH also will continue the development of the National Library Catalog, adding new metadata and the full text search feature and making available to patrons millions of additional analog and digital records.

TECH will continue to help coordinate with OSI on the remaining workflow development for the e-Deposit project, thereby creating a pathway from Copyright through LS to the OSI/ITS Repository.

### **Fiscal 2013 Priority Activities**

TECH will begin the move to the next generation of ILS, which will provide greater flexibility and new services. Most importantly, the new ILS will integrate with the National Library Catalog, opening opportunities for additional functions and features. Work also will continue with linked data and the Semantic Web through [id.loc.gov](http://id.loc.gov) and other projects, offering the opportunity to link to data and items throughout the library community worldwide.

By the end of 2013, the National Library Catalog should be populated with 30-40 million more records/items for more robust access to the Library's collections, and workflows for the acquisition of electronic content will be refined and integrated more seamlessly into Library systems. The Tangible Media project will continue until all the 300 terabytes of media are transferred to secure and accessible storage, and procedures are in place for future electronic deposits.



# Office of Strategic Initiatives

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Office of Strategic Initiatives Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
Digital Initiatives	111	\$ 23,490	102	\$ 23,068	111	\$ 23,324	111	\$ 23,782	0	\$ 458	2.0%
NDIIPP	22	3,832	21	3,799	22	3,741	22	3,818	0	77	2.1%
TPS	9	7,301	8	7,042	9	6,959	9	7,068	0	109	1.6%
Invest in Tech Infrastructure	0	14,820	0	14,670	0	12,270	0	12,509	0	239	1.9%
<b>Subtotal, Digital Initiatives</b>	<b>142</b>	<b>\$ 49,443</b>	<b>131</b>	<b>\$ 48,579</b>	<b>142</b>	<b>\$ 46,294</b>	<b>142</b>	<b>\$ 47,177</b>	<b>0</b>	<b>\$ 883</b>	<b>1.9%</b>
Inf Tech Services	210	60,598	203	60,936	213	61,443	213	63,255	0	1,812	2.9%
<b>Total, OSI</b>	<b>352</b>	<b>\$110,041</b>	<b>334</b>	<b>\$109,515</b>	<b>355</b>	<b>\$107,737</b>	<b>355</b>	<b>\$110,432</b>	<b>0</b>	<b>\$2,695</b>	<b>2.5%</b>

**Office of Strategic Initiatives**  
**Summary By Object Class**  
(Dollars in Thousands)

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$ 37,660	\$ 37,009	\$ 37,417	\$ 38,219	+ \$ 802	2.1%
11.3 Other than full-time permanent	169	186	224	229	+ 5	2.2%
11.5 Other personnel compensation	439	363	388	396	+ 8	2.1%
11.8 Special personal services payment	332	383	383	391	+ 8	2.1%
12.1 Civilian personnel benefits	10,035	10,301	10,346	10,651	+ 305	2.9%
13.0 Benefits for former personnel	0	0	150	150	0	0.0%
<b>Total, Pay</b>	<b>\$ 48,635</b>	<b>\$ 48,242</b>	<b>\$ 48,908</b>	<b>\$ 50,036</b>	<b>+ \$1,128</b>	<b>2.3%</b>
21.0 Travel & transportation of persons	226	228	240	243	+ 3	1.3%
22.0 Transportation of things	6	4	5	5	0	0.0%
23.3 Communication, utilities & misc charges	1,433	1,310	1,583	1,606	+ 23	1.5%
24.0 Printing & reproduction	150	144	160	162	+ 2	1.3%
25.1 Advisory & assistance services	17,047	19,109	15,093	15,305	+ 212	1.4%
25.2 Other services	11,347	9,948	9,434	9,566	+ 132	1.4%
25.3 Other purch of gds & services from gov acc	302	302	275	279	+ 4	1.5%
25.7 Operation & maintenance of equipment	12,220	11,436	13,480	14,411	+ 931	6.9%
26.0 Supplies & materials	237	223	228	231	+ 3	1.3%
31.0 Equipment	12,335	12,465	13,121	13,305	+ 184	1.4%
41.0 Grants, subsidies & contributions	6,103	6,104	5,210	5,283	+ 73	1.4%
<b>Total, Non-Pay</b>	<b>\$ 61,406</b>	<b>\$ 61,273</b>	<b>\$ 58,829</b>	<b>\$ 60,396</b>	<b>+ \$1,567</b>	<b>2.7%</b>
<b>Total, OSI</b>	<b>\$110,041</b>	<b>\$109,515</b>	<b>\$107,737</b>	<b>\$110,432</b>	<b>+ \$2,695</b>	<b>2.5%</b>

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**Office of Strategic Initiatives**  
**Analysis of Change**  
(Dollars in Thousands)

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	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	355	\$107,737
<b>Non-recurring Costs</b>		0
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		641
Within-grade increases		233
One Extra Day		196
FERS agency rate adjustment from 11.2% to 11.9%		58
<b>Total, Mandatory Pay and Related Costs</b>	0	1,128
<b>Price Level Changes</b>		1,567
<b>Program Costs</b>		0
<b>Net Increase/Decrease</b>	0	\$ 2,695
<b>Total Budget</b>	355	\$110,432
<b>Total Offsetting Collections</b>	0	0
<b>Total Appropriation</b>	355	\$110,432

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# Digital Initiatives

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

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

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$14,337	\$14,083	\$14,087	\$14,388	+ \$301	2.1%
11.3 Other than full-time permanent	86	104	129	132	+ 3	2.3%
11.5 Other personnel compensation	274	143	151	154	+ 3	2.0%
11.8 Special personal services payment	332	370	370	378	+ 8	2.2%
12.1 Civilian personnel benefits	4,025	4,188	4,172	4,289	+ 117	2.8%
<b>Total, Pay</b>	<b>\$19,054</b>	<b>\$18,888</b>	<b>\$18,909</b>	<b>\$19,341</b>	<b>+ \$432</b>	<b>2.3%</b>
21.0 Travel & transportation of persons	160	183	185	187	+ 2	1.1%
22.0 Transportation of things	5	4	5	5	0	0.0%
23.3 Communication, utilities & misc charges	77	65	77	78	+ 1	1.3%
24.0 Printing & reproduction	75	63	75	76	+ 1	1.3%
25.1 Advisory & assistance services	4,081	4,419	2,945	2,987	+ 42	1.4%
25.2 Other services	10,124	9,643	9,295	9,425	+ 130	1.4%
25.3 Other purch of gds & services from gov acc	70	93	49	50	+ 1	2.0%
25.7 Operation & maintenance of equipment	717	747	717	795	+ 78	10.9%
26.0 Supplies & materials	89	86	89	90	+ 1	1.1%
31.0 Equipment	8,888	8,285	8,738	8,860	+ 122	1.4%
41.0 Grants, subsidies & contributions	6,103	6,103	5,210	5,283	+ 73	1.4%
<b>Total, Non-Pay</b>	<b>\$30,389</b>	<b>\$29,691</b>	<b>\$27,385</b>	<b>\$27,836</b>	<b>+ \$451</b>	<b>1.6%</b>
<b>Total, Digital Initiatives</b>	<b>\$49,443</b>	<b>\$48,579</b>	<b>\$46,294</b>	<b>\$47,177</b>	<b>+ \$883</b>	<b>1.9%</b>

**Digital Initiatives  
Analysis of Change**  
(Dollars in Thousands)

	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	142	\$46,294
<b>Non-recurring Costs</b>		0
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		245
Within-grade increases		89
One Extra Day		75
FERS agency rate adjustment from 11.2% to 11.9%		23
<b>Total, Mandatory Pay and Related Costs</b>	<b>0</b>	<b>432</b>
<b>Price Level Changes</b>		<b>451</b>
<b>Program Costs</b>		<b>0</b>
<b>Net Increase/Decrease</b>	<b>0</b>	<b>\$ 883</b>
<b>Total Budget</b>	<b>142</b>	<b>\$47,177</b>
<b>Total Offsetting Collections</b>	<b>0</b>	<b>0</b>
<b>Total Appropriation</b>	<b>142</b>	<b>\$47,177</b>

## Digital Initiatives

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

### FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$47,177 million** for the Digital Initiatives program in fiscal 2013, an increase of \$0.833 million, or 1.9 percent, over fiscal 2012. This increase supports mandatory pay related and price level increases.

#### Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
OSI_DI	142	\$49,443	131	\$48,579	142	\$46,294	142	\$47,177	0	\$883	1.9%

### PROGRAM OVERVIEW

The Office of Strategic Initiatives (OSI) supports the Library's role as a leader in librarianship, research, and scholarship by leading a collaborative, institution-wide effort to develop consolidated plans for the Library's digital future; integrating the delivery of information technology services; and directing the national program for long-term preservation of digital cultural assets.

The Library's work primarily focuses on the acquisition, organization, preservation, and dissemination of information to the Congress, the public, the educational community, researchers, and other libraries. Technology has far-reaching strategic importance to the institution. Through the balanced use of technology, OSI facilitates achievement of the Library's goals by sustaining a forward-looking information technology infrastructure that supports the Library's key business lines and enables constituent interaction. OSI's role in enabling the transformation of the Library in the digital environment supplements the traditional role of Information Technology Service (ITS) to maintain stewardship over the Library's information technology assets, services, and infrastructure. OSI's content management and content delivery programs and services are the workloads carried out under the umbrella structure of the Digital Initiatives (DI) program.

Technological trends suggest that the rapid accumulation of diverse digital holdings with evolving formats and shifting technology platforms will continue. DI provides mission-critical knowledge and expertise about digital content acquisition, distribution, and stewardship, and enhances the Library's networked relationships with the broader cultural communities and constituencies

of the Congress. DI functions as technical steward of the Library's investments in content in digital form and leads the institution's digital content management and Web-based content delivery services. DI provides comprehensive Web-based digital access services, converting analog materials into digital form, archiving strategically targeted Web content, and maintaining technical stewardship of digital content assets. These core DI functions serve as the foundation from which the Library increasingly can broaden its mission impact and reach nationally, in a changing digital landscape. DI supports the Library's digital content access services through a range of programs, including American Memory, World Digital Library, Veterans History, and the National Digital Newspaper Program. These programs enable public access not only to the Library's holdings, but also to those of collaborating national and global partners. DI oversees the Library's national digital content preservation (National Digital Information Infrastructure and Preservation Program, or NDIIPP) and educational outreach (Teaching with Primary Sources, or TPS) programs, both focused on building broad-based external partnerships and relationships in support of the Library's core mission. The collection and preservation of digital content, as well as the educational initiatives begun by DI and supported by the Congress, can lead to broadly shared stewardship roles among national partners. NDIIPP, described in more detail in Appendix E, catalyzes the building of public-private stewardship networks to sustain at-risk cultural heritage digital content. TPS, described in more detail in Appendix F, builds kindergarten through twelfth grade national outreach networks that encourage educational use of the Library's online primary sources.

As digital content that documents the creative output of the nation continues to expand in scale, diversity, and complexity, the Library's existing technical infrastructure continues to be taxed. The congressional support the Library received for the Cyclical Investment in Technical Infrastructure (CITI) has enabled the implementation of institution-wide strategies in support of the Library's digital future. DI's CITI approach is to use the IT governance structure and enterprise architecture framework to integrate, leverage, and connect a set of common enterprise-wide functionalities supported through all three layers of the technical architecture (content delivery, content management, and core technology). CITI investments are tiered and implemented within the content delivery, content management, and core technology layers of the technical architecture. Content delivery infrastructure is dependent on effective content management infrastructure, which is dependent on a robust core technology infrastructure sustained by ITS. This approach ensures that the future infrastructure optimally supports the accomplishment of the Library's mission goals.

### **Fiscal 2011 Priority Activities**

DI continued to provide technical support and resources for digitizing materials in the Library's collections. To meet the high demand for accessible content, DI balanced quality and productivity objectives and continued to evaluate digital formats best suited for both preservation and access needs. DI maintained ongoing responsibility for leadership of the Federal Agencies Digitization Guidelines Initiative, a group of eighteen agencies working collaboratively to establish common digitization guidelines and approaches. DI coordinated the Library-wide Digital Library Content Group (DLCG), by prioritizing digitization projects in accordance with institutional priorities and directions established by the Web Governance Board. DI continued to work with the Library's service units for the deposit of electronic scholarly journals, digitized historical newspaper collections, and audiovisual collections. DI also continued to support the collection and delivery of web content via web archiving. The collaborative NDIIPP and TPS partnership networks pursued this balanced strategy in the broader national context.

The Library directed \$5.879 million of CITI resources within DI for ITS to implement strategies and planned initiatives for infrastructure investments to enhance the Library's security capabilities for Incident Handling and Response. \$6.785 million of CITI resources were directed to new network, server, and storage equipment and software and expert services for strengthening

infrastructure (core technology). This investment included a focus on expanded higher-speed configurations for content ingest and transfer and initiation of a migration to a new long-term content storage system. \$1.455 million of the CITI resources were allocated to investments in enterprise-wide content management and content delivery, such as support for strengthening commonly-used database platforms. These areas included improving the Library's Web presence and content delivery tools and technologies, expanding DI's ability to receive and process digital content through Copyright mandatory deposits, and continuing enrichment and standardization of metadata to improve search functionality within the content delivery environment.

### **Fiscal 2012 Priority Activities**

DI's top priority in fiscal 2012 is to begin to launch a newly-architected Web presence in support of the Library's strategic goal to provide access to a universal collection of knowledge. The updated Web presence, guided by the Library's Web Governance Board and developed in accordance with the Library's new web strategy and information architecture framework, provides improved content access functionality, leveraging powerful facet-based search, digital object presentation and exploration, and portals. The Web presence builds on consistently-presented content and metadata for improving search, discovery, and navigation from both inside the Library and the Internet.

Another DI objective is to begin testing specific repository services functionality articulated and expanded in fiscal 2011. For example, a workflow for receipt of electronic-only newspapers through Copyright mandatory deposit, building on strengthened content management and core technology investments.

Priorities for 2012 also include scanning of the permanent print edition of the Congressional Record and the remaining collections of presidential papers. In response to budget reductions, OSI will focus on making the best use of internal and external scanning resources, including those of commercial and institutional partners. For digitized content produced under the Library's control, OSI will improve technical processes and workflows to ensure digitized content validity, quality, and sustainability.

DI will perform the above work in careful coordination with the evolving enterprise architecture. The enterprise architecture ultimately will become the authoritative frame of reference that ensures that technology solutions meet the Library's business requirements.

## Fiscal 2013 Priority Activities

DI's focus for fiscal 2013 will be to continue support of mission priorities while exploring technical and operational options for handling the growing volumes and complexity of digital content in the future. Core technology, content management, and content delivery work will continue to expand the content collections, metadata, and web elements being made available through the new web presence. This work also will strengthen and improve the automation of the infrastructure workflows for generating, updating, and deploying items to be incorporated into the new web presence. Content will continue to be created in new and varied digital formats and distributed via increasingly mobile end-user technologies. Access functionality and distribution decisions are intertwined with plans for sustainability regardless of the technology platforms. The DI program aims to consider content delivery services in the context of long-term content sustainability needs. The work will include a focus on strengthening the services and tools for consistent management, proactive migration, and monitoring of content to optimize strategic sustainability approaches and workflows. OSI's objective is to design reconfigurable content delivery and content management infrastructure components to handle continued content growth and increased holdings complexity over time. OSI also plans to refresh data with evolving content delivery, network, and storage technology platforms to the extent possible within the Library's strategic goal framework and funding circumstances.

The high volume of content now being accumulated by digital collection programs requires specific tools and processes that will enable users to understand and navigate data on such a large scale. Examples of high-volume collections, with continuing growth both in number of records and size, include more than 250 terabytes of archived web sites and the receipt of more than 6 million tweets an hour. To meet research and reference requirements, it is not practical to present these kinds of collections as a mass of individual items. The unique access (including search, discovery and navigation) and visibility needs of these kinds of collections demand innovative, data-driven approaches to make the content available in new query architectures based on patterns within the data. These state-of-the-art approaches are being explored and used increasingly by data-intensive organizations in all fields and require more powerful parallel distributed, memory-rich computing operations (for indexing, pattern-matching, data distillation, and querying) than have been required for the processing of content previously. OSI will develop a roadmap for requirements for this type of large-scale data discovery, navigation, and reuse in the future.

DI will perform this work in coordination with the evolving enterprise architecture. The enterprise architecture ultimately will become the authoritative frame of reference that ensures that technology solutions meet the Library's business requirements.



# Information Technology Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Information Technology Services Summary By Object Class (Dollars in Thousands)

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$23,324	\$22,926	\$23,330	\$23,832	+ \$ 502	2.2%
11.3 Other than full-time permanent	82	82	95	97	+ 2	2.1%
11.5 Other personnel compensation	165	220	237	242	+ 5	2.1%
11.8 Special personal services payment	0	13	13	13	0	0.0%
12.1 Civilian personnel benefits	6,010	6,113	6,174	6,361	+ 187	3.0%
13.0 Benefits for former personnel	0	0	150	150	0	0.0%
<b>Total, Pay</b>	<b>\$29,581</b>	<b>\$29,354</b>	<b>\$29,999</b>	<b>\$30,695</b>	<b>+ \$ 696</b>	<b>2.3%</b>
21.0 Travel & transportation of persons	66	46	55	56	+ 1	1.8%
22.0 Transportation of things	1	0	0	0	0	0.0%
23.3 Communication, utilities & misc charges	1,355	1,245	1,506	1,527	+ 21	1.4%
24.0 Printing & reproduction	76	81	85	86	+ 1	1.2%
25.1 Advisory & assistance services	12,967	14,690	12,148	12,318	+ 170	1.4%
25.2 Other services	1,222	305	139	141	+ 2	1.4%
25.3 Other purch of gds & services from gov acc	232	209	226	229	+ 3	1.3%
25.7 Operation & maintenance of equipment	11,503	10,689	12,763	13,617	+ 854	6.7%
26.0 Supplies & materials	148	136	139	141	+ 2	1.4%
31.0 Equipment	3,447	4,181	4,383	4,445	+ 62	1.4%
<b>Total, Non-Pay</b>	<b>\$31,017</b>	<b>\$31,582</b>	<b>\$31,444</b>	<b>\$32,560</b>	<b>+ \$1,116</b>	<b>3.5%</b>
<b>Total, ITS</b>	<b>\$60,598</b>	<b>\$60,936</b>	<b>\$61,443</b>	<b>\$63,255</b>	<b>+ \$1,812</b>	<b>2.9%</b>

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**Information Technology Services**  
**Analysis of Change**  
(Dollars in Thousands)

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	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	213	\$61,443
<b>Non-recurring Costs</b>		0
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		397
Within-grade increases		144
One Extra Day		121
FERS agency rate adjustment from 11.2% to 11.9%		34
<b>Total, Mandatory Pay and Related Costs</b>	0	696
<b>Price Level Changes</b>		1,116
<b>Program Costs</b>		0
<b>Net Increase/Decrease</b>	0	\$ 1,812
<b>Total Budget</b>	213	\$63,255
<b>Total Offsetting Collections</b>	0	0
<b>Total Appropriation</b>	213	\$63,255

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# Information Technology Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$63.255 million** for Information Technology Services in fiscal 2013, an increase of \$1.812 million, or 2.9 percent, over fiscal 2012. This increase supports mandatory pay related and price level increases.

### Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
OSI ITS	210	\$60,598	203	\$60,936	213	\$61,443	213	\$63,255	0	\$1,812	2.9%

## PROGRAM OVERVIEW

The Library relies on a strong information technology infrastructure to fulfill its mission. Information Technology Services (ITS) maintains the Library's technology infrastructure to support Library program requirements. ITS provides data and voice networks, data processing, data storage, software application development, and data center operations. These resources support the delivery of data to the Congress, Library staff, and the public. ITS proactively monitors the industry's best practices and technologies and invests in initiatives to streamline and strengthen the infrastructure.

ITS determines and manages resource requirements for IT initiatives and services and advises the Chief Information Officer, other Library officials, and counterparts elsewhere in government on IT issues. ITS follows guidelines and procedures memorialized in the Library's Information Resources Management (IRM) plan and related IT governance policies and procedures. ITS aligns the allocation of its resources to Library-wide priorities, which are established by congressional mandates, Library-wide strategic annual objectives, and service units priority annual objectives. Library IT governance is generally informed by Enterprise Architecture activities and investment lifecycle review activities overseen by the Library's Information Technology Steering Committee (ITSC).

Library users increasingly expect to gain access to digital content through modern tools and services. ITS strives to define and provide a modernized infrastructure that makes content available securely and in the manner Library programs and users require through the Library's web site and Internet-based data exchange services.

IT requirements are also driven by the Library's continually expanding acquisitions and production of content in digital form. ITS works with program staff to plan and implement streamlined and automated content management services, which are designed to ensure the integrity and security of content over time while minimizing the long-term costs of content management.

### Fiscal 2011 Priority Activities

In fiscal 2011, ITS prioritized its allocation of resources, focusing on initiatives that strengthen IT infrastructure operations, working within the Library's IT governance policies and following specific guidance provided by the ITSC. These initiatives included the following efforts: assessing the physical and electrical capacity of the Library data centers; increasing data network connection speeds in the data center so that incoming data can be moved more quickly among servers for processing; increasing redundant data paths within the data center so that more connections can remain available during maintenance and unplanned outages; and strengthening data storage through the acquisition of a long-term storage system to replace an obsolete system.

ITS devoted management and staff resources to implement four separate Library-wide IT security initiatives: Incident Handling and Response; Two Factor Authentication for off-site email access; continuous monitoring by the Security Operations Center; and improvements in the Library's capacity to react to malicious content in near real-time. These security initiatives represent one of the Library's highest priorities, and they are implemented in coordination with other technology infrastructure investments in order to enhance the Library's ability to respond to the ever changing and

increasingly challenging IT threat environment.

ITS helped implement the initial stages of the Library's Web Governance Board (WGB) strategy for modernizing web site access. ITS support included leading the effort to increase the amount of content made available through the search function of the main web site, loc.gov. This support also included participating in the planning for both the Library's new web presence and the initiation of the new web-based system to deliver legislative information which will replace THOMAS and LIS.

ITS supported activities designed to improve the efficiency of processes that receive, move, and store data. These activities included supporting the Copyright Office's digitization of a portion of the historical copyright record cards, a pilot e-Deposit system to receive electronic journals requested by curatorial Library divisions through the Copyright Office, and the implementation of an end-to-end process for failover and recovery to an alternate computing facility for the Copyright registration system.

### **Fiscal 2012 Priority Activities**

ITS continues to focus on initiatives to improve the technology infrastructure through planning and building new architectures for more efficient and effective use of IT resources. These initiatives include continuing to strengthen the infrastructure data networks within the data centers and planning for a transition to a virtualized environment for both servers and storage, which will allow for more resource-efficient use of the underlying physical equipment. For the Library's voice networks, plans for critical telephone switch infrastructure upgrades are being implemented.

In the area of access to content, ITS will continue to implement the WGB's web presence strategy. This strategy involves working to present Library content more consistently and to provide more access points for search and navigation of the content. ITS is planning to move to a virtualized environment to support the new web presence, making more efficient use of physical servers and storage by following the most current "best practices" in web architecture design.

ITS will leverage improved network connection speeds and improved data movement software tools to address the requirements for long-term storage of this content.

Among its Library-wide IT support efforts, ITS will facilitate the CRS email migration to Microsoft Outlook from the legacy GroupWise email system. ITS also plans to strengthen the Library's IT Continuity of Operations Plan (COOP) activities by expanding off-site capabilities.

### **Fiscal 2013 Priority Activities**

ITS will focus on transitioning to a technology infrastructure designed with virtualized server and storage components. This effort will include a migration to newer servers with more consistent software configurations, which allows server resources to be allocated and re-allocated more quickly and efficiently as needed to meet requirements, such as, increases in web site demand based on a specific event. The effort will also include expanding virtualized storage capacity to meet program requirements for data receiving, processing, moving, and long-term storage.

In the support of the Library's priority focus on content access, ITS will continue to work on the deployment of the Library's new web presence. ITS provides resources for improving search and navigation of the Library's web site through automation of processes that generate useful and consistent information (i.e., metadata) about digital content. ITS will continue to build-out the environment and the software platform for the new legislative information delivery system.

In support of the Library's focus on content management, ITS will focus on establishing and operating an increasingly virtualized infrastructure, adding content management software that is able to track content across the enterprise, and expanding the use of automated data movement and inventory software into more workflows. ITS will work with service units to increase the automation of content processing workflows. ITS is building on "best practices" learned from industry and experiences with internal and external content exchanges. Increasing the automation of these workflows will expand the Library's capacity to receive, move, and store a growing number content types and formats, with greater levels of complexity, without requiring a corresponding increase in human resources. Working with content owners in the service units and content service providers, ITS will provide assistance related to the migration of existing content and metadata in consistent formats to the new web presence.

In support of the Congress and legislative information, ITS will work with the Office of Strategic Initiatives Web Services division, under the guidance of the WGB, to complete development of the new legislative information services, which will be designed and deployed as part of the new web presence. This initiative will make available additional content such as historical documents and linked content in other formats, such as video. ITS will also continue to address processing and long-term storage requirements for congressional video.

In conjunction with the U.S. Copyright Office and

to meet requirements from other service units (i.e., Library Services, Law Library, CRS), ITS will provide resources to support a planned expansion of capabilities for acquisition and processing of electronic collections through e-Deposit. ITS will also continue supporting the existing digitization workflow and long-term storage of Copyright historical record cards to meet current content management goals.

To support all service units, ITS will continue monitoring expanded security incident handling and response measures and ensure the program is adequate to respond to evolving threats. In addition, ITS will partner with Library service units to review, refine and support implementation of programs for flexible workplace operations and off-site COOP activities.



# Law Library

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

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

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$ 8,619	\$ 8,494	\$ 8,550	\$ 8,735	+ \$185	2.2%
11.3 Other than full-time permanent	76	63	211	215	+ 4	1.9%
11.5 Other personnel compensation	86	111	6	7	+ 1	16.7%
12.1 Civilian personnel benefits	2,332	2,333	2,291	2,360	+ 69	3.0%
13.0 Benefits for former employees	0	0	100	100	0	0.0%
<b>Total, Pay</b>	<b>\$11,113</b>	<b>\$11,001</b>	<b>\$11,158</b>	<b>\$11,417</b>	<b>+ \$259</b>	<b>2.3%</b>
21.0 Travel & transportation of persons	60	57	60	61	+ 1	1.7%
22.0 Transportation of things	8	6	8	8	0	0.0%
23.3 Communication, utilities & misc charges	46	46	49	50	+ 1	2.0%
24.0 Printing & reproduction	23	23	25	25	0	0.0%
25.1 Advisory & assistance services	278	319	65	66	+ 1	1.5%
25.2 Other services	2,385	2,087	1,648	1,666	+ 18	1.1%
25.3 Other purch of gds & services from gov acc	6	10	12	12	0	0.0%
25.7 Operation & maintenance of equipment	509	458	617	709	+ 92	14.9%
26.0 Supplies & materials	27	27	27	28	+ 1	3.7%
31.0 Equipment	2,434	2,390	2,681	2,761	+ 80	3.0%
<b>Total, Non-Pay</b>	<b>\$ 5,776</b>	<b>\$ 5,423</b>	<b>\$ 5,192</b>	<b>\$ 5,386</b>	<b>+ \$194</b>	<b>3.7%</b>
<b>Total, Law Library</b>	<b>\$16,889</b>	<b>\$16,424</b>	<b>\$16,350</b>	<b>\$16,803</b>	<b>+ \$453</b>	<b>2.8%</b>

**Law Library**  
**Analysis of Change**  
(Dollars in Thousands)

	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	96	\$16,350
<b>Non-recurring Costs</b>		0
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		148
Within-grade increases		53
One Extra Day		45
FERS agency rate adjustment from 11.2% to 11.9%		13
<b>Total, Mandatory Pay and Related Costs</b>	0	259
<b>Price Level Changes</b>		194
<b>Program Costs</b>		0
<b>Net Increase/Decrease</b>	0	\$ 453
<b>Total Budget</b>	96	\$16,803
<b>Total Offsetting Collections</b>	0	- 350
<b>Total Appropriation</b>	96	\$16,453

# Law Library

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$16.803 million** for the Law Library program in fiscal 2013, an increase of \$0.453 million, or 2.8 percent, over fiscal 2012. This increase supports mandatory pay related and price level increases.

### Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change		Percent Change		
	Spending Plan		Actual Obligations				FTE	\$		FTE	\$
	FTE	\$	FTE	\$							
LAW	97	\$16,889	92	\$16,424	96	\$16,350	96	\$16,803	0	\$453	2.8%

## PROGRAM OVERVIEW

The Law Library of Congress (LAW) provides the Congress, executive branch agencies, courts, practicing bar, state and local governments, American businesses, scholars, and others with legal research and reference services related to U. S. federal, state, and local law, and the laws of more than 240 other nations. LAW has amassed the world's largest collection of authoritative legal sources, including more than 2.78 million volumes and approximately 2.5 million microformat and digital items.

The collections and staff expertise of the Law Library of Congress are unique. Certain one-of-a-kind materials are held in the Law Library. No other nation or institution has such a vast aggregation of legal materials that allows for comprehensive legal analysis. Nowhere else in government or academic circles does there exist the same level of legal subject matter expertise.

Legal specialists with foreign law degrees and practice experience provide timely, expert legal analysis, research, testimony, and reference services in response to requests by Members of Congress and committee staff, justices of the Supreme Court, other judges, attorneys of the Departments of Homeland Security and Justice, and other federal agencies. The foreign-trained lawyers incorporate knowledge of the legal systems, vernacular language, and socio-cultural context of countries and regions of the world for which they are responsible. At the request of the Congress, LAW has provided studies related to terrorism, national security, and other significant legal issues. It has provided copies of documents that formed the legal foundations for pre-Taliban Afghanistan, pre-Saddam Hussein Iraq, and

nearly the entire reconstruction of the legal patrimony of earthquake-devastated Haiti.

LAW acquires, maintains, organizes, preserves, and provides access to a comprehensive legal collection in both analog and digital formats, building collections of necessary research materials that are not available through copyright deposit, exchange, or federal or state transfer. The collections support the legal research that LAW and the Congressional Research Service provide to the Congress and that LAW provides to the Supreme Court, executive branch agencies, and the nation.

LAW is responsible for the content and future development of THOMAS, the legislative database for the public. LAW also provides electronic legal information products such as the *Century of Lawmaking for a New Nation*, which provides access to historic legislative documents; legal research and collection guides which focus on legal research techniques, events and issues; and a forum for the exchange of legal sources online through which foreign legislatures, international, and multi-national organizations contribute laws, regulations, and related legal materials that are accessible via the Internet.

Ensuring accuracy, authenticity, authoritativeness, and comprehensiveness of legal documents is a challenge which LAW manages on a daily basis to enable the highest quality of objective research and to maintain legal collections from countries and regions of strategic importance to the Congress.

### Fiscal 2011 Priority Activities

In response to specific congressional requests, LAW staff members wrote reports and testified; consulted with

Members of the Congress and their staff, the executive branch, and judiciary; and focused on supporting the Congress and educating the public through the provision of online special collections and digital legal resources. LAW also continued its effort to convert the current classification of 800 thousand volumes to Class K. Additionally, it provided instruction to public users and improved navigation for searching the THOMAS database. LAW reassessed the research value to the Congress of a foreign multi-jurisdictional legal database after an independent consultant undertook a full assessment of the database that LAW has been overseeing for more than a decade. Through this assessment LAW determined it could leverage advancements in database technology, better serve congressional strategic priorities for foreign and international legal research, provide a more informed and comprehensive data environment through integrated systems and federated searching, and sustain a capability over the long term at a reasonable cost. LAW developed an eight-year strategic plan and detailed business plan for a virtual law library; led an effort to inventory the training offered by all Capitol Hill offices; and demonstrated strong emphasis on public outreach by hosting and briefing high-level foreign delegations of legal scholars and professionals, organizing and conducting collaborative programs on timely legal issues, and producing and presenting exhibits and research reports. LAW furthered efforts employing Web 2.0 strategies and social media capabilities, thereby showcasing the unique features of its web site content.

### **Fiscal 2012 Priority Activities**

In fiscal 2012, LAW will focus on developing plans and collaborative arrangements to add digitized content to THOMAS and prepare requirements documents in support of the next generation legislative information system platform and services. It also will continue to pursue efforts to complete the classification of 800 thousand volumes to Class K, albeit at a reduced pace. LAW will launch a pilot of LAW.GOV, incorporating

selected content from the Guide to Law Online. LAW will lead a Library of Congress-wide effort to offer coordinated training to selected congressional staff. LAW will pursue a long-term strategic plan and business plan for multi-jurisdictional legal information aligned with Library of Congress-wide digital initiatives, affording the Congress and other constituents the benefits of more timely, targeted, and complete legal knowledge.

### **Fiscal 2013 Priority Activities**

In fiscal 2013, LAW will continue to classify the 800 thousand volumes to Class K to the extent the budget will allow, with the goal of remaining on schedule to classify the entire Law collection by country, subject, and form of material by fiscal 2020. Until classification is complete, legal material is less secure and will not be fully accessible to scholars, practitioners, and the general public. If funding permits, LAW will work to reduce a backlog of more than 1.5 million pages of official gazettes requiring preservation microfilming to avoid further deterioration and loss. LAW will launch a pilot portal to tribal legal content through LAW.GOV and will solicit and analyze feedback from the Library's training program for Members of the Congress and staff and implement enhancements where needed. Working within the broader Library of Congress web enhancement initiatives, LAW will begin to establish LAW.GOV as the vehicle for disseminating information on and providing access to digital legal materials, including metadata standards, research and development, preservation standards, guidelines, and best practices. LAW will focus on strategies to provide access to worldwide legal information via a new business model and information architecture integrated with other applications within the Library of Congress, to include an enhanced research capability that would embrace federated searching technology, thereby leveraging the overall Library of Congress web presence. These efforts support priorities reflected in the *Library of Congress Strategic Plan: Fiscal Years 2011–2016*.



# Office of the Librarian

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Office of the Librarian Summary By Object Class (Dollars in Thousands)

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
00 0 Lapse Reserve	\$ 499	\$ 0	\$ 499	\$ 506	+ \$ 7	1.4%
<b>Total, Lapse Reserve</b>	<b>\$ 499</b>	<b>\$ 0</b>	<b>\$ 499</b>	<b>\$ 506</b>	<b>+ \$ 7</b>	<b>1.4%</b>
11.1 Full-time permanent	\$10,966	\$10,879	\$10,767	\$10,998	+ \$231	2.1%
11.3 Other than full-time permanent	189	181	213	218	+ 5	2.3%
11.5 Other personnel compensation	312	330	262	268	+ 6	2.3%
12.1 Civilian personnel benefits	3,727	3,779	3,572	2,967	- 605	-16.9%
13.0 Benefits for former personnel	125	68	175	175	0	0.0%
<b>Total, Pay</b>	<b>\$15,319</b>	<b>\$15,237</b>	<b>\$14,989</b>	<b>\$14,626</b>	<b>- \$363</b>	<b>-2.4%</b>
21.0 Travel & transportation of persons	48	23	49	50	+ 1	2.0%
22.0 Transportation of things	57	49	56	57	+ 1	1.8%
23.3 Communication, utilities & misc charges	158	151	158	161	+ 3	1.9%
24.0 Printing & reproduction	229	198	218	221	+ 3	1.4%
25.1 Advisory & assistance services	2,054	2,838	1,900	1,927	+ 27	1.4%
25.2 Other services	1,424	360	1,368	1,387	+ 19	1.4%
25.3 Other purch of gds & services from gov acc	30	24	30	30	0	0.0%
25.7 Operation & maintenance of equipment	272	272	269	310	+ 41	15.2%
26.0 Supplies & materials	99	58	88	89	+ 1	1.1%
31.0 Equipment	284	325	119	120	+ 1	0.8%
42.0 Insurance claims & indemnities	3	0	3	3	0	0.0%
<b>Total, Non-Pay</b>	<b>\$4,658</b>	<b>\$4,298</b>	<b>\$4,258</b>	<b>\$4,355</b>	<b>+ \$ 97</b>	<b>2.3%</b>
<b>Total, Office of the Librarian</b>	<b>\$20,476</b>	<b>\$19,535</b>	<b>\$19,746</b>	<b>\$19,487</b>	<b>- \$259</b>	<b>- 1.3%</b>

**Office of the Librarian**  
**Analysis of Change**  
(Dollars in Thousands)

	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	320	\$19,746
<b>Non-recurring Costs</b>		
Reduction of Unfunded authorized FTEs	-150	0
<b>Total, Non-recurring Costs</b>	-150	0
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		189
Within-grade increases		68
One Extra Day		58
FERS agency rate adjustment from 11.2% to 11.9%		16
Abolishment of Workers' Compensation annual base		- 694
<b>Total, Mandatory Pay and Related Costs</b>	0	- 363
<b>Price Level Changes</b>		104
<b>Program Increases</b>		0
<b>Net Increase/Decrease</b>	- 150	- \$ 259
<b>Total Budget</b>	170	\$19,487
<b>Total Offsetting Collections</b>	0	0
<b>Total Appropriation</b>	170	\$19,487

# Office of the Librarian

LIBRARY OF CONGRESS SALARIES AND EXPENSES

## FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$19.487 million** for the Office of the Librarian in fiscal 2013, a net decrease of \$0.259 million, or -1.3 percent, under fiscal 2012. This decrease supports mandatory pay related and price level increases of \$0.435 million, with an offset of (\$0.694 million) for elimination of the Library's Workers' Compensation base funding. Over the previous two fiscal years, the Library's LC, S&E budget has sustained total base cuts of \$26.058 million, or a net decrease of 6 percent. Over the same period the authorized FTE ceiling has remained unchanged at 2,492. The Library is requesting that the authorized FTE ceiling for LC, S&E be reset to 2,342, a decrease of 150 authorized FTEs, or 6.0 percent, to reflect a more accurate alignment of authorized FTEs with the resources available to support FTEs.

### Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
LIBN	179	\$20,476	106	\$19,535	320	\$19,746	170	\$19,487	-150	-\$259	-1.3%

## PROGRAM OVERVIEW

The Office of the Librarian provides leadership to the Library, overseeing the implementation and management of the Library's mission to support the Congress in fulfilling its constitutional duties and to further the progress of knowledge and creativity for the benefit of the American people. The Librarian of Congress, the Chief of Staff, and program and administrative staff provide executive management. The Librarian of Congress is the chairperson and the Chief of Staff is a member of the Library's Executive Committee (EC). The Librarian's Office is responsible for the following offices:

**Congressional Relations Office (CRO):** Develops and implements the Library's legislative and outreach strategies for the majority of Library operations and events and coordinates a variety of services for the Congress.

**Development Office (DEV):** Conducts, coordinates, and tracks fundraising activities to support the Librarian's priorities, spanning acquisitions, cultural programs, educational outreach activities, and events.

**Communications Office (PAO):** Maintains, develops, enhances, and expands the Library's communications and public relations functions with the Congress, the American public, news media, and Library employees.

**Office of the Chief Financial Officer (OCFO):** Provides centralized strategic planning, annual planning, performance assessment, risk management, budgeting,

accounting, disbursing, and reporting services for the Library's appropriated, gift, trust, revolving, and reimbursable funds and serves as liaison with the House and Senate committees on Appropriations of the U.S. Congress in areas relating to the Library's financial functions.

**Office of General Counsel (OGC):** Provides legal counsel to Library management on operations and initiatives, represents the Library in legal proceedings and negotiations, manages the Library's system of regulations, and serves as the Library's ethics office.

**Office of Special Events and Public Programs (OSEPP):** Coordinates and manages events that support the mission of the Library and showcases its programs, collections, and exhibitions.

### Fiscal 2011 Priority Activities

The Library developed a new Planning and Budgeting Framework that identifies specific objectives and measures and assigns responsibility and accountability for achieving the goals of the strategic plan. A key element of the Framework is the annual objectives which represent the incremental steps that need to be accomplished and properly resourced in order to achieve the Strategic Plan's intended results. The Library also developed a new online budget system to enhance transparency in Library service unit spending plans.

The Web Governance Board (WGB), chaired by the

Chief of Staff, produced a new unifying information architecture that translates the Library's Web strategy into structural, search, and navigation systems. Work continued on the new architecture in fiscal 2011, beginning with a redesigned Library of Congress home page and enhanced search capability.

CRO provided a variety of services to the Congress in support of their representational and legislative responsibilities. CRO strengthened relationships between the Congress and the Library through collaborations with the Library of Congress Caucus and through outreach and visits to the offices of new Members of the 112th Congress. CRO presented legislation and approvals sought by the Library, facilitated support for the fiscal 2012 budget and provided timely responses to constituent inquiries. In fiscal 2011, outreach to congressional offices about education programs and resources, services, events increased substantially.

DEV supported the Librarian's efforts to secure funding from the private sector for priority projects such as the Residential Scholars Center which will provide affordable accommodations for those who seek to use the resources of the Library of Congress, and the National Book Festival which has become an expected feature on Washington, D.C.'s literary scene. The Development Office provided critical oversight of the James Madison Council which provided key support to develop the Library's collections and funding for the popular Gateway to Knowledge traveling exhibition that visited 90 communities in 34 states.

With a structure reflecting the goals of the Library's Strategic Plan, PAO produced the 2010 Library of Congress Annual Report to the Congress. The office also supported and performed outreach for such major Library activities as the Library's "Gateway to Knowledge" traveling exhibition tour, to more than 90 towns across the eastern U.S., which featured numerous appearances by Members of Congress; "The Last Full Measure," an exhibition of Civil War tintypes and ambrotypes; the launch of the "National Jukebox," an historic music-streaming web site which has proven very popular with the public; and the National Book Festival, which went to two days in 2011. The Office also continued its expanding public outreach through such social-media outlets as blogs, Facebook, Twitter, Flickr, YouTube and iTunesU, and kept the Library's staff informed through the weekly Library of Congress Gazette. The Office initiated the process to upgrade and renovate the Library's longtime magazine for the public, the Library of Congress Information Bulletin.

The OGC met its primary goal of anticipating and

meeting the Library's legal needs, managing the legal aspects of budget developments (including shutdown planning), human capital management (including the VERA/VSIP implementation), records management planning, the WGB, the Residential Scholars Center, the National Book Festival, e-Deposit, and web archiving. OGC launched a redesigned page on the LC staff intranet. OGC also engaged in substantial litigation, in particular on constitutional aspects of the Copyright Royalty Judges and pending employment discrimination cases, one of which required an appeal to the District of Columbia Circuit.

OSEPP coordinated 384 special events held in various library spaces, including 184 Library-sponsored events. The office also coordinated 128 Congressional events held at the Library including 13 in January related to the swearing in of Members of the new Congress. A number of events sponsored by either the Library or outside organizations involved the participation of The First Lady, Heads of State, Members of the Supreme Court, Cabinet members, and Ambassadors.

### **Fiscal 2012 Priority Activities**

The Librarian's Office will continue to oversee Library management and track progress made on the priorities established in fiscal 2011.

OCFO will complete the implementation of the Planning and Budgeting Framework developed in fiscal 2011. The new budget system will be populated with spending plan data from Library service units. Monthly performance meetings will provide visibility and accountability for achieving the 2012 Library Annual Plan. Implementation of these planning and budgeting processes and systems increasingly will provide senior leadership with useful and timely information that will enable them to make meaningful decisions and to allocate resources effectively to support the Library's core mission and priority objectives. Progress against the Library's Strategic Plan annual objectives will be tracked throughout the year, and results will be compiled in a performance and accountability report.

The WGB will maintain oversight of the technical work to implement the Library's information architecture strategy, that includes the release of a beta legislative information system with modern web architecture and improvements to the search and navigation of National Library content. The WGB will ensure that the Library has criteria defined for online user satisfaction and for baseline target indicators, and that measurements of these criteria inform decisions affecting the web presence. The WGB will develop governance structures to maintain and

enrich the new web presence through the Library's daily operations.

CRO will continue to strengthen relationships between the Congress and the Library, in particular through collaborations with the Library of Congress Caucus. The Office will present legislation and approvals sought by the Library, facilitate support for the fiscal 2013 and fiscal 2014 budgets, provide timely responses to constituent inquiries, and continue to meet with oversight committee staff to provide briefings of interest to the committees. CRO will continue to inform congressional offices and committees about education programs and resources, services, and events; refine its targeted outreach strategies; update senior managers on legislative issues affecting the Library; consult with service units about projects affecting the Library's service to the Congress; and build out the intranet site available exclusively to Members of the Congress and their staff to obtain information and service from the Library (LCNet) with information about Library service unit training and events of particular interest to congressional users.

DEV will continue to support the Librarian's efforts to cultivate and expand the impact of the James Madison Council through their funding of a broad range of programs including acquisitions and development of the collections, exhibitions, special outreach programs, internships, symposia, conferences and scholarly programs, electronic initiatives and special publications. The Development Office will identify funding sources for the Library's priority projects including the two-day National Book Festival in September, the World Digital Library initiative and the Junior Fellows Internship Program.

PAO will continue to produce the Library's Annual Report to the Congress and to launch the new, bimonthly magazine of the Library of Congress, bringing a fresh perspective and more lively writing to stories about the Library's service to Congress and support of Americans' access to the Library's rich resources and the creativity it spurs. The Office also will provide public outreach as the Library awards a new Kluge Prize for lifetime achievement in the study of humanity; a new Library of Congress Gershwin Prize for Popular Song; and to the launches of Library exhibitions including one on the centennial of the Japanese gift of cherry trees to the green spaces of Washington, D.C. and another bringing forward the Library's rich collections on the Civil War, to commemorate the conflict's sesquicentennial.

The OGC anticipates particular focus on legal aspects of budget developments, human capital management, contracting, records management, the Residential

Scholars Center, the National Book Festival, third party digitization policy, digital research access, e-Deposit, and web archiving. The OGC also will address the legal aspects of the triennial Digital Millennium Copyright Act (DMCA) anti-circumvention rulemaking and the standardization of gift, deposit, and cooperative agreements and of legal forms used throughout the Library, including surplus property, passes, permissions, and releases. Fiscal 2012 may require substantial litigation work, in particular on the constitutional aspects of the Copyright Royalty Judges and the Register of Copyrights, a significant case on personal liability of federal managers and First Amendment issues, and employment discrimination cases.

OSEPP will continue to coordinate a broad range of special events for the Library, Members of Congress, and outside organizations. These will continue to focus on events related to educational outreach, the Library's collections, and strengthening relationships with major donors who share an interest in the Library's mission. Major events the office will coordinate during fiscal 2012 include the Gershwin Prize for Popular Song, The Kluge Prize, meetings of the Madison Council, events in conjunction with the National Book Festival, the American Society of Composers, Authors and Publishers (ASCAP) event, and events sponsored by outside organizations that have supported various Library initiatives or donated major collections such as the Herblock Foundation.

### **Fiscal 2013 Priority Activities**

The Librarian's Office will continue to oversee Library management and track progress made on established priorities using the 2013 Library Annual Plan and monthly performance meetings.

The Library will continue to use and refine the Planning and Budgeting Framework to ensure that the entire Library is directing a common focus on achieving a discrete number of objectives that will lead to the intended results of the Strategic Plan. The new budget system will be fully operational in fiscal 2013 and will give senior leadership concrete data on spending across the Library that will inform decisions on the allocation of declining resources to the highest priority objectives.

The Librarian's Office will oversee implementation of key aspects of its new Web strategy which will continue to improve the user experience. The modern web architecture designed and developed in 2011 will be the base for further enhancements. Improvements in the searching of legislative data, the navigation between related Library content and the access to Copyright

Office services and records will be introduced.

DEV will continue to develop strategies to identify, develop, and cultivate resources from the private sector that support the Librarian's vision of growing the collections and making them freely available to the United States Congress and people everywhere. The Development Office will aim to maintain the strength of the James Madison Council as well as foster understanding and support among foundations, corporations, and individuals. The Development Office will assist achievement of these goals through donor development, stewardship, prospecting, utilization of technology, as well as working in coordination with other Library offices.

PAO will continue to produce the Library's Annual Report to the Congress, the bi-monthly Library of Congress magazine, and the weekly Library of Congress

Gazette. The Office will also provide continued public outreach for major Library activities such as the National Book Festival; the Kluge Prize; the Library of Congress Gershwin Prize for Popular Song; and exhibitions. PAO will continue to provide public and staff information and outreach on matters of significance to the Congress, the Library community, researchers and other users and will support the operations of the Office of the Librarian and the greater Library of Congress. The Office will also continue its expanding public outreach through such social-media outlets as blogs, Facebook, Twitter, Flickr, YouTube and iTunesU.

OSEPP will continue to coordinate a broad range of special events for the Library, Members of Congress, and outside organizations. These will continue to focus on events related to educational outreach, the Library's collections, and strengthening relationships with major donors who share an interest in the Library's mission.



# Office of Support Operations

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Office of Support Operations Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
OSO - Basic	67	\$15,626	56	\$15,231	65	\$16,111	65	\$16,419	0	\$308	1.9%
HRS	65	10,212	62	10,006	61	9,511	61	9,709	0	198	2.1%
ISS	156	29,112	152	28,937	148	28,057	148	28,852	0	795	2.8%
<b>Total, Office of Support Operations</b>	<b>288</b>	<b>\$54,950</b>	<b>270</b>	<b>\$54,174</b>	<b>274</b>	<b>\$53,679</b>	<b>274</b>	<b>\$54,980</b>	<b>0</b>	<b>\$1,301</b>	<b>2.4%</b>

**Office of Support Operations  
Summary By Object Class  
(Dollars in Thousands)**

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$22,594	\$22,111	\$21,750	\$22,221	+ \$ 471	2.2%
11.3 Other than full-time permanent	97	67	52	53	+ 1	1.9%
11.5 Other personnel compensation	453	436	408	416	+ 8	2.0%
12.1 Civilian personnel benefits	6,617	6,517	6,335	6,522	+ 187	3.0%
13.0 Benefits for former personnel	0	0	300	300	0	0.0%
<b>Total, Pay</b>	<b>\$29,761</b>	<b>\$29,131</b>	<b>\$28,845</b>	<b>\$29,512</b>	<b>+ \$ 667</b>	<b>2.3%</b>
21.0 Travel & transportation of persons	85	43	65	66	+ 1	1.5%
22.0 Transportation of things	4	2	3	3	0	0.0%
23.1 Rental payments to GSA	2,422	2,335	3,207	3,682	+ 475	14.8%
23.2 Rental payments to others	13	13	11	14	+ 3	27.3%
23.3 Communication, utilities & misc charges	777	744	569	404	- 165	- 29.0%
24.0 Printing & reproduction	253	132	146	148	+ 2	1.4%
25.1 Advisory & assistance services	1,049	874	559	567	+ 8	1.4%
25.2 Other services	8,101	7,861	7,785	7,894	+ 109	1.4%
25.3 Other purch of gds & services from gov acc	2,186	1,744	1,951	1,993	+ 42	2.2%
25.4 Operation & maintenance of facilities	7,617	7,358	7,058	7,157	+ 99	1.4%
25.6 Medical care	12	13	20	20	0	0.0%
25.7 Operation & maintenance of equipment	1,544	1,635	1,607	1,640	+ 33	2.1%
26.0 Supplies & materials	372	332	342	347	+ 5	1.5%
31.0 Equipment	754	1,870	1,511	1,533	+ 22	1.5%
32.0 Land and Structures	0	87	0	0	0	0.0%
<b>Total, Non-Pay</b>	<b>\$25,189</b>	<b>\$25,043</b>	<b>\$24,834</b>	<b>\$25,468</b>	<b>+ \$ 634</b>	<b>2.6%</b>
<b>Total, Office of Support Operations</b>	<b>\$54,950</b>	<b>\$54,174</b>	<b>\$53,679</b>	<b>\$54,980</b>	<b>+ \$1,301</b>	<b>2.4%</b>

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**Office of Support Operations  
Analysis of Change**  
(Dollars in Thousands)

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	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	274	\$53,679
<b>Non-recurring Costs</b>		0
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		383
Within-grade increases		136
One Extra Day		115
FERS agency rate adjustment from 11.2% to 11.9%		33
<b>Total, Mandatory Pay and Related Costs</b>	0	667
<b>Price Level Changes</b>		634
<b>Program Costs</b>		0
Net Increase/Decrease	0	\$ 1,301
<b>Total Budget</b>	274	\$54,980
<b>Total Offsetting Collections</b>	0	0
<b>Total Appropriation</b>	274	\$54,980



# Office of Support Operations Basic

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Office of Support Operations Basic Summary By Object Class (Dollars in Thousands)

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$6,127	\$5,751	\$6,643	\$6,785	+ \$142	2.1%
11.3 Other than full-time permanent	31	17	30	31	+ 1	3.3%
11.5 Other personnel compensation	149	156	358	366	+ 8	2.2%
12.1 Civilian personnel benefits	1,616	1,554	1,694	1,748	+ 54	3.2%
<b>Total, Pay</b>	<b>\$7,923</b>	<b>\$7,478</b>	<b>\$8,725</b>	<b>\$8,930</b>	<b>+ \$205</b>	<b>2.3%</b>
21.0 Travel & transportation of persons	40	18	54	55	+ 1	1.9%
22.0 Transportation of things	1	1	1	1	0	0.0%
23.3 Communication, utilities & misc charges	186	175	179	182	+ 3	1.7%
24.0 Printing & reproduction	86	27	37	37	0	0.0%
25.1 Advisory & assistance services	684	466	207	210	+ 3	1.4%
25.2 Other services	3,988	3,598	3,334	3,381	+ 47	1.4%
25.3 Other purch of gds & services from gov acc	427	432	415	421	+ 6	1.4%
25.7 Operation & maintenance of equipment	1,478	1,467	1,478	1,498	+ 20	1.4%
26.0 Supplies & materials	212	195	217	220	+ 3	1.4%
31.0 Equipment	601	1,374	1,464	1,484	+ 20	1.4%
<b>Total, Non-Pay</b>	<b>\$7,703</b>	<b>\$7,753</b>	<b>\$7,386</b>	<b>\$7,489</b>	<b>+ \$103</b>	<b>1.4%</b>
<b>Total, Office of Support Operations - Basic</b>	<b>\$15,626</b>	<b>\$15,231</b>	<b>\$16,111</b>	<b>\$16,419</b>	<b>+ \$308</b>	<b>1.9%</b>

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**Office of Support Operations Basic  
Analysis of Change**  
(Dollars in Thousands)

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	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	65	\$16,111
<b>Non-recurring Costs</b>		0
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		117
Within-grade increases		43
One Extra Day		36
FERS agency rate adjustment from 11.2% to 11.9%		9
<b>Total, Mandatory Pay and Related Costs</b>	0	205
<b>Price Level Changes</b>		103
<b>Program Costs</b>		0
<b>Net Increase/Decrease</b>	0	\$ 308
<b>Total Budget</b>	65	\$16,419
<b>Total Offsetting Collections</b>	0	0
<b>Total Appropriation</b>	65	\$16,419

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# Office of Support Operations Basic

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$16.419 million** for the Office of Support Operations Basic in fiscal 2013, an increase of \$0.308 million, or 1.9 percent, over fiscal 2012. This increase supports mandatory pay related and price level increases.

### Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
OSO_BASIC	67	\$15,626	56	\$15,231	65	\$16,111	65	\$16,419	0	\$308	1.9%

## PROGRAM OVERVIEW

The Office of Support Operations (OSO) provides centralized leadership and management of essential infrastructure services that support the operational requirements of the entire Library, including human capital management; personnel security and asset protection; contracts and grants; equal opportunity; building management, safety, logistics and transportation; mail processing; the administrative copier program; and management of facilities not located on Capitol Hill. OSO is the Library's primary liaison for interagency coordination with the Architect of the Capitol, the U.S. Capitol Police, Office of Personnel Management, General Services Administration, and the Legislative Branch Chief Administrative Officers Council.

In support of the Library's strategic goals to lead and work collaboratively and to manage proactively for demonstrable results, OSO has implemented a unified management approach to achieve economy, efficiency, and synergy across previously decentralized infrastructure services. In partnership with customers, OSO evaluates requirements, identifies solutions, and ensures that available resources are directed strategically to the Library's highest operating priorities.

OSO provides infrastructure services that enable service units and programs to accomplish the Library's mission and annual objectives through the following program offices:

**Office of Security and Emergency Preparedness (OSEP):** Safeguards the Library's collections, facilities, assets, and information. Additionally, it manages

the personnel security and suitability programs, and implements the Library's Emergency Preparedness Program.

**Office of Opportunity, Inclusiveness and Compliance (OIC):** Fosters diversity and fairness, establishes policies, directives, procedures, and systems to support a workplace that is free of discrimination and retaliation and that values fairness, inclusiveness, and equality.

**Office of Contracts and Grants Management (OCGM):** Provides the professional body of knowledge and support that enables the Library to procure goods and services, to provide direct financial assistance through grants and fellowships, and to acquire databases and publications under the Library's Federal Library and Information Network (FEDLINK) Program.

**Human Resources Services (HRS):** Develops, implements, and evaluates workforce management policies, procedures, and systems in support of the Library's mission and priorities.

**Integrated Support Services (ISS):** Maintains and provides for facilities, occupational health, logistics, office systems, and safety services that enable the Library to conduct day-to-day business smoothly.

The OSO Basic budget covers the operations of OSO management and administration, OSEP, OIC, and OCGM.

### Fiscal 2011 Priority Activities

To position itself to absorb budget cuts and price increases, OSO took action in fiscal 2011 to achieve

economies and efficiencies across the board through program adjustments, business process reengineering, technology integration, and workforce development, including workforce reductions through the Library's VERA/VSIP Program. OSO senior leadership and program managers, working with an expert management consultant, began conducting assessments needed to develop actionable strategies to perform mission-oriented business functions in the most effective and economical way, including possible strategies for realignment, reengineering and technology integration that could reduce or reshape the current multi-sector workforce.

OSO's Office of Contracts Management (OCM) supported the Library's mission by awarding \$210 million in contracts and accompanying actions for products and services, including approximately \$41 million (28 percent) awarded to small businesses, \$11 million (12 percent) awarded to women-owned businesses, and \$5.4 million (3 percent) awarded to small disadvantaged and minority-owned businesses. In fiscal 2011, OCM worked in collaboration with service units to establish a 15-month acquisition program period to improve procurement planning and timeliness. The Office of Grants Management (OGM) awarded approximately \$6.6 million in grants and conducted program oversight and assisted Library program offices in receiving foreign scholars.

OSEP focused on leadership of the Library's Emergency Preparedness Program, enhancing the security of Library buildings and collections, and strengthening the employment suitability and personal security programs. OIC continued its implementation of the *Library's Multi-Year Affirmative Employment Program Plan: 2011-2016* (MYAAPP).

### **Fiscal 2012 Priority Activities**

In fiscal 2012, OSO will continue to focus its resources on the Library's strategic goals of collaboration and proactive management. OCGM will review and retool critical business processes, procedures, internal controls, technology enhancements, and staff capability related to the procurement program. OCM will continue to collaborate with the Library's Office of the Chief Financial Officer to enhance the integration of acquisition planning into the Library's budget planning and execution framework. OSEP will continue to focus on safeguarding the Library's staff, collections, and facilities including testing off-site continuity of operations activities and the Emergency Preparedness Program. OIC will collaborate with managers and supervisors to implement the second year of the MYAAPP providing recommendations for the recruitment and hiring of a more diverse workforce.

### **Fiscal 2013 Priority Activities**

In fiscal 2013, OSO will continue to focus its resources on the Library's strategic goals of collaboration and proactive leadership. OCGM will continue implementation of business process changes, provide Contracting Officer Representatives (COR) oversight and certification training, and evaluate annual acquisition planning. OIC will focus on its core mission including collection and assessment of data required by the MYAAPP, provision of recommendations and support to the recruitment, hiring and retention of a diverse workforce, and provision of essential training for managers and staff. OSEP will focus on refining the Collections Security Program's three components: physical security, preservation and inventory management, and refine programs for flexible workplace and off-site Continuity of Operations.



# Human Resources Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Human Resources Services Summary By Object Class

(Dollars in Thousands)

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$5,528	\$5,449	\$5,036	\$5,145	+ \$109	2.2%
11.3 Other than full-time permanent	35	23	0	0	0	0.0%
11.5 Other personnel compensation	127	98	0	0	0	0.0%
12.1 Civilian personnel benefits	1,773	1,749	1,643	1,693	+ 50	3.0%
13.0 Benefits for former employees	0	0	75	75	0	0.0%
<b>Total, Pay</b>	<b>\$7,463</b>	<b>\$7,319</b>	<b>\$6,754</b>	<b>\$6,913</b>	<b>+ \$159</b>	<b>2.4%</b>
21.0 Travel & transportation of persons	10	3	10	10	0	0.0%
22.0 Transportation of things	1	1	1	1	0	0.0%
23.3 Communication, utilities & misc charges	19	18	19	19	0	0.0%
24.0 Printing & reproduction	94	39	34	35	+ 1	2.9%
25.1 Advisory & assistance services	143	222	143	145	+ 2	1.4%
25.2 Other services	792	1,217	1,215	1,232	+ 17	1.4%
25.3 Other purch of gds & services from gov acc	1,598	1,114	1,301	1,319	+ 18	1.4%
26.0 Supplies & materials	37	42	5	5	0	0.0%
31.0 Equipment	55	31	29	30	+ 1	3.4%
<b>Total, Non-Pay</b>	<b>\$2,749</b>	<b>\$2,687</b>	<b>\$2,757</b>	<b>\$2,796</b>	<b>+ \$ 39</b>	<b>1.4%</b>
<b>Total, Human Resources Services</b>	<b>\$10,212</b>	<b>\$10,006</b>	<b>\$9,511</b>	<b>\$9,709</b>	<b>+ \$198</b>	<b>2.1%</b>

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**Human Resources Services  
Analysis of Change**  
(Dollars in Thousands)

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	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	<b>61</b>	<b>\$9,511</b>
<b>Non-recurring Costs</b>		<b>0</b>
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		94
Within-grade increases		31
One Extra Day		27
FERS agency rate adjustment from 11.2% to 11.9%		7
<b>Total, Mandatory Pay and Related Costs</b>	<b>0</b>	<b>159</b>
<b>Price Level Changes</b>		<b>39</b>
<b>Program Costs</b>		<b>0</b>
<b>Net Increase/Decrease</b>	<b>0</b>	<b>\$ 198</b>
<b>Total Budget</b>	<b>61</b>	<b>\$9,709</b>
<b>Total Offsetting Collections</b>	<b>0</b>	<b>0</b>
<b>Total Appropriation</b>	<b>61</b>	<b>\$9,709</b>

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# Human Resources Services

LIBRARY OF CONGRESS SALARIES AND EXPENSES

## FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$9.709 million** for Human Resources Services in fiscal 2013, an increase of \$0.198 million, or 2.1 percent, over fiscal 2012. This increase supports mandatory pay related and price level increases.

### Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
OSO_HRS	65	\$10,212	62	\$10,006	61	\$9,511	61	\$9,709	0	\$198	2.1%

## PROGRAM OVERVIEW

Human Resources Services (HRS) is responsible for the development, implementation, and evaluation of workforce management policies, procedures, and systems in support of the Library's mission and priorities. HRS leads efforts to recruit, hire, and retain a talented and diverse workforce. It also administers the Library's pay, leave, and benefits programs; provides benefits, retirement, and employee assistance consultation; offers centralized training, staff development, and coaching support; initiates and manages a variety of negotiations with the Library's three unions; investigates union and employee grievances and represents management at arbitration hearings; and provides the Library's leadership and staff with expert consultation and guidance on the full range of human capital strategies and methods to ensure a high performing organization.

### Fiscal 2011 Priority Activities

In fiscal 2011, HRS managed the Library's Voluntary Separation Incentive Payment (VSIP) and Voluntary Early Retirement Authority (VERA) programs. This initiative included drafting requests to the Congress and Office of Personnel Management, negotiating agreements with the Library's unions, holding numerous briefings for staff, providing individual counseling sessions for those contemplating the VSIP/VERA options, and administering the application process. HRS also published the *Fiscal 2011-2016 Human Capital Management Plan* (HCMP), which links the Library's human capital efforts to its strategic goals. HRS expanded online learning resources for staff through LOC Skillport. The Library graduated 10 Library staff

in GS-11 through GS-13 positions from the Leadership Development Program and 56 Library staff in GS-2 through GS-9 positions from the Career Development Program.

### Fiscal 2012 Priority Activities

In fiscal 2012, HRS supported the separations of 186 staff under the VSIP/VERA programs. HRS also will continue to partner with the Library to begin implementation of the Library's multi-year HCMP, which emphasizes strategic alignment, accountability, leadership and knowledge management, results-oriented performance culture, and talent and acquisition management. This partnership also will include implementing numerous planned initiatives to enhance supervisory selection, training and development, performance management, and communication with senior leadership. HRS also will support Library continuity of operations through enhanced telework opportunities.

### Fiscal 2013 Priority Activities

In fiscal 2013, HRS will continue its leadership role with the Library-wide Human Resources Planning Board, ensuring that the Library meets the HCMP's specific measurable, actionable, and time-bound performance indicators. HRS also will enhance the Library's succession planning management efforts by preparing Library employees at the GS-14 and GS-15 levels for future senior-level leadership opportunities. In addition, HRS will continue to collaborate with managers and supervisors to link performance management systems to the Library's strategic goals and organizational annual plans.



# Integrated Support Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Integrated Support Services Summary By Object Class (Dollars in Thousands)

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$10,938	\$10,911	\$10,071	\$10,291	+ \$220	2.2%
11.3 Other than full-time permanent	31	27	21	21	0	0.0%
11.5 Other personnel compensation	177	182	50	51	+ 1	2.0%
12.1 Civilian personnel benefits	3,228	3,214	2,999	3,082	+ 83	2.8%
13.0 Benefits for former personnel	0	0	225	225	0	0.0%
<b>Total, Pay</b>	<b>\$14,374</b>	<b>\$14,334</b>	<b>\$13,366</b>	<b>\$13,670</b>	<b>+ \$304</b>	<b>2.3%</b>
21.0 Travel & transportation of persons	35	22	1	1	0	0.0%
22.0 Transportation of things	1	0	0	0	0	0.0%
23.1 Rental payments to GSA	2,422	2,335	3,207	3,682	+ 475	14.8%
23.2 Rental payments to others	13	13	11	14	+ 3	27.3%
23.3 Communication, utilities & misc charges	573	551	371	203	- 168	- 45.3%
24.0 Printing & reproduction	73	66	75	76	+ 1	1.3%
25.1 Advisory & assistance services	222	187	209	212	+ 3	1.4%
25.2 Other services	3,321	3,046	3,236	3,281	+ 45	1.4%
25.3 Other purch of gds & services from gov acc	162	198	235	254	+ 19	8.1%
25.4 Operation & maintenance of facilities	7,617	7,358	7,058	7,157	+ 99	1.4%
25.6 Medical care	12	13	20	20	0	0.0%
25.7 Operation & maintenance of equipment	65	167	130	142	+ 12	9.2%
26.0 Supplies & materials	123	95	120	122	+ 2	1.7%
31.0 Equipment	99	465	18	18	0	0.0%
32.0 Land and Structures	0	87	0	0	0	0.0%
<b>Total, Non-Pay</b>	<b>\$14,738</b>	<b>\$14,603</b>	<b>\$14,691</b>	<b>\$15,182</b>	<b>+ \$491</b>	<b>3.3%</b>
<b>Total, Integrated Support Services</b>	<b>\$29,112</b>	<b>\$28,937</b>	<b>\$28,057</b>	<b>\$28,852</b>	<b>+ \$795</b>	<b>2.8%</b>

**Integrated Support Services**  
**Analysis of Change**  
(Dollars in Thousands)

	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	148	\$28,057
<b>Non-recurring Costs</b>		0
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		173
Within-grade increases		62
One Extra Day		53
FERS agency rate adjustment from 11.2% to 11.9%		16
<b>Total, Mandatory Pay and Related Costs</b>	0	304
<b>Price Level Changes</b>		491
<b>Program Costs</b>		0
<b>Net Increase/Decrease</b>	0	\$ 795
<b>Total Budget</b>	148	\$28,852
<b>Total Offsetting Collections</b>	0	0
<b>Total Appropriation</b>	148	\$28,852

# Integrated Support Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$28.852 million** for Integrated Support Services in fiscal 2013, an increase of \$0.795 million, or 2.8 percent, over fiscal 2012. This increase supports mandatory pay related and price level increases.

### Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
OSO_ISS	156	\$29,112	152	\$28,937	148	\$28,057	148	\$28,852	0	\$795	2.8%

## PROGRAM OVERVIEW

Integrated Support Services (ISS) is responsible for the long range facility planning and day-to-day facility operations, space planning, occupational health, logistics, centralized office systems, fixed asset management, and safety services that enable the Library to achieve its mission. In partnership with the Architect of the Capitol (AOC), ISS ensures that the buildings are maintained for the safety of both staff and the collections.

### Fiscal 2011 Priority Activities

In support of the Library of Congress's Collection Storage program, ISS continued work on the Library of Congress Jurisdiction Plan component of the AOC Master Plan for the Capitol Complex and the *Library of Congress Fiscal Year 2011 – 2016 Facility Plan*. Working with the AOC, ISS supported the Library's John Adams Building Rain Leader Project, a priority for both the staff and the collections. Life safety projects included continued modernization of the James Madison Building elevators and placement of strobe lights to alert disabled staff and visitors to emergency evacuations. ISS successfully completed the implementation of networking and other upgrades to the Library's Administrative Copier Program and improved the Records Management Program by assigning and training Records Coordinators and Records Liaisons for all Service Units. ISS expanded its Facility Asset Management Enterprise (FAME) automated system by conducting testing, refinement, and validation of user requirements for the asset control module. ISS also continued to support the Library's collections management operations through improved space utilization at the Landover warehouse and movement of collection materials to storage facilities at Ft. Meade.

### Fiscal 2012 Priority Activities

In support of the Library's Strategic Plan, ISS will continue to focus on long term collection storage options; implementation of the *Library of Congress Fiscal Year 2011 – 2016 Facility Plan*, the multi-year renovation of the Library Services Acquisitions and Bibliographic Access (ABA) space, implementation of the Asset Management Tracking System, and provision of essential facility design and construction support. ISS will continue to work with Library Services to transport to storage facilities at Ft. Meade all designated special collection materials, while also identifying and re-fitting space to accommodate additional collection materials in its Capitol Hill facilities. ISS will continue to improve the Records Management Program by scheduling general and program records for 50 percent of Library divisions/offices and sending proposed records schedules to the National Archives and Records Administration (NARA). ISS will support the AOC in executing scheduled fire and life safety projects including, fire suppression, fire alarm, passive fire protection, smoke control, and egress improvement. ISS will continue implementing its FAME system in the areas of fixed asset management to improve the management and control of space and property.

### Fiscal 2013 Priority Activities

ISS will focus on implementing the *Library of Congress Fiscal Year 2011–2016 Facility Plan* and the provision of essential facility design and construction support. ISS will continue to work with Library Services to transport to storage facilities at Ft. Meade and the Landover Center Annex designated collection materials and will sustain its support of the Library's mission priorities by redeploying staff, adjusting schedules, and refining processes as

needed to increase efficiency. ISS expects to work with Library Services to develop a new reading room printing capability. In the area of records management, ISS will begin digitizing records prior to long-term storage. In

addition, ISS will implement a Library-wide standardized approach to fixed asset inventory management and will develop policy changes that assure improved cooperation and resource sharing across the entire Library.



# Office of the Inspector General

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Office of the Inspector General Summary By Object Class (Dollars in Thousands)

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$1,691	\$1,690	\$1,694	\$1,730	+ \$36	2.1%
11.3 Other than full-time permanent	67	64	57	58	+ 1	1.8%
11.5 Other personnel compensation	94	83	114	116	+ 2	1.8%
12.1 Civilian personnel benefits	459	468	498	514	+ 16	3.2%
<b>Total, Pay</b>	<b>\$2,311</b>	<b>\$2,305</b>	<b>\$2,363</b>	<b>\$2,418</b>	<b>+ \$55</b>	<b>2.3%</b>
21.0 Travel & transportation of persons	8	1	9	9	0	0.0%
23.3 Communication, utilities & misc charges	5	5	6	6	0	0.0%
24.0 Printing & reproduction	9	9	9	9	0	0.0%
25.1 Advisory & assistance services	514	512	355	360	+ 5	1.4%
25.2 Other services	13	21	21	22	+ 1	4.8%
25.3 Other purch of gds & services from gov acc	1	1	1	1	0	0.0%
25.7 Operation & maintenance of equipment	4	4	5	5	0	0.0%
26.0 Supplies & materials	14	13	13	13	0	0.0%
31.0 Equipment	19	17	5	5	0	0.0%
<b>Total, Non-Pay</b>	<b>\$ 587</b>	<b>\$ 583</b>	<b>\$ 424</b>	<b>\$ 430</b>	<b>+ \$ 6</b>	<b>1.4%</b>
<b>Total, Office of the Inspector General</b>	<b>\$2,898</b>	<b>\$2,888</b>	<b>\$2,787</b>	<b>\$2,848</b>	<b>+ \$61</b>	<b>2.2%</b>

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**Office of the Inspector General**  
**Analysis of Change**  
(Dollars in Thousands)

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	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	<b>16</b>	<b>\$2,787</b>
<b>Non-recurring Costs</b>		<b>0</b>
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		31
Within-grade increases		11
One Extra Day		10
FERS agency rate adjustment from 11.2% to 11.9%		3
<b>Total, Mandatory Pay and Related Costs</b>	<b>0</b>	<b>55</b>
<b>Price Level Changes</b>		<b>6</b>
<b>Program Costs</b>		<b>0</b>
<b>Net Increase/Decrease</b>	<b>0</b>	<b>\$ 61</b>
<b>Total Budget</b>	<b>16</b>	<b>\$2,848</b>
<b>Total Offsetting Collections</b>	<b>0</b>	<b>0</b>
<b>Total Appropriation</b>	<b>16</b>	<b>\$2,848</b>

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# Office of the Inspector General

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$2.848 million** for the Office of the Inspector General in fiscal 2013, an increase of \$0.061 million, or 2.2 percent, over fiscal 2012. This increase supports mandatory pay related and price level increases.

### Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
OIG	18	\$2,898	17	\$2,888	16	\$2,787	16	\$2,848	0	\$61	2.2%

## PROGRAM OVERVIEW

The Office of the Inspector General (OIG) is an independent office within the Library with a primary focus on audit and investigation activities. The office serves as a technical adviser to the Library on financial management, internal controls, contracts, and other relevant areas. OIG's mission and focus is to address fraud, waste, and abuse in Library operations and to provide suggestions to improve the efficiency and effectiveness of Library programs and processes.

OIG operates through an Audits Division and an Investigations Division. The Audits Division conducts financial and performance audits of Library operations and programs and responds to unique or unanticipated requirements with special reviews. This division also assists the Library in efficiently and effectively managing its operations by providing constructive recommendations for process improvement. OIG also oversees the Library's annual financial statements audits, which include the Library, its Financial Hosting Environment and the Momentum Financial System (which supports other legislative branch agencies' financial transactions), the James Madison Council, and the Open World Leadership Center (a separate legislative branch agency). The division focuses on areas of topical interest to Library management and the Congress, particularly those presenting special challenges. OIG's audit work is subject to a triennial peer review process, the latest of which yielded an unqualified ("clean") opinion with no suggestions for improvement. The Audits Division includes highly trained auditors, a Certified Internal Auditor, Certified Information Systems Auditors, an information technology (IT) professional, and an attorney who also is a Certified Public Accountant.

The Investigations Division performs administrative, civil, and criminal investigations of allegations of fraud, waste, and abuse at the Library. It also operates a confidential "hotline," which is available to both Library staff and the public. Hotline allegations are screened and investigated by OIG investigators and analysts. When warranted, administrative investigations are referred to Library management for action, and civil and criminal investigations are referred to the Department of Justice. The division routinely works with outside law enforcement agencies, including the Federal Bureau of Investigation, and with other federal, state, and local agencies. The Investigations Division is staffed with professional special agents and analysts who are trained in law enforcement principles and practices.

OIG's budgetary resources are primarily dedicated to payroll costs, supporting 17 FTEs in fiscal 2011. Approximately 12 percent of total funding is allotted to procuring and overseeing the annual audit of the Library's financial statements. The audit also is key to supporting the Library's ability to cross-service other legislative branch agencies with its financial management system.

### Fiscal 2011 Priority Activities

During fiscal 2011, OIG directed its audit emphasis to activities where improvements in fiscal oversight would ensure the Library made the best use of its funding. The audit of the National Library Services for the Blind and Physically Handicapped (NLS) plans for procuring digital talking book machines (DTBM) determined that NLS should reduce its estimates for future purchases of DTBMs and identified \$17.1 million that could be put to better use within the program. An audit of a contractor's claim for contract termination damages

found more than \$277 thousand in unallowable costs. The Audits Division also conducted audits to review the Library's procedures and controls for detecting improper payments, improving collection security and accountability, protecting and controlling surplus materials made available to community and non-profit libraries, and assessing the management decision process for hiring contractors in lieu of permanent employees. The Division also continued its review of the Library's progress in implementing an effective performance-based management methodology and performed follow-up audits to determine the status of management's progress in implementing previous significant audit report recommendations. During fiscal 2011, the Inspector General chaired a group of Inspectors General and financial executives from agencies cross-serviced by the Library's Momentum Financial System to develop and award a contract to a single independent public accountant to audit the financial statements of the participating agencies. That effort resulted in awarding a contract that will save the participating agencies a total of \$1.9 million over the life of the contract.

OIG's Investigations Division continued to address newly reported cases on the OIG hotline and focused on employee misconduct and violations of laws, regulations, and ethics rules. Examples of its efforts included investigating the misuse of Library computers, equipment, and time, a distributed denial of service attack on the Copyright Office's web site, a conflict of interest involving a Library employee and vendors doing business with the Library, the sale of NLS talking books on the Internet, and attempts to access pornography on Library computers. The Investigations Division is currently investigating a case of alleged substantial overcharges on a Library contract.

### **Fiscal 2012 Priority Activities**

In fiscal 2012, OIG's audit emphasis will include key program areas such as collections inventory management, plans for a new multi-purpose facility, warehousing and logistics, procurement management and operations, and information technology development, operations, and security. The Audits Division will continue to ensure that Library funds are expended in the most beneficial manner, with a focus on internal controls to diminish opportunities for waste, fraud, and abuse. Also, the

Audits Division will continue one of its core functions, to procure and oversee the annual audit of the Library's financial statements. The Investigations Division will continue to direct attention towards responding to hotline complaints, employee misconduct, and violations of laws, regulations, and ethics rules.

Funding provided in the Library's fiscal 2012 appropriation included a 3.9 percent reduction to the OIG's fiscal 2011 funding level. This reduction will require that the OIG postpone filling one vacancy in the Audits division and one-half FTE in the Investigations division, perhaps indefinitely. It also may have an adverse impact on the ability to hire any needed experts and consultants in support of audits. Although the OIG realized savings as a result of the new financial audit contract in fiscal 2012, the accumulation of mandatory pay increases during periods of flat or reduced budgets has eroded its ability to fully fund its optimum staffing level. In fiscal 2012, the OIG expects to operate with 16.5 FTEs instead of 18 FTEs. The decrease in FTEs will reduce the number of audits and investigations that can be performed.

### **Fiscal 2013 Priority Activities**

The OIG plans to continue its emphasis in fiscal 2013 on assuring that the Library expends its funds in the most beneficial manner. The Audits Division will search for duplicative and unnecessary costs in Library operations as part of its traditional focus on preventing and identifying waste, fraud, and abuse. The division will direct its audit plan toward program and operating areas that expend the greatest share of the Library's resources, including information technology planning; procurement, and operations; warehousing and logistics; and collection management and security. OIG will continue to assess the Library's controls over improper payments and the management of its internal control program. The Investigations Division will continue its traditional role of pursuing hotline complaints and employee misconduct. It also will continue its programs of identifying and preventing misuse of Library resources with continued emphasis on the Library's computer systems. Fiscal 2013 will be marked by a funding shortfall comparable to fiscal 2012, necessitating a less than optimal staffing level and a diminished audit and investigation capacity.



# COPYRIGHT OFFICE, SALARIES AND EXPENSES

## Copyright Office, S&E Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
COP Basic	439	\$47,418	425	\$45,981	439	\$45,075	439	\$46,074	0	\$999	2.2%
COP Licensing	30	5,449	26	5,266	30	5,109	30	5,202	0	93	1.8%
COP Royalty Judges	6	1,500	6	1,202	6	1,466	6	1,496	0	30	2.0%
<b>Total, COP, S&amp;E</b>	<b>475</b>	<b>\$54,367</b>	<b>457</b>	<b>\$52,449</b>	<b>475</b>	<b>\$51,650</b>	<b>475</b>	<b>\$52,772</b>	<b>0</b>	<b>\$1,122</b>	<b>2.2%</b>

**Copyright Office, Salaries and Expenses  
Summary By Object Class**  
(Dollars in Thousands)

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$33,562	\$33,102	\$30,856	\$31,529	+ \$673	2.2%
11.3 Other than full-time permanent	354	462	222	226	+ 4	1.8%
11.5 Other personnel compensation	288	266	25	25	0	0.0%
11.5A Staff Awards	240	197	219	224	+ 5	2.3%
11.8 Special personal services payment	15	0	0	0	0	0.0%
12.1 Civilian personnel benefits	9,585	9,397	8,885	9,138	+ 253	2.8%
13.0 Benefits for former personnel	25	13	1,100	1,100	0	0.0%
<b>Total, Pay</b>	<b>\$44,069</b>	<b>\$43,437</b>	<b>\$41,307</b>	<b>\$42,242</b>	<b>+ \$935</b>	<b>2.3%</b>
21.0 Travel & transportation of persons	201	134	215	218	+ 3	1.4%
22.0 Transportation of things	11	3	6	6	0	0.0%
23.2 Rental payments to others	275	290	305	309	+ 4	1.3%
23.3 Communication, utilities & misc charges	690	663	682	691	+ 9	1.3%
24.0 Printing & reproduction	332	308	327	332	+ 5	1.5%
25.1 Advisory & assistance services	70	201	163	165	+ 2	1.2%
25.2 Other services	4,140	3,218	5,870	5,953	+ 83	1.4%
25.3 Other purch of gds & services from gov acc	962	905	958	972	+ 14	1.5%
25.7 Operation & maintenance of equipment	588	494	535	584	+ 49	9.2%
26.0 Supplies & materials	269	217	218	221	+ 3	1.4%
31.0 Equipment	2,760	2,579	1,064	1,079	+ 15	1.4%
<b>Total, Non-Pay</b>	<b>\$10,298</b>	<b>\$ 9,012</b>	<b>\$10,343</b>	<b>\$10,530</b>	<b>+ \$187</b>	<b>1.8%</b>
<b>Total, Copyright Office, S&amp;E</b>	<b>\$54,367</b>	<b>\$52,449</b>	<b>\$51,650</b>	<b>\$52,772</b>	<b>+ \$1,122</b>	<b>2.2%</b>

<sup>1</sup>The Copyright Office uses cash awards to recognize and acknowledge exceptional contributions to the Library, the Congress, and the American people.

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**Copyright Office, S&E**  
**Analysis of Change**  
(Dollars in Thousands)

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	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	475	\$51,650
<b>Non-recurring Costs</b>		0
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		540
Within-grade increases		184
One Extra Day		165
FERS agency rate adjustment from 11.2% to 11.9%		46
<b>Total, Mandatory Pay and Related Costs</b>	0	935
<b>Price Level Changes</b>		187
<b>Program Costs</b>		0
<b>Net Increase/Decrease</b>	0	\$ 1,122
<b>Total Budget</b>	475	\$52,772
<b>Total Offsetting Collections</b>	0	- 33,611
<b>Total Appropriation</b>	475	\$19,161

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# Copyright Basic

COPYRIGHT OFFICE, SALARIES AND EXPENSES

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

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$30,728	\$30,297	\$28,212	\$28,829	+ \$617	2.2%
11.3 Other than full-time permanent	353	461	222	226	+ 4	1.8%
11.5 Other personnel compensation	475	463	210	215	+ 5	2.4%
12.1 Civilian personnel benefits	8,801	8,620	8,148	8,379	+ 231	2.8%
13.0 Benefits for former personnel	25	13	1,050	1,050	0	0.0%
<b>Total, Pay</b>	<b>\$40,382</b>	<b>\$39,854</b>	<b>\$37,842</b>	<b>\$38,699</b>	<b>+\$857</b>	<b>2.3%</b>
21.0 Travel & transportation of persons	184	130	205	208	+ 3	1.5%
22.0 Transportation of things	9	2	4	4	0	0.0%
23.2 Rental payments to others	275	290	305	309	+ 4	1.3%
23.3 Communication, utilities & misc charges	662	648	657	666	+ 9	1.4%
24.0 Printing & reproduction	242	246	245	248	+ 3	1.2%
25.1 Advisory & assistance services	70	201	163	165	+ 2	1.2%
25.2 Other services	2,839	2,560	4,254	4,314	+ 60	1.4%
25.3 Other purch of gds & services from gov acc	69	66	50	51	+ 1	2.0%
25.7 Operation & maintenance of equipment	581	493	522	570	+ 48	9.2%
26.0 Supplies & materials	250	199	183	186	+ 3	1.6%
31.0 Equipment	1,855	1,292	645	654	+ 9	1.4%
<b>Total, Non-Pay</b>	<b>\$ 7,036</b>	<b>\$ 6,127</b>	<b>\$ 7,233</b>	<b>\$ 7,375</b>	<b>+\$142</b>	<b>2.0%</b>
<b>Total, Copyright Basic</b>	<b>\$47,418</b>	<b>\$45,981</b>	<b>\$45,075</b>	<b>\$46,074</b>	<b>+\$999</b>	<b>2.2%</b>

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**Copyright Basic  
Analysis of Change**  
(Dollars in Thousands)

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	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	439	\$45,075
<b>Non-recurring Costs</b>		0
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		494
Within-grade increases		169
One Extra Day		151
FERS agency rate adjustment from 11.2% to 11.9%		43
<b>Total, Mandatory Pay and Related Costs</b>	0	857
<b>Price Level Changes</b>		142
<b>Program Costs</b>		0
<b>Net Increase/Decrease</b>	0	\$ 999
<b>Total Budget</b>	439	\$46,074
<b>Total Offsetting Collections</b>	0	- 28,029
<b>Total Appropriation</b>	439	\$18,045

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# Copyright Basic

COPYRIGHT OFFICE, SALARIES AND EXPENSES

## FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$46.074 million** for Copyright Basic in fiscal 2013, partially offset by copyright fee collections of \$28.029 million. The increase of \$0.999 million, or 2.2 percent, over fiscal 2012 supports mandatory pay related and price level increases. The Library is also requesting restoration of \$2 million in base appropriation. The fiscal 2012 enacted budget directed that up to \$2 million of the Copyright Office no-year account balance be used to offset the fiscal 2012 appropriation for the funding of ongoing operations. Fees fluctuate throughout the fiscal year and from one fiscal year to another. The fluctuations in fee receipts can be substantial and can be caused by items beyond the Copyright Office's control, such as changes in the economy. By the end of fiscal 2012, the Copyright Office estimates the no-year fund balance will be \$0.783 million. Restoration of this funding in fiscal 2013 will be essential to the Office's ability to provide 21<sup>st</sup> Century services to the Nation, including the major copyright industries.

### Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
COP_BASIC	439	\$47,418	425	\$45,981	439	\$45,075	439	\$46,074	0	\$999	2.2%
Offsetting Coll.		-30,690		0		-30,029		-28,029		2,000	-6.7%
COP_BASIC Appr.	439	\$16,728		\$45,981		\$15,046		\$18,045		\$2,999	19.9%

## PROGRAM OVERVIEW

The United States Copyright Office plays a critical role in promoting and disseminating American works of authorship and in sustaining large and small businesses in the information, entertainment and technology sectors. It administers the national copyright registration and recordation systems (and exercises associated regulatory authority) in accordance with Title 17 of the U.S. Code. It also administers the mandatory legal deposit of works published in the United States. In fiscal 2011, the Copyright Office managed the deposit of approximately 800 thousand copies of creative works for the Library's collection which it would otherwise have had to purchase, valued at approximately \$31 million. (See Appendix H.)

The Register of Copyrights and Director of the Office is the principal advisor to the Congress on issues of domestic and international copyright policy. The Register and the Copyright staff work closely with both copyright owners and users of copyrighted materials to sustain an effective copyright law. The Copyright Office participates in important trade negotiations of the United States relating to intellectual property (e.g. treaties and free trade agreements) at both the bilateral and multilateral levels. It works with the Department of Justice on critical copyright cases and enforcement policy.

The Copyright Basic appropriation covers the following specific activities: (1) the examination of creative works of authorship; (2) registering claims to copyright; (3) recording licenses and other documents pertaining to copyright status and ownership; (4) creating, preserving, and publishing the world's largest public database of copyright records; (5) ensuring and administering the legal deposit of certain published works into the collections of the Library of Congress, as required by law; (6) conducting expert legal and policy studies; (7) providing ongoing advice and support to the Judiciary Committees of the House and Senate and other Members of Congress and providing expert analysis and support to the Department of Justice, the Office of the U.S. Trade Representatives, the Executive Office of the President, the Department of Commerce, and other executive branch agencies; and (8) providing copyright education and assistance to the public, including through a public information office and hotline.

The Copyright Office returns a significant contribution to the Nation. Copyright registration protects many valuable works of American authorship, including motion pictures, software, books, musical compositions, sound recordings, photography, and fine art, as well as databases, web sites, and other online works. The Congress has also tasked the Office with registering

certain noncopyrightable designs, including in mask works (which incorporate semi-conductor chips) and vessel hulls. Through its policy work, the Office provides leadership and technical expertise to ensure that the copyright law stays relevant and updated, not only to protect authors in the 21st century, but to ensure updates for users of copyrighted works, such as appropriate exceptions for libraries, persons who are blind, and certain noncommercial educational activities.

According to the International Intellectual Property Alliance, core copyright industries contributed 6.36 percent of overall United States gross domestic product (\$931.8 billion) and employed 5.1 million workers in 2010.

### **Fiscal 2011 Priority Activities**

In fiscal 2011 Marybeth Peters retired after 16 years as Register and, following a national search and consultations with the Congress and the copyright sector, Dr. Billington appointed Maria A. Pallante as her successor. Much of the year was dedicated to evaluating workflow, refining the electronic registration processes, improving services and turn-around times for the public, and reducing the backlog that arose during the Office's multi-year reengineering and conversion from a paper-based system to electronic registration.

The Copyright Office also reached a milestone in fiscal 2011 by returning to normal levels of registration processing and claim completion and eliminating the backlog. At the start of the year, it had approximately 380,000 claims awaiting processing, and received an additional 539,332 claims on top of this. However, with support from other parts of the Library, the Copyright Office closed 734,256 claims—nearly 195,000 more than it received. It ended the year with approximately 185,000 claims on hand, of which approximately half are awaiting a Copyright Office action and half are awaiting further action from the claimants.

The public embraced the electronic system in 2011. By the fourth quarter, 84 percent of registration filings were submitted electronically; the average processing time for processing such claims was between two and four months.

On the policy front, the Copyright Office provided ongoing assistance to the Congress on a number of complex issues and delivered a major study on market based alternatives to statutory licenses for cable and satellite retransmission. The Register testified twice on major copyright legislation: on enforcement measures to combat the operators of illegal, infringing web sites trafficking in infringing movies, music and software,

and new provisions that would update the exclusive right of public performance to address infringement that occurs through the streaming of the work (e.g. a television program or live sporting event), rather than the distribution of copies. The Copyright Office participated in major negotiations at the World Intellectual Property Organization and with major trading partners. On the litigation front, the Department of Justice called upon the Copyright Office on several important cases, including challenges to the constitutionality of copyright law amendments, interpretation of the first sale doctrine and issues related to the importation of copyrighted works.

The Copyright Office continued its commitment to digitize 70 million historic, paper copyright records dating from 1870 to 1977, many of which implicate works still protected by copyright today. In conjunction with other principals in the Library, it continued the technical development and associated standards for acquiring certain serial publications that are only available digitally. (The pilot yielded 85 electronic serials from 25 publishers in fiscal 2011.)

### **Fiscal 2012 Priority Activities**

On October 1, 2011, the Copyright Office commenced a study of the costs it incurs and the fees it charges with respect to the registration of claims, recordation of documents, and other public services, pursuant to its authority under 17 U.S.C. § 708(b). The Copyright Office anticipates publication of the fee study in fiscal 2012, with implementation as appropriate in fiscal 2013.

On October 25, 2011, the Register of Copyrights announced the office's priorities and special projects for fiscal 2012 and 2013 in a comprehensive document that sets forth the significant statutory duties of the Office as well as expectations of the copyright community. The communication of these priorities and special projects represents a commitment from the Copyright Office to address complexities in the copyright system and prepare for future challenges. The Copyright Office will use this document as a road map to improve the quality and efficiency of its services subject to the availability of budgetary resources. The priorities document outlines Copyright Office work on current and future law and policy questions including: orphan works, small claims solutions for copyright owners, mass book digitization, illegal streaming, collaboration with the World Intellectual Property Organization, and updates to registration practices to accommodate works created online. The Copyright Office will also undertake improvements to operations including: technical upgrades to electronic registration, increased public outreach and copyright education, and reengineering of

the recordation division.

The following are some of the specific policy projects of the Copyright Office in fiscal 2012: (1) an analysis of legal issues relating to mass book digitization, the Google Book Search litigation, and applicable licensing models; (2) a major study and recommendation to the Congress regarding copyright protection for pre-1972 sound recordings; (3) research and analysis of small claims solutions for individual authors and other copyright owners for delivering to the Congress in fiscal 2014; and (4) ongoing work on a rulemaking on the prohibition on circumvention of measures controlling access to copyrighted works for recommendation to the Librarian in fiscal 2013, pursuant to the Digital Millennium Copyright Act (DMCA).

The Copyright Office will also participate on the negotiating team for the United States for a major treaty to protect performers in the context of audio-visual works, to be held in June 2012 in Beijing and provide implementation advice to the Congress, as appropriate.

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

A full list of the 17 priorities and 10 special projects is published on the Copyright Office web site at <http://www.copyright.gov/docs/priorities.pdf>.

### **Fiscal 2013 Priority Activities**

In fiscal 2013 the Copyright Office will continue its implementation of the Register's priorities and special projects; the research and analysis phase of many of these will conclude by or before October 2013. Some of these projects relate directly to the stewardship and effective

operation of the Nation's copyright registration system in the 21st century, and will yield important data to inform the Copyright Office's focus and strategies for fiscal years 2014–2018.

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

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

The Office will continue its work on major negotiations for intellectual property protection in the Asia-Pacific rim and other regions of the world, and continue major work on the implementation of worldwide protection for performers in audio-visual works.

The Copyright Office will work with the Congress on a number of major studies and policy developments, including orphan works, revisions of certain exceptions to copyright, including for libraries, mass digitization policy, and final work on small claims solutions for copyright owners (with a major study due to the Congress in October 2013). It will publish portions of a major revision of its lengthy *Compendium of Copyright Office Practices* during fiscal 2013, and release the final publication in October 2013. The Compendium is the primary source of registration practice followed by the Copyright Office staff, the public, and courts.



# Copyright Licensing Division

COPYRIGHT OFFICE, SALARIES AND EXPENSES

## Copyright Licensing Division Summary By Object Class (Dollars in Thousands)

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$1,999	\$1,971	\$1,786	\$1,825	+ \$39	2.2%
11.3 Other than full-time permanent	1	1	0	0	0	0.0%
11.5 Other personnel compensation	25	0	30	31	+ 1	3.3%
11.8 Special personal services payment	15	0	0	0	0	0.0%
12.1 Civilian personnel benefits	547	545	508	522	+ 14	2.8%
13.0 Benefits for former personnel	0	0	50	50	0	0.0%
<b>Total, Pay</b>	<b>\$2,587</b>	<b>\$2,517</b>	<b>\$2,374</b>	<b>\$2,428</b>	<b>+ \$54</b>	<b>2.3%</b>
21.0 Travel & transportation of persons	15	4	7	7	0	0.0%
22.0 Transportation of things	1	1	1	1	0	0.0%
23.3 Communication, utilities & misc charges	19	13	16	16	0	0.0%
24.0 Printing & reproduction	20	10	12	13	+ 1	8.3%
25.2 Other services	1,050	597	1,392	1,411	+ 19	1.4%
25.3 Other purch of gds & services from gov acc	833	819	848	860	+ 12	1.4%
25.7 Operation & maintenance of equipment	6	1	12	13	+ 1	8.3%
26.0 Supplies & materials	18	17	33	33	0	0.0%
31.0 Equipment	900	1,287	414	420	+ 6	1.4%
<b>Total, Non-Pay</b>	<b>\$2,862</b>	<b>\$ 2,749</b>	<b>\$2,735</b>	<b>\$2,774</b>	<b>+ \$39</b>	<b>1.4%</b>
<b>Total, Licensing Division</b>	<b>\$5,449</b>	<b>\$5,266</b>	<b>\$5,109</b>	<b>\$5,202</b>	<b>+ \$93</b>	<b>1.8%</b>

**Copyright Licensing Division  
Analysis of Change**  
(Dollars in Thousands)

	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	<b>30</b>	<b>\$5,109</b>
<b>Non-recurring Costs</b>		<b>0</b>
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		31
Within-grade increases		10
One Extra Day		10
FERS agency rate adjustment from 11.2% to 11.9%		3
<b>Total, Mandatory Pay and Related Costs</b>	<b>0</b>	<b>54</b>
<b>Price Level Changes</b>		<b>39</b>
<b>Program Costs</b>		<b>0</b>
<b>Net Increase/Decrease</b>	<b>0</b>	<b>\$ 93</b>
<b>Total Budget</b>	<b>30</b>	<b>\$5,202</b>
<b>Total Offsetting Collections</b>	<b>0</b>	<b>- 5,202</b>
<b>Total Appropriation</b>	<b>30</b>	<b>\$ 0</b>

# Copyright Licensing Division

COPYRIGHT OFFICE, SALARIES AND EXPENSES

## FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$5.202 million** in offsetting collection authority for the Copyright Licensing Division in fiscal 2013, an increase of \$0.093 million, or 1.8 percent, over fiscal 2012. This increase supports mandatory pay related and price level increases.

### Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change		Percent Change		
	Spending Plan		Actual Obligations				FTE	\$		FTE	\$
COP_LIC	30	\$5,449	26	\$5,266	30	\$5,109	30	\$5,202	0	\$93	1.8%
Offsetting Coll.		-5,449		0		-5,109		-5,202		-93	-1.8%
COP_LIC Appr.	30	0	26	5,266	30	0	30	0	0	0	0.0%

## PROGRAM OVERVIEW

The United States Copyright Office, through its Licensing Division (Licensing), participates in the administration of certain compulsory and statutory license provisions of the U.S. Copyright Act (Title 17), which pertain to setting royalty rates and terms and determining the distribution of royalties for certain copyright statutory licenses.

These licenses include secondary transmissions of radio and television programs by cable television systems and secondary transmissions of network and non-network stations by satellite carriers. The licenses also encompass the importing, manufacturing, and distributing of digital audio recording devices or media. In addition, Licensing oversees the licensing of ephemeral recordings; the non-interactive digital transmission of performances of sound recordings; the production and distribution of phonorecords of non-dramatic musical works; the use of published non-dramatic musical, pictorial, graphic, sculptural, and non-dramatic literary works in connection with non-commercial broadcasting; and secondary transmissions by satellite carriers for local retransmissions.

Licensing's primary clients are copyright owners and users of copyrighted works that are subject to statutory copyright licenses. The division is responsible for collecting and investing royalty fees for later distribution to copyright owners, examining related documents, providing information to various constituencies as part of its public affairs program, and recording documents for several licenses whose royalties are handled by outside parties.

## Fiscal 2011 Priority Activities

In fiscal 2011, Licensing continued to devote budgetary and staff resources to its reengineering efforts, mapping new work processes and creating a new system design. The division broadened its outreach program by creating online tutorials and presentations, by migrating its stakeholder contact to email and listserv applications, and by hosting more on-site visits by stakeholders for special training sessions or to participate in reengineering efforts. When the implementation is complete, Licensing expects reengineering to have improved service to customers, enhanced public records availability, and reduced operating costs for future years.

Licensing worked to decrease processing times for a variety of Statements of Account, including moving to 5 months for SA1-2 statements and 13.5 months for SA3 statements. The division also reduced the number of open Statements of Account from all previous periods from 1,100 to fewer than 200.

On May 27, 2010, President Obama signed the Satellite Television Extension and Localism Act of 2010 which directed the Copyright Office to submit a report to the Congress with recommendations to achieve the phase-out and eventual repeal of Sections 111, 119 and 122 of the Copyright Act (17 U.S.C.). In August 2011, the Copyright Office released its report recommending that the market be given incentives and time to test new mechanisms to privatize statutory licenses. If the phase-out and repeal of Sections 111, 119 and 122 of the Copyright Act does occur, Licensing could see a major change in its operations.

During fiscal 2011, Licensing collected nearly \$326 million in royalty fees from cable television systems, importers and manufacturers of digital audio recording equipment and media, and satellite carriers who retransmitted copyrighted television broadcasts across the United States. Licensing distributed approximately \$144 million in royalties according to voluntary agreements among claimants or as a result of determinations of the Copyright Royalty Judges.

### **Fiscal 2012 Priority Activities**

In fiscal 2012, Licensing will continue implementing and refining the reengineered processes and technology system. Since they share many common elements, Licensing expects to automate the filing of SA1-2 short form and SA3 long form Statements of Account serially. The SA1-2 form's automation will be accomplished as the first phase of automating the more complex SA3 form. Licensing will test systems and processes for handling

cable license royalty fee transactions online. In addition, Licensing will continue to collect and distribute royalty fees and examine documents. The Congress may choose to legislate in response to the Copyright Office's report on proposed market alternatives to statutory licensing. If it does so, Licensing operations will be modified in accordance with that legislation.

### **Fiscal 2013 Priority Activities**

In fiscal 2013, Licensing will continue implementing and refining the reengineered processes and technology system. Licensing will further enhance the automation of the more complex SA3 form and address the automation of its satellite and digital audio recording technology (DART) licenses as well. Licensing will continue to test systems and processes for administering royalty transactions online for cable, satellite and DART licenses. In addition, Licensing will continue to collect and distribute royalty fees and examine documents.



# Copyright Royalty Judges

COPYRIGHT OFFICE, SALARIES AND EXPENSES

## Copyright Royalty Judges Summary By Object Class (Dollars in Thousands)

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$ 835	\$ 834	\$ 857	\$ 875	+ \$18	2.1%
11.5 Other personnel compensation	28	0	4	4	0	0.0%
12.1 Civilian personnel benefits	237	231	230	237	+ 7	3.0%
<b>Total, Pay</b>	<b>\$1,100</b>	<b>\$1,065</b>	<b>\$1,091</b>	<b>\$1,116</b>	<b>+ \$25</b>	<b>2.3%</b>
21.0 Travel & transportation of persons	2	0	2	2	0	0.0%
22.0 Transportation of things	1	0	1	1	0	0.0%
23.3 Communication, utilities & misc charges	9	2	9	9	0	0.0%
24.0 Printing & reproduction	70	52	70	71	+ 1	1.4%
25.2 Other services	250	62	224	227	+ 3	1.3%
25.3 Other purch of gds & services from gov acc	61	19	61	62	+ 1	1.6%
25.7 Operation & maintenance of equipment	1	0	1	1	0	0.0%
26.0 Supplies & materials	1	2	2	2	0	0.0%
31.0 Equipment	5	0	5	5	0	0.0%
<b>Total, Non-Pay</b>	<b>\$ 400</b>	<b>\$ 137</b>	<b>\$ 375</b>	<b>\$ 380</b>	<b>+ \$ 5</b>	<b>1.3%</b>
<b>Total, Copyright Royalty Judges</b>	<b>\$1,500</b>	<b>\$1,202</b>	<b>\$1,466</b>	<b>\$1,496</b>	<b>+ \$30</b>	<b>2.0%</b>

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**Copyright Royalty Judges**  
**Analysis of Change**  
(Dollars in Thousands)

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	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	6	\$1,466
<b>Non-recurring Costs</b>		0
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		14
Within-grade increases		5
One Extra Day		5
FERS agency rate adjustment from 11.2% to 11.9%		1
<b>Total, Mandatory Pay and Related Costs</b>	0	25
<b>Price Level Changes</b>		5
<b>Program Costs</b>		0
<b>Net Increase/Decrease</b>	0	\$ 30
<b>Total Budget</b>	6	\$1,496
<b>Total Offsetting Collections</b>	0	- 380
<b>Total Appropriation</b>	6	\$1,116

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# Copyright Royalty Judges

COPYRIGHT OFFICE, SALARIES AND EXPENSES

## FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$1.496 million** for the Copyright Royalty Judges in fiscal 2013, partially offset by copyright royalty fee collections of \$0.380 million. The increase of \$0.030 million, or 2.0 percent, over fiscal 2012 supports mandatory pay related and price level increases.

### Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
COP_CRJ	6	\$1,500	6	\$1,202	6	\$1,466	6	\$1,496	0	\$30	2.0%
Offsetting Coll.		-400		0		-375		-380		-5	1.3%
COP_CRJ	6	\$1,100	6	\$1,202	6	\$1,091	6	\$1,116	0	\$25	2.3%

## PROGRAM OVERVIEW

The Copyright Royalty Judges (CRJs) participate in the administration of certain provisions of chapter 8 of the U.S. Copyright Act (Title 17), which pertains to setting royalty rates and terms and determining the distribution of royalties for certain copyright statutory licenses.

CRJs are the final arbiters of questions of fact pertaining to rates and terms of statutory copyright licenses and the distribution of cable, satellite, and digital audio recording technology (DART) licensing fees. In addition, CRJs have full independence in setting royalty rates and terms and determining the distribution of royalty fees. However, CRJs must consult with the Register of Copyrights on novel questions of copyright law (i.e., questions that have not been determined in prior decisions, determinations, and rulings) and on determinations that impose operational responsibilities on the Copyright Office. Under title 17, the Register of Copyrights reviews CRJs' resolution of material questions of substantive law to ensure that there are no legal errors.

### Fiscal 2011 Priority Activities

In fiscal 2011, CRJs concluded the webcasting and new subscription services rate and term proceeding (Webcasting III), which was carried over from fiscal 2010, within the statutory deadline.

Statutory license rates and terms facilitated the collection of \$326 million in royalties. CRJs directed distribution of almost \$144 million to copyright owners. CRJs devoted resources to 14 distribution proceedings in fiscal 2011. In addition, CRJs initiated three rate proceedings:

preexisting subscription services rates and satellite digital audio transmissions rate proceedings; publishers' section 115 copying royalties; and section 118 noncommercial educational broadcasting rates. CRJs also encouraged distributions of royalties with emphasis on phase II for cable from 2000–2003 and 2004–2005. CRJs worked on a cable distribution proceeding (1998–1999), which was commenced in fiscal 2008, however the proceeding remains stayed at the request of the parties pending auxiliary litigation on critical issues. CRJs continued work on a DART distribution proceeding (2005 and 2006 along with 2009 for Sound Recordings Fund).

Semiannually, CRJs solicit, receive, evaluate, and process claims filed for distributions from royalty funds. In fiscal 2011, CRJs reviewed approximately 635 claims from cable funds, 230 from satellite funds, and 66 from DART funds.

In fiscal 2011, CRJs also focused on reviewing copyright regulations in title 37 of the Code of Federal Regulations (CFR) chapter III. CRJs proposed revisions to their notice and recordkeeping rules and issued a final rule in fiscal 2011.

### Fiscal 2012 Priority Activities

In fiscal 2012, the CRJs are devoting resources to meeting the statutory deadlines as they conduct a new rate proceeding for the ephemeral section 112 license for business establishments. CRJs will hold hearings in a requested partial distribution of almost \$500 million in Phase II cable royalties. CRJs will also encourage distributions of royalties and review 37 CFR chapter III, which is an ongoing project.

**Fiscal 2013 Priority Activities**

CRJs will work on final rate determinations in preexisting subscription and satellite digital audio radio services, noncommercial educational broadcasting services, and

phonorecords to meet statutory deadlines. CRJs will complete these rate proceedings and push as many distributions as possible. CRJs will also encourage distributions of royalties and review 37 CFR chapter III, which is an ongoing project.



# CONGRESSIONAL RESEARCH SERVICE,

## SALARIES AND EXPENSES

### Congressional Research Service, Salaries and Expenses Summary By Object Class (Dollars in Thousands)

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$ 75,781	\$ 75,307	\$ 72,232	\$ 73,742	+ \$1,510	2.1%
11.3 Other than full-time permanent	1,742	1,776	1,700	1,735	+ 35	2.1%
11.5 Other personnel compensation	4	2	4	4	0	0.0%
11.5A Staff Awards <sup>1</sup>	875	853	500	510	+ 10	2.0%
12.1 Civilian personnel benefits	20,074	19,913	19,555	20,112	+ 557	2.8%
13.0 Benefits for former personnel	20	16	560	560	0	0.0%
<b>Total, Pay</b>	<b>\$98,496</b>	<b>\$97,867</b>	<b>\$94,551</b>	<b>\$96,663</b>	<b>+ \$2,112</b>	<b>2.2%</b>
21.0 Travel & transportation of persons	251	203	121	122	+ 1	0.8%
22.0 Transportation of things	1	0	1	1	0	0.0%
23.3 Communication, utilities & misc charges	297	254	364	369	+ 5	1.4%
24.0 Printing & reproduction	25	21	21	21	0	0.0%
25.1 Advisory & assistance services	362	275	1,257	1,275	+ 18	1.4%
25.2 Other services	4,247	4,721	2,875	2,915	+ 40	1.4%
25.3 Other purch of gds & services from gov acc	133	101	84	85	+ 1	1.2%
25.7 Operation & maintenance of equipment	1,338	1,192	1,414	1,566	+ 152	10.7%
26.0 Supplies & materials	3,757	3,935	3,290	3,336	+ 46	1.4%
31.0 Equipment	2,110	2,231	2,812	2,852	+ 40	1.4%
<b>Total, Non-Pay</b>	<b>\$ 12,521</b>	<b>\$ 12,933</b>	<b>\$ 12,239</b>	<b>\$ 12,542</b>	<b>+ \$ 303</b>	<b>2.5%</b>
<b>Total, CRS, S&amp;E</b>	<b>\$111,017</b>	<b>\$110,800</b>	<b>\$106,790</b>	<b>\$109,205</b>	<b>+ \$2,415</b>	<b>2.3%</b>

<sup>1</sup>The Congressional Research Service uses cash awards to recognize and acknowledge exceptional contributions to the Library and the Congress.

**Congressional Research Service, S&E**  
**Analysis of Change**  
(Dollars in Thousands)

	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	651	\$106,790
<b>Non-recurring Costs</b>		0
Reduction of Unfunded Authorized FTEs	-31	0
<b>Total Non-recurring Cost</b>	-31	0
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		1,234
Within-grade increases		388
One Extra Day		377
FERS agency rate adjustment from 11.2% to 11.9%		113
<b>Total, Mandatory Pay and Related Costs</b>	0	2,112
<b>Price Level Changes</b>		303
<b>Program Costs</b>		0
<b>Net Increase/Decrease</b>	- 31	\$ 2,415
<b>Total Budget</b>	620	\$109,205
<b>Total Offsetting Collections</b>	0	0
<b>Total Appropriation</b>	620	\$109,205

# Congressional Research Service

CONGRESSIONAL RESEARCH SERVICE, SALARIES AND EXPENSES

## FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$109.205 million** for the Congressional Research Service in fiscal 2013, an increase of \$2.415 million, or 2.3 percent, over fiscal 2012. This increase supports mandatory pay related and price level increases. Over the previous two fiscal years, the CRS, S&E budget has sustained total base cuts of \$5.7 million, or a net decrease of 5.0 percent. Over the same period the authorized FTE ceiling has been adjusted downward from 675 to 651 in fiscal 2011. The Library is requesting that the authorized FTE ceiling for CRS, S&E be reset to 620, a decrease of 31 authorized FTEs, or 4.8 percent, to reflect a more accurate alignment of authorized FTEs with the resources available to support FTEs.

### Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012		Fiscal 2013		Fiscal 2012/2013		Percent Change
	Spending Plan		Actual Obligations		Spending Plan		Request		Net Change		
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$	
CRS	651	\$111,017	647	\$110,800	651	\$106,790	620	\$109,205	-31	\$2,415	2.3%

## PROGRAM OVERVIEW

The Congressional Research Service (CRS) provides the Congress with timely, objective, authoritative, and confidential research and analysis, thereby contributing to an informed national legislature. CRS serves as shared staff to congressional committees and Members of Congress, assisting them at every stage of the legislative process, from the early considerations that precede bill drafting, to committee hearings and floor debates, to the oversight of enacted laws and various agency activities. CRS experts interact with the Congress through meetings and briefings as well as through the preparation of customized and confidential analyses. CRS also maintains a web site that affords the Congress access to its analytic reports and many other resources and services.

Because of their access to members and staff, CRS experts can provide research and analyses within the time frames and legislative settings that dictate the congressional agenda. The Congress relies on CRS to marshal interdisciplinary resources, encourage critical thinking, and create innovative frameworks to help legislators form sound policies and reach decisions on a host of issues. These decisions will guide and shape the present and future state of the nation.

### Fiscal 2011 Priority Activities

In fiscal year 2011, financial disruptions in the United States and worldwide influenced much of CRS' support to the Congress. Analysts throughout CRS provided multidisciplinary expertise to the complex and novel

questions that flowed from the threat of government shutdown, default on the national debt, instability in foreign governments and world financial markets, and rising budget deficits in the United States. The year also saw unprecedented transformation in the Middle East and northern Africa as popular uprisings changed the face of governance in these regions and posed difficult issues for United States foreign policy. CRS experts also were heavily involved in congressional oversight of the major legislative initiatives of the prior fiscal year – health care and financial regulation reform.

Not having received requested additional positions in the latter two areas, CRS sought to provide the best possible support with existing resources. CRS placed renewed emphasis on collaboration and broadening of portfolios. It also developed prototypes of new measurement models by which to better assess the breadth and depth of issue coverage and interdisciplinary collaboration, and to clearly communicate to the Congress the resources and capacities CRS brings to bear in supporting the legislative needs.

CRS launched a major enhancement of its web site which allowed clients to create accounts and subscribe to content tailored to their specific needs. It also began exploring designs for more robust search and navigation of the site and developing applications for mobile access to CRS web products and services.

Almost 90 percent of the CRS budget is devoted to payroll, and the decrease in funding compared to fiscal year 2010 resulted in reducing the workforce by 20 positions. This was accomplished through limited hiring

following departures and focused on minimizing the impact on the analytic support provided to the Congress.

### **Fiscal 2012 Priority Activities**

CRS will continue to address the full range of policy issues before the Congress and to fashion its products and services to support the legislative, oversight, and representational needs of the Congress within constrained budget resources. CRS will focus its hiring on the most mission critical areas and will exploit the talent recruited from the nation's graduate schools via its Graduate Recruit Program. The need for analysts and attorneys to broaden their portfolios will continue to be a theme pressed CRS-wide. More effective collaboration among CRS divisions will enable leveraging existing analytical and information resources to best serve our clients. CRS will significantly reduce spending for travel, training, information technology, and research materials. This will result in fewer resources being available to staff to assist with their work for the Congress, less opportunity for professional development, and a less robust technology infrastructure to both support our workforce and provide congressional clients with the web services and technological advances that support their work.

CRS' legislative planning process will continue to present the array of CRS expertise available to support the key legislative initiatives of each Congress. CRS will enhance the web site's product line presentation, design methods to make products, services, and experts more accessible, and continue to refine the site's personalization capacities. Within a limited budget, CRS must strive to stay aligned with the technological tools and services available to congressional staff and to maintain relevance in a fast-

moving technology environment.

The budget for fiscal 2012 required larger cuts in the workforce, and 40 positions were eliminated. Staff reductions were accomplished with separation and early retirement incentives in addition to limited hiring following other departures. During the transition to lower staff levels, it also was necessary to reduce investments in information technology, research materials, and professional development activities by 20 to 40 percent.

### **Fiscal 2013 Priority Activities**

CRS will focus capacity building efforts on replacing critical staff departures with expertise that is broad-based and capable of addressing the important issues before the Congress. It will continue to explore solutions to coverage gaps that may occur by broadening both the portfolios of staff and cross-divisional multidisciplinary collaboration. Efficiencies in the delivery of services and deployment of staff also will be examined with the goal of providing to Congress the most effective pooled resource available to all offices.

CRS will refine client management, web analytics, and management information tools to better focus work on the demands of the legislative agenda and to enhance our understanding of client needs. The Service will begin to realize the fruits of Library-wide efforts to acquire and organize information and data sources relevant to a broader range of areas aligned with the congressional agenda. Within a constrained technology budget, CRS will strive to align its products and services to the electronic platforms utilized by congressional staff and present a robust web presence to users.



# BOOKS FOR THE BLIND AND PHYSICALLY HANDICAPPED, SALARIES AND EXPENSES

## Books for the Blind and Physically Handicapped, Salaries and Expenses Summary By Object Class (Dollars in Thousands)

Object Class	Fiscal 2011		Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
	Spending Plan	Actual Obligations				
11.1 Full-time permanent	\$ 8,385	\$ 8,392	\$ 8,202	\$ 8,375	+ \$173	2.1%
11.3 Other than full-time permanent	428	398	327	334	+ 7	2.1%
11.5 Other personnel compensation	12	1	12	12	0	0.0%
11.5A Staff Awards <sup>1</sup>	30	6	20	20	0	0.0%
12.1 Civilian personnel benefits	2,220	2,274	2,231	2,296	+ 65	2.9%
13.0 Benefits for former personnel	2	2	103	103	0	0.0%
<b>Total, Pay</b>	<b>\$11,077</b>	<b>\$11,073</b>	<b>\$10,895</b>	<b>\$11,140</b>	<b>+ \$245</b>	<b>2.2%</b>
21.0 Travel & transportation of persons	220	169	207	210	+ 3	1.4%
22.0 Transportation of things	53	36	47	48	+ 1	2.1%
23.1 Rental payments to GSA	1,733	1,813	1,813	1,884	+ 71	3.9%
23.3 Communication, utilities & misc charges	363	304	308	312	+ 4	1.3%
24.0 Printing & reproduction	988	875	960	973	+ 13	1.4%
25.1 Advisory & assistance services	1,070	1,046	900	913	+ 13	1.4%
25.2 Other services	4,709	4,610	5,545	5,623	+ 78	1.4%
25.3 Other purch of gds & services from gov acc	132	138	62	63	+ 1	1.6%
25.4 Operation & maintenance of facilities	40	14	40	41	+ 1	2.5%
25.5 Research and Development Contracts	10	8	45	46	+ 1	2.2%
25.7 Operation & maintenance of equipment	35	21	36	36	0	0.0%
25.8 Subsistence and Support of Persons	25	22	35	35	0	0.0%
26.0 Supplies & materials	355	268	244	247	+ 3	1.2%
31.0 Equipment	47,236	38,816	29,537	29,951	+ 414	1.4%
42.0 Insurance Claims and Indemnities	0	40	0	0	0	0.0%
<b>Total, Non-Pay</b>	<b>\$56,969</b>	<b>\$48,180</b>	<b>\$39,779</b>	<b>\$40,382</b>	<b>+ \$603</b>	<b>1.5%</b>
<b>Total, BBPH, S&amp;E</b>	<b>\$68,046</b>	<b>\$59,253</b>	<b>\$50,674</b>	<b>\$51,522</b>	<b>+ \$848</b>	<b>1.7%</b>

<sup>1</sup>The National Library Service for the Blind and Physically Handicapped uses cash awards to recognize and acknowledge exceptional contributions to the Library, the Congress, and the American people.

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**Books for the Blind and Physically Handicapped, S&E**  
**Analysis of Change**  
(Dollars in Thousands)

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	Fiscal 2013 Agency Request	
	FTE	Amount
<b>Fiscal 2012 Spending Plan</b>	128	\$50,674
<b>Non-recurring Costs</b>		0
Reduction of Unfunded Authorized FTEs	-8	0
<b>Total, Non-recurring Costs</b>	-8	0
<b>Mandatory Pay and Related Costs:</b>		
Locality-based comparability pay raise January 2013 @ 1.7%		144
Within-grade increases		45
One Extra Day		44
FERS agency rate adjustment from 11.2% to 11.9%		12
<b>Total, Mandatory Pay and Related Costs</b>	0	245
<b>Price Level Changes</b>		603
<b>Program Costs</b>		0
<b>Net Increase/Decrease</b>	- 8	\$ 848
<b>Total Budget</b>	120	\$51,522
<b>Total Offsetting Collections</b>	0	0
<b>Total Appropriation</b>	120	\$51,522

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# Books for the Blind and Physically Handicapped

BOOKS FOR THE BLIND AND PHYSICALLY HANDICAPPED, SALARIES AND EXPENSES

## FISCAL 2013 BUDGET REQUEST

The Library is requesting a total of **\$51.522 million** for the National Library Service for the Blind and Physically Handicapped in fiscal 2013, an increase of \$0.848 million, or 1.7 percent, over fiscal 2012. This increase supports mandatory pay related and price level increases. Over the previous two fiscal years, the BBPH, S&E budget has sustained total base cuts of \$19.508 million, or a net decrease of 28 percent. Over the same period the authorized FTE ceiling has remained unchanged at 128. The Library is requesting that the authorized FTE ceiling for BBPH, S&E be reset to 120, a decrease of 8 authorized FTEs, or 6.0 percent, to reflect a more accurate alignment of authorized FTEs with the resources available to support FTEs.

Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2011				Fiscal 2012 Spending Plan	Fiscal 2013 Request	Fiscal 2012/2013 Net Change		Percent Change		
	Spending Plan		Actual Obligations				FTE	\$		FTE	\$
	FTE	\$	FTE	\$	%						
BBPH	128	\$68,046	112	\$59,253	128	\$50,674	120	\$51,522	-8	\$848	1.7%

## PROGRAM OVERVIEW

The Library of Congress, as mandated by 2 U.S.C. 135a-135b as amended, administers a free national reading program for blind and physically handicapped residents of the United States and for U.S. citizens living abroad. The National Library Service for the Blind and Physically Handicapped (NLS) directs the production of books and magazines in braille and recorded formats as well as specially designed audio playback machines. It also manages the distribution of these materials through a network of 56 regional and 47 subregional libraries throughout the United States. The network serves a readership of more than 800 thousand blind and physically handicapped individuals and circulates more than 26 million books and magazines annually. The NLS staff is comprised of librarians, engineers, technical specialists, support staff, and temporary and intermittent employees.

## FISCAL 2011 PRIORITY ACTIVITIES

In fiscal 2011, NLS continued to produce digital books and machines under the digital talking book (DTB) program, exceeding original production goals. NLS revised the original machine production plan to ensure that demand was met and that the rate of production for new machines matched the capacity of the network libraries to distribute the machines to patrons. NLS contracted in fiscal 2011 for the production of approximately 50 thousand machines. As patrons have enthusiastically embraced the digital machines, demand for copies of books in digital format has increased – a

trend that NLS expects will continue. In fiscal 2011, NLS contracted to produce up to 1,000 copies each of 1,875 new DTBs. Conversion of the NLS legacy catalog of analog audio cassette books to digital format continued with approximately 1,600 titles completed this year. In addition, NLS added approximately 4,000 titles to the Braille and Audio Reading Download (BARD) web site for download by patrons.

## FISCAL 2012 PRIORITY ACTIVITIES

The focus of the program in fiscal 2012 will be on book production and development of the digital magazine program. NLS plans to produce approximately 850 copies each of 2,000 new DTBs. NLS will use available production capacity to increase the number of copies to meet patron demand, significantly reduce the rollout time for the conversion of legacy titles, and prepare for the distribution of magazines in digital format. Conversion of the analog cassette book collection to digital format will continue as funding allows. Planning also calls for the conversion and addition to BARD of music instruction materials, books produced by network libraries, and foreign language titles. NLS will contract in fiscal 2012 for a survey to more clearly define the reading habits, technological capabilities, and preferences of present patrons as well as individuals and institutions that are eligible for the program but do not yet participate, and will submit findings to the Congress by year end. NLS also will begin exploring the feasibility of books-on-demand duplication services.

**FISCAL 2013 PRIORITY ACTIVITIES**

The demographic survey initiated in fiscal 2012 will be analyzed to provide NLS with a better understanding of the needs of user communities. Targets for book production will remain unchanged from fiscal 2012, resulting in the production of 2,000 new audio titles and 500 braille titles. Conversion of analog cassette books and magazines will continue. NLS also will implement programs for the recycling/reuse of flash memory cartridges. In addition, NLS will migrate two critical software applications to a more current, efficient, and integrated platform. Enhancements to BARD will be introduced, including options for additional content and services. NLS is working to develop partnerships with other organizations to share products and services. The obsolescence of some parts in the digital talking-

book machine, designed in 2005, and the need to add direct-to-player DTB delivery functionality necessitates a design update. This design update, to begin in fiscal 2013, will involve electrical, mechanical, and software components. Options to be explored include delivery of audio books directly from NLS to the player via the Internet rather than from network libraries via the postal service. These improvements will increase the efficiency and effectiveness of the program while enhancing services to patrons. Software applications for consumer electronic devices such as tablets and mobile telephones to broaden the availability of NLS books for patrons will also be explored. These devices are expected to constitute a small but growing segment of book circulation. Based on the results of study and planning conducted in fiscal 2012, NLS will evaluate and implement the books-on-demand project.



## REIMBURSABLE FUNDS

### Reimbursable Funds Summary by Object Class (Dollars in Thousands)

Object Class	Fiscal 2011 Actual Obligations	Fiscal 2012 Enacted	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
11.1 Full-Time Permanent	\$12	\$195	\$76	- \$119	-61%
11.5 Other Personnel Compensation	27		30	+ 30	100%
12.1 Civilian Personnel Benefits	14	59	36	- 23	-39%
<b>Total Pay</b>	<b>\$53</b>	<b>\$254</b>	<b>\$142</b>	<b>- \$112</b>	<b>-44.1%</b>
21.0 Travel and Transportation of Persons	\$19	\$20	\$20	\$ 0	0%
22.0 Transportation of Things	0	3		- 3	-100%
23.3 Communication, Utilities, & Misc Charges	8		9	+ 9	100%
24.0 Printing and Reproduction	2				0%
25.1 Advisory and Assistance Services	577	499	706	+ 207	41%
25.2 Other Services	46	183	143	- 40	-22%
25.3 Other Purch of gds & services from gov acc	0	290	303	+ 13	4%
25.4 Operation and Maintenance of Facilities	36	50	50		0%
25.7 Operation and Maintenance of Equipment	11	40	40		0%
26.0 Supplies and Materials	14	30	31	+ 1	3%
31.0 Equipment	186	631	556	- 75	-12%
<b>Total Non-Pay</b>	<b>\$899</b>	<b>\$1,746</b>	<b>\$1,858</b>	<b>+ \$112</b>	<b>6.4%</b>
<b>Total, Obligational Authority</b>	<b>\$952</b>	<b>\$2,000</b>	<b>\$2,000</b>	<b>+ \$0</b>	<b>0.0%</b>

**Reimbursable Funds  
Analysis of Change**  
(Dollars in Thousands)

	Fiscal 2013 Agency Request	
	FTE	Amount
Obligational Authority, Fiscal 2012 Base	4	\$2,000
Mandatory Pay and Related Costs	0	112
Program/Project/Activity increases/Decreases	0	+ 112
Net Increase/Decrease	0	\$ 00
<b>Total Obligational Authority, Fiscal 2013</b>	<b>4</b>	<b>\$2,000</b>

## Overview

Under authority of the Economy Act (31 U.S.C. 1535-1536), the Library provides reimbursable services to organizational units within the Library and to other Federal government agencies when it is determined by both parties that the Library can provide the service in a more economical and cost-effective manner. In each instance, the Library and the customer enter into an

interagency agreement which sets forth the scope and cost of the service. Funds are transferred from the customer agency and credited to the Library's accounts to pay for all of the direct and indirect costs. Any funds transferred to the Library in excess of the actual costs are returned to the customer-agency at the end of the performance period.

## Obligational Authority

In fiscal 2013, the Library is requesting obligational authority of **\$2.0 million** for its reimbursable program. The requested authority is for the Library's interagency agreements.

The Library's interagency reimbursable customers include:

- **The Congressional Budget Office and the Office of Compliance** – The Library provides financial management support, data warehousing, and centralized computer processing services from the Library's system support organizations.
- **The Open World Leadership Center Trust Fund** – The Library provides financial management support,

data warehousing, legal assistance, event planning, administrative support, and centralized computer processing services from the Library's management support organizations.

- **The Department of Homeland Security and the Department of Justice** – The Law Library of Congress provides legal research, reference services, opinions, and advisory support.
- **The U.S. Capitol Police** – The Library provides financial and asset management support, data warehousing, and centralized computer processing services from the Library's system support organizations.



# REVOLVING FUNDS

## Revolving Funds Summary by Object Class (Dollars in Thousands)

Object Class	Fiscal 2011 Actual Obligations	Fiscal 2012 Enacted	Fiscal 2013 Request	Fiscal 2012/2013 Net Change	Percent Change
11.1 Full-Time Permanent	\$7,020	\$9,842	\$10,109	+ \$267	2.7%
11.3 Other than Full-Time Permanent	182	340	326	- 14	- 4.1%
11.5 Other Personnel Compensation	342	978	1,016	+ 38	3.9%
11.8 Special Personal Services Payment	12	-	-	-	0.0%
12.1 Civilian Personnel Benefits	1,862	3,106	3,214	+ 108	3.5%
<b>Total Pay</b>	<b>\$9,418</b>	<b>\$14,266</b>	<b>\$14,665</b>	<b>+ \$399</b>	<b>+ 2.8%</b>
21.0 Travel and Transportation of Persons	\$91	\$422	\$425	+ \$3	0.8%
22.0 Transportation of Things	385	507	578	+ 71	14.0%
23.3 Communication, Utilities, & Misc Charges	295	487	512	+ 25	5.0%
24.0 Printing and Reproduction	215	780	841	+ 61	7.8%
25.1 Advisory and Assistance Services	2,302	2,221	2,217	- 4	- 0.2%
25.2 Other Services	52,959	80,692	85,664	+ 4,972	6.2%
25.3 Other Purch of gds & services from gov acc	2,498	3,201	3,439	+ 238	7.4%
25.7 Operation and Maintenance of Equipment	76	111	205	+ 94	84.8%
25.8 Subsistence and Support of Persons	3	50	40	- 10	- 19.6%
26.0 Supplies and Materials	907	1,437	1,468	+ 31	2.2%
31.0 Equipment	37,652	63,380	66,733	+ 3,353	5.3%
44.0 Refunds	-2,235	171	171	-	0.0%
94.0 Financial Transfers	-	-	-	-	0.0%
<b>Total Non-Pay</b>	<b>\$95,148</b>	<b>\$153,459</b>	<b>\$162,293</b>	<b>+ \$8,834</b>	<b>+ 5.8%</b>
<b>Total, Obligational Authority</b>	<b>\$104,566</b>	<b>\$167,725</b>	<b>\$176,958</b>	<b>+ \$9,233</b>	<b>+ 5.5%</b>

**Revolving Funds  
Analysis of Change**  
(Dollars in Thousands)

	Fiscal 2013 Agency Request	
	FTE	Amount
Obligational Authority, Fiscal 2012 Base	104	\$167,725
Mandatory Pay and Related Costs	0	399
Program/Project/Activity Increases/Decreases	0	8,834
Net Increase/Decrease	0	\$ 9,233
Total Obligational Authority, Fiscal 2012	104	\$176,958

## Overview

The Library of Congress administers several revolving fund activities under the authority of 2 U.S.C. §§ 182a – 182c, 20 U.S.C. § 2106(a)(2) and 2 U.S.C. § 160. These activities support the acquisition of library materials, preservation and duplication of the Library's audio-visual collections, special events and programs, classification editorial work, research and analysis, and retail sales. All of these activities further the work of the Library and its services to its customers and the general public.

In fiscal 2013, total obligational authority of **\$176.958 million** is requested for the Library's revolving fund programs, a net increase of \$9.233 million over fiscal 2012. This reflects a net decrease of \$399 million in pay and a net increase of \$8.834 million in non-pay.

The net program increase is linked primarily to a projected increase in demand by federal customers for FEDLINK database, books, and subscription procurement services.

## Obligational Authority

Obligational authority is requested as follows:

### 2 U.S.C. 182

- The **Cooperative Acquisitions Program** secures hard-to-acquire research materials on behalf of participating U.S. research libraries. These materials are obtained by the Library's six overseas offices, which purchase additional copies of items selected for the Library's own collections based on the individual subject and language profiles supplied by the participating institutions. Each program participant pays for the cost of the publications, shipping, binding, and a surcharge that recovers the Library's administrative costs of providing this service. Materials are acquired from 80 countries on behalf of more than 100 research institutions. Approximately 373 thousand pieces were acquired through this program in fiscal 2011. In fiscal 2013, the Library is requesting obligational authority of **\$5.926 million** for the Cooperative Acquisitions Program.

### 2 U.S.C. 182a, as amended by PL 107-68, SEC. 207

- The **Duplication Services Revolving Fund** provides preservation, duplication, and delivery services for

the Library's audio-visual collections, including motion pictures, videotapes, sound recordings, and radio and television broadcasts. The fund is associated with the expanded service capabilities of the Packard Campus of the Library's National Audio-Visual Conservation Center in Culpeper, VA, and provides a range of audio-visual preservation access services to other archives, libraries, and industry constituents in the public and private and sectors. In fiscal 2013, the Library is requesting obligational authority of **\$313 thousand** for the activities of the Duplication Services Revolving Fund.

### 2 U.S.C. 182b, as amended by PL 107-68, SEC. 208

- The **Decimal Classification Development Program** finances editorial work performed by the Decimal Classification Division, which produces and maintains editions of the Dewey Decimal Classification (DDC) in printed and electronic formats, and other related Dewey products including the Abridged Edition 14. In fiscal 2013, the Library is requesting obligational authority of **\$320 thousand** for Decimal Classification editorial activities.

- **Gift Shop Operations** supports retail sales activities of the Library. In fiscal 2013, the Library is requesting obligational authority of **\$2.934 million** for retail sales.
- **Document Reproduction and Microfilm Services** provides preservation microfilming services for the Library's collections. It also provides photocopy, microfilm, photographic, and digital services to other libraries, research institutions, government agencies, and individuals in the United States and internationally. In fiscal 2013, the Library is requesting obligational authority of **\$2.666 million** for these activities.
- **The Special Events and Public Programs Revolving Fund** supports staff expenses and other costs associated with the coordination of Congressional, outside organization, and Library-sponsored events, such as the annual National Book Festival Gala, meetings of the James Madison Council, and the award ceremony for the Gershwin Prize in Popular Music. In fiscal 2013, the Library is requesting obligational authority of **\$4.062 million** for Library of Congress special events and public programs.

#### 2 U.S.C. 182c

- **The Federal Library and Information Network (FEDLINK)** supports more than 1,200 federal offices, providing cost-effective training and a centralized procurement process for the acquisition of books, library support services, serials, and computer-based information retrieval services. The consolidated purchasing power permits the Library to negotiate economical contracts with more than 130 vendors. In fiscal 2013, the Library is requesting obligational authority of **\$154.382 million** for the FEDLINK program.
- **The Federal Research Program (FRP)** provides customized research reports, translations, and analytical studies for entities of the Federal Government and the District of Columbia on a cost-recovery basis. The products derived from these

services make the Library's vast collections available to analysts and policy makers throughout the Federal and District of Columbia governments, maximizing the utility of the collections through the language and area expertise of the FRP staff. In fiscal 2013, the Library is requesting obligational authority of **\$6.019 million** for FRP.

#### 20 U.S.C. 2106

- **The Elizabeth Hamer Kegan Fund** promotes the activities of the American Folklife Center through publication and/or distribution of folklife-related publications, recordings, crafts and art objects. In fiscal 2013, the Library is requesting obligational authority of **\$5 thousand** for the Center's activities.

#### 2 U.S.C. 160

- **The Traveling Exhibition Fund** supports the loan and display of select, major exhibitions, prepared by the Library, to municipal and private museums and cultural institutions throughout the world. In fiscal 2013, the Library is requesting obligational authority of **\$54 thousand** for these touring exhibition activities.
- **The Verner Clapp Publishing Fund** sells facsimiles of historic and rare materials from the Library's collections and publishes books, pamphlets, and related items, also based on the Library's collections. In fiscal 2013, the Library is requesting obligational authority of **\$237 thousand** for the publishing program.
- **The Cafritz Foundation Scholarly Activities Fund** covers expenses related to the publication of the Library's exhibit catalogs, posters, and related materials. In fiscal 2013, the Library is requesting obligational authority of **\$5 thousand** for publication activities.
- **The DaCapo Fund** supports publications, concerts, lectures, and other special projects, using the Music Division's collections. In fiscal 2013, the Library is requesting obligational authority of **\$35 thousand** for Music Division activities.



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## APPENDIX A: American Folklife Center, Veterans History Project, and Civil Rights History Project

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### American Folklife Center

The Library of Congress' American Folklife Center (AFC), created by an Act of Congress in 1976 to "preserve and present American folklife," collects, safeguards, and provides access to the unparalleled collections of the Archive of Folk Culture. The collections in the AFC's Archive of Folk Culture contain one-of-a-kind documentation of traditional cultural expressions that date from the end of the nineteenth century through the present. These collections preserve for future researchers a record of the folklife, cultural expressions, traditional arts, and oral histories of Americans and of our global neighbors.

In fiscal 2011, AFC acquired more than 222 thousand items related to folk culture in fiscal 2011. In particular, the center received 76,550 digital files and 7,380 CD-Rs of interviews from the StoryCorps Collection; approximately 120 mini-DV tapes that were used as the basis of a 6-hour public television series exploring 400 years of American history through the perspective of traditional music from the Nut Hill Productions collection; approximately 83 thousand sound recordings and manuscripts documenting the life and work of jazz and blues artists such as Stan Kenton, Coleman Hawkins, Muddy Waters, Howling Wolf, Son House, and John Lee Hooker from the Pete Welding Collection; 400 open-reel audio tapes that document performances at the Newport Folk Festival, 1963-65 and 1967-68 in the Bruce Jackson and Diane Christian Collection; 9,419 digital files, 200 DAT tapes, seven moving images, and 405 manuscripts in the latest addition to the National Council for the Traditional Arts (NCTA) Collection; two linear inches of manuscripts and two 5-inch open-reel audio tapes relating to Joan Halifax's work with Alan Lomax and the Cantometrics Project, 1964-1968 in the Joan Halifax Collection; 26 original audio cassette tapes and one CD-R of audio interviews with Stetson Kennedy and others, including David Lord, Myles Horton, Virginia Durr, and Judge Dan Duke, conducted in Florida and Alabama by Peggy Bulger from 1988 to 1990 in the Peggy Bulger Collection. The staff expanded and refined StoryPortal, a browser-based search interface for the StoryCorps Collection.

The AFC presented 13 Homegrown Concerts and

eight Borkin Lectures. The AFC produced two 2-day symposia, "Work and Transformation" and "Literatura de Cordel: Continuity and Change in Brazilian Popular Literature." All AFC public programs have been recorded and are online or pending as webcasts. AFC implemented beta-testing projects in its new Community Documentation Project in Occupational Folklore, to collect community-based interviews about occupational culture from ethnographers working in this field, documenting numerous occupations.

The AFC awarded the second round of Archie Green Fellowships to support original field research in the area of occupational folklore. The Center hosted one Junior Fellow and eight interns and awarded the Parsons and Reed Fellowships for research. The AFC continued to be a leader in international discussions concerning intangible cultural heritage and traditional knowledge, participating at the United Nations Educational, Scientific and Cultural Organization, the World Intellectual Property Organization (WIPO), and the Organization of American States meetings. The AFC continued to develop its online training site to expand upon a pilot program in collaboration with WIPO and the Center for Documentary Studies at Duke University to provide cultural documentation training to indigenous communities worldwide.

AFC also continued its work on both the Veterans History Project and the Civil Rights History Project which is a collaborative project with the Smithsonian Institution's National Museum of African American History and Culture.

### Veterans History Project

The Veterans History Project (VHP) of the American Folklife Center collects, preserves, and makes accessible the personal accounts of American war veterans so that future generations may hear directly from the veterans and better understand the realities of war. In addition to veterans, VHP collects the accounts of U.S. citizen civilians who were actively involved in supporting war efforts, such as war industry workers, USO workers, flight instructors, medical volunteers, etc.. The Project collects first-hand accounts of U.S. Veterans from World War I (1914-1920), World War II (1939-1946), the Korean

War (1950-1955), the War in Viet Nam (1961-1975), the Persian Gulf War (1990-1995), and the Afghanistan and Iraq conflicts (2001-present).

In fiscal 2011, the VHP continued the groundwork laid during its first ten years by focusing on elevating standards, meeting researcher needs, and developing collections. The Project continued to focus on collections development of under-represented veterans' experiences such as chaplains and Korean War veterans and has done so while renewing, strengthening, and creating new ties with strategic organizational and regional participants and engaging a broad spectrum of individual volunteers. Having amassed more than 75,000 collections, the Project receives more than 100 new collections per week and currently has more than 10,500 collections digitized. In fiscal 2011, more than 7,000 new collections were added. There are now more than 16,000 RSS (Really Simple Syndication) subscribers and growing evidence of participant-initiated social media campaigns. VHP is the largest oral history project in the country, drawing public participation that meets the elevated standards of the Library of Congress.

The VHP worked with more than 200 congressional offices to provide services, including commemorative submission events, training sessions for volunteer interviewers, individual briefings on participation, and instructional video conferences with educators and other groups. Throughout the year, VHP participated in programs with educational institutions, libraries, professional organizations, communities, federal agencies, and veterans groups; examples include the U.S. Department of Defense Commemorative Commissions for both the 60th Anniversary of the Korean War and the 50th Anniversary of the Vietnam War, the U.S. Navy Memorial, Zora Neale Hurston Institute, American Red Cross, Vietnam Veterans Memorial Foundation, HISTORY Channel, and the Department of Veterans Affairs (VA).

The Project also presented a groundbreaking series focused on the service of chaplains from World War II through the present conflicts in Iraq and Afghanistan, to encourage and reach more chaplains' collections. In three separate panel discussions at the U.S. Navy Memorial, the House Committee on Veterans Affairs chamber, and the Library, VHP featured the experience of historic chaplains, including the first African American chaplain elevated to a position at the VA National Chaplain Center, the first Muslim appointed as an Imam chaplain in the U.S. military, and former Chief of Chaplains and World War II veteran, Admiral Ross Trower. This led to

a commitment from the Military Chaplains Association to record 213 interviews of its membership by 2013. Another example of an initiative driven by research interest was with the U.S. Navy Memorial, the U.S. Department of Defense 60th Anniversary of the Korean War Commemoration Committee, and the University of Central Florida (UCF). VHP presented a film screening and panel discussion about Ensign Jesse Leroy Brown, the nation's first African-American to be trained as an aviator for the U.S. Navy. Moderated by Medal of Honor recipient Captain Thomas J. Hudner, Jr., U.S. Navy (Ret.), the event precipitated an initiative with UCF and the Korean War Commission to gather further Korean War Veteran stories for VHP. Through its web site, the Project presented three online exhibits: "The First Ten Years", "Chaplains: On a Divine Mission", and "Wings of War." VHP served more than 40 onsite researchers a total of 612 collections and responded to more than 1,200 QuestionPoint and other email requests.

Some highlights of collections use include two upcoming major release documentaries on the Vietnam War, support for an exhibit at the National Postal Museum, and public-space installations such as a Veterans Memorial Hall in Iowa and a rehabilitation hospital in Maryland. VHP also provided 126 copies of audio-visual materials, at no cost, to requesting veterans or their families, many in preparation for memorial services.

### Civil Rights History Project

On May 12, 2009, the President signed The Civil Rights History Project Act of 2009. This law directs the Library of Congress and the Smithsonian Institution's National Museum of African American History and Culture to conduct a survey of existing oral history collections with relevance to the Civil Rights Movement, and to record new interviews with people who participated in the Movement. The Project's accomplishments through fiscal 2011 include creating a web portal that provides public access to detailed information about existing recorded interviews with participants in the Civil Rights Movements that are housed in 900 archives, libraries, museums, and other repositories around the country; receiving, processing and preserving the first batch of new, recorded interviews with Movement participants generated by the Project; providing technical assistance to the Project's interview team; and working with other divisions of the Library of Congress to identify Civil Rights-era materials in the Library's holdings in order to digitize and provide access to previously inaccessible collections.



## APPENDIX B: Overseas Offices, Cooperative Acquisitions Program

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### Cairo, Egypt, Field Office

The Library of Congress office in Cairo, Egypt, was established in 1963 and functions as a regional center for processing materials acquired from countries in the regions of the Middle East and North Africa. Countries covered are Algeria, Bahrain, Egypt, Gaza, Iraq, Jordan, Kuwait, Lebanon, Libya, Mauritania, Morocco, Oman, Qatar, Saudi Arabia, Sudan, Syria, Tunisia, Turkey, United Arab Emirates, West Bank, and Yemen. Each country has special conditions that affect the publishing output in these countries. Political unrest, censorship, war, poverty, and a general lack of standards in publishing regularly challenge the office as staff carry out its mission. In addition to collecting for the Library, the Cairo office collects materials for the 45 research libraries participating in the office's Middle East Cooperative Acquisitions Program (MECAP).

The office acquires newly published books on all subjects as well as some materials in other formats, such as maps, DVDs, and CDs. In addition to Arabic, other languages that the office covers include Turkish, Kurdish, and Armenian. Materials are selected for the quality of scholarship, importance of subject, and extent to which the titles add to the knowledge of a subject or an event. The office collects government documents, noncommercial publications, newspapers, magazines, and academic journals. These materials provide the Congress, researchers, and faculty with vital primary and secondary research material to provide them with a better understanding of the history, politics, and culture of these countries.

In addition to site visits and acquisitions travel, the office uses an extensive network of vendors and representatives to acquire materials from the countries it covers. With a staff of 34 including its American field director, the office processes and catalogs materials acquired before sending them to Washington, DC and the 41 MECAP participants.

Fiscal 2011 saw revolution in the office's host country Egypt, leading to the evacuation of the field director for three months, who ran operations from Washington. Despite the daily turmoil and lack of security apparatuses, local staff kept operations unbroken and worked hard

to ensure the timely arrival of materials in Washington. This was exceptionally challenging because of the unrest in other countries of the region, particularly Yemen, Syria, Tunisia, and Libya. Coordinated efforts enabled the office to continue receiving and processing materials from these countries. Despite the political and social upheaval, office staff managed to gather several specimens of pamphlets, brochures, and statements forming the primary source materials of these revolutions, no small matter in countries where information and opinions had previously not been freely expressed. The events led to the office and Congressional Research Service (CRS) forming a closer working relationship, as the office ramped up its capacity to route daily press summaries and statements to CRS research staff to inform them better of the events "on the ground."

Fiscal 2011 statistics are as follows:

- Acquired 9,536 books for the Library of Congress
- Acquired 11,648 books for MECAP participants
- Acquired 572 items in special formats (maps, music, and videos/DVDs) for the Library of Congress
- Acquired 305 special format items for MECAP participants
- Maintained active subscriptions for 3,221 newspaper and journal titles for the Library of Congress
- Acquired 43,958 pieces of newspaper and journal titles for the Library of Congress
- Acquired 37,371 serial and newspaper issues for MECAP participants
- Created 9,319 bibliographic records for materials acquired.

### Islamabad, Pakistan, Field Office

The Library of Congress office in Pakistan was established in 1962 in Karachi, Pakistan; in 1995, it shifted operations to the capital. The office functions as a regional center for processing materials acquired from Pakistan, Afghanistan, and Iran. Political unrest, censorship, war, poverty, and general lack of standards in publishing regularly challenge the office as staff carry out its mission. The office offers a Cooperative Acquisitions Program (CAP) for libraries and research institutions; at

present, the office serves 40 research libraries.

The office acquires newly published books and journals on all subjects and formats including maps, DVDs, and CDs. In addition to English, the office acquires materials in Urdu, Punjabi, Pushto, Sindhi, Persian, Balochi, Seraiki, Brahui, Kashmiri, Hindko, Khowar, Gujuri, Burushaski, and Kalami. Expert librarians direct the acquisitions effort using acquisitions trips as well as an extensive network of vendors to acquire materials. A staff of 29, including its American director, is responsible for all aspects of this active program.

The office selects materials based on the quality of scholarship, importance of subject, and the extent to which the titles add to the knowledge of a subject or an event. The office collects government documents, non-commercial publications, newspapers, magazines, and academic journals. These materials provide the Congress, researchers, and faculties with vital primary and secondary research material to enable them to better understand the history, politics, and culture of these countries. Over the past few years, the office has collected an in-depth array of religious materials of interest to scholars and analysts seeking a better understanding of the religious political regional landscape. All materials are cataloged directly into the Library's system, saving significant resources.

Fiscal 2011 statistics are as follows:

- Acquired 4,245 books for the Library of Congress
- Acquired 380 items in special formats (maps, music, and videos/DVDs) for the Library of Congress
- Acquired subscriptions for 27,624 newspaper and journal issues for the Library of Congress
- Created 7,696 bibliographic records for the materials acquired.

### **Jakarta, Indonesia, Field Office**

The Library of Congress office in Jakarta, Indonesia, opened in 1963, consists of a staff of 50, including an American director. With sub-offices in Bangkok, Kuala Lumpur, Manila, and Yangon, the office is responsible for bibliographic control and the acquisition of research materials for the Library and more than 36 research libraries in Asia, Europe, and North America participating in the Southeast Asia Cooperative Acquisitions Program (CAPSEA).

The region is a major source for international business, scientific and technical information, and is one of the world's biodiversity treasures. A significant percentage of what the office collects includes unpriced noncommercial

materials that can only be acquired by visiting physically and virtually both government and non-profit organizations, and on occasion going to provincial centers and adjacent countries.

Jakarta is one of two overseas offices that have a digital and microformat preservation operation. Under the U.S. House Democracy Partnership, the office assists Timor Leste and Indonesia in strengthening their parliamentary information systems. This effort assisted the office to meet the goal to integrate digital technology into the core operations while providing congressional, CRS, and the Federal Research Program (FRP) staff with current regional information on a daily basis.

About 10 percent of monographs acquired and 40 percent of preservation reformatting are digital now, compared to there being no digital collection items as recently as 1995. Although the office is able to provide congressional and Library staff with access to digital materials, the office, with assistance and guidance from the Library in Washington, DC, is only beginning experimentation to develop a system to transfer routinely the overseas digital data to the Library for public access. There are unsolved intellectual property challenges that inhibit providing digital data to CAPSEA. Interagency cooperation encouraged by the management of the Department of State (DOS), especially the Embassy in Jakarta, has meant that more staff time is allocated to joint projects with executive agencies, and this has resulted in enhancing the Library's overseas' mission. There have been improved interagency relations and a more responsive local facility management in complying with International Cooperative Administrative Support Services (ICASS) standards, yet DOS has yet to provide significant ways to reduce overhead costs to its service providers. The increase in digital information offers access opportunities; Indonesia, for example, is one of the largest users world-wide, of Twitter and Facebook, two U.S.-founded enterprises. Regional vernacular printed titles have expanded, as the level of education in the region and democratic practices spread. This is reflected in the high percentage of non-English materials cataloged.

For fiscal 2012, the office will review operations to support a zero-based budget environment while expanding a digital orientation to mesh with the Bibliographic Framework Transition Initiative and improve meeting Legislative Branch and participant needs. Using metrics such as the selected ones noted below will provide quantifiable measurements for improving quality assurance management.

Fiscal 2011 selected statistics are as follows:

- Acquired 75,899 pieces for the Library of Congress
- Acquired 91,067 for CAPSEA participants
- Created 14,979 bibliographic records for the materials acquired
- Acquired 19,479 monographs for the Library of Congress
- Acquired 36,104 books for CAP participants
- Acquired 2,487 born digital items for the Library of Congress
- Acquired 1,202 maps for the Library of Congress
- Created 581 Digitized Table of Contents
- Completed 3,302 local and regional acquisitions visits for the Library of Congress and CAP participants
- Produced 715 reels of microform for the Library of Congress
- Reformatted 1,883,036 pages of analog and digital materials for the Library of Congress
- Sent more than 2,549 electronic items to congressional and CRS staff
- Sent out 150 acquisitions circulars to CAP participants.

### Nairobi, Kenya, Field Office

Established in 1966, the Library of Congress office in Nairobi, Kenya, acquires and catalogs publications in all subjects except clinical medicine and technical agriculture from commercial, government, and nontrade sources from 29 sub-Saharan countries that include: Angola, Botswana, Burundi, Cameroon, Comoros, Congo (D.R.), Djibouti, Eritrea, Ethiopia, Gabon, Ghana, Kenya, Lesotho, Madagascar, Malawi, Mauritius, Mayotte, Mozambique, Namibia, Reunion, Rwanda, Senegal, Seychelles, Somalia, Swaziland, Tanzania, Uganda, Zambia, and Zimbabwe. The office acquires publications not only for the national libraries (Library of Congress, National Agricultural Library, and National Library of Medicine), but also for 31 institutions that participate in the Cooperative Acquisitions Program (CAP) – primarily U.S. university libraries.

In addition to acquiring materials, the office catalogs all monographs and new serial titles that are acquired and maintains records of all issues of newspapers and other serials that are received in Nairobi. Approximately four thousand bibliographic records are created per year, and more than three thousand of these are monographs and serials; others are non-book materials such as maps, CDs, or DVDs. Materials are in Amharic/Tigrinya, English, French, German, Portuguese, and more than 40

vernacular languages.

Since 1991, the office has published the Quarterly Index to Africana Periodical Literature, which is available free online for U.S. and international scholars. It indexed more than 700 selected journals from 29 countries in Eastern, Southern, and Western Africa. The database currently has more than 51,000 indexed citations that would otherwise be unknown to scholars for research. Types of journals indexed include government documents, nongovernment organization publications, statistical sources, and commercial publications. Due to budget constraints and changing research needs, the index will no longer be updated by the office.

More than 400 news reports and 230 electronic copies of the Namibia national gazette were sent to the CRS, FRP, and Law Library.

Another noteworthy function of the office is the preservation of African newspapers. A total of 22,903 newspaper issues were received and checked-in, more than 460 thousand pages were collated and shipped to the Library of Congress New Delhi Office, and about 110 thousand pages were shipped to the Library of Congress in Washington for microfilming with funding from the Madison Council Trust Fund.

The Nairobi Office continued to contribute to the digitized table of contents (DTC) project. In fiscal 2011, the office selected 595 titles for the DTC Project.

The office is staffed with 24 employees, including an American director.

Fiscal 2011 statistics are as follows:

- Acquired 36,952 pieces for the Library of Congress
- Acquired 61,652 pieces for AfriCAP participants
- Acquired 3,567 books for the Library of Congress
- Acquired 26,780 newspapers and gazettes for the Library of Congress
- Acquired 5,586 other serials for the Library of Congress
- Created 3,867 new bibliographic records for materials acquired for the Library of Congress
- Indexed 1,625 new articles for the Quarterly Index to African Periodical Literature.

### New Delhi, India, Field Office

The Library of Congress office in New Delhi, India, established in 1963, is the regional center for the acquisition and processing of materials published in India, Bhutan, and the Maldives, as well as Bangladesh,

Nepal, and Sri Lanka, where it maintains sub-offices. Its mission is to respond to the information needs of the Congress, other U.S. agencies, and the scholarly community by (1) developing the South Asia collections of the Library in a comprehensive and in-depth manner, (2) providing complete online bibliographic access to these publications, (3) preserving "at risk" publications, and (4) administering the South Asia Cooperative Acquisitions Program (SACAP) on behalf of 43 university and institutional libraries.

Challenges to the accomplishment of the mission result from the lack of a developed book trade, which impedes the identification and acquisition of new research quality publications without a local presence. The situation is further aggravated by the large volume and uneven quality of the commercial, noncommercial, and government publishing sectors, all of which reflect the active social, political, and economic environment in the world's largest democracy. High-speed development and economic growth have resulted in significant economic disparities.

The office is staffed with 88 local employees, an American director and deputy director. The staff have expertise in: Awadhi, Assamese, Bengali, Bhojpuri, Braj, Dingal, Diwehi, Dogri, Dzongkha, English, Garhwali, Gujarati, Himachali, Hindi, Kannada, Kodagu, Konkani, Kumauni, Magahi, Maithili, Malayalam, Malvi, Marathi, Nepali, Newari, Nimadi, French, German, Portuguese, Spanish, Oriya, Pali, Panjabi, Prakrit, Rajasthani, Sanskrit, Sinhalese, Siraiki, Tamil, Telugu, Tibetan, Tulu, and Urdu. A total of 26 dealers in the region send commercial publications to the office for selection for the Library and the SACAP participants. Library staff conduct local and distant acquisitions trips to obtain noncommercial, controversial, underground, and hard-to-acquire publications which are not available to commercial dealers.

The Office produces preservation-quality masters, print negatives, and positives of 293 newspapers, 48 periodicals, and 22 gazettes from 47 countries covered by Delhi, Bangladesh, Nepal, and Sri Lanka; Library offices in Cairo, Islamabad, and Nairobi; and the Library representative in Mongolia.

Fiscal 2011 statistics are as follows:

- Acquired 16,670 books for the Library of Congress
- Acquired 56,007 books for SACAP participants
- Acquired 951 items in special formats (maps, music, and videos/DVDs) for the Library of Congress
- Acquired 2803 special format items for SACAP participants

- Acquired 55,359 issues of newspapers, journals and gazettes for the Library of Congress
- Acquired 67,486 serial and newspaper issues for SACAP participants
- Created 11,303 bibliographic records in 29 languages for materials acquired
- Produced 8,323 microfilm reels (master negatives, printing negatives, and positives) for the Library of Congress.

### Rio de Janeiro, Brazil, Field Office

The Library of Congress office in Rio de Janeiro, Brazil, established in 1966, processes materials acquired from five South American countries: Brazil, Uruguay, Suriname, French Guiana, and Guyana. Rio de Janeiro Office acquisitions librarians collect hard-to-find academic materials for use by Congressional policy makers, the Hispanic Division's Handbook of Latin American Studies, and the international scholarly community through detailed field work.

In addition to acquiring materials for the Library, the Rio de Janeiro Office acquires serials and CDs for 40 research libraries participating in the Office's CAP. The Rio de Janeiro CAP started in 1990 with serial subscriptions; music CDs were added in 1999. The 294 serial titles offered include scholarly journals and newspapers in economics, history, culture, and law. An additional 368 biomedical serial titles are acquired by the Rio de Janeiro Office for the National Library of Medicine (NLM). Brazil's medical research is important to NLM because Brazil is known for its advances in such areas as tropical medicine, dentistry, plastic surgery, phytomedicine, and antibiotics research.

Book dealers and vendors are effective in providing commercially-available monographs from Brazil, but local Library staff members are needed to acquire research material from noncommercial Brazilian sources. Challenges faced include poor distribution of published materials, lack of advertising, legal barriers, inaccessibility, and unusually high costs. Business practices in these countries require frequent personal follow-up visits and monitoring of standing purchase orders. With a staff of 15, including its American field director, the Rio de Janeiro Office processes and catalogs the materials acquired before sending them to Washington, DC, or to the 40 CAP participants.

Fiscal 2011 statistics are as follows:

- Acquired 6,442 books for the Library of Congress
- Acquired 173 books for NLM

- Acquired 265 items in special formats (maps, music, and videos/DVDs) for the Library of Congress
- Acquired 608 CDs for CAP participants
- Acquired 9,797 newspaper and journal pieces for the Library of Congress
- Acquired 10,086 serial and newspaper issues for CAP participants
- Created 4,797 bibliographic records for materials acquired

**Library of Congress  
Cooperative Acquisitions Program Participants by State and Country**

	Participant	India	Egypt	Pakistan	Kenya	Indonesia	Brazil
<b>United States:</b>							
Alabama	Fairchild Research Information Center		X				
Arizona	Arizona State University	X				X	
	University of Arizona		X				
California	Stanford University			X	X		X
	UC, Berkeley	X	X	X	X	X	X
	UC, Berkeley, Law Library			X	X	X	
	UC, Irvine					X	
	UC, Los Angeles	X		X	X	X	X
	UC, Riverside					X	
	UC, San Diego						X
	UC, Santa Cruz						X
	University of Southern California						X
	Connecticut	Yale University	X	X	X	X	X
Yale University Law Library		X	X	X	X		
District of Columbia	Inter-American Development Bank						X
	Open Source Center					X	
	U. S. Department of Defense		X				
Florida	University of Florida						X
Georgia	Emory University	X			X		X
	University of Georgia						X
Hawaii	University of Hawaii	X		X		X	
Illinois	Center for Research Libraries	X		X	X	X	
	Northern Illinois University					X	
	Northwestern University				X		
	University of Chicago	X	X	X	X		
	University of Illinois	X	X	X	X		X
	Univ. of Illinois, Modern Languages & Linguistics Library		X				
Indiana	Indiana University	X	X		X		
	University of Notre Dame						X
Iowa	University of Iowa	X		X	X		X
Kansas	University of Kansas				X		
Louisiana	Tulane University						X
Maryland	National Agricultural Library	X	X	X	X	X	
	National Library of Medicine	X	X	X	X	X	X
	University of Maryland			X			
Massachusetts	Boston University				X		
	Harvard University	X		X	X	X	X

**Library of Congress  
Cooperative Acquisitions Program Participants by State and Country**

	Participant	India	Egypt	Pakistan	Kenya	Indonesia	Brazil
	Harvard Law Library	X	X	X		X	
	Harvard Middle Eastern Division	X	X	X			
Michigan	University of Michigan	X	X	X	X	X	X
	Michigan State University				X		X
Minnesota	University of Minnesota	X		X			X
Missouri	Washington University	X	X	X			
Montana	Tibetan Language Institute	X					
New Jersey	Princeton University		X	X	X		X
	Rutgers University						X
New Mexico	University of New Mexico						X
New York	Columbia University	X	X	X	X	X	X
	Columbia University Law Library	X		X	X		
	Cornell University	X	X	X	X		X
	Cornell University Echols Collection	X				X	
	Cornell University Law Library	X		X			
	Cornell University Mann Library			X			
	New York Public Library	X	X		X		X
	New York University	X	X	X			X
	SUNY, Binghamton		X				
	Syracuse University	X					
	Vassar College	X					
North Carolina	Duke University	X	X	X	X		X
	North Carolina State University	X		X			
	University of North Carolina	X	X	X		X	X
	University of North Carolina - South Asia Collection	X					
Ohio	ITSC Library		X	X	X		
	Ohio State University		X				X
	Ohio University				X	X	
	Wooster College	X		X			
Oregon	Portland State University		X				
Pennsylvania	Pennsylvania State University					X	
	Temple University		X			X	
	University of Pennsylvania	X	X	X	X		
	University of Pittsburgh						X
	University of Pittsburgh Law Library		X				
Rhode Island	Brown University		X				X
Tennessee	Vanderbilt University						X

**Library of Congress  
Cooperative Acquisitions Program Participants by State and Country**

	Participant	India	Egypt	Pakistan	Kenya	Indonesia	Brazil
Texas	Rice University						X
	University of Texas	X		X		X	X
Utah	Brigham Young University		X				X
	University of Utah		X				
Virginia	University of Virginia	X	X	X			
Washington	University of Washington	X	X	X		X	X
Wisconsin	American Institute of Pakistan Studies	X					
	University of Wisconsin	X		X	X	X	X
<b>Subtotal, United States</b>	<b>82 participants</b>	<b>41</b>	<b>35</b>	<b>37</b>	<b>30</b>	<b>25</b>	<b>38</b>
<b>Foreign Countries:</b>							
Australia	Murdoch University Library					X	
	National Library of Australia					X	
Canada	McGill University		X	X		X	
	Royal Ontario Museum	X				X	
	University of British Columbia					X	
	University of Toronto	X	X	X			
Egypt	American University, Cairo		X				
Germany	Ibero-Amerikanisches Institut						X
	Universitäts Bibliothek, Frankfurt-am-Main				X		
	Universitäts und Landesbibliothek Sachsen-Anhalt			X			
Japan	Kyoto University, Center for Southeast Asian Studies					X	
	National Diet Library					X	
Morocco	King Abdul Aziz al-Saoud Foundation		X				
The Netherlands	Peace Palace Library		X				
	Royal Institute of Linguistics					X	
Saudi Arabia	National Center for Financial and Economic Information (NCFEI)		X				
Singapore	Institute for South East Asian Studies					X	
	Singapore National Library Board					X	
Switzerland	International Labor Organization		X				
United Kingdom	British Library		X				
	University of Essex						X
	University of Exeter		X				
<b>Subtotal, Foreign</b>	<b>22 participants</b>	<b>2</b>	<b>9</b>	<b>3</b>	<b>1</b>	<b>10</b>	<b>2</b>
<b>TOTAL</b>	<b>104 participants</b>	<b>43</b>	<b>44</b>	<b>40</b>	<b>31</b>	<b>35</b>	<b>40</b>



## APPENDIX C:

### Acquisition of Library Materials by Source Fiscal 2007 - Fiscal 2011

Acquisition of Library Materials by Source Fiscal 2007 - Fiscal 2011					
Source	Pieces				
	Fiscal 2007	Fiscal 2008	Fiscal 2009	Fiscal 2010	Fiscal 2011
<b>Purchases:</b>					
Appropriated - GENPAC/LAW	712,129	1,171,227	723,390	888,496	1,883,489
Appropriated Other	83,574	17,848	27,686	27,323	11,485
Gift and Trust Funds	13,494	7,326	8,382	164,202	7,987
<b>Total Purchases</b>	<b>809,197</b>	<b>1,196,401</b>	<b>759,458</b>	<b>1,080,021</b>	<b>1,902,961</b>
<b>Non-Purchases:</b>					
Exchange	151,479	145,981	125,228	126,998	122,954
Government Transfers	58,174	77,511	84,146	322,511	72,982
Gifts	1,619,338	1,511,181	847,945	1,005,407	1,556,198
Cataloging in Publication/PCN	80,373	87,479	83,551	113,877	101,942
Copyright Deposits	1,077,152	526,508	739,364	814,243	706,583
<b>Total Non-Purchases</b>	<b>2,986,516</b>	<b>2,348,660</b>	<b>1,880,234</b>	<b>2,383,036</b>	<b>2,560,659</b>
<b>Total All Acquisitions</b>	<b>3,795,713</b>	<b>3,545,061</b>	<b>2,639,692</b>	<b>3,463,057</b>	<b>4,463,620</b>



## APPENDIX D:

### Library of Congress Mass Deacidification Project Fiscal 2001 – Fiscal 2011

The Library's Mass Deacidification Project will stabilize more than 8.5 million general collections books and at least 30 million pages of manuscripts over a 30 year period. Deacidification is an economical approach to keeping books and manuscripts available in usable form. It extends the useful life of acidic and slightly brittle paper by a minimum of 300 percent. This assures that, in most cases, treated materials will survive for 300 to 1,000 years or longer rather than becoming unusable in less than a century. The technology thus achieves economies of scale and future cost-avoidance.

With a successful mass deacidification program in place since 1995, the Library has extended the useful life of more than 3 million books and 8 million sheets of manuscript materials from the Library's collections. The Library initiated a 5-year deacidification services contract in fiscal 2006 that has saved more than 1.25 million books and more than 5 million sheets of original manuscript materials. The Library negotiated the next 5-year contract, effective January 1, 2011, which should ensure saving the same quantities of at-risk acidic, paper-

based Library materials by the end of 2015.

In fiscal 2011, the preservation directorate mass deacidified 288,334 books through contracted commercial deacidification (at Preservation Technologies, L.P.'s 'Bookkeeper' facility in Pennsylvania) and 1,013,400 manuscript sheets with equipment installed in the James Madison Building. This was over the annual goal to treat a minimum of 250 thousand books and more than the annual minimum requirement to deacidify at least 1 million sheets of unbound materials.

The production goal for each succeeding year will continue to achieve deacidification of a minimum of 250 thousand books and at least 1 million sheets of manuscript materials. Current projections are that the Library will treat an additional 5.25 million books and almost 21 million sheets of unbound materials in the remaining years of the 30-Year Plan. After that, the activity will be pared back to deacidify much smaller quantities each year and to treat only new acquisitions still printed on acidic paper.

**Deacidification Treatment Fiscal 2001 - Fiscal 2011**  
(Dollars in Thousands)

Fiscal Year	Collections Treated		Total Obligations
	Books	Manuscripts	
2001	104,497	0	\$1,213
2002	170,600	0	2,748
2003	215,319	696,000	3,687
2004	299,064	1,219,500	4,681
2005	296,119	1,012,500	5,445
2006	298,826	1,069,500	6,614
2007	292,648	1,086,000	5,551
2008	345,937	1,066,500	4,329
2009	325,830	736,500	6,284
2010	330,497	1,365,000	5,444
2011	288,334	1,013,400	5,664
2012-2030			\$176,551
<b>Total, Actual and Estimated Thirty-Year Mass Deacidification Program Cost</b>			<b>\$228,211</b>



## APPENDIX E: National Digital Information Infrastructure and Preservation Program

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### Overview

The National Digital Information Infrastructure and Preservation Program (NDIIPP) was initiated in December 2000, when the Congress appropriated \$100 million for the program and authorized the Library to work with other federal agencies and a variety of additional stakeholders to develop a national strategy for the preservation of at-risk digital content. Since then, the Library has led the formation of a national network of partners dedicated to collecting and preserving important and "at-risk" born digital information.

Over the last nine years, the Library and its partners have been engaged in learning through action that has resulted in an evolving understanding of the most appropriate roles and functions for a national network of diverse stakeholders to preserve at-risk, born digital content. NDIIPP continues to strengthen and sustain current partnerships while focusing on developing preservation methodologies for emerging content types that are being created and distributed primarily via the Web. NDIIPP's mission is to ensure access over time to a rich body of digital content through the establishment of a national network of partners committed to selecting, collecting, preserving, and making accessible at-risk digital information. A detailed program report can be found online at: [www.digitalpreservation.gov/library/resources/pubs/docs/NDIIPP2010Report\\_Post.pdf](http://www.digitalpreservation.gov/library/resources/pubs/docs/NDIIPP2010Report_Post.pdf).

### Fiscal 2011 Accomplishments

By the end of fiscal 2011, the program accomplished the following:

**Content:** The program results include providing a central access point to more than 14 thousand at-risk collections, which were identified, collected, and preserved by the Library and its partners. In total, 90 percent are made accessible online either publicly or to researchers.

**Network:** More than 200 organizations are working together through National Digital Stewardship Alliance to expand and leverage the work of the NDIIPP Program. The alliance brings together academic, research, government, and business sectors. The program co-sponsored a symposium to identify synergies and common approaches to digital preservation that can be leveraged internationally. The program co-led a Library

Strategic Plan annual objective to identify criteria for the preservation of the Library's digital materials which incorporates standards and practices developed in the NDIIPP partnerships.

**Technical Infrastructure:** Storage and transfer infrastructure for 400 terabytes of partner content in place at the Library was improved. More than 25 shared technical tools and services were made available for public download through open source licensing. Tools and services to leverage cost-effective cloud services for preservation were deployed in 2011, and the Library began the implementation of partner developed tools to audit and manage digital files.

### Goals for Fiscal 2012 – Fiscal 2016

A significant reduction in funding has increased the importance of working collaboratively with partners through the Network and lengthened the timeframes for achieving the stated goals. Additionally the reduction has eliminated the ability of the Program to make grants for digital preservation research and development. Nonetheless, NDIIPP plans to meet the following goals by 2016:

**Content:** Effectively sustain and provide appropriate access to more than two thousand digital collections selected and collected for preservation through the NDIIPP partnerships. There is an emphasis on developing collections of content that is emerging from new communities and organizations such as science that engages citizens, journalism that is manifest in blogs, and social media as the focus of social science research.

**Network:** Work through the National Digital Stewardship Alliance with organizations from across the government, academic, non-profit, and commercial sectors to sustain preservation action especially in outreach to all 50 states. The goal is to engage these organizations in initiatives that provide benefit and usefulness locally and nationally.

**Technical Infrastructure:** Develop mechanisms, standards, and tools for cost-effective storage and secure management of digital collections distributed across the partnerships. Tools developed through the program are required to be open source and to be applicable to general digital preservation.

**Library of Congress  
NDIIPP Partners and Projects**

State	Partner	Project/Activity
Alabama	Auburn University Libraries	member of National Digital Stewardship Alliance (NDSA), partner in MetaArchive Project part of the Digital Preservation Partners initiative
	Alabama Department of Archives and History	partner in Persistent Digital Archives and Library System (PeDALS) part of the Preserving State Government Information initiative
Alaska	Alaska Division of Libraries, Archives & Museums	member of National Digital Stewardship Alliance (NDSA), partner in Multi-State Preservation Consortium part of the Preserving State Government Information initiative
Arizona	University of Arizona, Eller College of Management	lead partner in Investigating Data Provenance in the Context of New Product Design and Development part of the Digital Architecture and Long Term Preservation (DIGARCH) initiative
	Arizona State Cartographer's Office	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	Arizona State Library, Archives and Public Records	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
Arkansas	Arkansas History Commission	partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
	Arkansas State Library	partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
California	Internet Archive	member of National Digital Stewardship Alliance (NDSA), member of International Internet Preservation Consortium (IIPC), lead partner in K-12 Web Archiving, partner in Web Capture, partner in Tools and Services for Preserving Digital Video (VidArch)
	Defense Visual Information Directorate	member of Federal Agencies Digitization Guidelines Audio-Visual Working Group
	Gallivan, Gallivan & O'Melia LLC	partner in Birth of the Dot Com Era part of the Digital Preservation Partners initiative
	Ropers Majeski, Kohn & Bentley PC	partner in Birth of the Dot Com Era part of the Digital Preservation Partners initiative
	Snyder, Miller & Orton LLP	partner in Birth of the Dot Com Era part of the Digital Preservation Partners initiative
	Stanford University	member of National Digital Stewardship Alliance (NDSA), lead partner in Stanford iCME Center of Excellence for Computational Approaches to Digital Stewardship, lead partner in Securely Managing the Lifetime of Versions in Digital Archives part of the Digital Architecture and Long Term Preservation (DIGARCH) initiative, partner in Blue Ribbon Task Force on Sustainable Digital Preservation and Access, lead partner in Archive Ingest and Handling Test, partner in National Geospatial Digital Archive (NGDA) part of the Digital Preservation Partners initiative, lead partner in LOCKSS/CLOCKSS, partner in JHOVE2: A Next Generation Architecture for Format Aware Digital Preservation Processing, partner in Web at Risk: A Distributed Approach to Preserving Our Nation's Political/Cultural Heritage part of the Digital Preservation Partners initiative, partner in Preserving Virtual Worlds part of the Preserving Creative America initiative
	University of California, Santa Barbara (UCSB)	lead partner in National Geospatial Digital Archive (NGDA) part of the Digital Preservation Partners initiative
	California Digital Library	member of National Digital Stewardship Alliance (NDSA), lead partner in Web at Risk: A Distributed Approach to Preserving Our Nation's Political/Cultural Heritage part of the Digital Preservation Partners initiative, member of International Internet Preservation Consortium (IIPC), partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative, lead partner in JHOVE2: A Next Generation Architecture for Format Aware Digital Preservation Processing, lead partner in Unified Digital Format Registry (UDFR)

**Library of Congress  
NDIIPP Partners and Projects**

State	Partner	Project/Activity
	University of California, Berkeley	partner in Blue Ribbon Task Force on Sustainable Digital Preservation and Access, partner in Web at Risk: A Distributed Approach to Preserving Our Nation's Political Cultural Heritage part of the Digital Preservation Partners initiative
	University of California, Los Angeles	partner in Preserving Digital Independent Film as part of the Preserving Creative America initiative, partner in Web at Risk: A Distributed Approach to Preserving Our Nation's Political Cultural Heritage part of the Digital Preservation Partners initiative
	J. Paul Getty Trust	member of Section 108 Study Group
	Universal Mastering Studios	member of Section 108 Study Group
	University of California, San Diego	member of National Digital Stewardship Alliance (NDSA), lead partner in Digital Preservation Lifecycle Management: Building a Demonstration Prototype for the Preservation of Large Scale Multimedia Collections part of the Digital Architecture and Long-Term Preservation (DIGARCH) initiative, partner in Blue Ribbon Task Force on Sustainable Digital Preservation and Access, lead partner in Chronopolis, lead partner in Distributed Storage and Preservation Services, partner in Tools and Services for Preserving Digital Video (VidArch)
	Scripps Institution of Oceanography	lead partner in Multi-Institution Testbed for Scalable Digital Archives part of the Digital Architecture and Long-Term Preservation (DIGARCH) initiative
	Academy of Motion Picture Arts and Sciences	member of National Digital Stewardship Alliance (NDSA), lead partner in Digital Motion Picture Archive Framework Project part of the Preserving Creative America Initiative, partner in Blue Ribbon Task Force on Sustainable Digital Preservation and Access
	NBC/Universal	partner in Digital Motion Picture Archive Framework Project part of the Preserving Creative America initiative
	Sony Pictures	partner in Digital Motion Picture Archive Framework Project part of the Preserving Creative America initiative
	Twentieth Century Fox	partner in Digital Motion Picture Archive Framework Project part of the Preserving Creative America initiative
	Warner Brothers	partner in Digital Motion Picture Archive Framework Project part of the Preserving Creative America initiative
	University of California, Irvine	partner in Blue Ribbon Task Force on Sustainable Digital Preservation and Access
	California State Archives	partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
	California State Library	member of National Digital Stewardship Alliance (NDSA), partner in partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative, partner in Multi-State Preservation Consortium part of the Preserving State Government Information initiative
	Legislative Counsel of California	partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
	National Academy of Recording Arts Producers and Engineers Wing	partner in Metadata Schema Development for Recorded Sound part of the Preserving Creative America initiative
	Linden Lab	partner in Preserving Virtual Worlds part of the Preserving Creative America initiative
	University of Southern California	member of National Digital Stewardship Alliance (NDSA)
	Audiovisual Archive Network	member of National Digital Stewardship Alliance (NDSA)
Colorado	National Park Service	member of National Digital Stewardship Alliance (NDSA), member of Federal Agencies Digitization Guidelines Still Image Working Group, member of Federal Agencies Digitization Guidelines Audio-Visual Working Group
	University of Colorado at Boulder	member of the DPOE Steering Committee

**Library of Congress  
NDIIPP Partners and Projects**

State	Partner	Project/Activity
	Colorado State Archives	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	Colorado State Library	partner in Multi-State Preservation Consortium part of the Preserving State Government Information initiative
	National Center for Atmospheric Research	partner in Chronopolis
	National Conference of State Legislatures	member of National Digital Stewardship Alliance (NDSA), partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
	MAM-A Inc.	member of National Digital Stewardship Alliance (NDSA)
	The Bishoff Group	member of National Digital Stewardship Alliance (NDSA)
Connecticut	Roper Center for Public Opinion Research, University of Connecticut	member of National Digital Stewardship Alliance (NDSA) partner in Data Preservation Alliance for the Social Sciences (Data-PASS) part of the Digital Preservation Partners initiative
	Connecticut State Library (Alliance of State Libraries)	partner in ECHO DEpository (Exploring Collaborations to Harness Objects with a Digital Environment for Preservation) part of the Digital Preservation Partners initiative
Delaware	Hagley Museum and Library	member of National Digital Stewardship Alliance (NDSA)
District of Columbia	U S. Government Printing Office	member of National Digital Stewardship Alliance (NDSA), member of Federal Agencies Digitization Guidelines Still Image Working Group, member of Federal Agencies Digitization Guidelines Audio-Visual Working Group, member of International Internet Preservation Consortium (IIPC)
	Government Accountability Office	member of Federal Agencies Digitization Guidelines Still Image Working Group
	Institute of Museum and Library Services (IMLS)	member of Federal Agencies Digitization Guidelines Audio-Visual Working Group, member of Federal Agencies Digitization Guidelines Still Image Working Group, member of the DPOE Steering Committee
	National Gallery of Art	member of Federal Agencies Digitization Guidelines Still Image Working Group
	National Institute of Standards and Technology (NIST)	member of Federal Agencies Digitization Guidelines Audio-Visual Working Group, member of Federal Agencies Digitization Guidelines Still Image Working Group
	National Transportation Library	member of Federal Agencies Digitization Guidelines Still Image Working Group
	The Department of Justice	member of Federal Agencies Digitization Guidelines Still Image Working Group
	Voice of America	member of Federal Agencies Digitization Guidelines Audio-Visual Working Group
	National Archives and Records Administration (NARA)	member of National Digital Stewardship Alliance (NDSA), member of Federal Agencies Digitization Guidelines Still Image Working Group, member of Federal Agencies Digitization Guidelines Audio-Visual Working Group, partner in Data Preservation Alliance for the Social Sciences (Data-PASS) part of the Digital Preservation Partners initiative, member of Unified Digital Format Registry (UDFR)
	American Library Association	member of Section 108 Study Group
	Business Software Alliance	member of Section 108 Study Group
	Georgetown University Law Library	member of National Digital Stewardship Alliance (NDSA), member of Section 108 Study Group
	Walt Disney Company	member of Section 108 Study Group, partner in Digital Motion Picture Archive Framework Project part of the Preserving Creative America initiative
	Coalition for Networked Information	partner in Blue Ribbon Task Force on Sustainable Digital Preservation and Access
	Council on Library and Information Resources, including the Digital Library Federation	member of National Digital Stewardship Alliance (NDSA), partner in Blue Ribbon Task Force on Sustainable Digital Preservation and Access, lead partner in Documentation of Collaborative Practices

**Library of Congress  
NDIIPP Partners and Projects**

State	Partner	Project/Activity
	IEEE Computer Society	partner in Blue Ribbon Task Force on Sustainable Digital Preservation and Access
	Smithsonian Institution	member of National Digital Stewardship Alliance (NDSA), partner in Blue Ribbon Task Force on Sustainable Digital Preservation and Access, member of Federal Agencies Digitization Guidelines Still Image Working Group, member of Federal Agencies Digitization Guidelines Audio-Visual Working Group, member of the DPOE Steering Committee
	District of Columbia Office of the Chief Technology Officer	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	Folger Shakespeare Library	partner in the MetaArchive Project part of the Digital Preservation Partners initiative
	Biodiversity Heritage Library	partner in DuraCloud
	Federal Library and Information Center Committee (FLICC)	member of National Digital Stewardship Alliance (NDSA)
	National Endowment of the Humanities (NEH)	member of National Digital Stewardship Alliance (NDSA)
	United States Holocaust Memorial Museum	member of National Digital Stewardship Alliance (NDSA)
	Jefferson Institute	member of National Digital Stewardship Alliance (NDSA)
	Catholic University of America School of Library and Information Science	member of National Digital Stewardship Alliance (NDSA)
	U.S. Fish and Wildlife Service	member of National Digital Stewardship Alliance (NDSA)
	National Endowment for the Humanities	member of the DPOE Steering Committee, Federal advisor to NDIIPP
Florida	Florida State University Libraries	partner in the MetaArchive Project part of the Digital Preservation Partners initiative
	Florida Department of State	member of National Digital Stewardship Alliance (NDSA), partner in Persistent Digital Archives and Library System (PeDALIS) part of the Preserving State Government Information initiative
	Stock Artists Alliance	lead partner in Standardized Metadata for Stock Photography part of the Preserving Creative America initiative
	Florida Center for Library Automation	member of National Digital Stewardship Alliance (NDSA), member of Unified Digital Format Registry (UDFR)
	E-Z Photo Scan	member of National Digital Stewardship Alliance (NDSA)
Georgia	LYRASIS	a DPOE Baseline Train-the-Trainer Instructor
	Emory University	member of National Digital Stewardship Alliance (NDSA), lead partner in the MetaArchive Project part of the Digital Preservation Partners initiative
	Georgia Institute of Technology	partner in the MetaArchive Project part of the Digital Preservation Partners initiative, partner in Unified Digital Format Registry (UDFR)
	Georgia Archives - Records and Information Management Services	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	University of Georgia	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	Educopia Institute, Inc.	member of National Digital Stewardship Alliance (NDSA), lead partner in MetaArchive Project part of the Digital Preservation Partners initiative, DPOE Baseline, a Train-the-Trainer Instructor
	Historically Black Colleges and Universities Library Alliance	partner in the MetaArchive Project part of the Digital Preservation Partners initiative
Hawaii	Hawaii State Archives	member of National Digital Stewardship Alliance (NDSA)
Idaho	Idaho Commission for Libraries	member of National Digital Stewardship Alliance (NDSA), partner in Multi-State Preservation Consortium part of the Preserving State Government Information initiative
	Idaho State Archives	member of National Digital Stewardship Alliance (NDSA), partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative

**Library of Congress  
NDIIPP Partners and Projects**

State	Partner	Project/Activity
Illinois	Illinois State Library	partner in partner in ECHO DEpository (Exploring Collaborations to Harness Objects with a Digital Environment for Preservation) part of the Digital Preservation Partners initiative, partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
	University of Illinois at Urbana-Champaign (UIUC)	member of National Digital Stewardship Alliance (NDSA), partner in Unified Digital Format Registry (UDFR), lead partner in Preserving Virtual Worlds part of the Preserving Creative America initiative, leadpartner in ECHO DEpository (Exploring Collaborations to Harness Objects with a Digital Environment for Preservation) part of the Digital Preservation Partners initiative
	Illinois General Assembly, Legislative Information System	partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
	Illinois State Archives	partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
	Northwestern University	partner in Preserving Digital Still Images part of Preserving Creative America
	Center for Research Libraries	member of National Digital Stewardship Alliance (NDSA)
Indiana	Indiana State Archives	partner in Multi-State Preservation Consortium part of the Preserving State Government Information initiative
	Indiana State University	partner in the MetaArchive Project part of the Digital Preservation Partners initiative
	Legal Information Preservation Alliance	member of National Digital Stewardship Alliance (NDSA)
	Indiana University Libranes	member of National Digital Stewardship Alliance (NDSA)
Iowa	Indiana Commission on Public Records	member of National Digital Stewardship Alliance (NDSA)
	SCOLA	member of National Digital Stewardship Alliance (NDSA), partner in Preserving Digital International Television part of the Preserving Creative America initiative
	Council of State Archivists	member of National Digital Stewardship Alliance (NDSA), member of the DPOE Steering Committee
Kansas	Kansas Historical Society	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative, partner in Persistent Digital Archives and Library System (PeDALS) part of the Preserving State Government Information
	Kansas Information Technology Office	partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative, partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
Kentucky	University of Kentucky	member of the DPOE Steering Committee, a DPOE Baseline Train-the-Trainer Instructor
	University of Louisville Libraries	partner in the MetaArchive Project part of the Digital Preservation Partners initiative
	Kentucky Department for Libraries and Archives	member of National Digital Stewardship Alliance (NDSA), partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	Kentucky Division of Geographic Information	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
Louisiana	Kentucky State University	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	Louisiana State Archives	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative

**Library of Congress  
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State	Partner	Project/Activity
Maine	Maine Office of GIS	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	Maine State Archives	member of National Digital Stewardship Alliance (NDSA), partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
Maryland	AIIM	leader of PDF/A Working Group
	National Agricultural Library (NAL)	member of Federal Agencies Digitization Guidelines Still Image Working Group, member of Federal Agencies Digitization Guidelines Audio-Visual Working Group
	Johns Hopkins University	member of National Digital Stewardship Alliance (NDSA), lead partner in Securely Managing the Lifetime of Versions in Digital Archives part of the Digital Architecture and Long Term Preservation (DIGARCH) initiative, partner in Blue Ribbon Task Force on Sustainable Digital Preservation and Access, lead partner in Archive Ingest and Handling Test
	University of Maryland	member of National Digital Stewardship Alliance (NDSA), partner in Chronopolis, lead partner in Robust Technologies for Automated Ingestion and Long-Term Preservation of Digital Information part of the Digital Architecture and Long-Term Preservation (DIGARCH) initiative, partner in Preserving Virtual Worlds part of the Preserving Creative America initiative, lead partner in Birth of the Dot Com Era of the Digital Preservation Partners initiative, member of the DPOE Steering Committee
	National Library of Medicine (NLM)	member of National Digital Stewardship Alliance (NDSA), member of Federal Agencies Digitization Guidelines Still Image Working Group, member of Section 108 Study Group
Massachusetts	Maryland Department of Natural Resources	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	Maryland State Archives	member of National Digital Stewardship Alliance (NDSA), partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	Harvard University	member of National Digital Stewardship Alliance (NDSA), partner in Data Preservation Alliance for the Social Sciences (Data-PASS) part of the Digital Preservation Partners initiative, lead partner in Global Digital Format Registry, partner in Unified Digital Format Registry, member of International Internet Preservation Consortium (IIPC), lead partner in Archive Ingest and Handling Test (UDFR)
	WGBH Educational Foundation	member of National Digital Stewardship Alliance (NDSA), partner in Preserving Digital Public Television part of the Digital Preservation Partners initiative
	Tufts University, Peruses Project	partner in ECHO DEpository (Exploring Collaborations to Harness Objects with a Digital Environment for Preservation) part of the Digital Preservation Partners initiative
	Houghton Mifflin Company (former)	member of Section 108 Study Group
	Woods Hole Oceanographic Institute	partner in Multi-Institution Testbed for Scalable Digital Archives part of the Digital Architecture and Long-Term Preservation (DIGARCH)
	Boston College	partner in the MetaArchive Project part of the Digital Preservation Partners initiative
	Clemson University	partner in the MetaArchive Project part of the Digital Preservation Partners initiative
	Tessella	member of National Digital Stewardship Alliance (NDSA), a DPOE Baseline Train-the-Trainer Instructor
Ex Libris Group	member of National Digital Stewardship Alliance (NDSA)	
Northeast Document Conservation Center	member of National Digital Stewardship Alliance (NDSA)	
University of Massachusetts Amherst Libraries	member of National Digital Stewardship Alliance (NDSA)	

**Library of Congress  
NDIIPP Partners and Projects**

State	Partner	Project/Activity
Michigan	Inter-university Consortium for Political and Social Research (ICSPR), part of the University of Michigan	member of National Digital Stewardship Alliance (NDSA), lead partner in Data Center Data Preservation Alliance for the Social Sciences (Data-PASS) part of the Digital Preservation Partners initiative, primary consultant to the DPOE program and as a DPOE Baseline Train-the-Trainer Instructor
	Michigan State University Archives & Historical Collections	member of National Digital Stewardship Alliance (NDSA)
	Michigan State University Libraries	member of National Digital Stewardship Alliance (NDSA), partner in ECHO DEPository (Exploring Collaborations to Harness Objects with a Digital Environment for Preservation) part of the Digital Preservation Partners initiative
	University of Michigan	member of National Digital Stewardship Alliance (NDSA), partner in Blue Ribbon Task Force on Sustainable Digital Preservation and Access, lead partner in Incentives for Data Producers to Create Archive-Ready Data Sets part of the Digital Architecture and Long-Term Preservation (DIGARCH) initiative
	Data Preservation Alliance for the Social Sciences (Data-PASS) Archive Media Partners	member of National Digital Stewardship Alliance (NDSA) member of National Digital Stewardship Alliance (NDSA)
Minnesota	Minnesota Department of Administration, Geospatial Information Office (MnGeo)	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	Minnesota Historical Society	member of National Digital Stewardship Alliance (NDSA), partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative, lead partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
	Minnesota Legislative Reference Library	partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
	Minnesota Office of Revisor of Statutes	member of National Digital Stewardship Alliance (NDSA), partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
	Thomson Reuters	member of National Digital Stewardship Alliance (NDSA), partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
University of Minnesota Libraries	member of National Digital Stewardship Alliance (NDSA)	
Mississippi	Mississippi Department of Archives & History	partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative, partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
Missouri	Universal Press Syndicate	lead partner in Preserving Digital Cartoons (or Content Transfer for Prints and Photographs Collections) part of the Preserving Creative America initiative
	Federal Reserve Bank of St. Louis	member of National Digital Stewardship Alliance (NDSA)
Montana	Montana State Archives	partner in Multi-State Preservation Consortium part of the Preserving State Government Information initiative
	Montana State Library	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	Montana Department of Administration/State Information Technology Services Division	member of National Digital Stewardship Alliance (NDSA)

**Library of Congress  
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State	Partner	Project/Activity
Nebraska	Nebraska State Historical Society	member of National Digital Stewardship Alliance (NDSA), partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
	Nebraska State Library	partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
Nevada	Nevada State Library and Archives	member of National Digital Stewardship Alliance (NDSA), partner in Multi-State Preservation Consortium part of the Preserving State Government Information initiative
New Hampshire	National Association of Government Archives and Records Administrators	member of the DPOE Steering Committee
New Jersey	John Wiley & Sons (former)	lead partner in Section 108 Study Group
New Mexico	New Mexico State Archives and Libraries	partner in Persistent Digital Archives and Library System (PeDALS) part of the Preserving State Government Information initiative
	Los Alamos National Lab Research Library	member of National Digital Stewardship Alliance (NDSA), lead partner in Electronic Journal Metadata & Transfer Project, partner in Tools for A Preservation-Ready Web, partner in Integrating the Past Web into the Current Web, Memento
New York	Educational Broadcasting Corporation (EBC)	lead partner in Preserving Digital Public Television part of the Digital Preservation Partners initiative
	Morrison & Foerster, LLP	partner in Birth of the Dot Com Era part of the Digital Preservation Partners initiative
	New York University	member of National Digital Stewardship Alliance (NDSA), partner in Unified Digital Format Registry (UDFR), partner in Preserving Digital Public Television part of the Digital Preservation Partners initiative, partner in Web at Risk: A Distributed Approach to Preserving Our Nation's Political Cultural Heritage part of the Digital Preservation Partners initiative
	Andrew W. Mellon Foundation	member of Section 108 Study Group
	Association of American University Presses	member of Section 108 Study Group
	Columbia University Library	member of National Digital Stewardship Alliance (NDSA), member of Section 108 Study Group, lead partner in International Study on the Impact of Copyright Law on Digital Preservation, member of the International Internet Preservation Consortium
	Cornell University Library	member of National Digital Stewardship Alliance (NDSA), member of Section 108 Study Group
	Cowan, DeBaets, Abrahams & Sheppard, LLP	member of Section 108 Study Group
	JSTOR	member of Section 108 Study Group
	Penguin Group (USA)	member of Section 108 Study Group
	Time Inc.	member of Section 108 Study Group
	IthaKa Harbors, Inc	partner in Blue Ribbon Task Force on Sustainable Digital Preservation and Access, lead partner in Portico Project, lead partner in Preservation of E-journals
	Portico	member of National Digital Stewardship Alliance (NDSA), partner in JHOVE2: A Next Generation Architecture for Format Aware Digital Preservation Processing, lead partner in Archiving and Preserving e-Journals
	Rensselaer Polytechnic Institute	lead partner in Blue Ribbon Task Force on Sustainable Digital Preservation and Access
	New York State Archives	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative, partner in Persistent Digital Archives and Library System (PeDALS) part of the Preserving State Government Information initiative
New York State Office of Cyber Security and Critical Infrastructure Coordination	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative	

**Library of Congress  
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State	Partner	Project/Activity
	Sony Music Entertainment	partner in Metadata Schema Development for Recorded Sound part of the Preserving Creative America initiative
	ARTstor	member of National Digital Stewardship Alliance (NDSA), lead partner in Preserving Digital Still Images part of Preserving Creative America
	Rochester Institute of Technology, School of Interactive Games & Media	partner in Preserving Virtual Worlds part of the Preserving Creative America initiative
	DuraSpace	member of National Digital Stewardship Alliance (NDSA), lead DuraCloud
	New York Public Library	member of National Digital Stewardship Alliance (NDSA), lead DuraCloud
	WNET	member of National Digital Stewardship Alliance (NDSA), partner in Preserving Digital Public Television part of the Digital Preservation Partners initiative
	Center for the International Earth Science Information (CIESIN)	member of National Digital Stewardship Alliance (NDSA), partner in developing a geospatial clearinghouse
	Munsell Studio	member of National Digital Stewardship Alliance (NDSA)
	Rhizome	member of National Digital Stewardship Alliance (NDSA)
	Metropolitan New York Library Council	member of National Digital Stewardship Alliance (NDSA)
	New York Philharmonic	member of National Digital Stewardship Alliance (NDSA)
	Muller Media Conversions	member of National Digital Stewardship Alliance (NDSA)
North Carolina	University of North Carolina at Chapel Hill	member of National Digital Stewardship Alliance (NDSA), partner in Data Preservation Alliance for the Social Sciences (Data-PASS) part of the Digital Preservation Partners initiative, lead partner in Preserving Video Objects and Context part of the Digital Architecture and Long-Term Preservation (DIGARCH) initiative, lead partner in Tools and Services for Preserving Digital Video (VidArch), lead partner in Section 108 Study Group, a DPOE Baseline Train-the-Trainer Instructor
	State Library of North Carolina	partner in ECHO DEpository (Exploring Collaborations to Harness Objects with a Digital Environment for Preservation) part of the Digital Preservation Partners initiative
	North Carolina Center for Geographic Information & Analysis	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	North Carolina State University Libraries	member of National Digital Stewardship Alliance (NDSA), lead partner in North Carolina Geospatial Data Archiving Project (NCGDAP) part of the Digital Preservation Partners initiative, partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	North Carolina State Archives	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	State Library of North Carolina	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	North Carolina Department of Cultural Resources	member of National Digital Stewardship Alliance (NDSA)
North Dakota	North Dakota Legislative Council	partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
	State Historical Society of North Dakota	partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
Ohio	OCLC	member of National Digital Stewardship Alliance (NDSA), partner in ECHO DEpository (Exploring Collaborations to Harness Objects with a Digital Environment for Preservation) part of the Digital Preservation Partners initiative, partner in Blue Ribbon Task Force on Sustainable Digital Preservation and Access
Oklahoma	Oklahoma Department of Libraries	member of National Digital Stewardship Alliance (NDSA)

**Library of Congress  
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State	Partner	Project/Activity
Oregon	Oregon State Archives	partner in Multi-State Preservation Consortium part of the Preserving State Government Information initiative
	Oregon State Library	member of National Digital Stewardship Alliance (NDSA), partner in Multi-State Preservation Consortium part of the Preserving State Government Information initiative
	Oregon State University	partner in the MetaArchive Project part of the Digital Preservation Partners initiative
Pennsylvania	Military History Institute, Army Heritage and Education Center	member of Federal Agencies Digitization Guidelines Still Image Working Group
	Drexel University	lead partner in Digital Engineering Archives part of Digital Architecture and Long Term Preservation (DIGARCH)
	Pennsylvania State University	partner in the MetaArchive Project part of the Digital Preservation Partners initiative
	American Society of Media Photographers	member of National Digital Stewardship Alliance (NDSA), lead partner in Metadata Standards and Tools for Digital Photography part of the Preserving Creative America initiative
	The Library Company of Philadelphia	member of National Digital Stewardship Alliance (NDSA)
South Carolina	South Carolina Department of Archives and History	member of National Digital Stewardship Alliance (NDSA), partner in Persistent Digital Archives and Library System (PeDALS) part of the Preserving State Government Information initiative
	University of South Carolina	partner in the MetaArchive Project part of the Digital Preservation Partners initiative
Tennessee	Vanderbilt University	partner in National Geospatial Digital Archive (NGDA) part of the Digital Preservation Partners initiative
	University of Tennessee	member of National Digital Stewardship Alliance (NDSA), lead partner in Planning a Globally Accessible Archive of MODIS Data part of the Digital Architecture and Long-Term Preservation (DIGARCH) initiative, partner in National Geospatial Digital Archive (NGDA) part of the Digital Preservation Partners initiative
	Tennessee State Libraries and Archives	partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative, partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	BMS/Chace	member of National Digital Stewardship Alliance (NDSA), lead partner in Metadata Schema Development for Recorded Sound part of the Preserving Creative America initiative
	Tennessee General Assembly	partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
	Department of Energy Office of Scientific and Technical Information	member of National Digital Stewardship Alliance (NDSA)
Texas	University of North Texas	member of National Digital Stewardship Alliance (NDSA), partner in the MetaArchive Project part of the Digital Preservation Partners initiative, member of International Internet Preservation Consortium (IIPC), partner in Web at Risk: A Distributed Approach to Preserving Our Nation's Political Cultural Heritage part of the Digital Preservation Partners initiative
	Texas Natural Resources Information Systems	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	Texas State Library and Archives Commission	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	Rice University	partner in the MetaArchive Project part of the Digital Preservation Partners initiative

**Library of Congress  
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State	Partner	Project/Activity
Utah	Utah Automated Geographic Reference Center	member of National Digital Stewardship Alliance (NDSA), partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	Utah Division of Archives and Records Service	member of National Digital Stewardship Alliance (NDSA), partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	Corporation of the President of The Church of Jesus Christ of Latter-day Saints	member of National Digital Stewardship Alliance (NDSA)
Vermont	Vermont Department of Libraries	partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
	Vermont State Archives and Records Administration	member of National Digital Stewardship Alliance (NDSA), partner in A Model Technological and Social Architecture for the Preservation of State Government Digital Information part of the Preserving State Government Information initiative
Virginia	National Technical Information Service	member of National Digital Stewardship Alliance (NDSA), member of Federal Agencies Digitization Guidelines Still Image Working Group
	U.S. Geological Survey	member of Federal Agencies Digitization Guidelines Still Image Working Group
	Zepheira	partner developer in the ViewShare platform
	Old Dominion University Research Foundation	member of National Digital Stewardship Alliance (NDSA), lead partner in Integrating the Past Web into the Current Web, Memento, lead partner in Tools for A Preservation-Ready Web, lead partner in Shared Infrastructure Preservation Models part of the Digital Architecture and Long-Term Preservation (DIGARCH) initiative, lead partner in Archive Ingest and Handling Test
	George Mason University, Center for History and New Media	member of National Digital Stewardship Alliance (NDSA), partner in Birth of the Dot Com Era part of the Digital Preservation Partners initiative
	Public Broadcasting Service	member of National Digital Stewardship Alliance (NDSA), partner in Preserving Digital Public Television part of the Digital Preservation Partners initiative
	Virginia Polytechnic Institute and State University	member of National Digital Stewardship Alliance (NDSA), partner in the MetaArchive Project part of the Digital Preservation Partners initiative
	National Science Foundation	partner in Digital Archiving and Long-Term Preservation (DIGARCH), partner in Blue Ribbon Task Force on Sustainable Digital Preservation and Access
	University of Virginia	partner in Blue Ribbon Task Force on Sustainable Digital Preservation and Access
Washington	Microsoft Corporation	partner in Blue Ribbon Task Force on Sustainable Digital Preservation and Access, partner in Multistate Preservation Consortium Utilizing the Washington State Digital Archives Framework part of the Preserving State Government Information initiative, member of the DPOE Steering Committee
	Eastern Washington University	partner in Multi-State Preservation Consortium part of the Preserving State Government Information initiative
	Washington State Archives	lead partner in Multi-State Preservation Consortium part of the Preserving State Government Information initiative
	Washington State Library	partner in Multi-State Preservation Consortium part of the Preserving State Government Information initiative
	Art on File	member of National Digital Stewardship Alliance (NDSA), partner in Preserving Digital Still Images part of Preserving Creative America
Wisconsin	Wisconsin State Library (Alliance of State Librarians)	partner in ECHO DEpository (Exploring Collaborations to Harness Objects with a Digital Environment for Preservation) part of the Digital Preservation Partners initiative

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**Library of Congress  
NDIIPP Partners and Projects**

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State	Partner	Project/Activity
	University of Wisconsin-Madison	member of National Digital Stewardship Alliance (NDSA), partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	Wisconsin Department of Administration	member of National Digital Stewardship Alliance (NDSA), partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative
	Wisconsin Historical Society	member of National Digital Stewardship Alliance (NDSA), partner in Persistent Digital Archives and Library System (PeDALS) part of the Preserving State Government Information initiative
Wyoming	University of Wyoming, American Heritage Center	partner in Geospatial Multistate Archive and Preservation Project (GeoMAPP) part of the Preserving State Government Information initiative



## APPENDIX F: Teaching with Primary Sources (TPS)

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### Overview

Under the Teaching with Primary Sources program (TPS) of the Office of Strategic Initiatives (OSI), Library staff and institutional partners deliver professional development that assists teachers as they use the Library's vast collection of digitized primary sources to enrich their classroom instruction. These primary sources, when embedded in inquiry-based instruction, help build content knowledge, critical thinking, and analysis skills in students.

In fiscal 2011, the TPS program served a total of 19,448 teachers from 353 congressional districts. Of the 353 congressional districts served, Library staff delivered professional development to teachers from 115 districts. TPS Educational Consortium members and regional program coordinators, who serve educational communities in all 50 states, reached teachers from 238 congressional districts. Library staff conducted 109 institute, workshop, and presentation sessions for 1,168 teachers held at the Library and 22 professional development sessions for 957 teachers in outside venues. TPS partners conducted 1,717 professional development sessions for 17,323 teachers focused on using the Library's digitized primary sources to create instruction that builds students' literacy, content knowledge, and critical thinking skills.

### TPS Educational Events Held at the Library

TPS expanded its Summer Teacher Institutes to a five-day program, which is now accredited by the George Mason University for three graduate credits. The Library offered seven institutes in the summer of 2011—the most it has offered to date. This year, more than 500 educators applied for the institutes, of which more than 150 were accepted representing 31 states.

The LOC Box (pronounced "Lock Box") program is the Library's new in-person educational offering for student groups in grades four to six. Students and their teachers/chaperones work in teams to explore the Library's historic Thomas Jefferson Building. In fiscal 2011, a total of 1,101 students from area school systems participated. The Library hosted an additional 38 children from congressional families as part of the swearing-in of the 112th Congress.

### The TPS Educational Consortium and Regional Grantees

The Library of Congress has two types of institutional partners: TPS Educational Consortium members and regional grantees.

The TPS Educational Consortium is comprised of school districts, universities and educational foundations that assist in the design of the TPS program and offer TPS professional development on an ongoing basis, year round. At the beginning of fiscal 2011, there were 26 Consortium members in 12 states: California, Colorado, Illinois, Indiana, Florida, Louisiana, Massachusetts, New York, North Carolina, Pennsylvania, Tennessee, and Virginia. The professional development that these organizations offer includes workshops, online courses, graduate courses, and mentoring that meet the same goals as the professional development offered in Washington, DC at the Library.

During fiscal 2011, the Library inducted two new members into the Consortium: the Northwest Council for Computer Education (NCCE), and the University of the Arts. With the addition of NCCE, the Library expanded its geographic reach to Idaho, Montana, Oregon and Washington. The University of the Arts brings to the Consortium a capacity to infuse fine arts instruction, using the Library's digitized primary sources across the K-12 curriculum.

Regional grantees receive grants of up to \$20,000 to incorporate TPS methods and materials into existing programs for teachers. By the end of fiscal 2011, the total number of school districts, libraries, educational associations and cultural institutions who have strengthened their professional development offerings with TPS content rose to 121 in 36 states and the District of Columbia. Three Regional Coordinators in the East, Midwest, and West manage the grant program on behalf of the Library.

### Teacher Tools and Digital Initiatives

During fiscal 2011, TPS strengthened the resources available to teachers online by adding content and making it more accessible. OSI's Educational Outreach program launched *Teaching with the Library of Congress*, a

teacher-focused blog on the Library's web site. The blog promotes practical strategies for the effective use of the Library's online collections and spotlights items from the collections that are especially well suited for classroom use.

Educational Outreach also launched *Search by Standards* functionality for its classroom materials. This simple tool, developed in collaboration with Web Services, allows teachers to quickly find which Library of Congress classroom materials meet their state teaching standards. In addition, the Library's web site for teachers, [loc.gov/teachers](http://loc.gov/teachers), was named one of the top ten free resources sites for teachers, and the professional development section of this site was named the "Site of the Week" by E-School News, a leading education technology newspaper.

### **Future Program Growth and Development**

The TPS program's past successes have laid the foundation for further growth. The Library plans to continue the above programs and also will expand its efforts in the following areas:

#### **Enriching TPS Professional Development for Teachers**

In fiscal 2012, the Library will increase the usability of its professional development curriculum by enhancing online interactive tools and creating content that meet the needs of teacher subgroups.

The Library also will increase awareness and extend

the reach of TPS classroom materials by developing and deploying online professional development courses through collaborations with other educational organizations. This will include delivering content via third-party sites.

#### **Building Program Participation**

Although the Library does not intend to expand membership in the Educational Consortium in fiscal 2012, the number of institutional partners brought into the program through regional grants will grow. The regional coordinators will seek to identify organizations in the six states where there are not currently partners, for example, Mississippi, New Hampshire, and South Dakota.

Library staff also will test the concept of an online Teachers Network through which alumni of TPS programs delivered by Library staff and institutional partners can remain engaged in a community dedicated to the effective educational use of the Library's digitized primary sources.

#### **Increasing Program Awareness**

In fiscal 2012, the Library will broaden its messaging to reach greater numbers of teachers, administrators, education opinion leaders, and educational organizations by expanding social media efforts, both by increasing the volume of TPS posts and by using additional social media tools.



## APPENDIX G:

### Copyright Office Records Digitization Project Report of Accomplishments Fiscal 2011

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#### Preservation

The project scanned, performed quality assurance review, and migrated to long-term managed storage a total of 10,013,751 registration cards from the Copyright Card Catalog, and 318 of the 660-volume Catalog of Copyright Entries, a published index of registrations and recorded documents from 1891 to 1977.

#### Public Access

The project established an independent study project and assigned two graduate students to research and provide recommendations for achieving large-scale metadata capture using, among other technologies and methodologies, optical character recognition and crowd-sourcing for data entry.

A plan was drafted to create and make available online a demonstration model comprised of a small searchable set of Copyright records primarily from the pre-1978 period. An index of data records fully compatible with post-1977 Copyright MARC records will be created and linked to images of the underlying paper records including but not limited to the respective application for registration, assignment document, catalog cards, and record book pages. Visitors to [www.copyright.gov](http://www.copyright.gov) will be invited to conduct a search of the demonstration model and provide feedback as to the searchability, appearance, organization and design of the search and display pages.



## APPENDIX H:

### Copyright Office – Estimated Value of Materials Transferred to the Library in Fiscal 2011

#### Copyright Office, Salaries and Expenses

#### Estimated Value of Materials Transferred to the Library of Congress in Fiscal 2011 (Dollars in Thousands)

Category of Work	Registered Works Transferred	Non-Registered Works Transferred	Total Works Transferred	Average Unit Price	Value of Works Transferred
<b>Books<sup>1</sup></b>	<b>229,899</b>	<b>81,467</b>	<b>311,366</b>		<b>\$13,724,210</b>
Book - hardbound	76,628	16,170	92,798	\$83.6	[7,753,273]
Book - softbound	134,543	13,317	147,860	38.1	[5,637,902]
e-books (Pro Quest)	18,728	51,980	70,708	4.7	[ 333,035]
<b>Serials<sup>2</sup></b>	<b>79,603</b>	<b>242,687</b>	<b>322,290</b>		<b>9,481,241</b>
Periodicals <sup>3</sup>	79,439	238,367	317,806	49.8	[9,488,416]
Newspapers	164	4.3	4,484	1.1	[ 2,825]
<b>Microforms</b>	<b>226</b>	<b>6,102</b>	<b>6,328</b>		<b>805,091</b>
Microfilm	13	6,102	6,115	131.5	[ 803,939]
Microfiche	213	0	213	5.4	[ 1,152]
<b>Motion Pictures</b>	<b>9,836</b>	<b>0</b>	<b>9,836</b>		<b>5,477,025</b>
Film - 35 mm/70 mm/IMAX	390	0	390	11,567.9	[4,511,493]
Film - 16 mm	2	0	2	1,500.0	[ 3,000]
Videotape	9,444	0	9,444	101.9	[ 962,532]
<b>CD/DVDs</b>	<b>50,341</b>	<b>989</b>	<b>51,330</b>	<b>25.0</b>	<b>1,283,250</b>
<b>Printed Music</b>	<b>3,592</b>	<b>727</b>	<b>4,319</b>	<b>54.7</b>	<b>236,163</b>
<b>Maps</b>	<b>367</b>	<b>108</b>	<b>475</b>	<b>42.8</b>	<b>20,344</b>
<b>Prints, Posters, Photographs, and Works of Art</b>	<b>639</b>	<b>0</b>	<b>639</b>	<b>34.7</b>	<b>22,192</b>
<b>Total</b>	<b>374,503</b>	<b>332,080</b>	<b>706,583</b>		<b>\$31,059,516</b>

<sup>1</sup> 60 percent of "Books" are selected for the collections; 40 percent are used for the Library's exchange program.

<sup>2</sup> 60 percent of "Serials" are selected for the collections, except for microfilm newspapers (100 percent of which are selected).

<sup>3</sup> The figure for non-registered "Periodicals" includes: (1) an estimate based on average loads in hampers delivered to Library processing and custodial divisions and (2) a count of serials issues checked in through the Copyright Acquisitions Division. For the estimated portion, there was an earlier change in the physical method of delivery, which decreased the average amount per hamper. The figures above reflect a reasonable estimate of current receipts per hamper and will be reviewed on a regular basis.

**Copyright Office, Salaries and Expenses**  
**Receipt Authority and Obligations – Fiscal 2008 – Fiscal 2013**  
(Dollars in Thousands)

Authority/Obligations	2008 Actual	2009 Actual	2010 Actual	2011 Actual	2012 Estimate	2013 Estimate
<b>Receipt Authority:</b>						
Offsetting collections	\$29,592	\$27,099	\$27,799	\$27,359	\$30,029	\$28,029
Royalties credited to Licensing appropriation from Cable, Satellite, and DART	3,117	4,169	5,172	5,266	5,109	5,202
Royalties credited to CRJ appropriation from Cable, Satellite, and DART	142	395	151	137	375	380
Estimated value of materials transferred to the Library	23,739	32,298	32,885	31,060	32,000	33,000
<b>Total Receipt Authority</b>	<b>\$56,590</b>	<b>\$63,961</b>	<b>\$66,007</b>	<b>\$63,822</b>	<b>\$67,513</b>	<b>\$66,611</b>
<b>Obligations:</b>						
Pay	\$38,944	\$39,717	\$43,259	\$43,436	\$41,307	\$42,242
Other Obligations	6,312	8,610	10,132	9,013	10,343	10,530
<b>Total Obligations</b>	<b>\$45,256</b>	<b>\$48,327</b>	<b>\$53,391</b>	<b>\$52,449</b>	<b>\$51,650</b>	<b>\$52,772</b>
<b>RATIO of Receipt Authority to Obligations</b>	<b>125%</b>	<b>132%</b>	<b>124%</b>	<b>122%</b>	<b>131%</b>	<b>126%</b>



# LIBRARY OF CONGRESS FISCAL 2013 APPROPRIATION LANGUAGE

## A. Administrative Provisions

### 1. Section 1301 – Obligational authority for Reimbursable and Revolving Fund Activities

Under 2 U.S.C. 132a-1 obligations for any reimbursable and revolving fund activities performed by the Library of Congress are limited to the amounts provided in appropriation Acts. The Library requests obligational authority, consistent with this provision:

Reimbursable Funds .....	\$ 2,000,000
Revolving Funds .....	\$176,958,000

Further justification of these amounts is provided in the Reimbursable and Revolving Fund sections of this document.

The following is the proposed administrative provision:

#### REIMBURSABLE AND REVOLVING FUND ACTIVITIES

SEC. 1301. (a) IN GENERAL.—For fiscal year 2013, the obligational authority of the Library of Congress for the activities described in subsection (b) may not exceed \$178,958,000.

(b) ACTIVITIES.—The activities referred to in subsection (a) are reimbursable and revolving fund activities that are funded from sources other than appropriations to the Library in appropriations Acts for the legislative branch.

(c) TRANSFER OF FUNDS.—During fiscal year 2013, the Librarian of Congress may temporarily transfer funds appropriated in this Act, under the heading “Library of Congress”, under the subheading “Salaries and Expenses”, to the revolving fund for the FEDLINK Program and the Federal Research Program established under section 103 of the Library of Congress Fiscal Operations Improvement Act of 2000 (Public Law 106-481; 2 U.S.C. 182c): *Provided*, That the total amount of such transfers may not exceed \$1,900,000; *Provided further*, That the appropriate revolving fund account shall reimburse the Library for any amounts transferred to it before the period of availability of the Library appropriation expires.

### 2. Section 1302 – Librarian of Congress – Transfer Authority

The following is the proposed administrative provision:

#### TRANSFER AUTHORITY

SEC. 1302. (a) IN GENERAL.—Amounts appropriated for fiscal year 2013 for the Library of Congress may be transferred during fiscal year 2013 between any of the headings under the heading “Library of Congress” upon the approval of the Committees on Appropriations of the Senate and the House of Representatives.

(b) LIMITATION.—Not more than 10 percent of the total amount of funds appropriated to the account under the heading “Library of Congress” for fiscal year 2013 may be transferred from that account by all transfers made under subsection (a).

## B. Appropriation Language

### 1. The Library of Congress, Salaries and Expenses appropriation language changes:

For necessary expenses of the Library of Congress not otherwise provided for...\$430,051,000 of which no more than \$6,000,000 shall be derived from collections credited to this appropriation...not more than \$350,000 shall be derived from collections during fiscal year 2013 and shall remain available until expended...

*Provided further,* That of the total amount available for obligation shall be reduced by the amount by which collections are less than \$6,350,0000...

*Provided further,* That of the total amount appropriated, \$7,068,000 shall remain available until expended for the digital collections and educational curricula program....

### 2. The Library of Congress, Copyright Office Salaries and Expenses appropriation language changes:

For necessary expenses of the Copyright Office, \$52,772,000, of which not more than \$28,029,000, to remain available until expended, shall be derived from collections during fiscal year 2013...

*Provided further,* That not more than \$5,582,000 shall be derived from collections during fiscal year 2013...

*Provided further,* That the total amount available for obligation shall be reduced by the amount by which collections are less than \$33,611,000...

### 3. The Library of Congress, Congressional Research Service Salaries and Expenses appropriation language changes:

For necessary expenses to carry out the provisions of section 203 of the Legislative Reorganization Act of 1946 (2 U.S.C. 166)...\$109,205,000...

### 4. The Library of Congress, Books for the Blind and Physically Handicapped Salaries and Expenses appropriation language changes:

For salaries and expenses to carry out the Act of March 3, 1931 (chapter 400; 46 Stat. 1487; 2 U.S.C. 135a), \$51,522,000...



## ARCHITECT OF THE CAPITOL – LIBRARY BUILDING AND GROUNDS

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### OVERVIEW

The Library Building and Grounds jurisdiction is responsible for the maintenance, repair, operations, mechanical and electrical infrastructure, heating, ventilation and air conditioning (HVAC), plumbing, painting, grounds maintenance, snow removal and any construction for the Library of Congress Buildings and Grounds. Facilities include the James Madison Memorial Building (JMMB), John Adams Building, Thomas Jefferson Building (TJB), and Library of Congress Special Facilities Center. The Library Building and Grounds jurisdiction manages the Library of Congress facilities within the 100-acre campus at Ft. Meade, Maryland. These include book and collection storage modules with environmentally-controlled conditions for Library collections. The Library Building and Grounds jurisdiction also is responsible for the structural and mechanical care of the Packard Campus of the National Audio-Visual Conservation Center located on 45 acres in Culpeper, Virginia. The Packard Campus is the Library's centralized facility for acquisition, cataloging, storage and preservation of moving images and recorded sound.

### Fiscal 2013 Budget Request

AOC is requesting **\$53.594 million** in fiscal 2013 for the Library Buildings and Grounds account. This reflects an increase of \$6.718 million from the fiscal 2012 budget level of \$46.876 million.

The Library Buildings and Grounds budget is presented in two sections: (1) Operating Budget and (2) multi-year projects.

The following highlights each section:

#### Operating Budget: \$26.164 million

The Operating Budget of the Library Buildings and Grounds appropriation funds all costs associated with the daily care, maintenance and operation of the Library Buildings and Grounds with the exception of cleaning services. The fiscal 2013 level reflects an increase of \$0.404 million over fiscal 2012.

#### Multi-Year Projects: \$27.430 million

The Capital Budget consists of major construction or system replacement requirements to address fire, life-safety, and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs; with a focus on energy savings. It also may include funds that provide jurisdictions with the flexibility to respond to unforeseen Minor Construction requirements as generated from the AOC, Members, Committees, and other AOC clients. The fiscal 2013 level reflects an increase of \$48,546 million over fiscal 2012, offset by \$21,116 in non-recurring costs, for a net fiscal 2013 budget of **\$27.430 million**.

Projects include:

#### Project Title: North Exit Stair B, TJB

**[\$13.117 million]**

**Description:** This project is an integral part of the approved abatement plan to address the Office of Compliance Citation #31-2 regarding Library of Congress egress deficiencies. The project corrects common paths of travel violations and dead-end conditions to ensure that occupants will be able to exit the building in an efficient and rapid manner. The current conditions create an unsafe environment for building occupants due to lack of egress from the building and stacks in the event of fire or other emergencies. The recommended corrections for the Thomas Jefferson Building are to construct a new self-supporting masonry exit stair in the Northeast Stacks that extends from the cellar to the top floor of the building. In addition, the AOC will construct new fire-rated exit passageways, a fire-related exit enclosure and a cellar exit. The project includes creating paths of travel through adjacent rooms, new door openings, and modifications to existing door swings.

**Project Title: Collection storage Module 5, Ft. Meade** **[\$5 million]**

**Description:** Throughout its history, one of the Library's primary goals has been to acquire, preserve, and provide access to a collection of knowledge and the copyrighted record of America's creativity. The Library acquires these universal materials by collecting in all formats in which knowledge and creativity are recorded, preserving the collection through ongoing preservation research and application, and providing access to the collection. The responsibility to collect and sustain has required the periodic provision of additional collection storage space. The history of the Library's physical growth is largely the history of this need to accommodate a growing collection. Module 5 is intended to be a book storage facility, and it will relieve the current severely over-crowded conditions in the book stacks on Capitol Hill.

**Project Title: Fall Protection, JMMB** **[\$3.622 million]**

**Description:** This work includes installation of multiple track-type systems above the roof level that will arrest the fall of maintenance workers, in addition to installation of individual fall protection anchorages where needed. Tieback anchors will be integrated with the fall protection systems. These will comply with current standards and codes for properly securing a suspended facilities maintenance scaffold. Noncompliant existing fall-protection systems will be removed. The project will also address life safety issues, as well as lessen the deterioration of the bronze window frames and stone façade. Additional interior and interstitial space degradation issues will also decrease as roof and façade leaks are addressed using the new roof fall protection system.

**Project Title: Secured Storage Facilities, Phase IV of IV, 3<sup>rd</sup> Floor Storage, JMMB** **[\$2.400 million]**

**Description:** The Platinum-rated collections are considered to be the LOC's most priceless items. They are one-of-a-kind, or an extremely limited number are in existence. They require restricted access, the highest levels of security, the finest environmental controls and a police escort when moved. Gold-rated collections consist of rare items having prohibitive replacement cost, high market value and significant cultural, historical and/or artifact importance. They require a controlled environment including lighting controls and limited particulates to attain maximum life expectancy.

**Project Title: Roof & Fall Protection Repairs & Replacement, TJB** **[\$791 Thousand]**

**Description:** The project will prepare a complete set of construction documents that will merge the roof repair recommendations from the study completed in July 2010, lightning protection system requirements and the newly designed roof fall protection systems. As part of the construction project, existing fall protection systems that are not compliant will be removed and replaced.

**Project Title: ABA Space Reorganization, Phase IV, JMMB** **[\$500 Thousand]**

**Description:** This project is needed to renovate approximately 195,000 square feet of space within the James Madison Memorial Building. Renovation areas will be on the 5<sup>th</sup> floor with work also occurring on the ground and basement levels. This project will be separated into multiple phases contingent upon receipt of funds. Work has begun and includes wall changes, alterations to the fire protection system, painting, and electrical work. Lighting systems will be adjusted to accommodate sprinkler system alterations. Asbestos abatement work is expected for the upgrade of Variable Air Volume boxes and relocation of light fixtures. Approximately 550 personnel from the Acquisitions and Bibliographic Access Directorate will be located within on-site swing space during the renovation effort.

**Project Title: Minor Construction** **[\$2 million]**

No minor construction increase is requested above the fiscal year 2012 budget level. This funding will sustain the necessary level of service for unforeseen construction and repair projects for the Library of Congress.

# BUDGET JUSTIFICATION

Fiscal Year 2013



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DAVITA VANCE-COOKS  
Acting Public Printer

January 25, 2012

The Honorable Ander Crenshaw  
Chairman  
Subcommittee on Legislative Branch Appropriations  
Committee on Appropriations  
U.S. House of Representatives  
Washington, DC 20515

The Honorable Ben Nelson  
Chairman  
Subcommittee on Legislative Branch Appropriations  
Committee on Appropriations  
U.S. Senate  
Washington, DC 20510

Dear Chairman Crenshaw and Chairman Nelson:

I have the honor to transmit herewith the appropriations request of the U.S. Government Printing Office (GPO) for FY 2013.

Our request covers the Congressional Printing and Binding Appropriation and the Salaries and Expenses Appropriation of the Superintendent of Documents, which cover GPO's provision of congressional information products and services as authorized by law and our provision of public access to congressional and other Government information products through statutorily-established programs. All other GPO functions and activities—including the production of U.S. passports for the State Department as well as secure credentials for congressional and agency use, the procurement of information products and services in partnership with the private sector, the sales of Government information products and services to the public, and related operations—are financed on a reimbursable basis through GPO's business-like Revolving Fund, which is authorized through the annual Legislative Branch Appropriations bill.

GPO is requesting a total of \$126,200,000 for FY 2013, the same level of funding approved in the Legislative Branch Appropriations Act for FY 2012 (P.L. 112-74). A number of significant cost-cutting activities were implemented at GPO over the past year – including a buyout and associated staffing reductions that resulted in a 15% reduction in GPO FTE levels, restrictions on overhead costs, reductions in congressional printing resulting from a survey of congressional office needs, and continued development of alternative digital information products – that have made this funding request possible. In addition, there are unexpended balances from prior year appropriations that we will request to be transferred forward to fund projected workload requirements, which will also reduce our need for new funds. Reflecting congressional priorities for increased use of digital formats to supplant printed products, our overall request for level funding includes a proposed decrease of \$7,068,000 in the Congressional Printing and Binding Appropriation, a decrease of \$272,000

in the Salaries and Expenses of the Superintendent of Documents, and an increase of \$7,340,000 in appropriations to the Revolving Fund, primarily for investment in information technology products and services.

Our funding request for FY 2013 is specifically designed to:

- meet projected requirements for GPO's congressional printing and binding operations during FY 2013;
- fund the operation of GPO's statutory information dissemination program, primarily the Federal Depository Library Program (FDLP); and
- continue the development of FDsys and other key information technology infrastructure projects that support Congress, and implement other improvements to our facilities related to health and safety.

**Congressional Printing and Binding Appropriation.** We are requesting \$83,632,000 for this account, representing a decrease of \$7,068,000 from the level of funding provided for FY 2012.

We estimate that total congressional printing and binding requirements for FY 2013 will be \$86,650,000. However, GPO has an estimated \$9,935,000 in unexpended balances of this account remaining from FY 2010 (\$1,909,000) and FY 2011 (\$8,026,000), due principally to a reduction in the work ordered for the *Congressional Record*. GPO has the authority—with the approval of the Committees on Appropriations—to transfer forward the unexpended balances of prior year appropriations to the Revolving Fund, provided the funding is used to carry out the purposes for which it was originally appropriated. We expect to request the authority to transfer these funds. Based on historical congressional workload data, we estimate that approximately \$6,917,000 of this amount will be required to supplement the funds provided for FY 2012. The balance of \$3,018,000 will be utilized to supplement our request for FY 2013.

House Report 112-148, accompanying the Legislative Branch Appropriations bill for FY 2012 (July 15, 2011), requires the presentation of budget requirements for FY 2013 from a zero base. However, GPO has no control over the workload requirements of the Congressional Printing and Binding Appropriation. These are determined by the legislative activities and requirements of the House of Representatives and the Senate as authorized by the applicable provisions of Title 44, U.S.C. GPO utilizes historical data incorporating other relevant factors to develop estimates of likely congressional printing and binding workload requirements. These requirements are used as the basis of the budget presentation for this account.

The estimated requirements for FY 2013 include a price level increase of \$1,455,000 based on an average 1.5% increase due to projected increases in printing costs. This increase is offset by an overall decrease in volume of \$8,523,000, due principally to projected workload reductions for the *Congressional Record*, miscellaneous printing and services (this workload category increased in FY 2012 in part due to inaugural printing requirements), calendars, hearings, and bills, resolutions, and amendments. The most notable workload increase will be \$3,452,000 to produce the 2012 edition of the U.S. Code, which by law is issued in a



new edition every 6 years. However, the availability of \$3,018,000 in unexpended prior year funds will substantially cover the cost of producing the Code.

**Salaries and Expenses Appropriation of the Superintendent of Documents.** We are requesting \$34,728,000 for this account, a decrease \$272,000 from the level approved for FY 2012. The requested amount is based on the outcome of using zero-based budgeting to determine the proper levels of funding need to perform program activities at minimum levels, as directed by House Report 112-148.

At this date there is approximately \$3,321,000 in remaining unexpended balances from the Salaries and Expenses Appropriation from FY 2007. We expect to request the authority to transfer these funds to the Revolving Fund to cover additional expenses of this account, including the costs for printing and distributing the 2012 edition of the U.S. Code (totaling \$2,100,000), which is an essential title for the FDLP. These funds will also cover developing and implementing an automated distribution solution at the FDLP distribution center at GPO's warehouse in Laurel, MD (\$400,000).

Along with the balance of the transferred funds, the requested funding will cover mandatory pay increases of \$263,000. Merit and other pay increases are included for 114 FTE's, the same level as FY 2012. In addition, the requested funding covers projected price level increases of \$286,000, including a \$149,000 increase in rents and utilities resulting from the relocation of the FDLP depository distribution operation from the main GPO in Washington, DC, to GPO's Laurel, MD, warehouse. However, the relocation will also result in a significant reduction of \$1,700,000 in facilities and overhead costs formerly billed to this account, which along with \$1,000,000 in other non-recurring costs (including the FDLP's migration and modernization of legacy systems which was funded in FY 2012) will no longer be required to be funded in FY 2013.

**Revolving Fund.** We are requesting \$7,840,000 for this account, to remain available until expended, to fund essential investments in information technology development and facilities improvements. Our request represents an increase of \$7,340,000 over the level of funding provided for this account for FY 2012.

The request includes \$7,380,000 for information technology development, including \$3,890,000 to continue developing FDsys, \$1,500,000 each for GPO's Composition System Replacement and Oracle business system projects, and \$490,000 for other IT improvements. These IT projects include components that will have a direct impact on the provision of digital information production and dissemination services for Congress, such as the development of a composition system compatible with extensible markup language (XML) to replace GPO's aging Microcomp-based system, improved XML support for congressional publications ingested into FDsys, and digitization of the bound *Congressional Record*, a project that GPO is working on in partnership with the Library of Congress. In addition, we are requesting \$460,000 for continued elevator repairs and renovation and new fire pumps.



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**DAVITA VANCE-COOKS**  
Acting Public Printer

Chairman Crenshaw and Chairman Nelson, we look forward to working with you and your Subcommittees in your consideration of our appropriations request for FY 2013.

Sincerely,

A handwritten signature in black ink that reads "Davita Vance-Cooks".

Davita Vance-Cooks  
*Acting Public Printer of the United States*

Enclosure

cc: The Honorable Mike Honda  
Ranking Member  
House Subcommittee on Legislative Branch Appropriations

The Honorable John Hoeven  
Ranking Member  
Senate Subcommittee on Legislative Branch Appropriations

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## EXECUTIVE SUMMARY

A commitment to providing public access to Government information is deeply rooted in our system of Government. GPO is one of the most visible demonstrations of that commitment. For 150 years, our mission under Title 44 of the U.S. Code has been to *Keep America Informed*: to fulfill the needs of the Congress and Federal agencies for official, authentic Government information products, and to make those products available to the public.

In GPO today the Government has a unique asset that combines a comprehensive range of production and processing services, procurement facilitation, and multi-format dissemination capabilities to support the life cycle requirements of official Government information in the 21st century in digital and print formats.

GPO has three essential missions:

- to provide expert publishing, printing, and digital information services to all three branches of the Government;
- to provide, in partnership with Federal depository libraries, permanent public access to the printed and digital information products of the Federal Government; and
- to sell copies of authentic printed and digital documents and other Government information products to the general public.

We conduct all of our services in a non-partisan, service-oriented environment that emphasizes the primacy of the customer's requirements for timeliness, quality, security, and economy. GPO is committed to achieving the greatest access and equity in information dissemination to our customers. Information on all of our programs and services, as well as access to a large and growing range of Government information, is available through our home page at [www.gpo.gov](http://www.gpo.gov).

### GPO and Congress

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GPO provides Congress with immediate, reliable service in a work environment under its direct control. All of the work performed by GPO for Congress is funded through the annual appropriation for Congressional Printing and Binding.

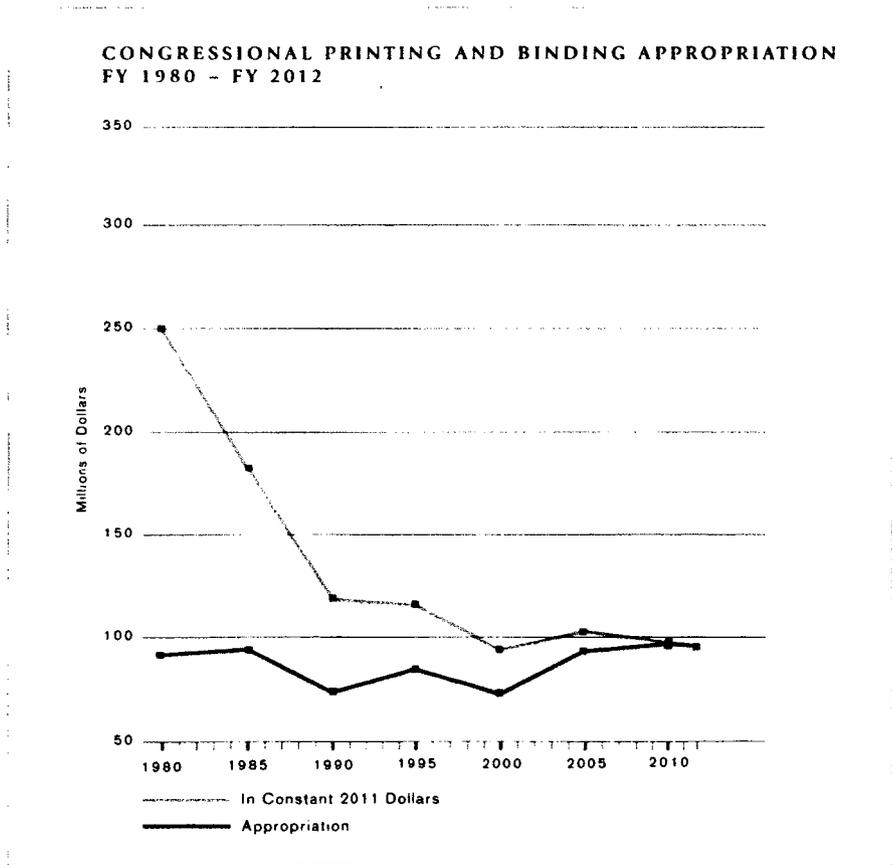
GPO produces the daily and permanent editions of the *Congressional Record*, bills, resolutions, amendments, hearings, committee reports, committee prints, documents, stationery, and a wide variety of other products, in both print and online formats, that are essential to the legislative process in Congress. This work is produced through the creation and storage of digital databases of publications for printing and dissemination, as well as the provision of online access and print-on-demand solutions.

Digitized databases containing congressional information are now GPO's essential product. Once assembled, information contained in these databases may be produced in print and made

available online to the public through GPO's Federal Digital System (FDsys) (<http://fdsys.gpo.gov>) as well as other systems such as the Library of Congress's THOMAS information system. GPO is committed to support Congress's ongoing efforts to provide the public with access to more congressional information, in the forms and formats needed by Members, staff, and the public. Recently, GPO issued its first mobile Web application (app), the Online Guide to Members of Congress, and supported the Committee on House Administration and the Library of Congress in the development of a *Congressional Record* app for use on the iPad.

### GPO Generates Savings for Congress

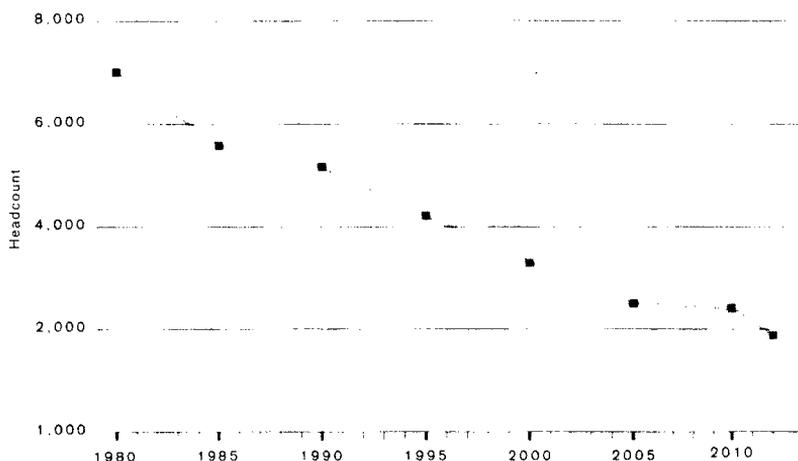
While there have been changes in congressional procedures over time that have resulted in changes in the cost of producing legislative information products, the introduction and use of electronic information technologies by GPO have been the principal contributor in lowering the cost, in real economic terms, of these products.



In FY 1980, the appropriation for Congressional Printing and Binding was \$91.6 million, the equivalent in today's dollars of \$250.05 million. By comparison, GPO's approved funding for FY 2012 is \$90.7 million, a reduction of nearly two-thirds in constant dollar terms. Productivity improvements and staffing reductions made possible through the deployment of successive generations of digital information technology since then have yielded significant taxpayer savings.

Productivity increases resulting from technology have enabled GPO to make substantial reductions in staffing requirements while continuing to improve services for Congress. In 1980, as GPO was about to complete its conversion to electronic photocomposition, GPO employment was approximately 6,450. Today, GPO has approximately 1,900 employees on board, representing a 31-year reduction of 4,550, or more than 70%, and leaving GPO today with the smallest workforce of any time in the past century. The reduction was accomplished due to modernizing and improving GPO services.

#### GPO EMPLOYMENT TREND, 1980-2012



#### GPO's Congressional Record Survey

In FY 2011, GPO assisted Congress in reducing the number of print copies required for its operations. By law and regulation, Senate and House of Representatives offices and committees are provided by GPO with printed copies of the *Congressional Record* and the *Congressional Record Index*, and—on behalf of the Office of the Federal Register (OFR)—with copies of the *Federal Register*, the *Federal Register Index*, and the *Code of Federal Regulations*. At the same time, GPO makes all of these publications available online on FDsys. Since 1994, when GPO first began providing congressional information products in online digital formats, the number of printed copies of the *Congressional Record* that GPO has been required to produce overnight has declined from approximately 19,500 to about 3,000 today.

In FY 2011, GPO developed and conducted the first-ever online survey of congressional offices and committees on their need for the printed *Congressional Record* and OFR publications. The online survey asked Members, committees, and other offices in the House and Senate of their needs for the daily *Congressional Record*, the *Congressional Record Index*, and other publications.

The survey was conducted in May 2011, accompanied by Dear Colleague letters in the House and the Senate. In August 2011, GPO developed and released a Web portal for House and Senate Member offices to use in changing the quantities they receive of print documents. The portal was advertised by an email to the approximately 650 addresses involved in the survey. In September 2011 GPO issued a press release that further advertised this effort, which was picked up by *Roll Call* and the Sunlight Foundation. GPO staff then began cold-calling House and Senate Member offices that did not respond to the survey or who had not used the Web portal. All such offices were contacted by early November 2011.

At the beginning of May 2011, the total number of *Congressional Record* copies printed daily was 3,623. At the beginning of November 2011, it had declined to 2,955, a reduction of 668, or 18%. The majority of this reduction is attributable to opt-outs requested by congressional offices, totaling 590 as a result of the survey. The majority of copies of the *Congressional Record* that continue to be printed are for congressional use. Copies are also printed for Federal agencies, distribution to Federal depository libraries, and public sales.

There has been a 17-year decline in the number of *Congressional Records* printed, principally as the result of GPO offering the *Record* online beginning in 1994. At that time, GPO printed approximately 19,500 copies daily. Not counting the House's elimination of copies for public agencies and institutions designated by Representatives in 1995, the reduction since then has been approximately 75%, an average reduction of about 4% annually over that period. By comparison, the survey resulted in an 18% reduction in a 6-month period.

When the survey began, 5,476 copies of the *Federal Register* were being printed daily. At the beginning of November 2011, the number was 2,644, a reduction of 2,832, or about 52%. The majority of this reduction appears to be attributable to the White House's initiative in 2011 to reduce the number of *Register* copies produced for Federal agencies. The total reduction attributable to the survey was 410.

Based on the incremental cost of a daily copy of the *Congressional Record* and *Congressional Record Index*, the cost reduction to the Congressional Printing and Binding Appropriation attributable to the survey was \$346,000. An additional \$408,000 in savings was attributable to the reduction in the number of copies of the *Federal Register* and *Federal Register Index* distributed to congressional offices (although these publications are not funded through the Congressional Printing and Binding Appropriation).

At the end of the year, GPO worked with the House to assist in implementing the amendments to the Legislative Branch Appropriations Act for FY 2012 to restrict the distribution of copies of the *Congressional Record* and bills to Member offices (these publications have traditionally been distributed to Member offices by the House Post Office and the Office of the Clerk of the House, respectively).

## **GPO Voluntary Separation Incentive Program**

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During FY 2011, GPO conducted a voluntary separation incentive program (VSIP) to reduce staffing levels. The program was conducted pursuant to the authorization provided by the House Committee on House Administration and the Senate Committee on Rules and Administration in accordance with section 210 of Title III, Division G, of the Consolidated Appropriations Act for FY 2005 (P.L. 108-447), as codified at section 60q of Title 2, U.S.C. The intent of the VSIP was to reduce GPO's workforce by approximately 15%, or 330 employees, while ensuring that critical agency functions were not allowed to be depleted of essential staff strength.

A total of 321 employees applied for the VSIP. Of these, participation by 25 applicants was disapproved since they were positions that are essential to GPO operations. Subsequently, 49 applicants withdrew from the program, leaving a total of 247 employees who separated from GPO under the VSIP by the closing date of December 31, 2011. This is approximately 75% of the VSIP workforce reduction goal.

In addition, in between the time the VSIP plan was first announced at GPO in early June 2011 and the end of the program on December 31, there were a total of 65 other separations from the agency. These included 27 other non-VSIP retirements and 38 separations for other reasons (resignations, etc.). Accordingly, the total number of persons to leave GPO since June 2011 was 312, or approximately 95% of the workforce reduction goal for 2011.

At June 1, 2011, GPO's workforce numbered 2,232. At December 31, it numbered 1,920, the lowest level in the past century. Since 1980, when GPO's workforce numbered 6,450, the workforce has been reduced by 70%, a rate of change unparalleled elsewhere among the other major components of the Legislative Branch.

The 247 employees who separated from GPO under the VSIP were paid a total of \$6,175,000 in incentive payments as authorized by law. The payments were made out of available funds in GPO's Revolving Fund. In accordance with accounting requirements, these costs were booked for FY 2011. Projected savings for FY 2012 resulting from the VSIP, based on the remaining three quarters of the year following December 31, are \$17,925,000. In FY 2013, GPO will realize a full year of savings from the VSIP totaling \$23,900,000. Most of these savings will be realized in GPO's Revolving Fund operations, although savings will also be realized in GPO's Congressional Printing and Binding and Salaries and Expenses Appropriations.

## **GPO and Information Dissemination**

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GPO carries out its mission to *Keep America Informed* through the information dissemination programs of the Superintendent of Documents. These programs are funded by the annual Salaries and Expenses Appropriation of the Superintendent of Documents, and include the distribution of publications to approximately 1,220 Federal depository libraries nationwide (averaging nearly 3 per congressional district), cataloging and indexing, distribution to recipients designated by law, and distribution to foreign libraries which provide the U.S. with copies of their official Government documents in exchange.

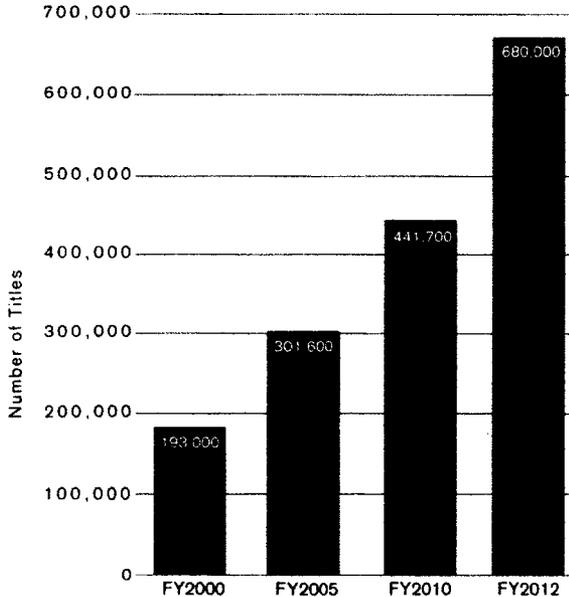
Established by law, GPO's Government documents Web site, FDsys, provides free online access today to nearly 680,000 titles, including the *Congressional Record* and other congressional documents (bills, reports, hearings, committee prints, documents, etc.), the *Federal Register*,

Supreme Court opinions, and other publications, from both GPO's servers and links to servers in other Federal agencies. FDSys is the only Government online service providing access to a wide range of information from all three branches of the Federal Government, and the only service providing official access to this important Government information. Currently, more than 13.1 million documents are retrieved from GPO's online services every month, and the number continues to grow.

### **GPO Achieves Savings in Information Dissemination**

Formerly, GPO distributed Government documents primarily in print and related formats, including microfiche and CD-ROM. In FY 1995, the year that GPO provision of online access to Government documents via the Internet debuted, the cost of printing and distributing millions of copies of printed publications to Federal depository libraries nationwide was funded at \$17.6 million, the equivalent of \$25.98 million in constant dollars. For FY 2013, we are proposing to fund the same function at \$8.5 million, a reduction of more than 67% in constant dollar terms. Along with occasional appropriations to GPO's Revolving Fund, GPO has used the savings from reduced printing and distribution costs to pay for the establishment and operation of its online information dissemination operations, achieving additional savings for the taxpayers and vastly expanding public access to Government information.

**NUMBER OF TITLES AVAILABLE ONLINE FROM GPO  
FY 2000 – FY 2012**



## GPO FINANCES

**Revolving Fund.** All GPO activities are financed through a business-like Revolving Fund. The fund is used to pay all of GPO's costs in performing congressional and agency printing, printing procurement, and distribution activities. It is reimbursed from payments from customer agencies, sales to the public, and transfers from GPO's two annual appropriations, the Congressional Printing and Binding Appropriation and the Salaries and Expenses Appropriation of the Superintendent of Documents.

The Revolving Fund functions as GPO's checking account with the U.S. Treasury. GPO pays its expenses from this account either with a check or electronic transfer. The fund is reimbursed when the Treasury Department transfers money from agency appropriations accounts to the Fund when agencies pay GPO invoices. This procedure also applies to the payment of transfers from the Congressional Printing and Binding and Salaries and Expenses Appropriations, and to deposits of funds collected from sales to the public.

GPO maintains a cash balance in the Revolving Fund that is used to pay all expenses. The cash balance fluctuates daily as payments are received from agency reimbursements, customer payments, and transfers from GPO appropriations.

**Retained Earnings.** Under GPO's system of accrual accounting, annual earnings generated since the inception of the Revolving Fund have been accumulated as retained earnings. Retained earnings make it possible for GPO to fund a significant amount of technology modernization. However, appropriations for essential investments in technology and plant upgrades are also requested annually.

**Appropriated Funds.** GPO's Congressional Printing and Binding Appropriation is used to reimburse the Revolving Fund for costs incurred in performing congressional work. The Salaries and Expenses Appropriation of the Superintendent of Documents is used to pay for costs associated with depository distribution, cataloging and indexing, statutory distribution, and international exchange distribution. The reimbursements from these appropriations are included in GPO's total revenue.

Unlike most appropriations to other Federal agencies, these appropriations are for work that GPO itself does not control. The Congressional Printing and Binding Appropriation in effect is an appropriation by Congress to cover the costs of its own printing. The appropriation is made to GPO to relieve Congress of the burden of maintaining detailed accounting records for all the work ordered from GPO both by law and by other congressional requisitions, as well as the responsibility for estimating the anticipated volume of congressional work that is used as the basis for the appropriation.

Congress plays a major role in controlling the rate of spending of the Congressional Printing and Binding Appropriation. GPO can transfer funds from the appropriation to the Revolving Fund only when it performs congressional work. The appropriation is not available for expenditure for any purposes other than congressional work. While GPO does its best to estimate the volume of congressional work in any given year, that volume can change due to circumstances beyond GPO's control. GPO can affect the rate of spending under this appropriation by ensuring the efficiency of its operations.

If the volume of congressional work falls short of GPO's estimate, there will be a balance remaining in the Congressional Printing and Binding Appropriation at the end of the year. If Congress's requirements exceed GPO's estimate, GPO will continue to fulfill them, and Congress will in effect spend more than it appropriated. As a result, there will be a shortfall in the appropriation for which GPO would need additional funding in a subsequent year. The shortfall would be paid out of available money—retained earnings—in GPO's Revolving Fund that otherwise would be available for investment in new plant and equipment. When shortfalls occur, Congress subsequently repays GPO for the excess cost of its printing to restore money to GPO's Revolving Fund.

Like the Congressional Printing and Binding Appropriation, the Salaries and Expenses Appropriation is available only for specific programs: depository distribution, cataloging and indexing, statutory distribution, and international exchange. The publishing activities of the Government determine the workload handled by these programs, not GPO. However, GPO can affect the level of funding by ensuring the efficiency of its information dissemination operations.

**FY 2011 Financial Results.** For FY 2011, revenue totaled \$821.1 million, and the total operating expenses charged against GPO's budget were \$818.2 million, excluding Other Operating Expenses. Other Operating Expenses were a \$2.7 million credit adjustment to GPO's long term workers' compensation liability. Funds appropriated directly by Congress provided \$122.1 million (including funds from the Congressional Printing and Binding and Salaries and Expenses appropriations, along with appropriations to the Revolving Fund), or slightly less than 15% of total revenue. All other GPO activities, including inplant printing (which includes the production of passports), procured printing, sales of publications, agency distribution services, and all administrative support functions, were financed through the Revolving Fund by revenues generated by payments from agencies and sales to the public. As a result, GPO realized positive net income of \$5.6 million for the year.

The largest single component of GPO's annual expenses is procured printing. In FY 2011, the cost of procured printing totaled \$362.1 million, or about 44% of total expenses. The second largest component was personnel compensation and benefits. These totaled \$237 million in FY 2011, or about 29% of all expenses.

## **GPO'S FY 2013 APPROPRIATIONS REQUEST**

GPO's total appropriations request of \$126.2 million for FY 2013 will enable us to:

Our funding request is specifically designed to:

- meet projected requirements for GPO's congressional printing and binding operations during FY 2013;
- fund the operation of GPO's statutory information dissemination programs; and
- continue the development of FDsys and other key information technology infrastructure projects that support Congress and implement other improvements to our facilities related to health and safety.

**Congressional Printing and Binding Appropriation.** We are requesting \$83,632,000 for this account, representing a decrease of \$7,068,000, from the level of funding provided for FY 2012.

We estimate that total congressional printing and binding requirements for FY 2013 will be \$86,650,000. However, GPO has an estimated \$9,935,000 in unexpended balances of this account

remaining from FY 2010 (\$1,909,000) and FY 2011 (\$8,026,000), due principally to a reduction in the work ordered for the *Congressional Record*. GPO has the authority—with the approval of the Committees on Appropriations—to transfer forward the unexpended balances of prior year appropriations to the Revolving Fund, provided the funding is used to carry out the purposes for which it was originally appropriated. We expect to request the authority to transfer these funds. Based on historical congressional workload data, we estimate that approximately \$6,917,000 of this amount will be required to supplement the funds provided for FY 2012. The balance of \$3,018,000 will be utilized to supplement our request for FY 2013.

House Report 112-148, accompanying the Legislative Branch Appropriations bill for FY 2012 (July 15, 2011), requires the presentation of budget requirements for FY 2013 from a zero base. However, GPO has no control over the workload requirements of the Congressional Printing and Binding Appropriation. These are determined by the legislative activities and requirements of the House of Representatives and the Senate as authorized by the applicable provisions of Title 44, U.S.C. GPO utilizes historical data incorporating other relevant factors to develop estimates of likely congressional printing and binding workload requirements. These requirements are used at the basis of the budget presentation for this account.

The estimated requirements for FY 2013 include a price level increase of \$1,455,000 based on an average 1.5% increase due to projected increases in printing costs. This increase is offset by an overall decrease in volume of \$8,523,000, due principally to projected workload reductions for the *Congressional Record*, miscellaneous printing and services (this workload category increased in FY 2012 in part due to inaugural printing requirements), calendars, hearings, and bills, resolutions, and amendments. The most notable workload increase will be \$3,452,000 to produce the 2012 edition of the U.S. Code, which by law is issued in a new edition every 6 years. However, the availability of \$3,018,000 in unexpended prior year funds will substantially cover the cost of producing the Code.

**Salaries and Expenses Appropriation of the Superintendent of Documents.** We are requesting \$34,728,000 for this account, a decrease \$272,000 from the level approved for FY 2012. The requested amount is based on the outcome of using zero-based budgeting to determine the proper levels of funding need to perform program activities at minimum levels, as directed by House Report 112-148.

At this date there is approximately \$3,321,000 in remaining unexpended balances from the Salaries and Expenses Appropriation from FY 2007. We expect to request the authority to transfer these funds to the Revolving Fund to cover additional expenses of this account, including the costs for printing and distributing the 2012 edition of the U.S. Code (totaling \$2,100,000), which is an essential title for the FDLP. These funds will also cover developing and implementing an automated distribution solution at the FDLP distribution center at GPO's warehouse in Laurel, MD (\$400,000).

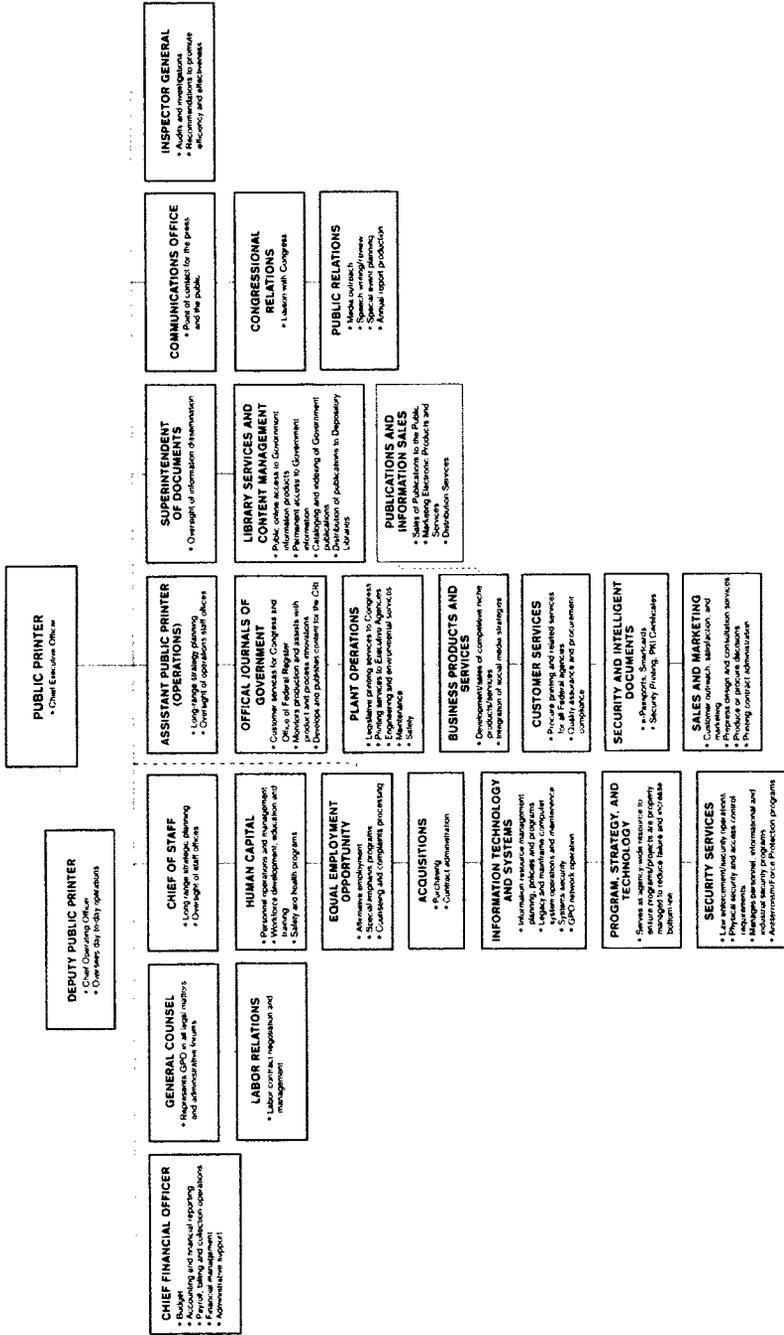
Along with the balance of the transferred funds, the requested funding will cover mandatory pay increases of \$263,000. Merit and other pay increases are included for 114 FTE's, the same level as FY 2012. In addition, the requested funding covers projected price level increases of \$286,000, including a \$149,000 increase in rents and utilities resulting from the relocation of the FDLP depository distribution operation from the main GPO in Washington, DC, to GPO's Laurel, MD, warehouse. However, the relocation will also result in a significant reduction of \$1,700,000 in facilities and overhead costs formerly billed to this account, which along with \$1,000,000 in other non-recurring costs (including the FDLP's migration and modernization of legacy systems which was funded in FY 2012) will no longer be required to be funded in FY 2013.

**Revolving Fund.** We are requesting \$7,840,000 for this account, to remain available until expended, to fund essential investments in information technology development and facilities improvements. Our request represents an increase of \$7,340,000 over the level of funding provided for this account for FY 2012.

The request includes \$7,380,000 for information technology development, including \$3,890,000 to continue developing FDsys, \$1,500,000 each for GPO's Composition System Replacement and Oracle business system projects, and \$490,000 for other IT improvements. These IT projects include components that will have a direct impact on the provision of digital information production and dissemination services for Congress, such as the development of a composition system compatible with extensible markup language (XML) to replace GPO's aging Microcomp-based system, improved XML support for congressional publications ingested into FDsys, and digitization of the bound *Congressional Record*, a project that GPO is working on in partnership with the Library of Congress. In addition, we are requesting \$460,000 for continued elevator repairs and renovation and new fire pumps.



GPO FUNCTIONS BY ORGANIZATION



## GPO STAFFING INFORMATION

As Of Dec 31, 2011

<b>Business Unit</b>	<b>1-8</b>	<b>9-12</b>	<b>13-15</b>	<b>SLS</b>	<b>EX</b>	<b>Wage Grade</b>	<b>Total</b>
Acquisitions	7	8	7	0	0	0	22
Business Products and Services	30	44	17	1	0	12	104
Chief of Staff	1	1	1	0	0	0	3
Communications Office	0	1	6	1	0	0	8
Customer Services	39	89	37	1	0	10	176
Equal Employment Opportunity	0	3	1	0	0	0	4
Finance and Administration	26	40	42	2	0	2	112
General Counsel	1	2	7	3	0	0	13
Human Capital	15	20	19	1	0	0	55
Information Technology and Systems	3	29	66	1	0	0	99
Inspector General	1	5	12	1	0	0	19
Library Services and Content Management	10	46	28	1	0	15	100
Official Journals Of Government	4	15	16	0	0	56	91
Plant Operations	34	63	55	3	0	716	871
Programs, Strategy, and Technology	1	3	18	1	0	0	23
Public Printer	0	2	1	2	1	0	6
Sales and Marketing	2	5	4	0	0	0	11
Security Services	40	10	4	0	0	0	54
Security and Intelligent Documents	13	5	26	1	0	104	149
<b>Grand Total</b>	<b>227</b>	<b>391</b>	<b>367</b>	<b>19</b>	<b>1</b>	<b>915</b>	<b>1,920</b>

Note: This information outlines the number of employees within the agency's organizational structure. The breakout is by plan and grade range or salary equivalent of 1920 employees, as of December 31, 2011.

GPO's Senior Level Service (SLS) is similar to the Senior Executive Service.

**US GOVERNMENT PRINTING OFFICE**  
**Summary of Appropriation Estimates**  
(Dollars in Thousands)

<u>Appropriation Title</u>	FY 2011 <u>Actual</u>	FY 2012 <u>Approved</u>	FY 2013 <u>Request</u>	FY 2012/2013 <u>Net Change</u>
<b>Congressional Printing and Binding</b>				
Total Appropriation	\$ 93,768	\$ 90,700	\$ 83,632	\$ (7,068)
Less Rescission	(188)	-	-	-
Net	<u>93,580</u>	<u>90,700</u>	<u>83,632</u>	<u>(7,068)</u>
<b>Superintendent of Documents</b>				
<b>Salaries and Expenses</b>				
By Law Distribution	485	350	347	(3)
Cataloging and Indexing	9,676	8,750	8,682	(68)
Federal Depository Library	27,944	24,500	24,310	(190)
International Exchange	1,806	1,400	1,389	(11)
Total Appropriation	39,911	35,000	34,728	(272)
Less Rescission	(80)	-	-	-
Net	<u>39,831</u>	<u>35,000</u>	<u>34,728</u>	<u>(272)</u>
<b>Revolving Fund</b>				
Total Appropriation	1,659	500	7,840	7,340
Less Rescission	(3)	-	-	-
Net	<u>1,656</u>	<u>500</u>	<u>7,840</u>	<u>7,340</u>
<b>Total Appropriations</b>	135,338	126,200	126,200	-
<b>Less Rescissions</b>	<u>(271)</u>	<u>-</u>	<u>-</u>	<u>-</u>
<b>Net</b>	<u>\$ 135,067</u>	<u>\$ 126,200</u>	<u>\$ 126,200</u>	<u>\$ -</u>

**US GOVERNMENT PRINTING OFFICE  
Staffing Summary – FTE's**

<u>Appropriation Title</u>	<u>FY 2011 Actual</u>	<u>FY 2012 Approved</u>	<u>FY 2013 Request</u>	<u>2012/2013 Change</u>
Congressional Printing and Binding	-	-	-	-
Superintendent of Documents				
By Law Distribution	1	1	1	-
Cataloging and Indexing	23	28	28	-
Federal Depository Library	83	80	80	-
International Exchange	4	5	5	-
	<u>111</u>	<u>114</u>	<u>114</u>	<u>-</u>
Revolving Fund	<u>2,089</u>	<u>1,891</u>	<u>1,836</u>	<u>(55)</u>
Total Agency	<u>2,200</u>	<u>2,005</u>	<u>1,950</u>	<u>(55)</u>

The Government Printing Office had an on-board reduction of 247 from the buyout program which was completed in December 2011. This reduced our FTE's within the Revolving Fund for FY 2012 by 197. In 2013, the savings from the buyout will be fully realized at 247.

## GPO MISSION, GOALS, OBJECTIVES

### I. Strategic Initiative – Satisfying Our Stakeholders

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#### **GOAL 1 – It's All About The Customer**

Create an internal organizational culture in which exceptional service, delivery, and customer satisfaction are encouraged and rewarded as the foundation of a reputation for world-class customer service. GPO must provide products and services to our customers and utilize new technologies to meet our customers' needs.

#### **Accomplishments**

##### **2011 Customer Satisfaction Survey**

The 2011 Customer Satisfaction Survey showed that 91 percent of 750 Federal agency customers that responded to the survey are satisfied overall with the services they are receiving. The survey focused on GPO's printing and publishing services, billing processes, and employee customer service. The survey reported improvements across the board in satisfaction with GPO's billing process, including promptness of billing, accuracy of invoices, the billing problem resolution process, and satisfaction with GPO's deposit accounts.

##### **Account Managers Activity**

Agency Accounts and Marketing track individual and team sales against respective sales goals to gauge new business activity by the National Account Managers. Full FY11 aggregate sales achievement for the National Account Managers (NAMs) represents year-over-year sales growth of \$2,862,508 (21.7% growth) for the combined Central and Regional NAM teams.

##### **Agency Customer Needs Assessment**

Central and Regional National Account Managers conducted 35 targeted agency assessment meetings to gain a better understanding of agency customers' short-term and long-term printing and communication needs. The information gleaned from these meetings was used to develop specific sales strategies for the purpose of growing the GPO business within these agencies and identification of new business opportunities.

##### **Congressional Office Needs Survey**

In May 2011, GPO developed and conducted the first-ever, online survey of congressional offices and committees on their need for printed Congressional Record and OFR publications. Many—though not all—offices and committees requested to reduce or opt out of their receipt of these publications.

##### **GPO Open House**

The August 2011 Open House which had a theme "Imagine More" was an opportunity for the 81 Federal Agency customers in attendance to learn about the latest printing methods and digital technologies offered by GPO.

##### **GPO Road Shows**

GPO Road Shows are the primary sales and marketing outreach activities used by the GPO National Account Managers. They hosted 28 GPO Road Shows in 27 cities with 487 agency representatives in attendance. National Account Managers also conducted 4 additional offsite agency-specific training events with a total of 145 agency staff in attendance. Marketing also facilitated attendance at FOSE and On-Demand conferences, both which were held in Washington DC in FY 2011.

##### **On Time Product Delivery**

GPO Plant Operations tracks the delivery of the Congressional Record (CR), Federal Register (FR) and the Code of Federal Register (CFR). Both the FR and CR are delivered on time over 92% of the time.

##### **Reward Mechanism**

GPO rewards employees for demonstrating a high level of service and promotes their successes. These successes are publicized on our LINK system and are included in *Typeline*.

## **GOAL 2 – Open and Transparent**

Build on GPO's 150-year commitment to an open and transparent government to increase the number of documents disseminated digitally and in print. Specifically GPO will:

1. Provide information to the public by offering agencies a cost-effective way to disseminate information. This strategy will provide an environment of openness that will strengthen our democracy and promote efficiency and effectiveness in Government.
2. Increase the transparency of GPO operations and assess GPO management's ability to lead, while empowering and supporting the employees.

### **Accomplishments**

#### **E-Book Market**

GPO is now providing eBooks to public libraries, academic libraries, e-retailers, and direct to the public through agreements with Google eBooks, Overdrive, Ingram MyLibrary and Ingram Digital Distribution. Approximately 300 eBooks have been sold to date. GPO developed in-house eBook production capabilities and developed procedures to work with vendors to produce eBooks for Federal agencies through a print procurement-type process.

#### **FDsys**

Since FDsys assumed the role of GPO's system of record for online Federal Government information in December 2010, GPO has focused FDsys efforts towards increasing the amount of content within the system and increasing the ways content can be used and reused. There are now over 60,000 user visits to FDsys every week, which represents a 300 percent growth in user visits from December 2010 to October 2011. GPO has also focused FDsys efforts towards increasing the amount of content within the system and increasing the ways content can be used and reused. GPO has achieved these goals by:

- Adding content collections from all three branches of government, including the Coastal Zone Information Center, Digitized Statutes at Large for 1981-2002, and opinions of the United States appellate, district, and bankruptcy courts.
- Providing access to XML datasets through data.gov, including the Public Papers of the President, U.S. Government Manual, the Federal Register and the Code of Federal Regulations.

#### **Government Performance Results Act (GPRA)**

Quality Assurance maintains the GPO Balanced Scorecard to ensure that GPO meets its GPRA requirements. SVP and GPRA status is reported annually to executive management. GPO regularly attends Legislative Branch Financial Managers Council (LBFMC) meetings for GPO.

#### **Metric Development**

GPO Managers have developed baseline targets and quality/production metrics so that the efficiency and/or effectiveness of programs and operations can be measured.

#### **OIG Audits**

The OIG issued seven audit reports in FY 2011 which covered topics such as GPO Ethics Program, Control and Accountability of Laptop Computers, FDsys Risk Management, Contract Oversight and IV&V, Secure Card Personalization System information technology controls, and Assessment of GPO's PKI Certification Authority. GPO closed 33 recommendations from these reports which can be found at: <http://www.gpo.gov/oig/audits.htm>.

#### **Social Media**

GPO launched a Facebook page in February 2011 and now has 1321 "likes" or followers. Four Square and Yelp accounts were created to promote the GPO, our 150th anniversary exhibit, and GPO's bookstore. GPO's Twitter account has 2,775 followers.

#### **Strategic Planning**

The GPO Strategic Vision Plan (SVP) was distributed May 2011. Employees were made aware of the agency goals, core commitments and key efforts which were directly linked to performance plans.

### **GOAL 3 – Enhance Strategic Partnerships**

Enhance GPO's strategic partnerships to gain flexibility, build effective networks, and manage processes to meet and exceed customer expectations.

#### **Accomplishments**

##### **GPO and Department of State**

In order to monitor our efforts in producing quality US electronic passports for the Department of State (DOS) in a timely manner, Security Intelligent Document (SID) maintains annual, monthly, weekly and daily production metrics. Reports include statistics on production, waste, quality and customer service activities. GPO representatives are part of a Joint Committee with the Department of State called the Supply Demand and Quality Committee that meets once a month to address any open issues or concerns that the State Department may have. SID produced 13M U.S. Passports requested by DOS for FY 2011.

##### **GPO and Federal Depository Library Community**

LSCM identified new cooperative and collaborative projects involving federal information dissemination within the information community and federal agencies in FY 2011. GPO led collaboration efforts with several agencies to improve federal information sharing.

- GPO accomplishments included outreach and presentations which were delivered at national conferences and events within the information community.
- Cooperative and collaborative efforts include the Digitization Projects Registry (DPR) website which LSCM launched to support Federal Depositories, Federal Agencies, and Public Users.
- A Document Discovery Program was implemented to work with the federal information community to ensure the public has access to Federal information at no cost to public users and Federal agencies.
- GPO collaborated with the Library of Congress (LOC) and the National Oceanic and Atmospheric Administration's Coastal Zone Information Center (NOAA/CZIC) to digitize and incorporate documents into FDsys. GPO also continues to work with the LOC and National Archives and Records Administration (NARA) to collaboratively address preservation standards for content in a variety of electronic formats.

##### **GPO & Federal Judiciary**

The GPO and the Federal Judiciary are launching a one year pilot program providing free public access to court opinions through GPO's Federal Digital System (FDsys). When fully implemented, the pilot will include up to 42 courts.

##### **GPO and FedEx Office**

The GPOExpress contract, a partnership between GPO and FedEx Office, was renewed in January 2011. As part of the renewal, prices were reduced 16% on the most commonly purchased items. FY 2011 sales closed at \$8.9 million which represents a 1% year-over-year growth in actual revenue. However, adjusted for the price reductions under the new contract, this represents a 12% increase in sales activity on the program. The program finished FY 2011 with just over 4,000 cardholders. GPO E-Catalog sales increased 27% from \$1.8 million to \$2.3 million.

##### **GPO and General Service Administration**

The U.S. General Services Administration (GSA) worked with the GPO through GPO's relationship with the Google Book Partner Program to make popular Government publications available for free electronic download. The program is making available 100 consumer-related Federal Government publications distributed through GSA's Federal Citizen Information Center (FCIC) which are offered through GSA's online bookstore. The public can view and download PDF copies of these publications on desktops, laptops, and various e-readers.

##### **GPO and Google**

GPO is using the Google Books Partner Program to display most print titles that have been accepted into the GPO Sales Program. In FY 2011, 459 Federal books went "live" on Google. There were over 2.5 million online visits to books supplied by GPO and more than 19 million pages have been browsed online. Approximately 10 thousand click-throughs from Google to the GPO Online Bookstore, were made where the books can be purchased.

### **GPO and Independent Printers**

GPO's industry partners responded well this past year to a requirement that all quotations on small purchases be submitted electronically through our Contactor Connection portal. Close to 90,000 orders were processed with approximately 74% of these going to small businesses. Over 1,800 contractors received orders from GPO representing all 50 states, DC, Puerto Rico, Guam, and Mariana Pacific. They provided excellent service to our customers with an on time delivery record of 97%.

### **GPO and Interagency Council**

GPO conducted regularly scheduled meetings with the Interagency Council on Printing and Publications Services (ICPPS). The ICPPS consists of printing officers representing federal organizations from the executive, judicial and legislative branches. Presentations were made on the GPO Consulting and On-site services contracts, a certification program for printing specialists, the Online Paper Store, the Federal Register, e-books, and the GPO Express Doc Store. The ICPPS represented the voice of the customer on these issues and provided valuable input.

### **GPO and Library of Congress**

The GPO and Library of Congress (LOC) continued to digitize some of the nation's most important legal and legislative documents. The digitization project will include the public and private laws, and proposed constitutional amendments passed by Congress as published in the official *Statutes at Large* from 1951-2002. GPO and LOC are also working on digitizing official debates of Congress from the permanent volumes of the *Congressional Record* from 1873-1998. These laws and documents will be authenticated and available to the public on GPO's Federal Digital System (FDsys) and the Library of Congress's THOMAS legislative information system.

### **GPO and Office of the Federal Register (OFR)**

The eDocs Vision Document was released in June 2011. This document supports the strategic partnership between OFR and GPO and will begin the process of building a modernized CFR publication system. This new CFR publication system will better serve our customers by creating an online, official edition of the CFR. It will also help maintain the ability to produce the annual CFR as a high-volume, printed publication and support customer demand for special packages of regulations.

## **II. Strategic Initiative—Strengthening Our Organizational Foundation**

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### **GOAL 4 – Right Tools**

Anticipate, plan, and equip GPO to provide products and services to our customers, generating new opportunities for business and using process improvements to enhance customer service while reducing costs.

#### **Accomplishments**

##### **Agilience System**

The Agilience System was successfully implemented. This system provides an efficient and effective method to track IT system security accreditation information including attendant control assessments, known IT system weaknesses and their remediation plans. Agilience provides a single, secure data repository for this information across GPO.

##### **Composition Replacement System (CSR)**

GPO completed a risk-analysis for the new Composition Replacement System (CSR) which is intended to replace MicroComp - a 30-year old locator-based system (originally developed on the pdp-11 minicomputer platform and subsequently migrated to PC's). Additionally, the IT Security requirements for the development and production of the Composition System Replacement (CSR) were identified. The CSR will be composed of the necessary technology and business practices to enable GPO to modernize and/or integrate all existing discrete applications, utilities, and processes used by GPO and its users to compose and create files optimized for printing and access of select Congressional and Federal agency publications.

##### **Customer Services SharePoint Knowledge Management Database**

Customer Services has developed a SharePoint site Knowledge Management Database (KMD) which will capture historical knowledge, procedures, and data that will be used as a reference tool for customer service employees.

### **Customer Services Standard Specification Language**

The Standard Phraseology Employed in Contract Solicitations (SPECS) book is being updated so that employees in the Central and Regional offices will have current and officially approved language when developing new contract specifications. In addition, an electronic version has been developed that will allow users to easily search and retrieve this specification language.

### **ManPower Database**

Human Capital developed and released a manpower database that tracks personnel actions and provides up-to-date status for all hire and non hire actions.

### **Migration of Legacy Systems**

LSCM successfully completed a comprehensive inventory of legacy systems and complete analysis/documentation for migration to new systems. The first Library Information System Transformation (LIST) Conference Room Pilot was completed.

## **GOAL 5 – Maintain Fiscal Responsibility**

Utilize a cost-effective and collaborative approach to help GPO achieve its strategic initiatives and ensure continued financial stability.

### **Accomplishments**

#### **Buyout Program**

GPO offered a buyout program to reduce overhead spending and offset appropriation spending cuts. Business units developed workforce plans to reflect 15% staff reduction and transition to the government-wide standard supervisor/employee ratio of 1/11. Approximate savings expect to be \$33M per year.

#### **Chargeback Team**

An intradepartmental chargeback team has been formed and provides status reports on a weekly basis. The beginning balance in May 2011 was over \$28.250M. The net chargeback balance has decreased by 37% to approximately \$17.596M as of September 30th.

#### **Establishment of the Strategic Investment Committee (SIC)**

The SIC is a group of Executive Managers tasked with linking GPO's capital and technical requirements to the strategic vision and developing a plan to achieve these goals. They will set priorities and continuously review all capital expenditures, to make sure that all expenditures support agency priorities and the strategic plan. This committee will update both the vision and the plan on an annual basis.

#### **Improved Space Utilization**

GPO instituted an aggressive program to make better use of GPO space by reducing the size of the footprint and leasing space to other Federal agencies. This will offset some of the facilities costs that are required to operate the GPO complex. Employees working on the GPO space program have:

- Surveyed the entire complex of four buildings to inventory the use of space by cost code and to produce a set of drawings to detail the allocation of space.
- Itemized listing of space use by type, office, industrial, storage or other.
- Compared GPO's use of office space to other agencies to determine efficiency.
- Proposed steps to vacate unneeded office space to offer other agencies for lease.
- Initiated projects to consolidate GPO office space to become more efficient.
- Met with other agencies to determine their needs and to offer space at GPO.
- Managed the ongoing lease program to increase revenue for GPO.

#### **Non-Chargeback Receivables**

In FY 2011 the over 31 day old non-chargeback receivable balance was approximately \$4.719M which is 14% below the fiscal year goal of \$5.5M.

### **Reduction in Facilities Costs**

The Plant Operations' Facilities Division, which supports the GPO complex, worked diligently to reduce business expenses. Work schedules are now optimized through a Plant Operations priority report that balances the availability of resources with the demand of the operation. As a result of this prioritization, and through collaboration involving all business units, the agency was able to save over \$1.5 million in overtime and materials as compared to FY2010.

### **Spending Controls**

Controls were implemented targeted at reducing overhead spending. At fiscal year end, the overhead spending run-rate had declined from \$140M per year to approximately \$120M per year.

## **GOAL 6 – Environmental Stewardship**

Continue to integrate the application of sustainable materials and processes into GPO operations.

### **Accomplishments**

#### **Air Quality, Waste Management and Sewer Discharge**

GPO provided targeted training designed to enhance GPO employees' understanding and coordination of roles and responsibilities related to key areas that impact air quality, waste management, and sewer discharge compliance. GPO has also developed and implemented improved compliance monitoring procedures with weekly inspections and daily evaluations of work spaces and waste accumulation areas.

#### **Environmental Initiatives**

This year, the use of low and zero VOC fountain solution in the pressroom has been increased. In addition, there have been tighter controls of chemical products used throughout the manufacturing plant resulting in a reduction of hazardous waste generation at the source. The GPO now has Small Quantity Hazardous Generator status with the District regulators.

#### **Energy Consumption**

GPO has increased its focus on building energy efficient, sustainable systems such as FDsys, which runs on the most energy efficient servers available, reducing energy consumption by 40%.

#### **Environmental Committee Meetings**

Senior management was briefed quarterly for environmental program updates; inspection trend analysis; and to discuss pollution prevention strategies for each of the program areas. The top environmental risks for GPO were identified in order to mitigate compliance liabilities and foster a safe work environment. Labor representatives, and union members were updated on environmental program activities and given the opportunity to provide feedback for any environmental issues or concerns.

## **GOAL 7 – COOP**

Develop appropriate plans to provide for the continuation of the agency's essential functions and operations during a wide range of emergencies, including localized acts of nature, accidents, and other unexpected situations.

### **Accomplishments**

#### **After Action Report**

A GPO "After Action Report and Improvement Plan" for response activities was developed after the Earthquake on August 23, 2011.

#### **COOP Planning**

- The Business Continuity Office developed an ad-hoc COOP Concept of Operations (CONOPS) and requirements document as well as a GPO COOP Plan; and a COOP Multi-Year Strategic Plan FY 2011-15.
- In FY 2011, there was a 262% increase in test, training and exercise program activities including: functional exercises and tabletop exercises; monthly systems testing program (COOP Tuesday); and participation and coordination of inter-agency exercises with the United States House of Representatives and the United States Senate.

**FDsys Disaster Recovery**

The FDsys disaster recovery instance was officially available on March 30, 2011. This fully functional instance ensures continued congressional and public access to historical and new content should systems be damaged at the primary work site. This will ensure that GPO processes to manage, preserve, and disseminate electronic government information continue without disruption during times of crisis.

**III. Strategic Initiative—Offering Products and Services****GOAL 8 – Statutory Foundation - Title 44**

GPO's mission is rooted in legislation codified in USC 44. GPO should increase the volume of documents distributed and preserved by the agency to fulfill its mission.

**Accomplishments****Authentication White Paper**

The Authentication White Paper was released in June 2011 and discusses the tools and evidence that GPO provides so that users can be sure that 1.) They can trust the source of the content, and 2.) Unauthorized alterations to content have not occurred (i.e., content integrity is maintained). The White Paper establishes GPO's position as a government leader in the area of content authentication. The report is available at: <http://www.gpo.gov/pdfs/authentication/authenticationwhitepaper2011.pdf>

**IT Security**

IT Security has successfully supported all 11 FDsys incremental releases in FY 2011, including full system accreditation.

**FDsys and GPO Access**

LSCM successfully developed the list of operational requirements and corresponding responsibilities for FDsys roles, along with a detailed transition plan for GPO Access sunset. In addition, LSCM developed a comprehensive FDsys Training Plan for internal and external system users and a Communication Plan for GPO Access Sunset.

**FDsys Internal Audit**

An internal audit of FDsys was successfully completed "Trustworthy Repositories Audit & Certification: Criteria and Checklist (TRAC) audit". LSCM has also implemented new collections, and continues to lead collaborations with Federal agencies regarding new or enhanced FDsys collections.

**GOAL 9 – Secure Federal Credentials**

Position GPO as a provider of choice for secure credentials for the Federal Government.

**Accomplishments**

1. The GPO produced over 13 million passports for the Department of State in FY11. Projects and procurement actions are underway to increase the security and to advance the integrated technologies used in the U.S.'s electronic passport. The GPO is currently conducting a procurement to establish a future secure supply chain and the associated vendor sources for the electronic passport program's cover stock component.
2. During FY11, the secure production facility in Washington DC where passports and other secure federal credentials are designed, manufactured, printed, personalized and shipped received the ISO9001 production and quality control certification. This globally recognized certification standard of excellence in manufacturing was the result of two years of preparation and transformation in the production and quality processes and workforces' standard operating procedures.
3. The GPO exceeded the FY11 secure smartcard credential revenue budgeted goal of 6 million dollars. This represented a 50% revenue increase over FY10. Several new products were launched in FY11 including a.) Department of State's family of secure diplomatic credentials, b.) DC Government's DCOne card program, c.) Department of Homeland Security's Global Entry Card program, d.) Department of Homeland Security's IISPD-12 enhanced PIV card body program, and e.) Federal Bureau of Investigation's new Special events Credential.

4. The GPO built, equipped and manned a new Secure Document Testing Laboratory (SDTL) for the purpose of testing and evaluating secure booklets and card products in the areas of durability, performance and quality. The laboratory and its equipment is government owned and operated in a government facility by security cleared government employees.
5. The GPO built, equipped and manned a secure manufacturing facility adjacent to the Secure Credential Center purpose built for the production of laminated card body products. This facility has the new capability of collating, laminating, and punching multi-layer secure card credentials for federal agency customers. The equipment is government owned and operated in a government facility by security cleared government employees.

#### **IV. Strategic Initiative—Engaging Our Workforce**

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##### **GOAL 10 – Employer Of Choice**

Transform GPO into an employer of choice through workforce planning that focuses on diversity and inclusion, and through implementing work life programs that meet the changing needs of GPO's employees.

##### **Accomplishments**

###### **150th Anniversary**

The GPO opened an exhibit of the agency's 150-year history in June 2011. As part of the exhibit, GPO displayed an original printed copy of the preliminary version of the Emancipation Proclamation. GPO printed 15,000 copies of the Emancipation Proclamation for the War Department, which were distributed to military commanders and their troops and diplomats in foreign countries. In FY 2011 GPO released *Keeping America Informed: The U.S. Government Printing Office: 150 Years of Service to the Nation*. This publication conveys GPO's history through text and photographs, many never published before.

###### **Apprentice Program**

The 60th Apprenticeship class graduated in May 2011 and 23 apprentices completed the comprehensive four year program. This program was designed to provide Plant Operations with a steady flow of employees, trained to perform the required duties in various crafts and trades. The craft specialties are Offset Plate Maker-Stripper, Proofreader/Keyboard Operator, Pressperson and Bookbinder.

###### **Decrease in Formal Complaint by Employees**

The formal complaints for FY2011 decreased by 36%.

###### **EEO Focus Groups**

EEO conducted employee and supervisor focus groups on all three shifts. These meetings provided an open forum for communication for managers and employees. Management now has a better understanding of employee concerns and more EEO information is available on the intranet and is available in hard-copy.

###### **EEO FY 2011 Programs**

During FY 2011, the GPO sponsored program observances during Disability Employment Awareness Month, Native American Heritage Month, Black History Month, Women's History Month and Asian/ Pacific American Heritage Month. These programs were complemented by a "Quote of the Day" on Link from a person representing the group being recognized, and the Public Printer's personal statement affirming his support and acknowledging the contributions of each group throughout the history of our nation and within the GPO.

###### **EEO Trend Analysis**

EEO conducted an extensive 10 year trend analysis of complaints. Results highlighted trends that have occurred at GPO that need attention or further analysis.

### **Getting to Know GPO Panel**

Getting to Know GPO was a new initiative implemented by the EEO Office in partnership with the Federal Women's Program Mentoring Sub-Committee. The purpose of the panel was to familiarize employees with the mission of the business units. The discussions are open to all employees. In each session, three or four Managing Directors briefly explain the key functions of their business unit. They also talk about how the workflow comes and goes, their customers and the primary skills employees need for their business unit. At the end of each session time is allotted for questions and answers. The first session was held on Thursday, June 30 with an overflow audience.

### **Lead Program – Leadership Training**

The purpose of GPO's Leadership Evaluation and Development (LEAD) Program is to provide GPO with a steady flow of employees with enhanced skills and capacity to lead oneself, other individuals, teams, functional areas and organizations. Participants will learn to refine the leadership skills they have already acquired, and develop those essential for the greater responsibilities ahead. The focus of the curriculum is on developing leadership traits that complement and are aligned with the business challenges and exigencies of the agency. The LEAD Program curriculum consists of 10 individual courses and is open to all GPO employees. Participation has been very high with over 100 employees taking classes.

### **Workforce Plans**

Human Capital led an agency-wide comprehensive workforce planning process designed to restructure GPO from a 2,230 person organization with an excess of supervisors to a 1,900 person organization. This process required each Business Unit (BU) to submit a plan that showed their current organizational structure, and to develop a new organizational structure with 15% fewer employees and 25% fewer supervisors. The Managing Director of each BU then had to present their plans to their peer managers. These presentations not only included reviewing current and proposed charts but also required the presenters to:

- list and discuss significant products and services and anticipated demand for these products or services for the 12-24 months post-reorganization;
- identify similar/identical functions performed elsewhere in GPO;
- identify opportunities to consolidate shifts, locations and functions and;
- provide a narrative that describes the efficiencies associated with a new leaner organization.

The result of these meetings were individual BU workforce plans and an agency wide overall workforce plan consistent with the goal of reducing the workforce by 15% and supervisory levels by 25% to ensure a more efficient and effective organization.

**CONGRESSIONAL PRINTING AND BINDING**  
Including Transfer of Funds  
Fiscal Year 2013

**Proposed Appropriations Language:**

For authorized printing and binding for the Congress and the distribution of Congressional information in any format; printing and binding for the Architect of the Capitol; expenses necessary for preparing the semimonthly and session index to the Congressional Record, as authorized by law (section 902 of title 44, United States Code); printing and binding of Government publications authorized by law to be distributed to Members of Congress; and printing, binding, and distribution of Government publications authorized by law to be distributed without charge to the recipient, [\$90,700,000] \$83,632,000: *Provided*, That this appropriation shall not be available for paper copies of the permanent edition of the Congressional Record for individual Representatives, Resident Commissioners or Delegates authorized under section 906 of title 44, United States Code: *Provided further*, That this appropriation shall be available for the payment of obligations incurred under the appropriations for similar purposes for preceding fiscal years: *Provided further*, That notwithstanding the 2-year limitation under section 718 of title 44, United States Code, none of the funds appropriated or made available under this Act or any other Act for printing and binding and related services provided to Congress under chapter 7 of title 44, United States Code, may be expended to print a document, report, or publication after the 27-month period beginning on the date that such document, report, or publication is authorized by Congress to be printed, unless Congress reauthorizes such printing in accordance with section 718 of title 44, United States Code: *Provided further*, That any unobligated or unexpended balances in this account or accounts for similar purposes for preceding fiscal years may be transferred to the Government Printing Office revolving fund for carrying out the purposes of this heading, subject to the approval of the Committees on Appropriations of the House of Representatives and Senate: *Provided further*, That notwithstanding sections 901, 902, and 906 of title 44, United States Code, this appropriation may be used to prepare indexes to the Congressional Record on only a monthly and session basis. (*Legislative Branch Appropriations Act, 2012*)

**Base Budget Review:**

Description of Program

The estimates for Congressional Printing and Binding are to provide funds to pay for the cost of printing and binding required for the use of Congress, and for printing, binding, and distribution of Government publications authorized by law to be distributed without charge to the recipient, as authorized by the provisions of chapters 7 and 9 of Title 44, U.S.C., and related statutes.

### Explanations of Changes

The appropriation requested for FY 2013 is \$83,632,000. A total of \$86,650,000 is required to cover Congressional Printing and Binding requirements for FY 2013. Of this amount, GPO is requesting approval to use \$3,018,000 of prior year unexpended balances for FY 2013. The requirements for the Congressional Printing and Binding Appropriation for FY 2013 are described below by category.

A. Congressional Record Program. The proceedings of the Senate and House of Representatives are printed in the *Congressional Record*. Approximately 2,900 copies are printed daily. About 2,160 copies are charged to the Congressional Printing and Binding Appropriation. The copies that are not charged to the Congressional Printing and Binding Appropriation are delivered and charged to Government departments on requisitions and to the Superintendent of Documents for sale to subscribers. On-line access to an electronic *Congressional Record* database was initiated in 1994 pursuant to the authorization in chapter 41 of Title 44, U.S.C. After the close of each session, the daily proceedings are consolidated, indexed, and about 319 sets are printed as the permanent bound edition of the *Record*. About 107 of these sets are for Congressional use and charged to the Congressional Printing and Binding Appropriation. The remaining 212 sets are for public sale, charged to departments on requisitions, or distributed to regional Federal Depository Libraries. An estimated 30,200 pages inclusive of the Record Index will be required in FY 2013 and the cost will be approximately \$24,583,000.

B. Miscellaneous Publications. This item includes printed matter such as the *Congressional Directory*, Senate and House Journals, memorial addresses of Members, serial sets, and publications not carrying a document or report number, such as laws, treaties, and similar publications. An estimated \$4,374,000 will be required in FY 2013 for approximately 20,900 pages.

C. United States Code. The 2012 edition of the United States Code and supplements contains the general and permanent laws of the United States. It is prepared and published every six years under authority of Title 2, U.S. Code, Section 285b by the Office of the Law Revision Counsel of the House of Representatives. An estimated 51,500 pages will be required and the cost will be approximately \$3,542,000.

D. Miscellaneous Printing and Services. This item includes letterheads, envelopes, blank paper, inaugural products, miscellaneous services, blank forms, content management, and binding for both Houses of Congress. The estimate for FY 2013 is \$13,970,000 for about 102.2 million items.

E. Details to Congress. This includes the cost for GPO employees detailed to Congress. The appropriation pays for details to the Senate and other Congressional offices; the cost of details to the House Committees is paid by House Committee funds. The estimated cost for FY 2013 is \$4,212,000 for 78,000 hours.

F. Document Envelopes and Document Franks. Document envelopes are furnished to Senators and Representatives for the mailing of speeches and documents. Franks are printed individually or in sheets with perforations and are furnished to Members of Congress for mailing documents. An estimated \$1,196,000 will be needed in FY 2013 for approximately 9.067 million envelopes, at a cost of \$1,039,000 and 633,000 franks at a cost of \$157,000.

G. Business and Committee Calendars. This heading covers the printing of all House and Senate business and committee calendars, which list the actions on pending and completed legislation. An estimated \$3,038,000 will be required in FY 2013 for approximately 18,000 pages.

H. Bills, Resolutions, and Amendments. This heading covers the printing of bills, resolutions, and amendments in all forms, including the prints as introduced, referred, reported, and finally passed. The estimate for FY 2013 is \$5,905,000 for approximately 165,400 pages.

I. Committee Reports. This item covers printed reports of congressional committees on pending legislation which carry a congressional number. An estimated \$2,667,000 will be needed for about 42,200 pages in FY 2013.

J. Documents. This heading includes all classes of Senate and House documents ordered and printed by Congress which carry a Congressional number, such as annual reports, engineers' reports, special reports made by Government departments in response to resolutions, supplemental and deficiency estimates of appropriations, etc. The estimate for FY 2013 is \$2,192,000 for about 42,700 pages.

K. Hearings. This item covers all hearings before House and Senate committees. The estimate for FY 2013 is \$18,987,000 for approximately 257,500 pages.

L. Committee Prints. This item includes publications printed for the internal use of committees on pending legislation. The estimate for FY 2013 is \$1,984,000 for 24,400 pages.

**CONGRESSIONAL PRINTING AND BINDING APPROPRIATION**  
 Base Budget Review (Detail by Activity)  
 (Dollars in Thousands)

Category	2011 Actual	2012 Estimate	2013 Estimate	Change
<b>A. Congressional Record Publications:</b>				
Daily Record:				
Data Preparation.....	\$ 11,692	\$ 18,014	\$ 14,367	\$ (3,647)
Printing.....	5,510	8,489	6,763	(1,726)
Subtotal.....	17,202	26,503	21,130	(5,373)
Record Index.....	1,634	2,128	1,936	(192)
Record Indexers.....	1,483	1,483	1,517	34
Subtotal.....	20,319	30,114	24,583	(5,531)
B. Miscellaneous Publications.....	5,506	4,725	4,374	(351)
C. U.S. Code.....			3,542	3,542
D. Miscellaneous Printing and Services.....	16,183	17,350	13,970	(3,380)
E. Details to Congress.....	4,223	4,050	4,212	162
F. Document Envelopes and Franks.....	1,247	1,670	1,196	(474)
G. Calendars.....	3,048	6,014	3,038	(2,976)
H. Bills, Resolutions, & Amdts.....	5,811	6,799	5,905	(894)
I. Committee Reports.....	2,915	2,816	2,667	(149)
J. Documents.....	2,223	1,699	2,192	493
K. Hearings.....	21,852	20,536	18,987	(1,549)
L. Committee Prints.....	2,227	1,844	1,984	140
Total Obligations.....	85,554	97,617	86,650	(10,967)
Surplus/(Shortfall)*.....	8,026	(6,917)	(3,018)	3,899
Appropriation.....	\$ 93,580	\$ 90,700	\$ 83,632	\$ (7,068)

Note: GPO is authorized to request the unexpended balances for prior fiscal years be transferred to the Revolving Fund for Congressional Printing and Binding and related services, subject to the approval of the Committees on Appropriations of the House of Representatives and Senate.

\*The unexpended balances consist of \$1,909,000 from FY 2010 and \$8,026,000 from FY 2011 for a total of \$9,935,000.

Table 2  
**CONGRESSIONAL PRINTING AND BINDING APPROPRIATION**  
 Detailed Analysis of Change

CALCULATION OF BASE	
STAFF	AMOUNT (000)
Base, 2012	-
I. Adjustments To Base	\$90,700
2013 REQUEST	
A. Price Level Changes	1,455
1. Daily Congressional Record:	
1a. Data Preparation	270
1b. Printing	119
Subtotal	389
2. Congressional Record Index	36
3. Congressional Record Indexers	34
4. Miscellaneous Publications	80
5. Miscellaneous Printing and Services	256
6. Document Envelopes and Franks	22
7. Business & Committee Calendars	56
8. Bills, Resolutions, and Amendments	108
9. Committee Reports	49
10. Documents	40
11. Hearings	349
12. Committee Prints	36

Table 2  
**CONGRESSIONAL PRINTING AND BINDING APPROPRIATION**  
 Detailed Analysis of Change (Cont.)

CALCULATION OF BASE	
STAFF	AMOUNT (000)
B. Program Type Changes	(\$8,523)
I. Activity	(12,422)
a. Daily Congressional Record:	
1. Data Preparation	(3,917)
2. Printing	(1,846)
Subtotal	(5,763)
b. Record Index	(228)
c. Miscellaneous Publications	(431)
d. U.S. Code	3,542
e. Misc. Printing & Services	(3,636)
f. Details to Congress	162
g. Document Envelopes & Franks	(496)
h. Calendars	(3,032)
i. Bills, Resolutions, & Amdts.	(1,002)
j. Committee Reports	(198)
k. Documents	454
l. Hearings	(1,898)
m. Committee Prints	104
2. Estimated Change in Shortfall Requirement	3,899
II. Net Change	(7,068)
III. Appropriation 2013	\$83,632

**CONGRESSIONAL PRINTING AND BINDING**  
Explanation of Changes Shown on Table 2

	Staff	Amount (000)
<b>A. PRICE LEVEL CHANGES</b>		
The average 1.5 percent increase is due to increases in printing costs.	-	\$1,455
<b>B. PROGRAM TYPE CHANGES</b>		
<b>I. Activity (Volume)</b>	-	(12,422)
a. Daily Congressional Record This 21.7 percent decrease is computed based on historical data.	-	(5,763)
b. Record Index This 10.7 percent decrease is computed based on historical data.	-	(228)
c. Miscellaneous Publications This 9.1 percent decrease is computed based on historical data.	-	(431)
d. U.S. Code 2012 edition, produced every six years.	-	3,542
e. Miscellaneous Printing and Services This 21.0 percent decrease is computed based on historical data.	-	(3,636)
f. Details to Congress This 4.0 percent increase is computed based on historical data.	-	162

**CONGRESSIONAL PRINTING AND BINDING**  
Explanation of Changes Shown on Table 2

C. PROGRAM TYPE CHANGES	Staff	Amount
1. Activity (Volume)		
g. Documents, Envelopes and Franks This 29.7 percent decrease is computed based on historical data.	-	(496)
h. Business and Committee Calendars This 50.4 percent decrease is computed based on historical data.	-	(3,032)
i. Bills, Resolutions, & Amendments This 14.7 percent decrease is computed based on historical data.	-	(1,002)
j. Committee Reports This 7.0 percent decrease is computed based on historical data .	-	(198)
k. Documents This 26.7 percent increase is computed based on historical data.	-	454
l. Hearings This 9.2 percent decrease is computed based on historical data.	-	(1,898)
m. Committee Prints This 5.6 percent increase is computed based on historical data.	-	104
2. Estimated Change in Shortfall Requirement	-	\$3,899

**CONGRESSIONAL PRINTING AND BINDING APPROPRIATION**  
By Object Class  
(In Thousands)

Object Class	2011 Actual	2012 Estimate	2013 Estimate	Change
24 Printing & Reproduction	\$93,580	\$90,700	\$83,632	\$(7,068)

**CONGRESSIONAL PRINTING AND BINDING APPROPRIATION**  
Analysis of Change to Budget Base  
(In Thousands)

Object Class	Price Level Changes	Program Type Changes	Total Changes
24 Printing & Reproduction	\$1,455	\$(8,523)	\$(7,068)

**CONGRESSIONAL PRINTING AND BINDING APPROPRIATION**  
Estimated Cost Per Unit by Category

Category	Unit <sup>1</sup>	2011	2012	2013
<b>A. Congressional Record Program:</b>				
Daily Record:				
Data Preparation.....	Page.....	559	559	570
Printing.....	Page.....	264	<u>264</u>	<u>268</u>
Subtotal.....	Page.....	823	823	838
Record Index.....	Page.....	380	380	387
Record Indexers.....	Hours.....	82	82	84
<b>B. Miscellaneous Publications.....</b>	Page.....	205	205	209
<b>C. U.S. Code.....</b>	Page.....			69
<b>D. Miscellaneous Printing and Services .....</b>	1,000 items....	134	134	137
<b>E. Details to Congress.....</b>	Hours.....	54	54	54
<b>F. Document Env. and Franks.....</b>	1,000 items....	121	121	123
<b>G. Calendars.....</b>	Page.....	166	166	169
<b>H. Bills, Resolutions, &amp; Amdts.....</b>	Page.....	35	35	36
<b>I. Committee Reports.....</b>	Page.....	62	62	63
<b>J. Documents.....</b>	Page.....	50	50	51
<b>K. Hearings.....</b>	Page.....	72	72	74
<b>L. Committee Prints.....</b>	Page.....	80	80	81

<sup>1</sup> The unit cost per page is the number of original pages and the cost includes all Congressional copies of each category of work. The per page cost for data preparation for the Daily Congressional Record includes all composition (including file up-date and maintenance for the permanent edition) and prepress costs per original page. The cost for printing includes binding and mailing all of the copies charged to Congress. Based on an average press run of 2,900 copies, the average printing cost per page is 4.5 cents, including copies ordered by agencies, depository libraries, and for sale to the public. The rider rate for printing additional copies is 1.31 cents per copypage.

**CONGRESSIONAL PRINTING AND BINDING APPROPRIATION**  
Volume Increase or Decrease

Category	Unit	2011		2012		2013	
		Total	Increase/(Decrease) Quantity      Percent	Total	Increase/(Decrease) Quantity      Percent	Total	Increase/(Decrease) Quantity      Percent
<b>A. Congressional Record Program:</b>							
Daily Record:							
Data Preparation.....	Page.....	20,900	11,300      54.1	32,200	(7,000)      (21.7)	25,200	(7,000)      (21.7)
Printing.....	Page.....	20,900	11,300      54.1	32,200	(7,000)      (21.7)	25,200	(7,000)      (21.7)
Record Index.....	Page.....	4,300	1,300      30.2	5,600	(600)      (10.7)	5,000	(600)      (10.7)
Record Indexers.....	Hours.....	18,000	0      0.0	18,000	0      0.0	18,000	0      0.0
Miscellaneous Publications.....	Page.....	26,800	(3,800)      (14.2)	23,000	(2,100)      (9.1)	20,900	(2,100)      (9.1)
U.S. Code.....	Page.....					51,500	
Miscellaneous Printing and Services.....	1,000 items.....	120,600	8,700      7.2	129,300	(27,100)      (21.0)	102,200	(27,100)      (21.0)
Details to Congress.....	Hours.....	78,200	(3,200)      (4.1)	75,000	3,000      4.0	78,000	3,000      4.0
Document Envelopes and Franks.....	1,000 items.....	10,300	3,500      34.0	13,800	(4,100)      (29.7)	9,700	(4,100)      (29.7)
Calendars.....	Page.....	18,400	17,900      97.3	36,300	(18,300)      (50.4)	18,000	(18,300)      (50.4)
Bills, Resolutions, & Amdts.....	Page.....	165,800	28,200      17.0	194,000	(28,600)      (14.7)	165,400	(28,600)      (14.7)
Committee Reports.....	Page.....	47,000	(1,600)      (3.4)	45,400	(3,200)      (7.0)	42,200	(3,200)      (7.0)
Documents.....	Page.....	44,100	(10,400)      (23.6)	33,700	9,000      26.7	42,700	9,000      26.7
Hearings.....	Page.....	301,880	(18,180)      (6.0)	283,700	(26,200)      (9.2)	257,500	(26,200)      (9.2)
Committee Prints.....	Page.....	27,900	(4,800)      (17.2)	23,100	1,300      5.6	24,400	1,300      5.6

**CONGRESSIONAL BILLINGS FOR COMMITTEES BY CATEGORY**  
 FY 2011, as of September 30, 2011

House Committees	Daily Cong. Rec.	Record Index	Record Indexers	Misc. Pubs.	Misc. P&S	Details	Doc. Env.	Doc. Franks	Calendars	Bills	Reports	Documents	Hearings	Committee Prints	TOTALS
House	\$8,554,460	\$942,931		\$2,580	\$816,500	\$6,318	\$155,462					\$10,826	\$7,059		\$10,486,336
Clerk of House				251,049	1,538,610	107,224	248,201	276,470	1,152,204		7,605	26,047	1,583		3,608,993
House Members							47,871	21,037				2,426			71,334
H. Agriculture					10,462	84,466							232,907	19,074	346,909
H. Appropriations					150,927					6,054	89,356	583	5,055,333	216,558	5,518,811
H. Armed Services					22,156	230,989							944,631		1,197,776
H. Banking					64,757									11,873	947,869
H. Economic & Ed.														4,888	311,226
Committee on Int'l Relations					20,180									3,044	500,843
H. Gov't Reform				9,644	8,264	140,998								1,639,766	1,791,664
H. Administration				65,366	154,675	432								(7,008)	338,295
H. Resources					76,994										168,489
H. Commerce					1,120	127,674									952,627
H. Judiciary					37,013										1,124,887
Committee on Gov't Reform															1,130,669
Post Office & Civil Service					28,027										821,682
H. Transportation					11,560	48,852								21,413	905,993
H. Rules														189	189
H. Science					4,782	1,728									397,944
H. Veteran's Affairs					89,581									2,093	406,547
H. Ways & Means				5,850	42,886										248,003
H. Small Business					9,408							3,463			380,770
H. Security & Coop					18,844	54,216									54,866
H. Official Conduct				65,048	9,508										151,627
H. Admin. Officer				28,796	46,440										79,581
H. Budget					12,410						207				74,763
H. Legislative Counsel						388,042					1,863	115,263			214,026
H. Homeland Security				920	3,250	105,400						3,880	71,435		87,725
H. Intelligence															388,042
H. US China Security				2,226	45,688										140,185
Total House	\$8,554,460	\$942,931	\$0	\$431,479	\$3,224,042	\$1,296,339	\$451,534	\$297,507	\$1,152,204	\$6,054	\$99,031	\$1,624,488	\$15,022,902	\$471,557	\$32,112,528

**CONGRESSIONAL BILLINGS FOR COMMITTEES BY CATEGORY**  
 FY 2011, as of September 30, 2011

Senate Committees	Daily Cong. Rec.	Record Index	Record Indexers	Misc. Pubs.	Misc. P&S	Details	Doc. Env.	Doc. Franks	Calendars	Bills	Reports	Documents	Hearings	Committee Prints	TOTALS
Senate	\$7,064,874	\$698,404		\$113,190	\$376,028	249,338			\$1,124,346	\$104,293	\$13,403	\$10,682	\$29,743		\$9,554,963
Secretary of Senate				78,316	706,064	301,187						47,881	140,705		1,222,304
Senate Members				1,571	3,706,046								162		4,008,966
Secy. of Sen-Sangam at Arms					388,840								228,487		388,840
S. Agriculture					5,872	103,864							340,223		
S. Appropriations					25,733	360,264						3,369	440,154	29,079	838,599
S. Armed Services					24,565				16,310				841,254		882,139
S. Banking					7,866	190,955							260,886	1,412	461,119
S. Commerce					15,382	110,757						864	492,748	4,689	791,644
S. Finance					10,905	201,808							213,590	52,634	454,799
S. Foreign Relations					14,531	174,044							1,924,927		2,047,619
S. Gov't Affairs					16,144	106,548							215,345		439,281
S. Judiciary					36,958	186,132							148,135		244,123
S. Labor					44,244	83,406							1,359,252		1,406,902
S. Health, Educ., Labor					320	94,993							103,182	6,842	182,843
S. Environment					16,187	16,632					11,766		46,493	7,910	185,728
S. Rules					103,236	16,323							6,870		6,870
S. Democratic Policy					6,870								10,758	392	45,984
S. Republican Policy					13,626	21,208							9,646		49,539
S. Small Business					1,553	39,340							133,491		145,836
S. Aging					5,240	7,105									25,067
S. Ethics					25,067								153,010		259,696
S. Veterans Affairs					8,132	98,554									405,922
S. Legislative Counsel					21,280	384,642							270		53,807
S. Sergeant at Arms					10,852	142,685									208,049
S. Budget					625	90,526					3,029		113,869		1,096
S. Legal Counsel					1,096								26,069		34,730
S. Intelligence					8,661										1,096
S. Indian Affairs					10,303	95,388							186,400		272,091
Total Senate	\$7,064,874	\$698,404	\$0	\$327,165	\$5,657,146	\$2,616,504	\$301,187	\$0	\$1,140,656	\$104,293	\$13,403	\$77,591	\$7,724,081	\$104,479	\$28,829,783

**CONGRESSIONAL BILLINGS FOR COMMITTEES BY CATEGORY**  
 FY 2011, as of September 30, 2011

Joint Committees	Daily Cong. Rec.	Record Index	Record Indexes	Misc. Pubs.	Misc. P&S	Details	Doc. Inv.	Doc. Franks	Calendars	Bills	Reports	Documents	Hearings	Committee Prints	JOIA/IS
Joint Committee On Printing				\$89,079	4,305							1,676	94,293	26,051	\$89,079
Joint Economic					19,910							1,796		87,782	126,325
Joint Taxation															139,488
Joint Committee on Inaugural Ceremonies															0
Total Joint Committees	0	0	0	89,079	44,215	0	0	0	0	0	0	3,472	94,293	113,833	344,892
<b>Miscellaneous</b>															
Impeachment of Judge Peltus													263,576		263,576
Bylaw	1,428,310		1,603,464	1,921,399	5,422,791	253,254				6,286,439	1,917,352	813,436			19,646,434
Architect of the Capitol	0	0	0	(217)	319,810	0					0	0			219,593
Cong. Exec. Commis. On China					10,725	10,712					15,036		10,400		46,873
Senate Caucus On International					870										870
Total Miscellaneous	1,428,310	0	1,603,464	1,921,182	5,624,196	263,966	0	0	0	6,286,439	1,932,388	813,436	273,976	0	20,197,366
<b>TOTALS</b>	<b>\$17,047,653</b>	<b>\$1,641,333</b>	<b>\$1,603,464</b>	<b>\$2,788,903</b>	<b>\$14,599,599</b>	<b>\$4,176,809</b>	<b>\$753,721</b>	<b>\$397,507</b>	<b>\$2,292,860</b>	<b>\$6,296,766</b>	<b>\$2,044,822</b>	<b>\$1,036,987</b>	<b>\$33,115,552</b>	<b>\$689,869</b>	<b>\$78,484,569</b>

**DETAILS TO CONGRESS AS OF SEPTEMBER 30, 2010 AND 2011**

	2010	2011
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**SENATE COMMITTEES**

Agriculture, Nutrition, & Forestry.....	1	1
Appropriations.....	3	4
Banking, Housing, & Urban Affairs.....	2	2
Budget.....	1	1
Commerce, Science, & Transportation.....	1	1
Energy.....	2	2
Finance.....	1	2
Foreign Relations.....	2	2
Governmental Affairs.....	1	1
Health, Education, Labor, & Pensions.....	1	1
Indian Affairs.....	1	1
Judiciary.....	1	1
Special Committee on Aging.....	1	0
Veteran's Affairs.....	1	1
Environment.....	<u>2</u>	<u>2</u>
Total Senate Committees.....	<u>21</u>	<u>22</u>

**HOUSE COMMITTEES**

Government Reform.....	1	1
Commission on Security & Cooperation in Europe.....	1	1
Select Committee on Homeland Security.....	1	1
House Armed Services.....	2	2
Energy and Commerce.....	1	2
Agriculture.....	1	1
Total House Committees.....	<u>7</u>	<u>8</u>

**MISCELLANEOUS**

House Law Revision Counsel.....	1	0
House Legislative Counsel.....	4	4
Congressional Research Service.....	1	1
Senate Enrolling Clerk.....	1	1
Senate Legislative Counsel.....	4	4
Senate Official Reporters.....	1	1
Senate Service Department.....	1	1
Congressional Oversight Panel.....	1	0
House Enrolling Clerk.....	<u>1</u>	<u>1</u>
Total Miscellaneous.....	<u>15</u>	<u>13</u>

**SUMMARY**

Senate Committees.....	21	22
House Committees.....	7	8
Miscellaneous.....	<u>15</u>	<u>13</u>
	<u>43</u>	<u>43</u>

**OFFICE OF SUPERINTENDENT OF DOCUMENTS  
SALARIES AND EXPENSES**

Including Transfer of Funds  
Fiscal Year 2012

**Proposed Appropriation Language**

For expenses of the Office of Superintendent of Documents necessary to provide for the cataloging and indexing of Government publications and their distribution to the public, Members of Congress, other Government agencies, and designated depository and international exchange libraries as authorized by law, [\$35,000,000] *\$34,728,000*: Provided, That amounts of not more than \$2,000,000 from current year appropriations are authorized for producing and disseminating congressional serial sets and other related publications for fiscal years [2010 and] 2011 *and 2012* to depository and other designated libraries: Provided further, That any unobligated or unexpended balances in this account or accounts for similar purposes for preceding fiscal years may be transferred to the Government Printing Office revolving fund for carrying out the purposes of this heading, subject to the approval of the Committees on Appropriations of the House of Representatives and Senate. (Legislative Branch Appropriations Act, 2012)

**Base Budget Review:**

GPO is responsible for the current and future access to published U.S. Government information, and partially operates under an appropriation which provides funds for: (1) the Federal Depository Library Program; (2) cataloging and indexing Government publications; (3) distribution of Government publications to the International Exchange Service; and (4) distribution of certain Government publications to Members of Congress and other Government agencies, as mandated by law.

A total of \$34,728,000 is requested for Fiscal Year 2013. This is a decrease of \$272,000 from the FY 2012 appropriated amount. The agency did receive approval in FY 2012 to transfer \$2,700,000 from prior-year appropriations to fund activities under their account. The agency is seeking \$3,321,000 in transfer funds for FY 2013 based on the availability of prior-year funds.

The FY 2013 request includes funding for 114 full-time equivalents (FTEs). This is the same FTE level as FY 2012. This appropriation was developed using Zero Based Budgeting approach when examining each program's functions and budgetary needs to determine the proper funds required. A description of the budget methodology used as well as descriptions of each program's functions follows.

**Methodology:**

All activities were examined to determine the level of funding that would be needed to perform the functions of the program at a minimal level to achieve the intended results. Budgeted amounts were derived from going through the actual expenses for all activities and projects that were deemed necessary and needed. It was then determined to budget most of these items at levels that would sustain the activities for FY 2013 with an increase for inflation. During the process, program activities that would require additional funding above the minimal level were identified including printing and distributing the U.S. Code 2012 edition and improving material distribution from a manual process to an automated one. The agency is seeking transfer funds to cover the additional program expenses.

**Federal Depository Library Program**

As authorized by chapter 19 of Title 44, U.S.C., the mission of the FDLP is to disseminate information products from all three branches of the Federal Government to over 1,200 libraries nationwide designated as Federal depositories, directly by law or as depositories by their Representatives and Senators. Federal depository libraries maintain and provide free public access to these information products. A part of this program is the provision of free online access to Government publications provided under the authority of chapter 41 of Title 44, U.S.C., via GPO's Federal Digital System (FDsys) ([www.fdsys.gov](http://www.fdsys.gov)).

In FY 2011, approximately 10,200 tangible titles were distributed to Federal depository libraries, totaling almost 2 million copies distributed. In keeping with the direction of the Legislative Appropriations Act for FY 1996, GPO is continuing to transition the FDLP to a predominantly electronic basis. The total number of Federal Government information collections available to the public online via FDsys is approximately 50, with almost 7 million searchable documents. As GPO adjusts its workflows and operations to accommodate a primarily electronic FDLP, the costs of the program are increasingly related to identifying, acquiring, cataloging, linking to, authenticating, modernizing, and providing permanent public access to electronic Government information, which involves recurring costs.

The majority of FY 2013 funding requests for this program is related to the distribution of material to the public and Federal Depository Libraries. In addition to the cost of printing and distributing tangible copies, a significant amount of program funds will be allocated to the maintenance of public-facing online systems which assist GPO in continuing to transition the FDLP to a predominantly electronic program. Such systems are FDsys, GPO's Integrated Library System, and the FDLP Desktop.

Requested funding for Federal Depository activities based on current needs is \$24,310,000.

In addition to the above activities for FY 2013, a new edition of the United States Code will be printed. A new edition is published every sixth year, resulting in a substantial increase in printing and binding costs for the program. The United States Code is the codification by subject matter of the general and permanent laws of the United States and is an essential title for the FDLP. Essential titles contain information vital to the democratic process and critical to an informed electorate. They support the public's right to know about the essential activities of their Government. Of the \$3,321,000 transfer funds requested in FY 2013, \$2,100,000 is being requested in transfer funds to cover the expenses of providing this essential publication to Federal Depository Libraries.

GPO is also seeking \$400,000 in transfer funds for process improvement and modernization for its document distribution operation. In FY 2012, in an effort to save money and better utilize space, GPO consolidated its warehouse facilities by moving the document distribution operation from its main headquarters building in Washington, D.C., to the GPO Laurel Warehouse in Laurel, Maryland. It is expected that this move will result in a significant decrease in overhead costs compared to the \$150,000 increase that will be incurred for utilities and rent fees for the Laurel facility. Approximately half, \$200,000, of the funding received for this effort will be used to analyze and develop a solution to modernize the distribution processes and further save operation costs. The remainder of the funding will be utilized to implement the modernization solution.

#### Cataloging and Indexing Program

Under the requirements of sections 1710 and 1711 of Title 44, U.S.C., GPO is charged with preparing catalogs and indexes of all publications issued by the Federal Government that are not confidential in character. The principal tool is the Web-based Catalog of U.S. Government Publications (<http://catalog.gpo.gov>). GPO's goal is to expand this catalog to a more comprehensive title listing of public documents, both historic and electronic, to increase the accessibility and use of Government information products.

Activities in support of this goal include work on the creation of MARC21 (Machine Readable Cataloging) records for current and historic materials, projects to increase the born-digital harvesting effort for newly created U.S. Government information products and expanding cataloging record services to FDLP libraries.

Requested funding for these activities, \$8,682,000, is based on an analysis of work that remains to be completed on these projects.

#### International Exchange Program

As authorized by Section 1719 of Title 44, U.S.C., and pursuant to international treaty establishing the exchange of official publications, GPO distributes tangible U.S. Government publications to foreign governments that agree to send to the United States similar publications of their governments for deposit at the Library of Congress (LOC). LOC designates the publications to be distributed abroad and GPO performs the actual distribution.

FY 2013 requested funding to be allocated for this is \$1,389,000. These funds will be utilized for the physical distribution of materials to foreign governments, personnel expenses to carry out the distribution and coordination with LOC, and printing costs. This request is an \$11,000 decrease from last year's request. The over-all decrease is expected as the result of cost savings in overhead. The cost savings are the result of moving the distribution activities from GPO's headquarters in Washington, D.C. to the Laurel, Maryland distribution center.

#### By-Law Distribution Program

Under various provisions of Title 44, U.S.C., GPO distributes certain tangible publications to recipients designated by law. For example, two or more copies of every publication printed are provided to LOC, regardless of whether the publication is distributed to Federal Depository Libraries. The National Archives and Records Administration (NARA) is entitled to receive three copies of every publication printed. GPO distributes copies of publications to foreign governments. GPO also maintains mailing lists for by-law distribution of specific publications.

The FY 2013 requested funding for this program is \$347,000. The funds will be utilized for the physical distribution of materials, personnel expenses to carry out the distribution and maintain mailing lists, and printing costs. The funding request is \$3,000 under last year's request. Additional price level increases were off-set by decreased overhead expenses. The decrease is expected as a result of cost savings achieved by moving the distribution activities from GPO's headquarters to the Laurel, Maryland distribution center.

**US GOVERNMENT PRINTING OFFICE  
SUPERINTENDENT OF DOCUMENTS  
SALARIES AND EXPENSES**

Analysis of Change 2012 to 2013  
(Dollars in Thousands)

	2013 Agency Request	
	FTE	Amount
FY 2012*	114	\$ 35,000
FY 2013		
Mandatory pay and Related Costs		
Pay raise FY 2013		123
Within-grade increases FY 2013		93
One additional work day in FY 2013		47
Total Mandatory Pay and Related Costs		263
Total Price Level Changes		286
Non-Recurring Costs, FY 2012		
Reduction in facilities and overhead costs		(1,700)
Program printing and FDLP's Migration and Modernization of FDLP Legacy Systems funded through transfers		(1,000)
Program/Project/Activity Increases for FY 2013		
U.S. Code edition, printed every 6 years		2,100
Automation of the manual depository distribution process		400
Transfer funding for FY 2012**		2,700
Transfer request for FY 2013**		(3,321)
Total Net Change	-	(272)
Total 2013 Appropriation	114	\$ 34,728

\* Based on Legislative Branch Appropriations Act, 2012

\*\* Request for unobligated or unexpended balances from prior year appropriations be transferred to GPO's revolving fund upon approval of the Committees on Appropriations of the House of Representatives and Senate

**US GOVERNMENT PRINTING OFFICE  
SUPERINTENDENT OF DOCUMENTS  
SALARIES AND EXPENSES**  
Summary by Object Class  
(Dollars in Thousands)

Object Class	FY 2011 Actual (1)	FY 2012 P.L. 112-74 (2)	FY 2013 Requested (3)	FY 2012/2013 Net Change	
<b>Breakdown by Program</b>					
By-Law Distribution	\$ 485	\$ 350	\$ 347	\$ (3)	(4)
Cataloging and Indexing	9,676	8,750	8,682	(68)	(4)
Federal Depository Library	27,864	24,500	24,310	(190)	(4)
International Exchange	1,806	1,400	1,389	(11)	(4)
<b>Total Appropriation</b>	<b>\$ 39,831</b>	<b>\$ 35,000</b>	<b>\$ 34,728</b>	<b>\$ (272)</b>	
<b>Breakdown by Object Class</b>					
11 Personnel Compensation	\$ 9,267	\$ 9,292	\$ 9,503	\$ 211	(5)
12 Personnel Benefits	2,451	2,704	2,756	52	(6)
21 Travel	100	60	61	1	(7)
22 Transportation of Things	963	1,085	1,100	15	(7)
23 Rents Communications and Utilities	2	1	150	149	(7)(8)
24 Printing and Reproduction	9,125	8,360	8,477	117	(7)(9)
25 Other Services	17,624	13,184	12,363	(821)	(10)
26 Supplies and Materials	279	298	302	4	(7)
31 Equipment	20	16	16	0	(7)
<b>Total Appropriation</b>	<b>\$ 39,831</b>	<b>\$ 35,000</b>	<b>\$ 34,728</b>	<b>\$ (272)</b>	

(1)

Actual and obligated expenditures against the 2011 S&E Appropriation through 09/30/11. In addition to the appropriation, \$1.542M was transferred for FY'11 projects including FDL P Systems Modernization, Digitization Initiatives, Outcomes-Based Services for Libraries and Cataloging and Indexing support. This was under the approval that any unobligated or unexpended balances in this account or accounts for similar purposes for preceding fiscal years may be transferred to the Government Printing Office revolving fund for carrying out the purposes of this heading, subject to the approval of the Committees on Appropriations of the House of Representatives and Senate. (Legislative Branch Appropriations Act, 2010, P.L. 111-68)

(2)

In addition to appropriated fund, \$2.7M in transferred funds (Legislative Branch Appropriation Act, 2012, P.L. 112-74) were made available to cover program printing shortfalls and to fund FDL P's Migration and Modernization of FDI P Legacy Systems that were not covered by FY'11 funds.

(3)

The requested amount is based on the outcome of using Zero Based Budgeting to determine the proper levels of funding needed to perform program activities at minimal levels. The agency is expecting to request \$3.32M in transfer funds to cover additional program expenses including the costs for printing and distributing the new edition of the U.S. Code and developing and implementing an automated distribution solution at the FDL P distribution facility in Laurel, MD.

(4)

Reflects salary and price level increases. Increases were offset by a decrease in overhead that is attributed to expected savings achieved by moving the FDI P Depository Distribution operation from Main GPO to a GPO leased facility in Laurel, MD.

(5)

Amount reflects the funding of merit and pay increases for 114 FTEs for FY'13. Also includes one additional work day. Personnel Compensation includes \$20,000 for performance awards anticipated to be paid in FY 2013.

(6)

Reflects anticipated benefit expenditures based on Personnel Compensation figure.

(7)

Reflects price level increase.

(8)

Additional increase is due to the lease and utility expenses incurred by moving the Depository Distribution from GPO's Main Building to the leased distribution facility in Laurel, MD.

(9)

Printing request does not include the \$2.1M needed for printing and distributing the latest edition of the U.S. Code. The agency is requesting to use transferred funds to cover these expenses.

(10)

Includes price level increases for Workers Compensation, Shared Services, and on-going systems maintenance including FDSys operating expenses. Increases were offset by a decrease in overhead that is attributed to expected savings achieved by moving the FDL P Depository Distribution operation from Main GPO to a GPO leased facility in Laurel, MD.

**US GOVERNMENT PRINTING OFFICE  
REVOLVING FUND**

Fiscal Year 2013

**Proposed Appropriations Language:**

For payment to the Government Printing Office Revolving Fund, [\$500,000] \$7,840,000 to remain available until expended, for information technology development and facilities repair: *Provided*, That the Government Printing Office is hereby authorized to make such expenditures, within the limits of funds available and in accordance with law, and to make such contracts and commitments without regard to fiscal year limitations as provided by section 9104 of title 31, United States Code, as may be necessary in carrying out the programs and purposes set forth in the budget for the current fiscal year for the Government Printing Office revolving fund: *Provided further*, That not more than \$7,500 may be expended on the certification of the Public Printer in connection with official representation and reception expenses: *Provided further*, That the revolving fund shall be available for the hire or purchase of not more than 12 passenger motor vehicles: *Provided further*, That expenditures in connection with travel expenses of the advisory councils to the Public Printer shall be deemed necessary to carry out the provisions of title 44, United States Code: *Provided further*, That the revolving fund shall be available for temporary or intermittent services under section 3109(b) of title 5, United States Code, but at rates for individuals not more than the daily equivalent of the annual rate of basic pay for level V of the Executive Schedule under section 5316 of such title: *Provided further*, That activities financed through the revolving fund may provide information in any format: *Provided further*, That the revolving fund and the funds provided under the headings "Office of Superintendent of Documents" and "Salaries and Expenses" may not be used for contracted security services at GPO's passport facility in the District of Columbia. (*Legislative Branch Appropriations Act 2012*)

**Base Budget Review:**

By law, GPO's revolving fund is used to finance GPO's printing, print procurement, and sales of Government publications operations. Apart from passport production, over 70 percent of GPO's printing revenue is from agencies for work procured by the GPO to the private sector printing industry through the Print Procurement Program. The majority of the Government's printing needs are effectively satisfied through this procurement activity because the highly competitive process provides access to the vast resources, expertise, and specialization within the commercial sector. The Program competitively acquires products and services from the private sector through various types of procurement vehicles tailored to the specific needs of customers. It competitively buys products and services from more than 2,000 private sector firms in all 50 States every year. It is one of the Government's most successful procurement programs, assuring the most cost-effective use of the taxpayers' printing dollar. For our customers in Federal agencies, we will continue to provide printed products and services through private sector vendors using GPO's experience and buying power to create the best value for taxpayers, and are offering customers more flexibility in choosing and working directly with vendors.

GPO's plant facility provides electronic information systems and print production technologies to support the information product needs of Congress and Federal agencies. GPO produces the *Congressional Record* overnight when Congress is in session, and bills, hearings, documents, reports, and committee prints in time to support Congress' legislative needs. Also produced in the plant are the *Federal Register*, the *Code of Federal Regulations*, passports (both in Washington, DC, and GPO's passport production facility at the Stennis Space Center, MS), and other key Government documents, such as the annual *U.S. Budget*. With few exceptions, paper used by GPO and its contractors meets or exceeds Federal recycled paper requirements and all GPO printing inks utilize vegetable oil in accordance with the Vegetable Ink Printing Act of 1994.

By law, GPO offers Government publications for sale to the public. Thousands of titles are available for sale at any given time, including books, CD-ROMs, and other electronic formats. Some titles are also available in e-book format. GPO's publications sales program provides the public with a wide variety of low cost consumer-oriented publications as well as congressional documents and executive and judicial publications. Documents can also be ordered through GPO's secure Online Bookstore site at <http://bookstore.gpo.gov>. Free low-cost publications are distributed through the Federal Citizen Information Center in Pueblo, CO. GPO also provides publications distribution services for Federal agencies on a reimbursable basis.

### REVOLVING FUND PROJECT REQUESTS

For FY 2013, GPO is requesting a total of \$7,840,000 for the Revolving Fund to remain available until expended, for the following projects:

#### Information Technology Projects

XML Composition System	\$1,500,000
GBIS Development (Oracle initiatives)	1,500,000
NetApps Network Attached Storage	300,000
Replace intrusion prevention system and vulnerability assessment scanner hardware	190,000
ITS total	<u>3,490,000</u>

#### Federal Digital System Projects

AOUSC collection (all remaining courts)	170,000
Search engine refresh	700,000
Federalregister.gov development	300,000
Pre-2000 Federal Register XML conversion	120,000
eCFR user interface integration	400,000
Automated preservation tool integration	150,000
U.S. Reports collection	200,000
Mobile FDsys	350,000
Digitized Bound Congressional Record	350,000
Congressional publications XML support	200,000
Format transformation	200,000

Web CMS (new feature request-no requirements)	300,000
Multimedia content	250,000
Additional collections	200,000
FDsys total	<u>3,890,000</u>

#### Facilities

Fire pumps	150,000
Elevators 1 & 2 air conditioners	50,000
Elevators 39, 40, & 41	260,000
Facilities total	<u>460,000</u>

Total	<u>\$7,840,000</u>
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### **Information Technology Projects**

**XML Composition System (\$1.5 million)** GPO completed the requirements study and the development of the concept of operations. This FY 2013 additional request will allow GPO to develop a functional replacement XML based publishing solution.

**GBIS Development (\$1.5 million)** Funds required to develop and implement an additional phase of GBIS. To replace and enhance Business Systems used in GPO.

**NetApps Network Attached Storage (\$300,000)** Funds required to provide additional space, filer replacement, and a replacement server that supports the enterprise.

**Replace intrusion prevention system and vulnerability assessment scanner hardware (\$190,000)** Existing intrusion prevention system and vulnerability scanner system hardware will be at its end of life and no longer supported by the vendor in FY 2013. These systems are critical to GPO network security monitoring and protection. If these systems fail and there is no replacement, GPO is at an unacceptable risk level for undetected hacking.

### **Federal Digital System Projects**

**Administrative Office of the United States Courts (AOUSC) collection (all remaining courts) (\$170,000)** The period for the GPO/AOUSC court opinions pilot project expires in October 2012. Reaction to the pilot has been very positive and AOUSC has indicated a desire to add all courts to FDsys (an additional 200+ courts). A continued partnership with AOUSC positions GPO as the public interface to a wealth of popular legal content and opens the door to additional collections from the judicial branch. As the project moves from pilot to permanent, there is an opportunity to reassess the agreement with AOUSC in terms of development and support costs.

**Search engine refresh (\$700,000)** FDsys currently uses FAST to power the public search interface. Microsoft bought FAST in 2009 and is cancelling development and support for FAST enterprise search tool. The search engine replacement activity would also incorporate additional identified features including enhanced delivery, enhanced search, email, and RSS notifications. The yearly maintenance costs for FAST through Microsoft are about \$200,000. By moving from

FAST to an open source search this cost would be eliminated. The yearly support cost for a FAST SME on site is \$240,000.

**Federalregister.gov development (\$300,000)** The Office of the Federal Register and GPO partnered to develop and support an unofficial XML-based edition of the daily Federal Register. Federalregister.gov costs would continue to be charged against the page rate.

**Pre-2000 Federal Register XML conversion (\$120,000)** In support of the Office of the Federal Register, GPO converted and provided bulk access to the Federal Register in XML format. The first phase delivered XML content from 2000-forward. The second phase will deliver XML content for 1994 -1999. Federalregister.gov costs would continue to be charged against the page rate. FR 2.0 has received a positive reception and could lead to support for OFR or other agencies on similar implementations.

**eCFR user interface integration (\$400,000)** The eCFR public search platform is no longer supported and does not have the necessary capabilities to allow the Administrative Committee of the Federal Register to convey official status to the online publication. The eCFR replacement project is underway with the replacement of the public site a top priority. The expectation from the Office of the Federal Register is that the public search will be integrated with FDsys. Even with the current platform and functionality the eCFR is extremely valuable and popular with end users. Improvements to this site and the conveyance of official status for eCFR opens opportunities for repurposing the content into revenue-generating products and services.

**Automated preservation tool integration (\$150,000)** As the amount and age of content within FDsys increases, automated preservation tools will need to be integrated with the preservation repository to assure a seamless flow for active digital preservation. An active automated preservation strategy for the GPO digital preservation repository will assure the integrity of content and continue to position GPO as a leader in the preservation community.

**U.S. Reports collection (\$200,000)** Support for the historical collection for U.S. Reports of the Supreme Court. With the AOUSC partnership receiving favorable reviews from stakeholders, GPO could expand the legal materials focus by preserving and authenticating the U.S. Reports.

**Mobile FDsys (\$350,000)** This feature involves the development of a lightweight FDsys to work with cell phones, Ipad/Iphone, and eBook readers. To build on the initial momentum of the Member Guide app release, GPO should continue development on identified mobile apps to support key stakeholder needs and generate interest in GPO content and services. Creating the lightweight FDsys site will allow mobilization of all FDsys content and features and prepare the system to easily support mobile app development requests.

**Digitized Bound Congressional Record (\$350,000)** GPO and LC have a partnership to digitize and make available the Bound Congressional Record back to 1881 (about 3 million digitized pages.) This collection was originally slated for FY12; however the priority for FY12 was shifted to the granularization and metadata creation for Statutes at Large. The JCP approved the project to digitize and make available the Bound Congressional Record through the GPO/LC partnership. If congressional and public value can be demonstrated through this project, there may be opportunities for additional legislative partnerships to provide data access.

**Congressional publications XML support (\$200,000)** As Congressional organizations look to produce and disseminate content in XML format, FDsys needs to be prepared to integrate into the content lifecycle. There has been a heightened interest on the Congressional side regarding the reduction of duplication efforts on legislative branch data and becoming more accessible to the public. These efforts lead to promoting an open and transparent government. Multiple legislative organizations are involved in this process and GPO has an opportunity to position itself as a key part of the Congressional digital information lifecycle.

**Format transformation (\$200,000)** Migrating data to formats other than those in which the files were created or received. The creation of new content types opens opportunities for repurposing the content into revenue-generating products and services (such as eBooks).

**Web CMS (new feature request-no requirements) (\$300,000)** The FDsys Web content management system is used to control a dynamic collection of Web material, including HTML documents, images, and other forms of media, in support of FDsys and GPO.gov. The ability to provide web content management services for or to federal agencies could provide additional revenue opportunities, as GPO could provide back-end content management while agencies maintain their own web presence.

**Multimedia content (\$250,000)** Support for the submission, processing, and providing public access to a combination of text, audio, still images, video, or interactivity content formats. GPO stakeholders and partners such as AOUSC and Congress are beginning to produce multimedia content, which will need to be managed and preserved.

**Additional collections (\$200,000)** Support for new collections of law and legal materials. With the AOUSC partnership receiving favorable reviews from stakeholders, GPO could expand the legal materials focus by preserving and authenticating key legal and legislative collections such as Treaties and DOJ legal materials.

#### **Facilities Projects**

**Fire pumps (\$150,000)** Three fire pumps support the sprinkler systems and are required for safety. Two of these pumps are original to buildings 3 & 4 while the pump in building 1 is 20 years old. These pumps are barely able to pass the annual test for water flow and should be replaced.

**Elevators 1 & 2 Air Conditioners (\$50,000)** Operating problems with elevators 1 & 2 are a result of the existing air conditioner (AC) units being unable to maintain the proper temperature in the elevators. These AC units should be replaced.

**Elevators 39, 40, & 41 (\$260,000)** These are the main freight elevators in Building 3 and support production. The cabs and doors hardware of these elevators have been damaged beyond normal repair and require replacement. This work can be limited to the cabs and doors to minimize costs.

**US GOVERNMENT PRINTING OFFICE  
REVOLVING FUND**  
Analysis of Change  
(Dollars in Thousands)

	FY 2013 Agency Request	
	FTE	Amount
Obligational Authority, FY 2012	1,891	\$ 767,444
Non-recurring Costs - Equipment to be obligated in FY 2012	-	(16,690)
Mandatory Pay and Related Costs		
Buyout savings for FY 2013	-	(4,996)
Annualization of pay raise for FY 2013	-	1,968
One more workday in FY 2013	-	590
Within grade increases FY 2013	-	1,534
Projected reduction in personnel benefits	-	(60)
Total Mandatory Pay and Related Costs	-	(964)
Price Level Changes	-	7,707
Program Increases		
Capital expenditures equipment, systems, and facilities	-	10,000
Capital Expenditures to be funded by an Appropriation		
XML Composition System	-	1,500
GBIS (Oracle initiatives)	-	1,500
NetApps NAS for FDSys	-	300
Replace Intrusion Prevention System and Vulnerability Assessment Scanner Hardware	-	190
AOUSC collection (all remaining courts)	-	170
Search engine refresh	-	700
Federalregister.gov development	-	300
Pre-2000 Federal XML conversion	-	120
eCFR user interface integration	-	400
Automated preservation tool integration	-	150
US Reports collection	-	200
Mobile FDSys	-	350
Digitized Bound Congressional Record	-	350
Congressional publications XML support	-	200
Format transformation	-	200
Web CMS	-	300
Multimedia content	-	250
Additional collections	-	200
Fire pumps	-	150
Elevators 1 & 2 Air Conditioners	-	50
Elevators 39, 40, & 41	-	260
Total Expenditures to be funded by an Appropriation	-	7,840
Net Program Increases requested	-	17,840

**US GOVERNMENT PRINTING OFFICE  
REVOLVING FUND**

Analysis of Change (Cont.)  
(Dollars in Thousands)

Program decreases

Decline in Printing and Reproduction

Decline in FTE's through Attrition

Total Program Decreases

Net change requested

Total Budget FY 2013

Total Offsetting Collections

Total Appropriation Requested FY 2013

-	(19,154)
(55)	(5,500)
(55)	(24,654)
-	(16,761)
1,836	750,683
-	742,843
	\$ 7,840

**US GOVERNMENT PRINTING OFFICE  
REVOLVING FUND**

Summary By Object Class  
(Dollars in Thousands)

Object Class	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	FY 2012/2013 Net Change
11 Personnel Compensation	\$ 173,968	\$ 154,554	\$ 149,375	\$ (5,179)
12 Personnel Benefits	55,525	45,655	44,370	(1,285)
21 Travel	713	1,046	1,060	14
22 Transportation of Things	8,326	10,604	10,752	148
23 Rents, Communications and Utilities	16,243	17,684	17,932	248
24 Printing and Reproduction	367,334	383,817	370,036	(13,781)
25 Other Services	32,426	32,698	33,156	458
26 Supplies and Materials	126,598	104,696	106,162	1,466
31 Equipment	13,641	16,690	17,840	1,150
<b>Total Budget</b>	<b>\$ 794,774</b>	<b>\$ 767,444</b>	<b>\$ 750,683</b>	<b>\$ (16,761)</b>

**US GOVERNMENT PRINTING OFFICE**  
**Women/Minority Outreach**  
 FY 2011 Report

<b>Customer Service</b>			
Number of Women & Minority Contractors 99	Number of Orders 9,361	Dollar Volume \$ 22,777,831	Percent of Orders 6.40%
<b>Acquisitions</b>			
Number of Women & Minority Contractors 19	Number of Orders 29	Dollar Volume \$ 14,457,247	Percent of Orders 7.34%
<b>Total</b>			
Number of Women & Minority Contractors 118	Number of Orders 9,390	Dollar Volume \$ 37,235,078	Percent of Orders 6.73%



Comptroller General  
of the United States

United States Government Accountability Office  
Washington, DC 20548

January 25, 2012

The Honorable Ander Crenshaw  
Chair  
The Honorable Mike Honda  
Ranking Member  
Subcommittee on Legislative Branch  
Committee on Appropriations  
House of Representatives

I want to thank you and all Members of the subcommittee for your continued support of GAO's efforts to serve the Congress and the American people. This letter conveys our budget request for fiscal year 2013.

#### **Assisting the Congress and the Nation during Challenging Times**

As the Congress and the administration debate ways to address the federal government's unsustainable long-term fiscal path, our mission becomes ever more critical to help identify billions of dollars in cost-saving opportunities to tighten federal budgets or to point out revenue-enhancement opportunities. We also recognize that GAO will not be immune from cost-cutting efforts, and we have been actively working to reduce our cost structure for more than 2 years. As we will demonstrate with this budget submission, we have dramatically reduced our internal cost of operations while also experiencing an 11 percent drop in our staffing level over a 2-year period due to limited hiring in the face of ongoing attrition. This reduction in staff capacity is limiting our ability to support the Congress during this critical period when the unique insights that GAO provides are an essential element of Congressional analysis and decision-making.

As a result, our budget request for fiscal year 2013 includes a 2.9 percent increase in our appropriation when compared to the level enacted for fiscal year 2012. The majority of the increase represents the first step in rebuilding our staff capacity to a level that will enable us to optimize the benefits we yield for the Congress and the nation. GAO is unique in our audit and evaluation capacity to support the Congress by performing original research, providing technical assistance, and conducting analyses to help the Congress make informed decisions across all segments of the federal budget resulting in tangible results and enhanced oversight. Given the size of the federal budget and the multiyear actions needed to address the seriousness of the government's fiscal condition, investing resources to restore some of our staff capacity would be both prudent and wise. The cost to restore our staff capacity would be more than offset by savings and efficiencies resulting from GAO's work.

Even during the constrained budgetary environment we have seen these past couple of years, GAO continues to prove itself to be one of the best investments in the federal government. In fiscal year 2011, our work yielded significant results across the government, including \$45.7

billion in financial benefits—a return of more than \$81 for every dollar invested in GAO. We also contributed to over 1,300 other improvements in government operations that helped to change laws, improve services to the public, and promote sound management throughout government, in areas such as national security, international affairs, public safety and security, program efficiency and effectiveness, and business process and management. Our senior officials testified at 174 congressional hearings on an array of complex issues, such as the next-generation air transportation system, energy programs, defense/weapons systems, health care, aviation security, and border security. Each year, about 80 percent of our recommendations are adopted by the Congress and federal agencies within 4 years. Once again GAO demonstrated its core values in ensuring that we continue to provide high-quality, high-value, and independent support to the Congress in ways that generate material benefits to the nation.

Our continued high performance is evidence of the critical role GAO plays in helping the Congress and the American people better understand issues, both as they emerge and over the long term. GAO issues hundreds of products annually in response to congressional requests and mandates. In fiscal year 2011, our work included several products under the Dodd-Frank Wall Street Reform Act on mortgages, securities markets, financial institutions, the Federal Reserve, and consumer protection, and many other products related to health-insurance reform. We also issued our biennial high-risk report calling attention to opportunities for cost savings and improvements in federal agency and program management.<sup>1</sup> Solutions to high-risk problems offer the potential to save billions of dollars, dramatically improve service to the public, and strengthen confidence and trust in the performance and accountability of the U.S. government. We also issued our first annual report under a new mandate in which we identified 81 areas of duplication, fragmentation, overlap, cost-saving opportunities, and revenue enhancements in government programs. The report identified 34 areas where agencies, offices, or initiatives have similar or overlapping objectives or provide similar services to the same populations, or where government missions are fragmented across multiple agencies or programs. In light of the nation's fiscal pressures, we also identified 47 other areas where the federal government may be able to achieve cost savings or revenue enhancements. One area we have emphasized for revenue enhancement opportunity is the so-called "Tax Gap" (i.e., the amount of true tax liability faced by taxpayers that is not paid on time) in which the IRS recently updated its estimate from \$290 billion (net after late payments) to \$385 billion.<sup>2</sup> We further identified several potentially significant governmentwide cost-saving opportunities, such as promoting competition for the more than \$500 billion in federal contracts and applying strategic-sourcing best practices throughout the federal procurement system. In addition, we continued to regularly report the results of our work related to the Troubled Asset Relief Program and the American Recovery and Reinvestment Act.

GAO's strategic plan for serving the Congress and the nation, 2010-2015, highlights the broad scope of our efforts to help the institution of the Congress.<sup>3</sup> In fiscal year 2011, GAO served every standing congressional committee and about 70 percent of their subcommittees. Consequently, the scope of our work is broad-based, which allows us to respond to domestic and international challenges; threats confronting U.S. national security interests; fiscal sustainability and debt challenges; economic recovery and restored job growth; and advances in science, technology, engineering, and mathematics. GAO seeks

<sup>1</sup> Our September 30, 2011, *High Risk List* is included as enclosure I.

<sup>2</sup> *IRS Releases New Tax Gap Estimates*, Internal Revenue Service, January 6, 2012.

<sup>3</sup> Our Strategic Plan Framework is included as enclosure II.

not only to help position the government to better manage risks that could compromise the nation's security, health, and solvency, but also to identify opportunities for managing government resources wisely for a more sustainable future. GAO is uniquely positioned to help address our nation's challenges and identify opportunities, and stands ready to serve the Congress and the American people at this historically critical juncture.

With regard to our internal operations, in fiscal year 2011 we received a clean opinion on both our financial and performance audits in our triennial external peer review from an international team of our counterparts at national audit institutions, and received an unqualified opinion on our financial statements from independent auditors. The Association of Government Accountants awarded us its Certificate of Excellence in Accountability Reporting for our fiscal year 2010 Performance and Accountability Report. We also received a "Best-in-Class" award for a concise, well-written, and highly readable Summary of GAO's Performance and Financial Information for Fiscal Year 2010. In addition, GAO was once again recognized as one of the Best Places to Work. The annual survey conducted by the Partnership for Public Service identified GAO as number three in its rankings for all large organizations across the entire federal government, and *Washingtonian* magazine selected GAO as one of the Best Places to Work in the private and public sectors in Washington, D.C., in its annual rankings.

### **Constrained Budget Environment Reduces GAO Capacity**

We have carefully reviewed every aspect of our operations and cost structure to identify opportunities throughout GAO to increase efficiency and reduce our costs while preserving our ability to support the Congress in carrying out its constitutional responsibilities and to help improve government performance, accountability, and transparency—without sacrificing the quality of our work that is GAO's trademark—and minimizing the effect on our people.

We have reviewed our requirements from a zero base and identified a number of opportunities where we can reduce costs in areas that won't have an immediate or overwhelmingly negative effect on our mission or our staff, such as eliminating programs, suspending existing programs, and reducing or deferring investments. Over the last 2 years, we have implemented significant reductions across all areas of GAO, including travel, training, contract support, recruitment and retention programs, information technology, facilities, human capital support, and security operations. However, given that staff costs now represent about 81 percent of our budget and the deep reductions already taken in our infrastructure programs, reducing the size of our workforce could not be avoided. We have been able to achieve staffing reductions without resorting to layoffs, through attrition, voluntary early retirements, voluntary separation incentives, and extremely limited hiring to only replace critical vacancies.

By the end of fiscal year 2012, for the first time in over 75 years, GAO's staffing level will drop below 3,000 staff, resulting in a net reduction of 11 percent in our staff capacity, or 365 people, in only a 2-year period. However, demand for GAO's services remains high, and I am very concerned about maintaining our highly skilled workforce to support Congress and produce results to reduce costs and improve government performance. In order to do this it is imperative that we begin to replenish our workforce to both replace departing staff and add more highly skilled talent. In addition, we have been and will continue to reach out to

our congressional clients to ensure they recognize our situation, to help focus our work on the highest-priority areas, and help prioritize our work to obtain the maximum benefit in this resource-constrained environment.

### **Fiscal Year 2013 Budget Seeks Funds to Begin Rebuilding our Capacity to Serve the Congress**

For fiscal year 2013, we are requesting an appropriation of \$526.2 million—an increase of 2.9 percent compared to the level enacted in fiscal year 2012—to help ensure our ability to assist the Congress in addressing the most important priorities facing our nation. Our proposed fiscal year 2013 budget request provides the resources to begin restoring our staff capacity to the level we believe is necessary to sufficiently meet the highest priority needs of the Congress and produce results to help the federal government deal effectively with its serious fiscal challenges. Specifically, this level of funding will allow us to bring on board sufficient staff to achieve a full-time equivalent (FTE) level of 3,046. This would be a solid first step in ultimately achieving our target FTE of 3,250. We believe this is the optimal level within the current environment to most effectively serve the Congress and produce a high return on the investment in GAO. It would be our goal to return to this FTE staffing level in future year funding requests.

Our fiscal year 2013 request also covers mandatory funding increases, and partially restores essential funding that supported our internal operations that had either been eliminated or were related to investments that were deferred due to budget constraints. We are also seeking authority to use \$24.3 million from rental income and reimbursements of program and financial audits to help offset our costs. We hope to be able to generate an increase in rental income by obtaining a new tenant to lease space in our headquarters building. In addition, we are looking for opportunities to reduce our physical footprint and related infrastructure costs in a number of our field-offices.

#### Staff Capacity

We depend on a talented and diverse, high-performing, knowledge-based workforce to carry out our mission to support the Congress. As with other federal agencies, human-capital management poses many challenges with an ever-changing workforce, emerging civil-service reforms, and continuous pressure to do more with less. We continue to include human capital, particularly succession planning and development, as one of our internal management challenges that could affect our performance and progress toward our goals.

We estimate that at the end of fiscal year 2012 our staffing level will be 365 people below our level at the end of fiscal year 2010 and we project losing 190 additional staff in fiscal year 2013 based on historical data and trends. Also, at that time, 12 percent of our total analysts, about 25 percent of our supervisory analysts, and 43 percent of our senior executive staff will be eligible for retirement. Since fiscal year 2010, we have limited hiring to critical positions which, if left unfilled, will adversely affect our ability to provide timely, insightful analysis of the most pressing issues facing the nation. This unfortunate, but unavoidable, staffing retrenchment has negatively affected our staffing capacity, and resulted in not replacing departing staff or addressing succession planning challenges and skill gaps. The table below illustrates GAO's reduced capacity over the last 2 years, including our projections for fiscal year 2013 to help us begin to rebuild our staff capacity and address the increasing gaps in our workforce by recruiting and developing the new

cadre of analysts that will be needed to replace the high number of senior members of our staff who will be retiring. Even with this increase in personnel in fiscal year 2013, GAO will still have a smaller staff capacity than in fiscal year 2010, which we will look to continue to address in our budget request for fiscal year 2014.

#### GAO Headcount Fiscal Years 2011-2013

Fiscal year	Starting headcount	New hires	Attrition	Ending head count	Annual change
2011 actual	3,350	+ 47	(263)	3,134	(216)
2012 estimate	3,134	+ 36	(185)	2,985	(149)
2013 request	2,985	+ 305	(190)	3,100	+ 115

#### Partially Restore Essential Funding

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

#### **Further Opportunities for Cost-Savings**

We are continuing to explore opportunities to enhance workforce and budget flexibilities, increase our effectiveness and efficiency, and further reduce our operating costs. We believe these efforts have the potential to yield long-term benefits to GAO, the Congress, and the nation.

#### Potential Increase in Rental Income

We identified a key area of cost reduction and revenue enhancement—closing our physical libraries in our headquarters building in fiscal year 2012. Technical advances in information research and access have dramatically changed the way we work and with a vast amount of research material online the use of the physical libraries has decreased substantially. Freeing up this considerable space will not only save resources, but will provide greater flexibility to optimize the use of the headquarters facility, potentially attract a future tenant, and increase revenue in fiscal year 2013.

### Engagement-Management Efficiency

This year we introduced a new management challenge that focuses on the efficiency of our engagement-management process. Our goal is to identify areas that can be streamlined or standardized to yield improvements in the efficiency of our work without sacrificing quality. We are also evaluating our current model for utilizing staff on engagements to enhance our agility and responsiveness, and exploring alternative ways to deliver our products to the Congress and the public more efficiently and effectively. We expect to identify specific opportunities for improvement in calendar year 2012.

### Field-Office Capabilities

We recently completed the first comprehensive assessment of our field-office structure in more than a decade, seeking to determine whether it remains configured in a manner that realizes changing conditions and is producing long-term efficiencies in how we do our work today. The primary finding was that a field-office structure remains essential to GAO's ability to effectively perform its mission. While we do not staff our projects based solely on the physical location of our resources, we achieve significant benefits from having representation in strategically placed offices around the country. For instance, GAO managers reported using the majority of our field-offices primarily for their geographic location because key federal facilities were located in their vicinity. Our field-office structure also provides the capacity to attract and retain talented and diverse staff that bring unique insights and expertise to our mission that in some instances can best be found outside of Washington, D.C.

The Field-Office Study identified three options for GAO to consider to best leverage its field-office structure. These include (1) reducing the field-office footprint and associated infrastructure costs; (2) considering ways mission teams can better leverage the field locations in conducting GAO work, including upgrading and increasing the use of technology to reduce travel costs to Washington, where appropriate; and (3) periodically reassessing resource allocations and the field structure as part of our annual workforce-planning process. As a result, we are looking for opportunities to reduce our physical footprint in a number of our field-offices and have initiated the following two pilot studies that should enable us to maintain our commitment to excellence and accountability, optimize our use of technology, and reduce costs while providing our staff more flexibility in the manner in which they perform their work.

#### (1) More-Flexible Telework Model Could Reduce Infrastructure Costs

We are conducting a 6-month pilot to explore the feasibility of adopting a more-flexible approach to telework that would allow our employees to spend the majority of their time working from home or some other suitable location. The pilot will explore the use of office sharing, similar to what many private-sector professional services organizations do, and reduce our infrastructure costs. The pilot will also evaluate feasibility, identify any unintended consequences, and help determine how we might mitigate any risks prior to a broader implementation across the agency.

(2) Enhanced Video-Conference Capability Can Increase Flexibility and Reduce Travel Costs

We are also conducting a pilot program to bring video-conference capability to the computer desktops of our staff. We have been able to conduct our business using meeting-room-based video-conference capabilities more efficiently and effectively without incurring travel costs. However, our video-conference capabilities are limited and we do not have sufficient capacity to maximize their use. This pilot will evaluate our ability to expand our video-conferencing capability and information sharing by investing in a low-cost solution to bring the capability to the desktop. Adding this capability to our workforce solutions could enhance our workforce flexibility, further reduce our travel costs, and increase the effectiveness of our telework strategy.

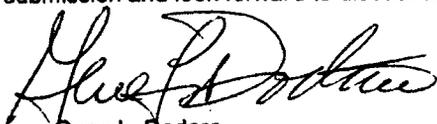
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If GAO's funding is reduced below the requested level, additional reductions in our staffing level would be inevitable, adversely affecting our ability to produce results that can help deal with the federal government's fiscal challenges; provide timely, insightful analysis on congressional priorities and challenges facing the nation; and reduce the number of requests that we could complete. We would continue to focus only on limited critical replacement hires, as we did in fiscal years 2010-2012, further reducing our staff capacity. As a knowledge-based organization, about 81 percent of GAO's budget is spent on staff compensation and benefits, a slight increase from the previous year as a result of the deep reductions made in agency operations and infrastructure. We are extremely limited in our ability to target additional reductions in infrastructure-support costs beyond what has already been taken in order to meet the basic operations of the agency.

Fiscal year 2011 was a very active and challenging time for GAO, yet we succeeded at performing our mission, responding to mandates, and accomplishing many of our goals while managing budget constraints. We could not have achieved this level of performance without the outstanding efforts of our professional, diverse, and multidisciplinary staff. Fiscal years 2012 and 2013 bring more challenges with responsibilities to further assess and report on duplicative government programs and financial regulatory reform efforts, among many other pressing issues. Our budget request has been carefully developed to represent the level of resources we need to continue to effectively serve the important needs of the Congress and to identify high opportunity areas for both the elimination of waste as well as for the enhancement of revenue across the federal government.

In summary, I believe that you will find our budget request fiscally responsible and essential to ensure that we can maintain our capacity to assist the Congress and produce results for the American people. We remain committed to providing accurate, objective, nonpartisan, and constructive information to the Congress to help it conduct effective oversight and fulfill its constitutional responsibilities. We thank you for your support in providing the resources to help us continually provide a valuable service to the Congress and to our nation.

I appreciate, as always, your careful consideration of our fiscal year 2013 budget submission and look forward to discussing our request with you.

A handwritten signature in black ink, appearing to read "Gene L. Dodaro". The signature is fluid and cursive, with a large initial "G" and "D".

Gene L. Dodaro  
Comptroller General  
of the United States

Enclosures

## How to Use This Request

This document constitutes GAO's performance budget request for fiscal year 2013.

### Comptroller General's Transmittal Letter

The letter from the Comptroller General outlines GAO's responsibilities and mission to provide the Congress with accurate, objective, nonpartisan, and constructive analyses and advice, and the resources needed to achieve our goals and objectives to help improve government performance, accountability and transparency.

### Overview

Provides a summary of GAO's staffing and funding request for fiscal year 2013.

### Summary Budget Schedules

Includes summary schedules displaying GAO resources including fiscal years 2010 and 2011 actual, fiscal year 2012 plan and the fiscal year 2013 request.

- Resource summaries by program
- Resource summaries by object classification
- Analyses of changes from fiscal year 2010 to 2013
  - By program
  - By object classification
- Explanation of changes

### Human Capital Program

Describes the human capital program, accomplishments, plans, and resource needs, including

- Salaries and benefits,
- Recruiting and retention,
- Training and development, and

- Other compensation.

### Engagement Support Program

Describes the engagement support program, accomplishments, plans, and resource needs, including

- Travel, and
- Specialized data and expertise

### Infrastructure Operations Program

Describes the infrastructure operations program, accomplishments, plans, and resource needs, including

- Information technology,
- Administrative services, and
- Knowledge services

### Performance Plan

Includes the fiscal year 2013 performance plan, as required by the Government Performance and Results Act of 1993, as amended.

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**GAO's High-Risk List as of September 2011**


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**Strengthening the Foundation of Efficiency and Effectiveness**


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- Management of Federal Oil and Gas Resources (New)
- Modernizing the Outdated U.S. Financial Regulatory System
- Restructuring the U.S. Postal Service to Achieve Sustainable Financial Viability
- Funding the Nation's Surface Transportation System
- Strategic Human Capital Management
- Managing Federal Real Property

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**Transforming DOD Program Management**


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- DOD Approach to Business Transformation
- DOD Business Systems Modernization
- DOD Support Infrastructure Management
- DOD Financial Management
- DOD Supply Chain Management
- DOD Weapon Systems Acquisition

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**Ensuring Public Safety and Security**


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- Implementing and Transforming the Department of Homeland Security
- Establishing Effective Mechanisms for Sharing and Managing Terrorism-Related Information to Protect the Homeland
- Protecting the Federal Government's Information Systems and the Nation's Cyber Critical Infrastructures
- Ensuring the Effective Protection of Technologies Critical to U.S. National Security Interests
- Revamping Federal Oversight of Food Safety
- Protecting Public Health through Enhanced Oversight of Medical Products
- Transforming EPA's Process for Assessing and Controlling Toxic Chemicals

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**Managing Federal Contracting More Effectively**


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- DOD Contract Management
- DOE's Contract Management for the National Nuclear Security Administration and Office of Environmental Management
- NASA Acquisition Management
- Management of Interagency Contracting

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**Assessing the Efficiency and Effectiveness of Tax Law Administration**


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- Enforcement of Tax Laws
- IRS Business System Modernization

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**Modernizing and Safeguarding Insurance and Benefit Programs**


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- Improving and Modernizing Federal Disability Programs
- Pension Benefit Guaranty Corporation Insurance Programs
- Medicare Program
- Medicaid Program
- National Flood Insurance Program

Source: GAO.



## Serving the Congress and the Nation GAO's Strategic Plan Framework

### MISSION

**GAO** exists to support the Congress in meeting its constitutional responsibilities and to help improve the performance and ensure the accountability of the federal government for the benefit of the American people.

### TRENDS

National Security Threats    Fiscal Sustainability Challenges    Economic Recovery and Growth    Global Interdependence    Science and Technology    Networks and Virtualization    Shifting Roles of Government    Demographic and Societal Change

Goals	Objectives	
<p><b>Provide Timely, Quality Service to the Congress and the Federal Government to...</b></p> <p>... Address Current and Emerging Challenges to the Well-being and Financial Security of the American People related to...</p>	<p>Health care needs Lifelong learning Benefits and protections for workers, families, and children Financial security Effective system of justice</p>	<p>Viable communities Stable financial system and consumer protection Stewardship of natural resources and the environment Infrastructure</p>
<p>... Respond to Changing Security Threats and the Challenges of Global Interdependence involving...</p>	<p>Homeland security Military capabilities and readiness</p>	<p>U.S. foreign policy interests Global market forces</p>
<p><b>Help Transform the Federal Government to Address National Challenges by assessing...</b></p>	<p>Government's fiscal position and options for closing gap Fraud, waste, and abuse</p>	<p>Major management challenges and program risks</p>
<p><b>Maximize the Value of GAO by Enabling Quality, Timely Service to the Congress and Being a Leading Practices Federal Agency in the areas of...</b></p>	<p>Efficiency, effectiveness, and quality Diverse and inclusive work environment</p>	<p>Professional networks and collaboration Institutional stewardship and resource management</p>

### CORE VALUES

Accountability

Integrity

Reliability

Source: GAO.

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## Overview

The Government Accountability Office (GAO), as the audit, evaluation, and investigative arm of the Congress, exists to support the Congress in meeting its constitutional responsibilities and to help improve the performance and ensure the accountability of the federal government for the benefit of the American people. GAO is unique in our audit and evaluation capacity to support the Congress by performing original research, providing technical assistance, and conducting analyses to help the Congress make informed decisions across all segments of the federal budget resulting in tangible benefits and enhanced oversight.

### Core Principles Guide Planning Activities

GAO's Executive Committee has been guided by two core principles throughout this environment of constrained resources and fiscal austerity. First, GAO has been looking for ways to maximize our support to the Congress and the nation. Despite funding reductions, we must ensure our ability to continue to provide the Congress with high-quality, relevant, and insightful analyses. Second, we have sought to minimize the impact on GAO staff. It is through their commitment, dedication, and expertise that we are able to provide a valuable service to the Congress and the nation. We recognize that achieving these goals will be challenging and require sacrifice.

### Cost Assessment Results in Significant Cost Reductions and Efficiencies

Consistent with House Report 112-148, which directs legislative-branch agencies to develop and present their budget requirements from a zero base, and the methodology and guidelines established by the Legislative Branch Financial Managers' Council (LBFMC) in response to the House

Report, we conducted an internal evaluation of our entire cost structure to identify opportunities where we can practically reduce costs while preserving our ability to support the Congress and minimize the impact on our staff. To help in our decision making, the Executive Committee utilized a variety of ways to gather information, including productive discussions with our union, Employee Advisory Committee, Diversity Advisory Committee, and our staff by means of a Cost Saving Ideas website that generated more than 600 ideas since August 2011. This extensive effort has identified opportunities to reduce our costs in areas that won't have an immediate or overwhelmingly negative impact on our mission or our staff.

Since fiscal year 2010, GAO has significantly reduced spending throughout the agency which provides a smaller base going into fiscal year 2013. For example, in fiscal year 2013 we plan to spend 25.9 percent less on travel than we did in fiscal year 2010 through operational efficiencies, improved business practices, and leveraging technology.

Also, consistent with executive-branch guidance, we have assessed streamlining opportunities and initiated actions to reduce our reliance on contractor support in areas such as security, facilities management, library services, information technology (IT), and human capital support. Since fiscal year 2010, we have reduced our infrastructure support costs by over \$21 million, including reduced reliance on contractor support by over \$8 million or almost 12 percent.

In addition, we are continuing to explore other opportunities to enhance workforce and budget flexibilities to help reduce our infrastructure costs, provide staff more flexibility and increase our effectiveness and efficiency, such as streamlining our engagement-management process; expanding our telework policies; reducing our physical footprint both in HQ and in our

field offices; exploring office-sharing; expanding our video-conference capability; and attracting a future tenant in HQ to increase revenue. While we may only see limited financial benefits in fiscal year 2012, each of these initiatives provides the opportunity to generate significant long-term financial benefits to GAO.

### **Constrained Budget Environment Reduces GAO Capacity**

Our fiscal year 2012 appropriation is \$45 million or 8.1 percent below our fiscal year 2010 appropriation. As a knowledge-based organization, about 81 percent of our budget is spent on staff compensation and benefits and we have already taken deep reductions in agency operations and infrastructure programs. Thus, it was unavoidable that we reduce our staffing level in order to absorb a reduction of this magnitude. By the end of fiscal year 2012, we will be about 11 percent smaller than we were just 2 years ago due to the net loss of approximately 365 staff. We have been able to achieve this staffing reduction through significantly reduced hiring, attrition, and voluntary separations and retirements without the need for adverse actions, such as a reduction-in-force or field-office closures. However, this unfortunate, but unavoidable, staffing retrenchment has negatively affected our staffing level, and resulted in not replacing departing staff or addressing succession-planning challenges and skill gaps.

As a result, in fiscal year 2012 our staffing level will drop below 3,000 for the first time in more than 75 years. In addition, we project losing 190 additional staff in fiscal year 2013 based on historical data and trends. Also, at that time, 12 percent of our total analysts, about 25 percent of supervisory analysts, and 43 percent of our senior executive staff will be eligible for retirement. Not being able to hire and replace some of these positions behind departing staff will further erode our knowledge base as we continue to lose experienced staff, negatively impacting the

number of staff that we can dedicate to our mission work.

This staffing reduction is limiting our ability to provide the Congress with timely, insightful analysis of the most pressing issues facing the nation during this critical period, especially after such a long period of limited hiring. To ensure that we can meet the most critical issues facing the Congress and the nation, we have been and will continue to outreach to our congressional clients to ensure they recognize our situation, help focus our work on the highest-priority areas, and help prioritize our work to obtain the maximum benefit in this resource-constrained environment.

Thus, our fiscal year 2013 budget request includes funds to begin rebuilding our staff capacity to a level that will enable us to optimize the benefits that we yield for the Congress and the nation. Given the size of the federal budget and the multiyear actions needed to address the seriousness of the government's fiscal condition, investing resources to restore some of our staff capacity would be both prudent and wise. The cost to restore our staff capacity would be more than offset by savings and efficiencies resulting from GAO's work.

## GAO Supports Congressional Decision-making, Saves Resources and Helps Improve Government

As the nation faces challenging times, congressional demand for GAO services remains high, given GAO's reputation for consistently producing high-quality work that is typically based on original research. Every year GAO receives hundreds of congressional requests and mandates and performs work for all standing congressional committees and about 70 percent of their subcommittees. Also, the number of procurement-law filings has increased steadily since fiscal year 2006, and demand for other GAO legal services, such as appropriations-law decisions, remains steady.

GAO's work directly contributes to improvements in a broad array of federal

programs affecting Americans everywhere and remains one of the best investments across the federal government. In fiscal year 2011 our work yielded significant results across the government, including financial benefits of \$45.7 billion—a return of \$81 for every dollar invested in GAO—and over 1,300 other benefits in broad program and operational areas cutting across the government. Our findings and recommendations produce measurable financial benefits for the federal government, enabled through the actions of Congress and implementations by Executive Branch agencies, ultimately making funds available to reduce government expenditures or becoming reallocated to more productive areas. Table 1 lists examples of major financial benefits resulting from GAO's findings and recommendations in fiscal year 2011.

**Table 1: GAO's Selected Major Financial Benefits Reported in Fiscal Year 2011**  
(Dollars in billions)

Description	Amount
Termination of Future Combat System Manned Ground Vehicle	\$11.20
Termination of Department of Defense Transformational Satellite Communications System	5.30
Reductions in Payments to Medicare Advantage Plans	3.60
Termination of Multiple Kill Vehicle Programs	2.70
The Congress Transfers Funds into "Cash for Clunkers" Program	2.05
Improvements in Pakistani Reimbursement Claims Process	1.10

In fiscal year 2011 our products covered a wide spectrum of issues—from banking to health care and retirement to defense, homeland security, and information security. We accomplish our mission by providing objective and reliable information and informed analysis to the Congress, to federal agencies, and to the public, and we recommend improvements, when appropriate, on a wide variety of issues. Our audit, evaluation, and investigative work

is primarily aligned under three strategic goals which span domestic and international issues affecting the lives of all Americans and influences the extent to which the federal government serves the nation's current and future interests. Table 2 lists examples of GAO's work in fiscal year 2011 that support congressional decision making, save resources, and help improve government.

**Table 2: How GAO Assisted the Congress and the Nation – Fiscal Year 2011**

<b>Goal 1: Address Current and Emerging Challenges to the Well-Being and Financial Security of the American People</b>
<ul style="list-style-type: none"> <li>Recommended ways to strengthen the Federal Reserve's management of emergency assistance to stabilize financial markets</li> <li>Found regulatory weaknesses in the Environmental Protection Agency's (EPA's) water-based lead testing and treatment program</li> <li>Informed improvements in air passenger rights to compensation for mishandled baggage</li> <li>Improved consistency and compatibility of health-care-associated infection data</li> <li>Developed a series of assessments of emerging technologies with important implications for the nation</li> </ul>
<b>Goal 2: Respond to Changing Security Threats and the Challenges of Global Interdependence</b>
<ul style="list-style-type: none"> <li>Led DHS to scale back the flawed advanced radiation detector program—avoiding costs of \$1.2 billion</li> <li>Surfaced potential costs and risks of contract transition during drawdown from Iraq, resulting in benefits of \$77.5 million</li> <li>Led DOD to restructure the Joint Strike Fighter program—DOD's most costly and ambitious acquisition</li> <li>Increased USAID focus on planning, coordination, and monitoring of Afghan water projects</li> <li>Improved monitoring and evaluation of State, Labor, and USAID projects to combat human trafficking</li> </ul>
<b>Goal 3: Help Transform the Federal Government to Address National Challenges</b>
<ul style="list-style-type: none"> <li>Provided timely information on the debt limit and budget controls to help address the long-term fiscal challenge</li> <li>Issued updated government auditing standards to reflect recent developments in the accountability profession</li> <li>Identified opportunities to reduce risk and achieve cost savings in several types of government contracting</li> <li>Recommended improvements to planning and implementation of federal data center consolidation at 24 federal agencies</li> <li>Helped eliminate the Advanced Earned Income Tax Credit, avoiding \$569 million in costs</li> </ul>

Many of the benefits that result from our work cannot be measured in dollar terms. During fiscal year 2011, we recorded over 1,300 other benefits that helped to change laws, improve services to the public, and promote sound management throughout government. About 32 percent of these benefits were in the area of public safety and security, such as homeland security

and justice programs and critical technologies. About 40 percent resulted from improvements in business processes and management, such as improved oversight of federal oil and gas resources and detection of fraud, waste, and abuse. Table 3 lists examples of nonfinancial benefits resulting from our work in fiscal year 2011.

**Table 3: GAO's Selected Nonfinancial Benefits Reported in Fiscal Year 2011**

<b>Program</b>	<b>Description</b>
Public Insurance and Benefits	Enforcement actions posted on the Nursing Home Compare information site
Public Safety and Security	HHS finalized antiviral guidance for pharmaceutical interventions during influenza pandemic
Acquisition and Contract Management	Reducing risk in government contracting
Tax Law Administration	The Congress increased the statute of limitations for IRS audits of offshore financial activity
Program Efficiency and Effectiveness	Small Business Administration decertifies companies from Historically Underutilized Business Zone program
Business Process and Management	OMB sets milestones for implementation of the infrastructure needed for use of personal identity verification cards

Also, GAO issue-area experts testified 174 times before the Congress on a wide range of issues such as military and veterans disability systems, U.S. Postal Service fiscal sustainability, and Medicare and Medicaid fraud, waste, and abuse. Fifty-seven of the hearings at which our senior executives

testified were related to high-risk areas and programs highlighted in GAO's biennial high-risk report. Table 4 lists selected topics by goal on which GAO executives testified during fiscal year 2011.

**Table 4: Selected Testimony Topics—Fiscal Year 2011**

<b>Goal 1: Address Current and Emerging Challenges to the Well-Being and Financial Security of the American People</b>
• State Oversight of Private Health Insurance Rates
• Financial Literacy
• Mortgage Foreclosures Regulatory Oversight
• Improvements Needed for Safe Drinking Water
• Needed U.S. Postal Service Legislation
<b>Goal 2: Respond to Changing Security Threats and the Challenges of Global Interdependence</b>
• DHS 10 Years after 9/11
• Combating Nuclear Smuggling
• Flood Insurance Reform
• Army's Ground Force Modernization
• Personnel Security Clearance Process
<b>Goal 3: Help Transform the Federal Government to Address National Challenges</b>
• Oversight and Accountability of Federal Grants
• Fraud Prevention in SBA's 8(a) Program
• Protecting Federal Information Systems
• Budget Enforcement Mechanisms
• Medicare and Medicaid Fraud, Waste, and Abuse

In fiscal year 2011, we also issued the latest edition of our biennial high-risk report calling attention to opportunities for cost savings and improvements in federal agency and program management that offer the potential to save billions of dollars, dramatically improve service to the public, and strengthen confidence and trust in the performance and accountability of the U.S. government. In addition, our first annual report issued under a new mandate identified 81 areas of duplication, overlap, fragmentation, cost-saving opportunities, and revenue enhancements in government programs. We also continued to regularly report the results of our work related to the Troubled Asset Relief Program and the American Recovery and Reinvestment Act.

GAO seeks not only to help position the government to better manage risks that could compromise the nation's security, health, and solvency, but also to identify opportunities for managing government resources wisely for a more sustainable future.

As the Congress and the administration debate ways to address the federal government's unsustainable long-term fiscal path, our mission becomes ever more critical to help identify billions of dollars in cost-saving opportunities to tighten federal budgets and identify revenue-enhancement opportunities. GAO is uniquely positioned to help address our nation's challenges and identify opportunities for improvement, and stands ready to serve the Congress and the American people at this historically critical juncture.

## **Fiscal Year 2013 Budget Request Would Help Restore Essential Capacity**

Our fiscal year 2013 budget request of \$526.2 million represents a modest increase of \$14.9 million or 2.9 percent over fiscal year 2012 to enable GAO to begin a multiyear effort to restore our staff level to a target goal of 3,250. The requested funds will allow us to obtain sufficient resources to achieve a full-time equivalent (FTE) level of 3,046 in fiscal year 2013, cover mandatory funding increases, and partially restore essential funding that supported our internal operations and had been either deferred or eliminated due to budget constraints.

We are also requesting authority to use \$24.3 million in offsetting collections from rental income and reimbursements from program and financial audits, including:

- \$8.6 million in rental income, primarily from the U.S. Army Corps of Engineers' rental of space in the GAO headquarters building, and a future potential tenant; and
- \$15.7 million from the Federal Deposit Insurance Corporation (FDIC), the Securities and Exchange Commission (SEC), and the U.S. Treasury for audits of their financial statements.

In addition, we estimate receipts of about \$4.7 million will be available primarily from reimbursements of programs and financial audits, including:

- the Troubled Asset Relief Program (TARP);
- the Federal Housing Finance Agency; and
- the Financial Accounting Standards Advisory Board.

Table 5 displays the sources of funding available for fiscal years 2010-2013.

**Table 5: Fiscal Year 2010-2013 Sources of Funds**  
(Dollars in thousands)

Program	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Net change fiscal year 2012/2013	Cumulative change fiscal year 2010/2013
Appropriation—Salaries and expenses	\$556,325	\$546,075	\$511,296	\$526,233	2.9%	(5.4%)
Appropriation—Mandated review of Medicare beneficiaries' access to vaccines	1,000	-0-	-0-	-0-	-0-	(100.0%)
Appropriation—Recovery Act oversight	20,804	-0-	-0-	-0-	-0-	(100.0%)
Reimbursements	10,214	6,648	7,977	4,717	(40.9%)	(53.8%)
Offsetting collections	10,892	15,031	22,304	24,318	9.0%	123.3%
<b>Total budgetary resources</b>	<b>\$599,235</b>	<b>\$567,754</b>	<b>\$541,577</b>	<b>\$555,268</b>	<b>2.5%</b>	<b>(7.3%)</b>

## Summary of Requested Changes

We have carefully considered our resource requirements and made difficult trade-offs to develop a fiscal year 2013 budget request that represents the first step in rebuilding our staff capacity to a level that will enable us to optimize the benefits we yield to the Congress and the nation. This funding level will allow GAO to continue to address the highest congressional priorities.

Our budget request includes \$35.6 million to cover pay-related (\$31.3 million) and price-level (\$4.3 million) cost increases, many of which are mandatory and uncontrollable, including the January 2013 pay increase based on guidance from CBO and the LBFMC, performance-based compensation provided in lieu of executive-branch within-grade increases, hiring to begin to rebuild our staff capacity by partially replacing staff losses, inflation, and negotiated increases in contract support. Additional information on these items can be found on pages B-5 through B-7.

Our budget request also includes a net reduction of \$20.9 million for program changes. Our program changes include a reduction of \$32.9 million including (1) savings of \$13.3 million from the projected departure of 190 staff, and (2) savings of \$19.6 million from areas where we reduced costs, eliminated items that we can live without, suspended existing activities, and deferred investments until future years.

The amount requested for program changes also includes \$10.8 million to partially restore funding for essential activities deferred or eliminated in prior years due to budget constraints. For example, in fiscal year 2013 we plan to partially restore funding for monetary rewards and student loan repayments, suspended in fiscal year 2012, to help ensure our ability to attract, retain, and motivate staff. We are also seeking funds to upgrade our notebook computer technology which was deferred in fiscal year 2011 and which are now nearing their end of service life. These costs are partially offset through reductions in other areas, such as lower field-office infrastructure costs. Additional information

on these items can be found on pages B-8 and B-9.

In addition, the amount requested for program changes also reflects a reduction of \$1.2 million in reimbursements and

offsetting collections. Additional information on these items can be found on page B-10.

A summary of the requested changes in funding from fiscal year 2012 to 2013 is shown in table 6.

**Table 6: Fiscal Year 2013 Summary of Requested Changes**  
(Dollars in thousands)

<b>Budget category</b>	<b>Amount</b>
Appropriation:	
Fiscal year 2011 actual	\$546,075
Fiscal year 2012 enacted	\$511,296
Fiscal year 2013 changes	
Pay-related increases	\$31,258
Price-level increases	\$4,360
Program changes	(\$20,680)
Adjustment for rounding	(\$1)
<b>Total requested changes</b>	<b>\$14,937</b>
<b>Fiscal year 2013 appropriation</b>	<b>\$526,233</b>

## Resource Needs by Major Program

A summary of our resource needs by major program is shown in table 7.

**Table 7: Fiscal Year 2010-2013 Resource Summary**  
(Dollars in thousands)

Program	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Percent of Resources
Human capital	\$438,363	\$452,352	\$431,182	\$446,846	80.5%
Engagement support	15,683	11,175	11,100	12,513	2.2%
Infrastructure operations	117,288	100,742	94,050	95,909	17.3%
TARP and Recovery Act <sup>a</sup>	27,898	3,684	5,244		
Adjustment for rounding	3	1	1		
<b>Total budgetary resources</b>	<b>\$599,235</b>	<b>\$567,754</b>	<b>\$541,577</b>	<b>\$555,268</b>	<b>100.0%</b>
Less: reimbursements and offsetting collections	(21,106)	(21,679)	(30,281)	(29,035)	
Less: non-legislative-branch funding <sup>b</sup>	(21,804)				
<b>Appropriation</b>	<b>\$556,325</b>	<b>\$546,075</b>	<b>\$511,296</b>	<b>\$526,233</b>	

<sup>a</sup> Beginning in fiscal year 2013, TARP costs are included in base programs.

<sup>b</sup> Includes the Mandated review of Medicare beneficiaries' access to vaccines and the Recovery Act oversight.

Our human capital, engagement support, and infrastructure operations programs are discussed in more detail in sections C–E.

### Human Capital

As a knowledge based agency, GAO's workforce is by far our greatest asset. Our human capital programs are essential to ensure that GAO can attract, retain, and motivate a high-performing workforce to help the Congress address the challenges facing the nation.

Human capital costs represent about 81 percent of our total budget. Since fiscal

year 2010, while our human capital costs have increased by only 1.9 percent, our proposed fiscal year 2013 staffing level is 7.5 percent below our fiscal year 2010 level.

A summary of our staffing profile from fiscal year 2010 to 2013 is shown in table 8.

**Table 8: Staffing Summary—Onboard/FTEs**

	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Change fiscal year 2010/2013
Number of staff on board at year end	3,350	3,134	2,985	3,100	(250)
Number of full-time equivalents (FTE)	3,347	3,212	3,000	3,046	(301)

### **Voluntary Early Retirement Authority and Voluntary Separation Incentive Payments**

House Report 112-148 strongly encourages legislative-branch agencies to explore Voluntary Early Retirement Authority (VERA) and Voluntary Separation Incentive Payments (VSIP) to reduce costs in the current fiscal year and the out years.

In fiscal year 2011, 37 staff accepted VERA and VSIP opportunities at GAO. While the programs were undersubscribed, these departures helped reduce GAO's staff level and will help enable our ability to manage in fiscal year 2012 at a reduced funding level.

### **Merit Pay, Awards, and Bonuses**

House Report 112-148 directs legislative branch agencies, starting in fiscal year 2013, to reflect a realignment of funding and associated decrease in FTEs from the salary and benefit base to a separate line item for cash merit pay, awards, and bonuses.

In fiscal year 2013, we have reduced funding from the salary and benefit base and included a new line item for performance-based compensation that is paid as a cash bonus to employees whose salary level cannot be increased because it has reached the competitive level for their pay band. However, these amounts are provided in lieu of executive-branch within-grade increases for these staff. We have continued to include performance-based

increases for staff whose salary levels can be adjusted as part of our salary and benefits base.

Our budget requests have consistently highlighted funding we provide for awards as a separate line item from our salary and benefits account. In fiscal year 2012 we suspended monetary award recognition due to funding constraints, releasing almost \$1.5 million available for other operations. In fiscal year 2013, we are seeking to partially restore funding for this program. Awards funding is an essential tool to attract, retain, recognize, and motivate staff. These tools become ever more critical at this juncture where we are seeking to rebuild our staff capacity due to the erosion in our knowledge base over the last 2 years and as increasing numbers of staff are becoming retirement eligible.

### **Performance-Based Merit Increases**

House Report 112-148 directs that agencies report and justify all circumstances where the sum of annual compensation and any performance based merit increases will cause any employee to exceed the annual rate of compensation of a Member of Congress at the rate of compensation of Members in effect during the year in which the performance based merit increase is paid.

By statute, GAO has two positions—the Comptroller General in accordance with 31 U.S.C. 703(f)(1) and the Inspector General in accordance with 31 U.S.C. 705(b)(3)—

where the rate of compensation exceeds the level established for Members.

Additional information on our human capital programs is included in section C.

### **Engagement Support**

Our engagement support program provides about \$12.5 million for travel and outside expertise to support congressional requests and mandates. These costs represent 2.2 percent of our total budget authority. Our fiscal year 2013 budget request includes a modest increase to cover uncontrollable inflationary costs and partially restore funding eliminated in prior years due to funding constraints. Since fiscal year 2010, these costs have declined by \$3.2 million or about 20.2 percent primarily through reductions in travel. We are hopeful that our pilot to expand video-conference capabilities will further reduce our travel costs to help offset anticipated increases in per diem rates and transportation costs.

Additional information on our engagement support programs is included in section D.

### **Infrastructure Operations**

Our infrastructure support program provides funds for critical mission-support activities, such as information technology, telecommunications, security, and building management. Our fiscal year 2013 budget request includes about \$95.9 million for these activities. These costs represent about 17.3 percent of our total budget. This funding level represents an increase of \$1.9 million over fiscal year 2012, but it also represents a cumulative reduction of \$21.4 million or 18.2 percent below our fiscal year 2010 funding level.

The requested funding level reflects a reduction of \$2 million in field office infrastructure costs and an increase of \$1 million to cover our fiscal year 2013 lease payment for our new boiler which has reduced our reliance on GSA-provided steam and helps achieve more efficient energy utilization.

We are also requesting funds to upgrade our notebook computer technology, deferred in fiscal year 2011, to ensure continued vendor support and to remain on par with the industry and other federal agencies. In addition, we plan to invest funds to implement Homeland Security Presidential Directive (HSPD-12) requirements to obtain new credentials that provide physical and logical access to GAO and other federal facilities.

We have identified cost savings and nonrecurring costs in fiscal year 2012 of about \$20 million which will offset uncontrollable inflationary increases and contract rate adjustments and enable us to manage our operations at this funding level.

### **Other Considerations**

We considered several other factors during our budget review and development of our fiscal year 2013 budget request.

#### **Field Office Capabilities**

Our first comprehensive assessment of our field office structure in more than a decade found that a field office structure remains essential to GAO's ability to effectively perform its mission. While we do not staff our engagements based solely on the physical location of our resources, we achieve significant benefits from having representation in strategically placed offices around the country, such as geographic proximity to key federal facilities, and the ability to attract and retain talented and diverse staff that bring unique insights and expertise to our mission that in some instances can best be found outside of Washington, D.C.

The Field Office Study identified three options for GAO to consider to best leverage its field-office structure, including

(1) reducing the field office footprint and associated infrastructure costs;

(2) considering ways mission teams can better leverage the field locations in conducting GAO work; and

(3) periodically reassessing resource allocations and the field structure as part of our annual workforce-planning process.

As a result, we are looking for opportunities to reduce our physical footprint in a number of our field offices and have initiated two pilot efforts that should enable us to maintain our commitment to excellence and accountability, optimize our use of technology, and reduce costs while providing our staff more flexibility in the manner in which they perform their work.

1) We are conducting a 6-month pilot to explore the feasibility of adopting a more flexible approach to telework that would allow our employees to spend the majority of their time working from home or some other suitable location; and use office sharing, similar to what many private-sector professional services organizations do, to reduce our infrastructure costs.

2) We are also conducting a pilot program to bring a low-cost video-conference tool to the computer desktops of our staff to expand our capacity, enhance communications, further reduce our travel costs, and increase the effectiveness of our telework strategy.

### Strategic Plan Update

We plan to issue an updated strategic plan in February 2012 consistent with guidance in the Government Performance and Results Modernization Act of 2010. Our revised strategic plan will identify priority targets in the areas of financial and nonfinancial benefits to the Congress and the nation to help achieve a more effective, accountable government.

### Cost Saving Website

In light of GAO's current budget situation and that of the foreseeable future, we developed a Cost Saving Website to

facilitate staffs' ability to submit cost saving ideas, including any ideas to improve the efficiency of our processes, and have them considered as expeditiously as possible.

Since its inception in August 2011, we have received more than 600 employee suggestions. To increase transparency, we post all cost-savings ideas and their status to the website so employees can see what ideas are under consideration and their status.

### Streamlining Service Delivery

As part of our zero-based budget review, GAO has made a conscious effort to both control and reduce contract support costs. Since fiscal year 2010, we have reduced contractor support costs by over \$8 million or almost 12 percent. In some areas, we eliminated particular functions and related contractor support. In other areas, we reassigned functions from contractor support to GAO staff. In some areas the advantage to the government is even greater than the financial benefit achieved by bringing these functions in-house, as existing staff will assume these responsibilities with the objective of gaining greater utilization and productivity from existing GAO staff, as well as gaining the long-term benefit of maintaining these skill sets internally.

Some areas where we have reduced contractor support costs are listed below.

Facility Management. We reduced and eliminated services that are estimated to save \$1 million annually. Examples include:

- reduced building hours of operation on weekends;
- reduced cleaning services;
- eliminated the facilities coordinator position;
- reduced the number of drivers for shuttle service to other federal locations; and

- reduced on-site building maintenance staff.

**Security.** In fiscal year 2011, we closed one of the garage entrances at the headquarters building and eliminated related security positions saving an estimated \$350,000 annually.

**Information Technology.** Since fiscal year 2010, we have reduced our IT program funding by \$8.3 million or over 14 percent. We have implemented a number of changes designed to reorganize our operation and reduce costs going forward, including:

- reduced support for operations;
- reduced support for applications development;
- eliminated vendor support for our annual customer-satisfaction survey;
- eliminated separate vendor-provided audio-conferencing and implemented existing capabilities within our PBX system;
- eliminated support for imaging center operations and processing; and
- reduced research services contracts.

**Human Capital Support.** In fiscal year 2011, we reduced contract support which resulted in an annual savings of almost \$1.2 million, including:

- eliminated off-site help desk support; and
- eliminated support for operations and transaction processing.

**Knowledge Services.** In fiscal year 2012, we will close the majority of our physical technical and law libraries at the headquarters building, which is estimated to save almost \$1 million annually in contractor support costs. This closure will also allow

GAO to achieve more-efficient utilization of space in the headquarters building, freeing up additional space to generate revenue from a future tenant.

### **Management Challenges**

We updated our areas of internal management challenges, removing physical security and information security based on progress in those areas. We continue to focus on human capital by completing work on a new performance-management system and enhancing efforts on succession planning, training, and critical hiring. In fiscal year 2012, we have added a new engagement efficiency challenge focused on making improvements in three areas given constrained resources: managing and conducting engagements, utilizing resources, and communicating our message.

### **Productive Union Relationship**

We maintained our productive working relationship with the employees' union, GAO Employees Organization, International Federation of Professional and Technical Engineers, Local 1921, and began implementing our first master collective bargaining agreement. We are also working closely with the Employee Advisory Council and the Diversity Advisory Council on a range of issues.

### **Appropriation Language**

Our appropriation language has been updated to reflect our fiscal year 2013 budget request. See following page.

**GOVERNMENT ACCOUNTABILITY OFFICE****SALARIES AND EXPENSES**

For necessary expenses of the Government Accountability Office, including not more than **\$12,500** to be expended on the certification of the Comptroller General of the United States in connection with official representation and reception expenses; temporary or intermittent services under section 3109(b) of title 5, United States Code, but at rates for individuals not more than the daily equivalent of the annual rate of basic pay for level IV of the Executive Schedule under section 5315 of such title; hire of one passenger motor vehicle; advance payments in foreign countries in accordance with section 3324 of title 31, United States Code; benefits comparable to those payable under section 901(5), (6), and (8) of the Foreign Service Act of 1980 (22 U.S.C. 4081(5), (6), and (8)); and under regulations prescribed by the Comptroller General of the United States, rental of living quarters in foreign countries, **\$526,233,000**: Provided, That, in addition, **\$24,318,000** of payments received under sections 782, 3521, and 9105 of title 31, United States Code, shall be available without fiscal year limitation: *Provided further*, That this appropriation and appropriations for administrative expenses of any other department or agency which is a member of the National Intergovernmental Audit Forum

or a Regional Intergovernmental Audit Forum shall be available to finance an appropriate share of either Forum's costs as determined by the respective Forum, including necessary travel expenses of non-Federal participants: *Provided further*, That payments hereunder to the Forum may be credited as reimbursements to any appropriation from which costs involved are initially financed.

Schedule A

**Government Accountability Office  
Resource Summary  
by Program**

(Dollars in thousands)

Program	Fiscal year 2010 actual		Fiscal year 2011 actual		Fiscal year 2012 estimate		Fiscal year 2013 request		Net change fiscal year 2012/2013		Cumulative change fiscal year 2010/2013	
	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount
Human capital	3,176	\$438,363	3,192	\$452,352	2,982	\$431,182	3,046	\$446,846	84	\$15,664	(130)	\$8,483
									2.1%	3.6%	(4.1%)	1.9%
Engagement support		15,683		11,175		11,100		12,513		1,413		(3,170)
										12.7%		(20.2%)
Infrastructure operations		117,288		100,542		94,050		95,909		1,859		(21,379)
										2.0%		(18.2%)
Recovery Act	131	20,804									(131)	(20,804)
											(100%)	(100%)
Troubled Asset Relief Program	40	7,094	20	3,684	18	5,244			(18)	(5,244)	(40)	(7,094)
									(100%)	(100%)	(100%)	(100%)
Adjustment for rounding		3		1		1						
<b>Total budget authority</b>	<b>3,347</b>	<b>\$599,235</b>	<b>3,212</b>	<b>\$567,754</b>	<b>3,000</b>	<b>\$541,577</b>	<b>3,046</b>	<b>\$555,268</b>	<b>46</b>	<b>\$13,691</b>	<b>(301)</b>	<b>(\$43,967)</b>
									1.5%	2.5%	(9.0%)	(7.3%)
Non-legislative branch appropriations	(131)	(21,804)									(100.0%)	21,804
												(100.0%)
Reimbursements	(40)	(10,214)	(20)	(6,648)	(18)	(7,977)		(4,717)	(18)	3,260	(40)	5,497
										(40.9%)		(53.8%)
Offsetting collections		(10,892)		(15,031)		(22,304)		(24,318)		(2,014)		13,426
										9.0%		123.3%
<b>Appropriation</b>	<b>3,176</b>	<b>\$556,325</b>	<b>3,192</b>	<b>\$548,075</b>	<b>2,982</b>	<b>\$511,296</b>	<b>3,046</b>	<b>\$526,233</b>	<b>2.1%</b>	<b>\$14,937</b>	<b>(4.1%)</b>	<b>(\$30,092)</b>
										2.9%		(5.4%)

Additional information can be found on page B-2, B-5 - B-10 of this section and in the Human Capital, Engagement Support, and Infrastructure Operations sections.

Schedule A-1

**Government Accountability Office  
Resource Details by Program**

(Dollars in thousands)

Program	Fiscal year 2010 actual		Fiscal year 2011 actual		Fiscal year 2012 estimate		Fiscal year 2013 request		Net change fiscal year 2012/2013		Cumulative change fiscal year 2010/2013	
	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount
<b>Human capital</b>												
Salaries and benefits	3,176	\$420,587	3,192	\$435,360	2,982	\$419,220	3,046	\$430,887	64	\$11,667	(130)	\$10,300
									2.1%	2.8%	(4.1%)	2.4%
Recruitment and retention		9,188		7,882		3,724		7,518		3,794		(1,670)
										101.9%		(18.2%)
Training and development		4,665		2,788		3,814		4,083		269		(582)
										7.1%		(12.5%)
Other compensation		3,923		6,321		4,424		4,358		(66)		435
										(1.5%)		11.1%
Subtotal	3,176	\$438,363	3,192	\$452,352	2,982	\$431,182	3,046	\$446,846	64	\$15,664	(130)	\$8,483
									2.1%	3.6%	(4.1%)	1.8%
<b>Engagement support</b>												
Travel		\$12,768		\$8,650		\$9,000		\$9,463		463		(3,305)
										5.1%		(25.9%)
Specialized data and expertise		2,915		2,526		2,100		3,050		950		135
										45.2%		4.6%
Subtotal		\$15,683		\$11,175		\$11,100		\$12,513		\$1,413		(\$3,170)
										12.7%		(20.2%)
<b>Infrastructure operations</b>												
Information technology		\$56,589		\$49,873		\$45,836		\$48,322		2,486		(8,267)
										5.4%		(14.6%)
Administrative services		51,698		42,371		40,594		39,967		(627)		(11,731)
										(1.5%)		(22.7%)
Knowledge services		9,001		8,298		7,620		7,620				(1,381)
												(15.3%)
Subtotal		\$117,288		\$100,542		\$94,050		\$95,909		\$1,859		(\$21,379)
										2.0%		(18.2%)
<b>Recovery Act oversight</b>	131	\$20,804									(131)	(\$20,804)
												(100.0%)
<b>Troubled Asset Relief Program</b>	40	\$7,094	20	\$3,684	18	\$5,244			(18)	(\$5,244)	(40)	(\$7,094)
									(100%)	(100%)	(100%)	(100%)
Due to rounding		3		1		1				(\$1)		
<b>Total budget authority</b>	3,347	\$599,235	3,212	\$567,754	3,000	\$541,577	3,046	\$555,268	46	\$13,691	(301)	(\$43,967)
									1.5%	2.5%	(9.0%)	(7.3%)

Additional information can be found on pages B-5 - B-10 of this section and in sections C, D and E.

## Schedule B

**Government Accountability Office  
Resource Summary  
Analysis of Changes by Program**

(Dollars in thousands)

Program	Fiscal year 2012 estimate	Fiscal year 2013 changes				Fiscal year 2013 request
		Pay related	Price level	Program change	Total net change	
Human capital	\$431,182	\$31,258	\$35	(\$15,629)	15,664	\$446,846
Engagement support	11,100		463	950	1,413	\$12,513
Infrastructure operations	94,050		3,861	(2,003)	1,859	\$95,909
Trouble Asset Relief Program	5,244			(5,244)	(5,244)	
Due to rounding	1		1		1	
<b>Total budget authority</b>	<b>\$541,577</b>	<b>\$31,258</b>	<b>\$4,360</b>	<b>(\$21,926)</b>	<b>\$13,693</b>	<b>\$555,268</b>
Reimbursements	(7,977)			3,260	3,260	(4,717)
Offsetting collections	(22,304)			(2,014)	(2,014)	(24,318)
<b>Salaries and expenses appropriation</b>	<b>\$511,296</b>	<b>\$31,258</b>	<b>\$4,360</b>	<b>(\$20,680)</b>	<b>\$14,939</b>	<b>\$526,233</b>

Totals may not add due to rounding.

Additional information can be found on pages B-4 - B-10 of this section and in the Human Capital Engagement Support, and Infrastructure Operations sections.

Schedule B-1

**Government Accountability Office**  
**Resource Summary**  
**Detailed Analysis of Changes by Program**  
(Dollars in thousands)

Program	Fiscal year 2012 estimate	Fiscal year 2013 changes				Fiscal year 2013 request
		Pay related	Price level	Program change	Total net change	
<b>Human capital</b>						
Salaries and benefits	\$419,220	\$30,342		(18,675)	\$11,667	\$430,887
Recruitment and retention	3,724	683	22	\$3,089	3,794	7,518
Training and development	3,814		14	256	270	4,083
Other compensation	4,424	233		(299)	(66)	4,358
Due to rounding			(1)		(1)	
<b>Subtotal</b>	<b>\$431,182</b>	<b>\$31,258</b>	<b>\$35</b>	<b>(\$15,629)</b>	<b>\$15,664</b>	<b>\$446,846</b>
<b>Engagement support</b>						
Travel	9,000		463		463	9,463
Specialized data and expertise	2,100			950	950	3,050
<b>Subtotal</b>	<b>\$11,100</b>		<b>\$463</b>	<b>\$950</b>	<b>\$1,413</b>	<b>\$12,513</b>
<b>Infrastructure operations</b>						
Information technology	45,836		2,636	(150)	2,486	48,322
Administrative services	40,594		1,060	(1,687)	(627)	39,967
Knowledge services	7,620		165	(165)		7,620
Due to rounding				(1)		
<b>Subtotal</b>	<b>\$94,050</b>		<b>\$3,861</b>	<b>(\$2,003)</b>	<b>\$1,859</b>	<b>\$95,909</b>
<b>Trouble Asset Relief Program</b>	<b>5,244</b>			<b>(\$5,244)</b>	<b>(\$5,244)</b>	
Due to rounding	1		1		1	
<b>Total budget authority</b>	<b>\$541,577</b>	<b>\$31,258</b>	<b>\$4,360</b>	<b>(\$21,926)</b>	<b>\$13,693</b>	<b>\$555,268</b>
Reimbursements	(7,977)			3,260	3,260	(4,717)
Offsetting collections	(22,304)			(2,014)	(2,014)	(24,318)
<b>Salaries and expenses appropriation</b>	<b>\$511,296</b>	<b>\$31,258</b>	<b>\$4,360</b>	<b>(\$20,680)</b>	<b>\$14,939</b>	<b>\$526,233</b>

Totals may not add due to rounding.

Additional information can be found on pages B-5 - B-10 of this section and in the Human Capital, Engagement Support, and the Infrastructure Operations sections.

## Explanation of Change by Program

### Pay-Related Increases

Our fiscal year 2013 budget request includes \$31.3 million to cover mandatory pay-related costs, including the January 2013 pay raise based on guidance from CBO and the LBFMC, performance based pay increases in lieu of executive branch within-grade increases, hiring to restore our capacity to 3,100 staff, increases in employer benefits contributions, cost increases imposed by the Department of Labor (DOL), and separation costs.

**Table 1a: Supplemental Data on Pay-Related Increases**  
(Dollars in thousands)

Program	Amount of change
1. Salaries and benefits	
1a. Civilian pay raise	\$5,333
1b. Annualization of benefits	1,340
1c. Extra day	1,651
1d. Performance based merit increases	1,818
1e. Hiring	20,079
1f. Promotions	121
2. Other compensation	233
3. Performance based merit increases (bonus)	683
<b>Total pay-related increases</b>	<b>\$31,258</b>

### Explanation of Changes

- 1a. Funds the cost of the anticipated January 2013 civilian pay raise at 1.7 percent based on guidance from CBO and the LBFMC. The GAO Act of 2008 requires GAO to provide employees who are meeting expectations an annual increase in base salary that is equal to the General Schedule increase for their particular locality.
- 1b. Funds increases in employer benefits due to an increase in the contribution rate for staff under the Federal Employees Retirement System (FERS), increases in health benefits costs, and an increase in the social security tax base.
- 1c. Funds the cost of one additional compensable day in fiscal year 2013.
- 1d. Funds the cost of performance based merit increases in lieu of executive branch General Schedule-equivalent within-grade increases for staff covered under the banded pay systems.

- 
- 1e. Funds the cost to implement our workforce plan to hire 305 permanent staff to fill vacancies resulting from retirements and attrition.
  - 1f. Funds the cost of competitive staff promotions to ensure that we have staff at the appropriate levels who can assume positions of more responsibility.
  2. Funds the cost of annual rate adjustments and cost of living adjustments for differential pay for staff assigned to overseas posts and employees who work more than 80 hours per pay period, retirement annuity for a former Comptroller General, and unused annual leave and compensatory time to departing staff.
  3. Funds the cost of performance-based merit increases in lieu of executive branch General Schedule—equivalent within-grade increases for staff covered under the banded pay systems whose base salary cannot be increased.

### Price-Level Increases

Our fiscal year 2013 budget request includes about \$4.4 million to maintain purchasing power, sustain fiscal year 2012 operating levels, and cover projected inflationary increases in common carrier transportation costs, travel per-diem rates, training and development, and other essential mission support services, such as information technology, administrative services, and knowledge services. Where appropriate, rates are based on negotiated contracts, vendor notification, or historical trend data. We have also considered guidance from CBO and the LBFMC.

**Table 1b: Supplemental Data on Price-Level Increases**  
(Dollars in thousands)

Program	Amount of change
1. Recruitment and retention	\$22
2. Training and development	14
3. Travel	463
4. Information technology	2,636
5. Administrative services	1,060
6. Knowledge services	165
<b>Total price-level increases</b>	<b>\$4,360</b>

#### Explanation of Changes

1. Funds estimated inflationary price increases for plaques, frames, and tokens of appreciation.
2. Funds expected increases in course delivery costs.
3. Funds inflationary increases for transportation costs and per diem rates.
4. Funds inflationary price increases and negotiated rate adjustments for telecommunications, maintenance and operation of software, hardware, and contract support services.
5. Funds negotiated wage increases for support contracts for facilities management, security services, and other support services, and inflationary increases in the cost of gas, electricity, water and sewage, and other essential services.
6. Funds inflationary price increases in supplies and materials, and mail and messenger services.

### Program Changes

By streamlining our operations, reducing discretionary spending, reducing and deferring investments, and leveraging technology, we have identified opportunities for savings to help manage costs in a constrained budget environment to help us achieve our mission. We are also requesting funds to partially restore essential program funding reduced in prior years.

**Table 1d: Supplemental Data on Program Changes**  
(Dollars in thousands)

Program	Amount of change
1. Salaries and benefits	
1a. Annualization	(\$5,353)
1b. Attrition	(13,322)
2. Recruitment and retention	
2a. Rewards and recognition	1,215
2b. Student loan repayment	2,200
2c. Transit subsidy	(326)
3. Training and development	256
4. Other compensation	(299)
5. Specialized data and expertise	950
6. Information technology	(150)
7. Administrative services	(1,687)
8. Knowledge services	(165)
9. TARP	(5,244)
10. Offsetting collections/reimbursements	1,246
Adjustment for rounding	(1)
<b>Total program changes</b>	<b>(\$20,680)</b>

#### Explanation of Changes

1a. Reflects changes in staff costs due to the timing of fiscal year 2012 pay and staffing actions.

1b. Reflects changes in staff costs due to the retirement or attrition of 190 staff in fiscal year 2013.

2a and 2b. Partially restores funds suspended in prior years to continue to attract, retain and motivate staff.

- 
- 2c. Reflects full year reductions from the fiscal year 2012 reduction in the monthly maximum benefit and expected reductions in commuting costs attributable to expansion of our telework program.
  3. Reflects a reduction in training funds for non-essential conferences and training.
  4. Reduces overtime funds to streamline costs.
  5. Restores funds eliminated in prior years for contract support to obtain specialized data and critical expertise when not available within GAO or when needed within compressed timeframes that help our staff address the wide array of challenges facing the Congress.
  6. Reflects a net reduction in contract costs for recognizing new activities, including the cost to upgrade laptops to ensure we remain on par with other federal entities, and reductions due to completion of projects and scaling back in areas to help manage costs.
  7. Reduction in contract costs due to completion of tasks, such as building maintenance activities and energy saving initiatives and reduction in field office lease costs as we reduce our physical foot print.
  8. Reflects a reduction in library support services contract support beginning in fiscal year 2012 and cost savings from implementing more efficient, online mail technology.
  9. Reflects a reduction to exclude TARP as a separate line item. Beginning in fiscal year 2013, TARP is being included in the base amount.
  10. Reflects an increase in reimbursements from rental income and program and financial audits.

Schedule A-2

**Government Accountability Office  
Resource Summary  
by Object Classification**

(Dollars in thousands)

Object Classification	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Net change fiscal year 2012/2013	Cumulative change fiscal year 2010/2013
11.1 Full-time permanent staff	\$334,255	\$333,666	\$321,244	\$319,411	(0.6%)	(4.4%)
11.3 Other than full-time permanent staff	23,588	15,407	15,556	20,557	32.1%	(12.8%)
11.5 Other personnel compensation	2,694	2,640	1,455	2,403	65.2%	(10.8%)
12.1 Civilian personnel benefits	98,044	99,142	94,020	100,050	6.4%	2.0%
13.0 Benefits for former personnel	410	1,366	337	342	1.5%	(16.6%)
<b>Total pay-related</b>	<b>\$458,991</b>	<b>\$452,221</b>	<b>\$432,612</b>	<b>\$442,763</b>	<b>2.3%</b>	<b>(3.5%)</b>
21.0 Travel and transportation of persons	\$13,826	\$8,710	\$9,084	\$9,553	5.2%	(30.9%)
22.0 Transportation of things	22					(100.0%)
23.1 Rental payments to GSA	8,272	8,831	9,059	7,292	(19.5%)	(11.8%)
23.2 Rental payments to others	61	32	13	20	53.8%	(67.2%)
23.3 Communications, utilities, and misc. charges	9,744	8,298	8,008	8,322	3.9%	(14.6%)
24.0 Printing and reproduction	735	195	155	146	(5.8%)	(80.1%)
25.1 Advisory and assistance services	4,657	2,791	3,801	4,072	7.1%	(12.6%)
25.2 Other services	24,041	18,700	16,731	18,197	8.8%	(24.3%)
25.3 Goods and services from government accounts	629	688	793	578	(27.1%)	(8.1%)
25.4 Operation and maintenance of facilities	11,273	9,748	10,433	10,732	2.9%	(4.8%)
25.7 Operation and maintenance of equipment	44,509	44,471	41,452	42,368	2.2%	(4.8%)
26.0 Supplies and materials	1,790	1,436	1,495	1,523	1.9%	(14.9%)
31.0 Equipment	13,706	5,300	4,553	6,165	35.4%	(55.0%)
32.0 Land and structures	6,969	6,243	3,378	3,527	4.4%	(49.4%)
42.0 Insurance claims and indemnities	10	58	10	10		
60.0 Reserves		34				
<b>Total non pay-related</b>	<b>\$140,244</b>	<b>\$115,535</b>	<b>\$108,965</b>	<b>\$112,505</b>	<b>3.2%</b>	<b>(19.8%)</b>
Due to rounding		(2)				
<b>Total budget authority</b>	<b>\$599,235</b>	<b>\$567,754</b>	<b>\$541,577</b>	<b>\$555,268</b>	<b>2.5%</b>	<b>(7.3%)</b>
Non-legislative branch appropriations	(21,804)					(100.0%)
Reimbursements	(10,214)	(6,648)	(7,977)	(4,717)	(40.9%)	(53.8%)
Offsetting collections	(10,892)	(15,031)	(22,304)	(24,318)	9.0%	123.3%
<b>Salaries and expenses appropriation</b>	<b>\$556,325</b>	<b>\$548,075</b>	<b>\$511,296</b>	<b>\$526,233</b>	<b>2.9%</b>	<b>(5.4%)</b>

Totals may not add due to rounding.

Schedule B-2

**Government Accountability Office  
Resource Summary  
Analysis of Changes by Object Classification**

(Dollars in thousands)

Object classification	Fiscal year 2012 estimate	Fiscal year 2013 changes				Fiscal year 2013 request
		Pay related	Price level	Program change	Total net change	
11.1 Full-time permanent staff	\$321,244	\$18,741		(\$20,575)	(\$1,834)	\$319,411
11.3 Other than full-time permanent staff	15,556	5,383		(382)	5,001	20,557
11.5 Other personnel compensation	1,455	11	22	916	948	2,403
12.1 Civilian personnel benefits	94,020	7,118		(1,088)	6,030	100,050
13.0 Benefits for former personnel	337	5			5	342
<b>Total pay-related</b>	<b>\$432,612</b>	<b>\$31,258</b>	<b>\$22</b>	<b>(\$21,129)</b>	<b>\$10,150</b>	<b>\$442,763</b>
21.0 Travel and transportation of persons	9,084		465	4	469	9,553
23.1 Rental payments to GSA	9,059		234	(2,000)	(1,767)	7,292
23.2 Rental payments to others	13			7	7	20
23.3 Comm., utilities, and misc. charges	8,008		314		314	8,322
24.0 Printing and reproduction	155			(10)	(9)	146
25.1 Advisory and assistance services	3,801		16	256	271	4,072
25.2 Other services	16,731		373	1,092	1,466	18,197
25.3 Goods and services from gov't accounts	793			(215)	(215)	578
25.4 Operation and maintenance of facilities	10,433		299		299	10,732
25.7 Operation and maintenance of equipment	41,452		2,590	(1,673)	916	42,368
26.0 Supplies and materials	1,495		1	28	28	1,523
31.0 Equipment	4,553		46	1,566	1,612	6,165
32.0 Land and structures	3,378			149	149	3,527
42.0 Insurance claims and indemnities	10					10
<b>Total non pay-related</b>	<b>\$108,965</b>		<b>\$4,338</b>	<b>(\$796)</b>	<b>\$3,540</b>	<b>\$112,505</b>
Due to rounding				(1)	2	
<b>Total budget authority</b>	<b>\$541,577</b>	<b>\$31,258</b>	<b>\$4,360</b>	<b>(\$21,926)</b>	<b>\$13,692</b>	<b>\$555,268</b>
Reimbursements	(7,977)			3,260	3,260	(4,717)
Offsetting collections	(22,304)			(2,014)	(2,014)	(24,318)
<b>Salaries and expenses appropriation</b>	<b>\$511,296</b>	<b>\$31,258</b>	<b>\$4,360</b>	<b>(\$20,680)</b>	<b>\$14,938</b>	<b>\$526,233</b>

Totals may not add due to rounding.

Schedule C

**Government Accountability Office**  
**Detail Analysis of Changes by Object Classification**  
**Fiscal Year 2012 to 2013**  
(Dollars in thousands)

	FTEs	Amount
<b>Fiscal year 2012 budget authority</b>	<b>3,000</b>	<b>\$541,577</b>
Adjustments to base		
<b>A. Pay-related costs</b>	<b>46</b>	
1. Full-time permanent staff		18,741
2. Other than full-time permanent staff		5,383
3. Other personnel compensation		10
4. Civilian personnel benefits		7,118
5. Benefits for former personnel		5
Due to rounding		1
		<u>\$31,258</u>
<b>B. Price level costs</b>		
1. Other personnel compensation		22
2. Travel and transportation of persons		465
3. Rental payments to GSA		234
4. Communications, utilities, and miscellaneous charges		314
5. Advisory and assistance services		16
6. Other services		373
7. Operation and maintenance of facilities		299
8. Operation and maintenance of equipment		2,590
9. Supplies and materials		1
10. Equipment		46
		<u>\$4,360</u>
<b>C. Program changes</b>		
1. Full-time permanent staff		(20,575)
2. Other than full-time permanent staff		(382)
3. Other personnel compensation		916
4. Civilian personnel benefits		(1,088)
5. Travel and transportation of persons		4
6. Rental payments to GSA		(2,000)
7. Rental payments to others		8
8. Printing and reproduction		(10)
9. Advisory and assistance services		256
10. Other services		1,092
11. Goods and services from government accounts		(215)
12. Operation and maintenance of equipment		(1,673)
13. Supplies and materials		28
14. Equipment		1,566
15. Lands and structures		149
Due to rounding		(2)
		<u>(\$21,926)</u>
Due to rounding		3
Total changes to base	46	13,695
<b>Fiscal year 2013 budget authority</b>	<b>3,046</b>	<b>\$555,268</b>
Less reimbursements		(4,717)
Less offsetting collections		(24,318)
<b>Salaries and expenses appropriation</b>	<b>3,046</b>	<b>\$526,233</b>

Totals may not add due to rounding.

## Human Capital

GAO's workforce is by far the agency's greatest asset. To continue achieving a high level of performance, it is critical that GAO increase its staff capacity, invest in its employees, and provide them with the necessary benefits, and developmental and leadership experiences for professional growth. With modern human capital policies, programs, and practices, GAO is recognized as one of the best places to work in the private and public sectors in Washington, D.C. and has successfully attracted and retained a talented, multidisciplinary, diverse, high-performing knowledge-based workforce whose services are in continuous high demand by the Congress. Our human capital efforts align with our Strategic Plan and focus on attracting, retaining, motivating, and rewarding a results-oriented workforce while being fiscally responsible.

It is imperative that we begin to replenish our workforce to both replace departing staff and add more highly talented staff, and provide the benefits and tools needed to maintain a highly productive workforce. Our fiscal year 2013 budget request provides the funds to begin restoring our staff capacity to the level we believe is necessary to sufficiently meet

the highest priority needs of the Congress and produce results to help the federal government deal effectively with its serious fiscal challenges. Given the size of the federal budget and the multiyear actions needed to address the seriousness of the government's fiscal condition, investing resources to restore some of our staff capacity would be both prudent and wise to ensure our ability to optimize the benefits we yield for the Congress and the nation.

GAO's human capital costs consist of the following components:

- salaries and benefits,
- recruitment and retention,
- training and development, and
- other compensation.

Table 1 provides a summary of these components which are discussed in the following sections.

**Table 1: Detail Budgetary Resources—Human Capital**  
(Dollars in thousands)

Program	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Net change fiscal year 2012/2013	Cumulative change fiscal year 2010/2013
Salaries and benefits	\$420,587	\$435,360	\$419,220	\$430,887	2.8%	2.4%
Recruitment and retention	9,188	7,882	3,724	7,518	101.9%	(18.2%)
Training and development	4,665	2,788	3,814	4,083	7.1%	(12.5%)
Other compensation	3,923	6,321	4,424	4,358	(1.5%)	11.1%
Adjustment for rounding		1				
<b>Total human capital</b>	<b>\$438,363</b>	<b>\$452,352</b>	<b>\$431,182</b>	<b>\$446,846</b>	<b>3.6%</b>	<b>1.9%</b>

Our fiscal year 2013 budget request for these programs of \$446.8 million represents an increase of 3.6 percent over fiscal year 2012, and a cumulative increase of \$8.5 million or 1.9 percent above fiscal year 2010.

As a knowledge-based organization, human capital costs represent about 81 percent of our total costs.

## Salaries and Benefits

The Salaries and Benefits Program includes funding for base salaries and other payments that are part of employees' personal compensation. Also included are funds for employer contributions to employee benefit plans, including health benefits, life insurance, the Civil Service Retirement

System (CSRS), the Federal Employees' Retirement System (FERS), the Thrift Savings Plan, the Social Security trust fund, and recruitment and retention incentive payments. Salary and benefits costs have been developed consistent with guidance from the Appropriations Committees and the LBFMC.

Table 2 summarizes our staffing profile and resources for fiscal years 2010-2013.

**Table 2: Detail Budgetary Resources—Salaries and Benefits**  
(Dollars in thousands)

	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Net change fiscal year 2012/2013	Cumulative change fiscal year 2010/2013
Number of staff on board at year end	3,350	3,134	2,985	3,100	3.9%	(7.5%)
Number of full-time equivalents (FTEs)	3,347	3,212	3,000	3,046	1.5%	(9.1%)
<b>Salaries and benefits cost</b>	<b>\$420,587</b>	<b>\$435,360</b>	<b>\$419,220</b>	<b>\$430,887</b>	<b>2.8%</b>	<b>2.4%</b>

Our fiscal year 2013 budget request includes funds to rebuild our capacity to 3,100 staff—equivalent to 3,046 FTEs—a level that would help ensure that we can continue to provide insightful analyses on the most important priorities for congressional oversight. As shown in Table 2, GAO's on-board staff level and FTEs will rise from fiscal year 2012 to 2013 as we replace critical staff losses and start our rebuilding process. This will be a first step in ultimately achieving our target FTE level of 3,250.

Since fiscal year 2010, we have limited hiring to replace only critical positions which left unfilled would place GAO operations at risk. In fiscal year 2011, we also offered voluntary early retirement and separation incentive opportunities to help reduce our staffing level. As a result, our staffing level at the end of fiscal year 2012 will be about 365 staff or 11 percent below our level at the end of fiscal year 2010. We project losing an additional 190 staff in fiscal year 2013. This unfortunate, but unavoidable, staffing

retrenchment has negatively affected our staffing level, and resulted in not replacing departing staff and addressing succession planning challenges and skill gaps. Further reductions in our staffing level would adversely impact our ability to provide timely, insightful analyses on congressional priorities and challenges facing the nation and reduce the number of requests that we could complete and greatly impact our ability to identify savings to help government deal with its fiscal challenges. Even after achieving a staff level of 3,100 in fiscal year 2013, GAO will still be at its smallest staff size, other than fiscal year 2012, in more than 75 years.

The requested funding increase of \$11,667 million covers the cost of one extra day, the January 2013 pay raise based on guidance from CBO and the LBFMC, performance-based pay equivalent to executive-branch within-in grade increases, hiring to replace staff losses resulting from attrition, and a modest amount to promote staff to positions

of higher responsibility to maintain the proper mix of skills and meet succession planning needs. These costs are offset by savings from projected fiscal year 2013 attrition and

annualization of fiscal year 2012 workforce activity and pay actions. These activities are summarized in Table 3 and discussed below.

**Table 3: Summary of Requested Changes**  
(Dollars in thousands)

Activity	Amount
Extra day	\$1,651
Civilian pay raise	5,333
Performance-based merit increases	1,818
Hiring and attrition	3,153
Promotions	121
Annualization	(409)
<b>Total</b>	<b>\$11,667</b>

#### Extra day

Our budget request includes \$1.651 million to cover one additional compensable day in fiscal year 2013.

#### Civilian pay raise

Our budget request includes \$5.333 million to cover the anticipated January 2013 civilian pay raise of 1.7 percent based on guidance from CBO and the LBFMC. The GAO Act of 2008 requires GAO to provide employees who are meeting expectations an annual increase in base salary that is equal to the General Schedule increase for their particular locality.

#### Performance-based merit increases

Our budget request includes \$1.818 million to cover the cost of performance-based merit salary increases provided to employees covered under our banded pay system in lieu of executive-branch within-grade increases. In fiscal year 2012, we reduced funding for this program by 50 percent. Our fiscal year 2013 budget request is based on historical data on the percentage of staff receiving such increases and partially restores

reductions taken in fiscal year 2012.

Annually, the Comptroller General negotiates with the GAO Employees' Organization IFPTE, Local 1921, to determine the percent and amount of the increase based on a number of factors, including available funding. Performance-based merit increases to employees whose annual salary are capped and cannot be increased are discussed in the Recruitment and Retention section.

#### Hiring and attrition

Our budget request reflects a net increase of \$3.153 million, which includes \$16,475 million for hiring which is offset by \$13,322 million from attrition of departing staff. Our workforce plan projects that we will lose 190 staff and hire 305 permanent staff to replace these losses and restore our staff capacity to 3,100 staff by the end of fiscal year 2013.

Our workforce plan assumes hiring primarily entry level staff and critical replacement hires of positions that are essential to GAO's operations throughout fiscal year 2013. These staff are essential to help ensure our

ability to respond in a timely manner to congressional requests and workload demands, achieve the goals and objectives outlined in our strategic plan, meet succession-planning needs by developing our workforce to replace the knowledge and skills of expected retirements of more senior staff, and maintain the proper mix of skills and experience levels. Our estimated staff attrition is based on historical trends and key data, such as retirement eligibility.

Also included is funding to reestablish our intern program which provides an opportunity for both GAO management and interns to assess performance. Our intern program has been a successful tool for attracting entry level staff.

#### **Promotions**

Our budget request includes a modest \$121,000 to cover the cost to competitively promote staff to positions of more responsibility. Our estimate is based on our proposed workforce plan which reflects the number and level of promotions needed to maintain the proper mix of skills and experience levels and meet succession-planning needs. Our request is lower than in prior years and has been constrained to help lower our operating costs.

#### **Annualization**

Our budget request reflects a reduction of \$409,000 for the full-year (annualized) cost of fiscal year 2012 hiring and pay adjustments, and savings from staff losses due to attrition. The estimate also includes anticipated rate increases in health benefits programs and retirement programs for FERS staff.

## Recruitment and Retention

GAO's focus and priority continues to be on sustaining a diverse professional services organization that attracts, hires, retains, and rewards a highly skilled, high-performing workforce. To do this, GAO has implemented a wide range of work-life employee benefits that help us both attract and retain high-quality staff.

GAO's total compensation package provides both monetary and nonmonetary benefits to staff. In addition to salary, benefits, and leave, GAO's total compensation package includes options for

- performance-based merit increases,
- training and development,
- maxi-flex work schedules,
- telework,
- awards and recognition,

- transit benefits,
- counseling,
- student loan repayments,
- wellness and fitness center, and
- childcare (limited availability).

Due to the high skill and education levels of most GAO staff, other agencies, particularly Inspectors General offices and public accounting firms target GAO as a recruitment source. Having these retention tools at our disposal is an important factor in our ability to compete in the marketplace with other agencies, nonprofit institutions, and private sector firms to attract and retain our high-performing employees.

Table 4 provides a summary of our recruitment and retention programs for fiscal years 2010-2013.

**Table 4: Detail Budgetary Resources—Recruitment and Retention**  
(Dollars in thousands)

Program	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Net change fiscal year 2012/2013	Cumulative change fiscal year 2010/2013
Rewards and recognition	\$2,245	\$2,076	\$617	\$1,854	200.5%	(17.5%)
Student loan repayment	3,136	1,731	0	2,200	100%	(29.8%)
Performance-based merit increases	1,116	1,215	700	1,383	97.6%	23.9%
Transit benefit	2,691	2,860	2,408	2,081	(13.6%)	(22.7%)
<b>Total recruitment and retention</b>	<b>\$9,188</b>	<b>\$7,882</b>	<b>\$3,724</b>	<b>\$7,518</b>	<b>101.9%</b>	<b>(18.2%)</b>

Our fiscal year 2013 budget request of \$7.5 million includes funds to partially restore reductions made in prior years to help enable GAO to operate in a constrained environment. Even after partially restoring the requested funds, funding for this program remains at 18.2 percent below the fiscal year 2010 level.

### Rewards and Recognition Program

The Rewards and Recognition Program recognizes, compensates, and rewards GAO employees for their outstanding contributions toward achieving the agency's mission to support the Congress and the American people. Due to funding constraints in fiscal years 2011 and 2012, we reduced funding below the fiscal year 2010 level. Our fiscal

year 2013 request seeks to partially restore essential funding eliminated due to budget constraints. These tools are essential to attract potential recruits and recognize, motivate, and retain our uniquely skilled, high-performing workforce to maintain adequate levels at each position and fulfill our succession planning needs.

#### **Student Loan Repayment Program**

The Student Loan Repayment Program is an important recruiting and retention tool that facilitates GAO's ability to attract and retain a high-performing workforce. Although available to all GAO staff, the program also targets staff in specialized and hard-to-fill positions. Staff who participate in the program receive the benefit in exchange for a 3-year employment commitment to remain at GAO.

Despite the value of the program and the rising cost of student loan debt, in fiscal year 2011 we reduced program funding by 45 percent from \$3.1 million to \$1.7 million. In fiscal year 2012, we suspended the program to help enable GAO to manage funds in a constrained budget environment. For fiscal year 2013, we plan to partially restore funding for this valuable program.

Since fiscal year 2002, the Student Loan Repayment Program has experienced an average annual participant growth rate of approximately 35 percent. In fiscal year 2011, we made repayments for 536 employees, with staff in general positions receiving \$3,100 and staff in critical hard-to-fill positions receiving \$4,800.

#### **Performance based Merit Increases**

Our budget request includes \$1.383 million to cover the cost of performance-based merit increases provided to staff covered under our banded pay system in lieu of executive-branch General Schedule equivalent within-grade increases. This portion of performance-based merit pay is provided as a cash bonus in lieu of adjusting base salary, to employees whose salary level exceeds the competitive level for their position.

Performance-based merit increases which affect base pay are discussed in the Salaries and Benefits section.

In fiscal year 2012, we reduced funding for this program by 42 percent due to budget constraints. Our fiscal year 2013 budget request provides funding to partially restore this funding. Our estimate is based on the percentage of staff receiving such increases. Annually, the Comptroller General negotiates with the IFPTE to determine the percent and amount of the increase based on a number of factors, including available funding.

#### **Transit Benefit Program**

The Transit Benefit Program was established to encourage commuters to use public transportation in an effort to reduce congestion and pollution in American cities. This popular program provides tax-free public transit benefits to 1,925 GAO headquarters and field employees.

The maximum monthly benefit of \$230 expired on December 31, 2011, and was reduced to \$125. Our fiscal year 2012 estimate reflects a reduction of \$452,000 due to the reduced monthly benefit, lower staffing levels, and lower commuting costs resulting from our pilot program. Fiscal year 2013 estimates reflect the full year reduction of the lower monthly maximum benefit and expansion of our new telework approach to additional GAO locations.

GAO currently uses the Department of Transportation (DOT) to manage and distribute media for GAO's field-offices. Effective July 2011, GAO began administering its own SmartBenefits program for headquarters' staff via Metro's web-based program in lieu of DOT which has improved program administration and saved approximately \$80,000 in fiscal year 2011 administrative fees. We have also improved internal controls and increased employee awareness of program regulations.

Effective October 1, 2011, Metro upgraded its SmartBenefits program to separately track transit benefits, parking, and personal funds which prevents commingling of personal and

government funds and allows agencies to receive credit for unused benefits.

## Training and Development

The Training and Development Program is critical to ensuring continued growth of our highly skilled workforce. In addition to external training opportunities, GAO's Learning Center provides basic and advanced skills training that reduces the time

staff need to become proficient at each stage of their career. Drawing on volunteer adjunct faculty from across the agency, as well as a few external experts, GAO training strengthens core competencies for staff in all of our career categories.

**Table 5: Detail Budgetary Resources—Training and Development**  
(Dollars in thousands)

Program	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Net change fiscal year 2012/2013	Cumulative change fiscal year 2010/2013
Total training and development	\$4,665	\$2,788	\$3,814	\$4,083	7.1%	(12.5%)

The fiscal year 2013 funding level for this program represents a 7.1 percent increase from fiscal year 2012, but also represents a cumulative reduction of 12.5 percent from fiscal year 2010.

Our fiscal year 2013 budget request provides funds to

- expand our leadership pipeline through new curricula and enhance staff capacity;
- ensure staff meet continuing professional education requirements (80 hours every two years), certifications, and generally accepted government auditing standards requirements to effectively conduct congressional engagements; and
- provide staff developmental skills needed to meet succession planning needs.

In fiscal year 2011, we

- provided training on diversity and effective feedback, saving about \$1.5 million in training and travel costs by developing the diversity course internally and using GAO's adjunct faculty to facilitate these sessions;

- designed and implemented training for managers on telework and collective bargaining agreement policies;
- redesigned our courses on writing, mentoring, and data reliability;
- enhanced internal learning resources through collaboration, such as developing a Community of Practice on Evaluating Federal Agency Training; and
- conducted mandatory training on changes to the government auditing standards.

In fiscal years 2012 and 2013 we plan to:

- complete core analytic learning needs assessment;
- develop and implement the next phase of diversity training;
- continue migrating learning content from the physical to the virtual classroom and training adjunct faculty to teach in a virtual environment to expand the accessibility of on demand training and more efficiently use limited resources;
- update course offerings to address customer demands, such as

- expanding the writing curriculum to include courses for communications and visual graphics analysts,
- developing new courses for supervisors regarding preventing sexual harassment and providing reasonable accommodation, and
- providing training on telework policies and strategies for working together effectively at a distance;
- provide teambuilding support and continue to encourage and support peer-to-peer learning and knowledge sharing between and among audit teams and mission support activities; and
- continue to explore alternatives for learning, talent management and career development across GAO.

## Other Compensation

Other compensation provides funding for mandatory, uncontrollable costs, including separation payments to departing staff, reimbursement to the Department of Labor

(DOL) for unemployment compensation and workers' compensation, and differential pay to eligible staff.

**Table 6: Detail Budgetary Resources—Other Compensation**  
(Dollars in thousands)

Program	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Net change fiscal year 2012/2013	Cumulative change fiscal year 2010/2013
Separation payments	\$2,202	\$4,516	\$2,553	\$2,662	4.3%	20.9%
Workers' compensation	1,209	1,271	1,033	1,146	10.9%	(5.2%)
Differential pay	428	534	838	550	(34%)	28.5%
Relocations	84					
<b>Total other compensation</b>	<b>\$3,923</b>	<b>\$6,321</b>	<b>\$4,424</b>	<b>\$4,358</b>	<b>(1.5%)</b>	<b>11.1%</b>

The fiscal year 2013 funding level for this program represents a 1.5 percent reduction below fiscal year 2012 primarily due to a reduction in differential pay.

### Separation Payments

Provides funds to (1) reimburse DOL for unemployment compensation paid to former employees; (2) pay separating employees who leave the federal service or transfer to a noncompatible leave system in the judicial or legislative-branches for unused compensatory time, annual leave, and credit hours; (3) cover the annuity of a retired Comptroller General; and (4) cover voluntary separation incentive payments.

The requested increase of \$109,000 covers annual rate adjustments for payments of unused leave due to changes in salary rates and retirement annuities based on data from OPM.

In fiscal year 2011, 42 staff separated from GAO after accepting voluntary retirement and/or voluntary incentive payments.

### Workers' Compensation

Provides funds to reimburse DOL for payments to employees injured in the workplace and their survivors. The requested funding level is based on data from DOL.

### Differential Pay

Provides funds to cover the cost of differential pay for employees who (1) work more than 80 hours per pay period, (2) are entitled to differential pay, or (3) earn premium pay for duty in hazardous locations. The increased funding in fiscal year 2012 covers annual rate adjustments due to changes in salary rates and supports an increased staff presence in Afghanistan to support congressional requests and mandates. The reduction in fiscal year 2013 funding is due to planned reductions in employee overtime costs to help enable GAO to manage costs in this constrained environment.

## Engagement Support

GAO's Engagement Support Programs ensure GAO is able to effectively achieve its mission through travel necessary to conduct first-hand interviews and fieldwork

domestically and internationally, as well as through

**Table 1: Detail Budgetary Resources—Engagement Support**  
(Dollars in thousands)

Program	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Net change fiscal year 2012/2013	Cumulative change fiscal year 2010/2013
Travel	\$12,768	\$8,650	\$9,000	\$9,463	5.1%	(25.9%)
Specialized data and expertise	2,915	2,526	2,100	3,050	45.2%	4.6%
Adjustment for rounding		(1)				
<b>Total engagement support</b>	<b>\$15,683</b>	<b>\$11,175</b>	<b>\$11,100</b>	<b>\$12,513</b>	<b>12.7%</b>	<b>(20.2%)</b>

The fiscal year 2013 funding level of \$12.5 million provides a 12.7 percent increase from the prior year level. The increase in travel is primarily needed to cover uncontrollable, inflationary cost increases. The increase in specialized data and expertise is needed to restore funding that had been eliminated in the previous year due to cost cutting requirements, but that represents an integral part of our ability to meet the needs of Congress with our comprehensive engagements. Moreover, despite this request for an increase from fiscal year 2012, our funding for this program represents a cumulative decrease of \$3.2 million or 20.2 percent from fiscal year 2010.

These programs are discussed more in the following sections.

## Travel

Conducting original research through on-site visits, both domestic and international, is a fundamental way that GAO delivers value to the Congress and separates GAO products from other research agencies. This capability enables GAO staff to (1) obtain a broad base of evidence through access to

sufficiently granular data, (2) interview agency, state and local government, and other officials closest to the implementation of federal programs and activities or the monitoring of federal grants and other spending on federally regulated areas, and (3) obtain the most valid data to ensure information is reliable and accurate.

**Table 2: Detail Budgetary Resources—Travel**  
(Dollars in thousands)

Program	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Net change fiscal year 2012/2013	Cumulative change fiscal year 2010/2013
<b>Total travel</b>	<b>\$12,768</b>	<b>\$8,650</b>	<b>\$9,000</b>	<b>\$9,463</b>	<b>5.1%</b>	<b>(25.9%)</b>

Since the beginning of fiscal year 2012, GAO has had a field presence in support of our work in Afghanistan and Pakistan. This effort reflects increased U.S. resources being directed toward the region and will facilitate our ability to support the Congress on key issues concerning the implementation of U.S. strategy in Afghanistan and Pakistan and respond to recent congressional multiyear reporting mandates in the National Defense Authorization Act for Fiscal Year 2010 and the Enhanced Partnership with Pakistan Act of 2009. These mandates require GAO reviews of the assistance strategy for Pakistan as well as the campaign plans for Afghanistan. GAO's in-country presence in Afghanistan is critical in supporting numerous GAO engagements related to issues in the region by providing on-the-ground access to senior military and diplomatic leaders, early intelligence on changing plans and conditions, as well as first hand observations regarding conditions in the field.

Travel is critical to conducting our work; however, in recognition of the current

budget environment our fiscal year 2013 budget request maintains funding near the fiscal year 2012 level, providing only a modest increase to partially restore funding eliminated in prior years and cover uncontrollable cost increases in transportation and per diem rates. Since fiscal year 2010, we have reduced funding for this program by 25.9 percent. We have accomplished this reduction through operational efficiencies, improved business practices, and leveraging technology. For instance, we have strengthened our guidelines for managing travel costs, including prioritizing the use of travel funds; using technology as an alternative to travel; using field-based staff for short-term work before traveling to a field location and its surrounding areas; reducing transportation costs; and using other cost saving measures. We are also exploring other ways to help reduce travel costs while maintaining the integrity of our work, such as the use of desktop video-conference capability to enhance communication between our headquarters and field-offices in lieu of travel.

## Specialized Data and Expertise

GAO uses contract services in support of audits and evaluations to obtain data and specialized, expert advice and assistance

not readily available from GAO staff or when there is a need for expertise within a compressed time frame.

**Table 3: Detail Budgetary Resources—Specialized Data and Expertise**  
(Dollars in thousands)

Program	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Net change fiscal year 2012/2013	Cumulative change fiscal year 2010/2013
<b>Total specialized data and expertise</b>	<b>\$2,915</b>	<b>\$2,526</b>	<b>\$2,100</b>	<b>\$3,050</b>	<b>45.2%</b>	<b>4.6%</b>

Our fiscal year 2013 budget request includes funds to ensure our ability to obtain specialized data and expertise needed to conduct cost analyses, perform data modeling, and provide expertise when not readily available. The fiscal year 2013 level restores funds eliminated in prior years due to budget constraints and represents a 4.6 percent increase above the fiscal year 2010 funding level.

We expect to continue to rely on external experts and advisors in disciplines related to our work in physical infrastructure, pension simulations, health care, natural resources, economic analyses, and survey assistance.

In fiscal year 2011, we used contract services to obtain data and provide expertise on audit engagements such as

- convening expert panels through the National Academy of Sciences;
- conducting cost, schedule, and risk analyses;
- conducting a peer review of our audit and financial functions;
- providing software and engineering support to conduct simulation models;

- advising on alternative neutron detector technology; and
- obtaining aviation data.

## Infrastructure Operations

GAO's Infrastructure Operations Programs ensure that GAO staff have the tools necessary to perform their mission-critical responsibilities. The costs for these programs cover:

- information technology,
- administrative services, and
- knowledge services.

**Table 1: Detail Budgetary Resources—Infrastructure Operations**  
(Dollars in thousands)

Program	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Net change fiscal year 2012/2013	Cumulative change fiscal year 2010/2013
Information technology	\$56,589	\$49,873	\$45,836	\$48,322	5.4%	(14.6%)
Administrative services	51,698	42,371	40,594	39,967	(1.5%)	(22.7%)
Knowledge services	9,001	8,298	7,620	7,620	0	(15.3%)
<b>Total infrastructure operations</b>	<b>\$117,288</b>	<b>\$100,542</b>	<b>\$94,050</b>	<b>\$95,909</b>	<b>2.0%</b>	<b>(18.2%)</b>

In fiscal year 2013, we are requesting funds to maintain base operations and invest in targeted initiatives to achieve operational efficiencies, improve business practices, and leverage technology to provide the Congress and the American people the best possible return on investment.

The fiscal year 2013 funding level for these programs represents an increase of 2

percent above fiscal year 2012, but also represents a cumulative reduction of 18.2 percent or \$21.4 million below fiscal year 2010. These reductions are a result of GAO's continued commitment to streamline infrastructure operations, while still maintaining a high level of service.

Each infrastructure operations program is discussed in detail below.

## Information Technology (IT)

This program provides for the maintenance, operation, and development of all IT, including telecommunications, software, hardware, systems, and services.

Our IT program's mission is to

- ensure that IT supports GAO's mission, goals, and strategic objectives;
- ensure availability of systems and information that provide a high level of customer service and satisfaction;
- support a collaborative, geographically dispersed, and mobile workforce;
- exercise vigilance in IT security, disaster recovery, and continuity of operations;
- provide modern, reliable tools to help attract and retain highly skilled workers; and
- reduce the total cost of operations and simplify business processes.

**Table 2: Detail Budgetary Resources—Information Technology**  
(Dollars in thousands)

Program	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Net change fiscal year 2012/2013	Cumulative change fiscal year 2010/2013
Total information technology	\$56,589	\$49,873	\$45,836	\$48,322	5.4%	(14.6%)

Our fiscal year 2013 budget request represents a reduction of \$8.3 million or 14.6 percent since fiscal year 2010. We have requested a modest increase of 5.4 percent in fiscal year 2013 to provide funds to partially cover the cost to upgrade our laptops to ensure our technology remains current and is on par with other federal agencies. This effort was postponed in fiscal year 2011 due to budget constraints and by fiscal year 2013 these essential devices will be exceeding the end of their expected service lives. Also, due to GAO's constrained budget environment, we have made difficult decisions resulting in significant reductions in program service levels, and deferral or elimination of key initiatives.

For example, to meet our budgetary challenges while still providing necessary support to GAO's mission, we:

- reduced contract labor support for operations by almost 7 percent below fiscal year 2011 by eliminating positions from a variety of functions and reducing labor hours for applications support and development and telecommunications support;
- cancelled planned initiatives where the return on investment is no longer sufficient to justify the resources;
- eliminated external support for our annual Customer Satisfaction Survey (CSAT) by conducting the survey in-house;
- further reduced research services contracts;
- identified underutilized applications for elimination;

- explored options to implement virtualization and cloud computing which we estimate will reduce operating costs over the long term;
  - implemented use of audio-conferencing capabilities within the existing PBX system instead of paying for these services separately; and
  - planned consolidation of field-office voice mail systems from twelve to two, which will significantly streamline services and reduce costs.
- Initiated a desktop video-conferencing pilot that we expect to save GAO travel costs over the long term;
  - Began efforts to upgrade our desktop application software suite to MS Office 2007 from MS Office 2002 to ensure our desktop capabilities remain on par with the rest of the federal government;

Our IT program architecture focuses on four segments, which are discussed below.

### 1) Engagement and Work Management

This segment focuses on identifying opportunities that will enhance staff efficiency and effectiveness, and streamline our operations. In fiscal year 2011, GAO made progress on several activities including the following, in which we:

- Provided support to the Engagement Streamlining Initiative (ESI) Working Group in which we
  - Deployed 1,800 large screen monitors (or two smaller monitors) to analysts to improve indexing and referencing activities in our report process;
  - Continued the Engagement Management System (EMS) effort to consolidate several legacy applications into a single database, which is essential in our efforts to streamline our mission to better serve the Congress;
  - Completed the User Experience initiative to demonstrate web-based user interface/interaction concepts that will be enabled via the Analyst Digital Workspace (MyGAO);

- Enhanced our internal engagement system to allow necessary access and input flexibility;
- Completed the Financial Audit System (FAS) enhancements that make the system more user friendly, provide additional sorting and hyper linking capabilities, and allow FAS administrators to roll back virtual document approvals;
- Developed a database to support tracking and reporting of Goal 4 accomplishments for GAO's Performance and Accountability Report;
- Completed implementation of taxonomy management software, which improved GAO's in-house research capabilities; and
- Completed an upgrade to the Imaging Center infrastructure.

In fiscal year 2012, we will

- Continue supporting the Business Process Reengineering (BPR) effort to assess GAO's engagement management process. The goal of this BPR is to analyze our complex as-is process; identify areas of inefficiency, duplication and process variability; and recommend specific actions to improve the efficiency of GAO's engagement management process. Pending the results of the BPR, we plan to

- Develop an acquisition strategy and procurement vehicle for acquiring an Enterprise Content Management (ECM) solution to replace our document and records management system; and
  - Determine a schedule for the pilot and agency-wide deployment of the Analyst Digital Workspace.
  - We will also begin to implement recommendations resulting from this analysis.
- Complete agency-wide deployment of MS Office 2007, Internet Explorer 8 for Windows and Acrobat 9;
  - Continue development and deployment of functional increments of the Engagement Management System (EMS) effort that will consolidate several legacy systems/databases into a single solution;
  - Conduct desktop videoconferencing pilot that we expect to save GAO travel costs over the long term;
  - Continue Product Infrastructure Redesign (PIR) Phase 2 effort, including integration with taxonomy management and ESI initiatives;
  - Acquire the eFile for Bid Protest solution to allow individuals/parties to submit bid protests online; and
  - Implement Secure Video-Teleconference.

In fiscal year 2013, we plan to

- Implement recommendations from the BPR analysis;
- Complete the EMS effort;

- Acquire an ECM solution and configure it in a test environment; and
- Complete the Product Infrastructure Redesign (PIR) Phase 2 effort, including integration with taxonomy management and ESI initiatives.

## 2) Human-Capital Management

This segment focuses on IT solutions for improving the efficiency of Human Capital programs through enhanced technologies.

In fiscal year 2011, we

- Completed the webTA enhancement to include a statement for employees to attest to the accuracy of their time and attendance;
- Began agencywide implementation of our human capital management system, HRConnect, which will eliminate redundant systems and enhance our decision-making processes through enhanced analytical capabilities provided by a modern, integrated business intelligence solution;
- Implemented the Employee Relations/Labor Relations (ER/LR) case-tracking solution to improve the efficiency of case processing; and
- Consolidated three Access databases that made up the Counseling Services System to a single Oracle database (with full backup and recovery capabilities), and upgraded it to work with MS Office 2007.

In fiscal years 2012 and 2013 we plan to continue several initiatives that will result in efficiencies and savings:

- Complete the HR Connect Optimization effort;
- Upgrade webTA to Version 4 and revise it to capture telework arrangement types

in response to Telework Reporting Act requirements;

- Retire underutilized legacy applications to reduce operational costs; and
- Update or replace the Competency Based Performance System (CBPS) based on results of the Performance Appraisal Study (PAS).

### 3) Financial Services Segment

This segment concentrates on all aspects of our internal financial management systems.

In fiscal year 2011, we

- Deployed Phase 1 of a tool to enhance workforce planning tracking and reporting capabilities;
- Began the conversion of the Security Clearance Online Tracking System (SCOTS) database from Access to Oracle which improved our employee security clearance monitoring capabilities; and
- Acquired OPM e-Delivery for closed clearance investigations to enhance receipt and tracking of staff clearance and access information.

In fiscal years 2012 and 2013, we plan to

- Enhance the workforce planning tool to automate workforce management activities;
- Complete the conversion of the SCOTS database from Access to Oracle, and provide web-reporting to team security managers;
- Implement OPM e-Delivery for closed clearance investigations;
- Retire Travel Manager which will reduce travel database costs; and

- Document GAO's end-to-end asset management process and upgrade our current asset management system which is no longer supported by the vendor to ensure system availability and adequate internal controls over accountable property.

### 4) Technology Management

The technology management segment focuses on internal operations and overall management of a sound IT infrastructure.

In fiscal year 2011, we

- Implemented Good Technology to provide GAO email, calendar and contacts data to personally owned devices, such as smart phones and tablets;
- Completed the Novell to Microsoft migration to improve overall system operations;
- Began limited deployment of WiFi in GAO headquarters and three field-offices to enable greater access to the Internet and GAO network;
- Upgraded the video-conferencing reservation system to increase usage and reduce travel costs;
- Acquired software and hardware for Phase 1 of our server virtualization effort to reduce costs, reduce the number of servers, and increase availability of services; and
- Deployed a storage area network (SAN) in headquarters and the Alternate Computing Facility, and began deployment in field-offices to improve storage capacity, backup, and recovery facilities.

In fiscal year 2012, we will continue to work on infrastructure upgrades and improvements to further enhance our

operations and reduce operational costs, such as

- Complete Email redesign and upgrade to ensure improved interface between GAO's email and engagement records management system;
- Complete implementation of the Enterprise SAN to improve storage capacity, backup, and recovery facilities;
- Complete Phases 1 and 2 of server virtualization to ensure the remote access portal sufficiently supports staff who telework;
- Expand WiFi capability in headquarters and establish WiFi capability at the remaining eight field-offices;
- Complete the independent assessment of the eSecurity Lab and Local Area Network Operations Center integration;
- Consolidate twelve headquarters and field-office voice mail systems into two systems, which will significantly streamline services and reduce costs;
- Upgrade the multi-function (print, copy, fax) devices in the Shared Service Centers to improve efficiency and timeliness of support services; and
- Obtain a technical design to meet mission essential functions at GAO's Alternate Computing Facility.

In fiscal year 2013, we plan to

- Complete the server virtualization;
- Replace end-of-service-life legacy notebook computers to improve service and reduce episodes of technical issues that can affect productivity; and
- Replace the obsolete LAN switch line cards.

## Administrative Services

GAO's administrative services encompass all other administrative programs including those that provide the day-to-day management of GAO-owned and leased

facilities, safety and security of all staff, financial management operations, and human capital support.

**Table 3: Detail Budgetary Resources—Administrative Services**  
(Dollars in thousands)

Program	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Net change fiscal year 2012/2013	Cumulative change fiscal year 2010/2013
Facilities and property management	\$31,485	\$28,310	\$27,215	\$26,073	(4.2%)	(17.2%)
Security	8,009	6,713	6,752	7,174	6.3%	(10.4%)
Other support services	12,204	7,348	6,627	6,720	1.4%	(44.9%)
<b>Total administrative services</b>	<b>\$51,698</b>	<b>\$42,371</b>	<b>\$40,594</b>	<b>\$39,967</b>	<b>(1.5%)</b>	<b>(22.7%)</b>

For fiscal year 2013, we are requesting funds to maintain base operations and invest in targeted initiatives to achieve operational efficiencies, improve business practices, and leverage technology to provide the Congress and the American people the best possible return on investment.

The fiscal year 2013 funding level for these programs represents a reduction of 1.5 percent below fiscal year 2012, and a cumulative reduction of \$11.7 million or 22.7 percent below fiscal year 2010 which helped enable GAO to manage costs in a constrained budget environment.

The requested increases for security and other support provides funds to cover uncontrollable cost increases resulting from inflation in lease costs, utilities, and other critical services, and negotiated contract increases for facilities operations, security services, and financial management operations. Some of these increases will be

offset through program reductions and efficiencies. Also, we plan to make critical investments to maintain building systems at the end of their life-cycle, enhance energy efficiency, and implement required security enhancements.

Each program component is discussed in more detail below.

### Facilities and Property Management

GAO operates and maintains the 2 million square foot headquarters building by means of a commercial facilities management contract, and leases space for 11 field-offices, primarily through the General Services Administration (GSA). The headquarters building, which provides work space for approximately 4,000 people, includes staff of both GAO and the U.S.

Army Corps of Engineers (USACE). Funding for the facilities and property management program covers the cost of operating and maintaining the GAO headquarters building and field-office locations; tenant services and minor construction projects; and professional health and safety testing and inspection services.

**Table 3a: Detail Budgetary Resources—Facilities and Property Management**  
(Dollars in thousands)

Program	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Net change fiscal year 2012/2013	Cumulative change fiscal year 2010/2013
Facilities and property management	\$31,485	\$28,310	\$27,215	\$26,073	(4.2%)	(17.2%)

Our fiscal year 2013 budget request provides funds to maintain base operations and invest in targeted initiatives to achieve operational efficiencies, improve business practices, and leverage technology to provide the Congress and the American people the best possible return on investment.

Since fiscal year 2010, we have reduced funding for our facilities and property management program by \$5.4 million or 17.2 percent. In fiscal year 2011, we implemented numerous cost saving measures that will continue to produce savings for many years to come. Among the cost saving initiatives we implemented are:

- reduced or eliminated GAO headquarters building services to include: building hours of operations on weekends, cleaning services, facilities coordinator, and tenant alterations. These targeted changes are estimated to produce an annual savings of \$1.3 million;
- implemented numerous energy saving initiatives, including: installed gas

powered boilers; installed energy efficient fluorescent lighting; upgraded the 7<sup>th</sup> floor HVAC system; installed hands-free faucets and soap dispensers; and raised the building temperature by 1 degree in the warmer months. In total, these initiatives are estimated to produce an annual savings of \$1.6 million; and

- reduced some field-office services, eliminated some administrative hours associated with the U.S. Army Corps of Engineers interagency agreement, and reduced the number of fleet drivers/vehicles, producing an annual savings of \$130,000.

Our fiscal year 2011 investments enhanced energy efficiency and reduced energy costs at the GAO headquarters building. In fiscal year 2011, we:

- began to upgrade and repair of the 24/7 cooling system that supports critical loads within the building, particularly GAO's computer network, Security Operations Center, and the US Army Corps of Engineers' national incident center. This equipment is at the end of

its life-cycle and current end-user requirements exceed its designed system capacity.

1st floor HVAC equipment is at the end of its life-cycle.

In fiscal year 2012, we

- began repairing water utility pipes that are 60 years old and part of the original building structure and showing evidence of possible leaks or condensation due to insulation failure. This project includes removal of insulation to assess actual condition, replace necessary piping to affect repair, and re-insulate piping;
  - selected a vendor to correct structural damage to the G Street garage ramps and other areas of the headquarters building which evidence structural failure and some minor structural damage caused during the August 2011 earthquake;
  - began installation of headquarters fire alarm system upgrade with expected completion in fiscal year 2012;
  - began repairing the open joints on the building façade and windows to prevent weather intrusion and potential damage to the building support structure, which if left unchecked, would result in much more costly repairs;
  - designed a replacement strategy for the west air handling units that have reached the end of their life-cycle. Increasing equipment failures indicate the need for replacement, which also provides an opportunity to increase operational efficiency. In fiscal year 2012 we will begin to replace these units and anticipate completing this project in fiscal year 2013; and
  - designed 1st floor east heating, ventilation, and air conditioning (HVAC) upgrades. We developed a design plan to replace the 1st floor HVAC delivery system to improve temperature control and energy efficiency. With the exception of some recent alterations, the
- began making critical structural repairs to the G Street ramp and other areas of the headquarters building;
  - optimize the use of the headquarters facility to provide additional rentable space;
  - assess opportunities to obtain a potential tenant and generate additional revenue in fiscal year 2013; and
  - assess opportunities to reduce our physical footprint in a number of our field-offices through our enhanced telework pilot program to include reconfiguring field-office space to support office-sharing.
- In fiscal year 2013, we plan to
- complete replacement of the aged west air handling units to increase operational efficiency;
  - complete critical repair and maintenance projects identified in our building assessment study;
  - continue activities to reduce our field-office footprint and expand office sharing to additional field-office locations; and
  - lease space to a new tenant in headquarters and begin realizing an increase in our revenue stream.

## Security

The security program helps ensure against the unauthorized disclosure of sensitive and classified information; conducts background investigations; issues security clearances;

controls access to and the protection of GAO personnel, information and property; and helps to ensure a safe and secure working environment.

**Table 3b: Detail Budgetary Resources—Security**  
(Dollars in thousands)

Program	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Net change fiscal year 2012/2013	Cumulative change fiscal year 2010/2013
Security	\$8,009	\$6,713	\$6,751	\$7,174	6.3%	(10.4%)

For fiscal year 2013, we are requesting funds to maintain base operations and implement Homeland Security Presidential Directive (HSPD)-12 requirements for new credentials to provide physical and logical access to GAO and other federal facilities.

The requested increase of \$422,000 or 6.3 percent in our resource level for fiscal year 2013 is primarily for HSPD-12 implementation, but also provides funds to cover a negotiated increase in our unionized guard force services contract, and inflationary increases in operations, such as field-office security response services, security equipment maintenance, supplies, and cyclical replacement of antiquated security equipment as it nears the end of its life cycle.

Since fiscal year 2010, we have reduced funding for this program by \$836,000 or 10.4 percent.

In fiscal year 2011, we

- began adjudicating investigations on GAO contractor staff, in accordance with HSPD-12 requirements;
- upgraded to an encrypted Security and Emergency Operations radio system with improved radio coverage, availability and reliability;

- reduced the guard force staff, which saved approximately \$350,000;
- contracted with the U.S. Army Corps of Engineers to perform a blast effects simulation study to determine the effects of a blast in and/or around the building. Additionally, this effort will evaluate the effectiveness and expected life cycle of the current window film as well as determine options for future window retrofit applications;
- established a no-cost agreement with the District of Columbia Metropolitan Police Department for emergency response services to the GAO which saved over \$1 million by not contracting with the Federal Protective Service; and
- procured the hardware and software necessary to deploy the OPM clearance investigation e-Delivery system; and began developing a system user agreement with OPM.

In fiscal years 2012 and 2013, we plan to

- implement the OPM e-Delivery system at GAO which will allow electronic transmission and storage of investigations and reduce processing time;

- complete the blast effects simulation study of the GAO headquarters building and assess findings and options for consideration;
- complete the integration of electronic security systems in our 11 field-offices with headquarters to improve monitoring and reduce costs;
- continue with our effort to implement HSPD-12 requirements for physical and logical access, providing an additional layer of security to the building and to GAO's IT systems; and
- complete a facility security assessment of our headquarters facility and present findings and options for consideration.

### Other Support Services

The Other Support Services Program encompasses administrative costs for the day-to-day management of financial management systems and records, human-capital operations, and other support services.

GAO continues to utilize the Department of Transportation's (DOT) Enterprise Services Center (ESC) as part of an integrated approach of using an Office of Management and Budget (OMB)-designated Shared Service Center, to provide accounts payable, accounts receivable, and accounting services for internal financial

management operations, including the Delphi financial management system. This arrangement was prompted by a House mandate for legislative-branch agencies and furthers the goal of eliminating transaction-based processing functions and evolving into a policy and operational environment.

Our human capital operations program provides administrative support, employee health and wellness programs, recruiting, position classification, job evaluation, and career transition services for individuals nearing retirement or seeking other career opportunities within or outside of GAO.

**Table 3c: Detail Budgetary Resources—Other Support Services**  
(Dollars in thousands)

Program	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Net change fiscal year 2012/2013	Cumulative change fiscal year 2010/2013
Other support services	\$12,204	\$7,348	\$6,627	\$6,720	1.4%	(44.9%)

Our fiscal year 2013 budget request provides funds to maintain base operations and represents an increase of \$93,000 or 1.4 percent above the fiscal year 2012 funding level. Since fiscal year 2010, we have reduced funding for this program by \$5.5 million or 44.9 percent.

In fiscal year 2011, GAO continued to lead by example in federal financial management. Our independent auditor gave us an unqualified opinion on our financial statements, citing no material weaknesses or major compliance problems and also provided a positive opinion on the effectiveness of our internal controls.

In fiscal years 2012 and 2013, GAO will

- eliminate off-site help desk support and support for operations and transaction processing—saving almost \$1.2 million.

- continue to work with DOT to implement operational refinements to Delphi;
- continue to support the DOT's Financial Management Business Transformation project which will ultimately position GAO to upgrade to the latest version of Delphi and comply with the OMB-mandated common government-wide accounting code;
- upgrade to the next generation of E-Gov Travel Systems pending GSA's procurement selection of required systems in Spring 2012; and
- continue enhancements to our competency-based performance appraisal system to make the process more constructive and value-added to employees and management.

## Knowledge Services

The Knowledge Services Program includes activities that support (1) knowledge and information assets, services, and policies,

and (2) preparing, publishing, and disseminating the results of GAO's work.

**Table 4: Detail Budgetary Resources—Knowledge Services**  
(Dollars in thousands)

Program	Fiscal year 2010 actual	Fiscal year 2011 actual	Fiscal year 2012 estimate	Fiscal year 2013 request	Net change fiscal year 2012/2013	Cumulative change fiscal year 2010/2013
Total knowledge services	\$9,001	\$8,298	\$7,620	\$7,620	- 0 -	(15.3%)

Our budget request for fiscal year 2013 holds funding constant at the fiscal year 2012 level. Our fiscal year 2013 costs represent a \$1.4 million or 15.3 percent reduction since fiscal year 2010.

In fiscal year 2011, we completed several projects; improved access to information; increased efficiencies; and eliminated contract support in our imaging center, library services and distribution functions which resulted in cost-savings that significantly reduced fiscal year 2012 costs.

In fiscal year 2011 we

- created and implemented new graphics templates to automate the report formatting process, which decreased the turnaround time for creating graphics, and reduced the rework when data input changed;
- installed E-postage software in three field locations. With the conversion of all remaining field locations to full operation using E-postage, we will be able to reduce equipment leases and maintenance, and postage rate change protection costs by approximately \$4,300;
- transitioned to full e-dissemination of GAO audit reports. With the elimination

of the standard six hardcopies, that we previously produced for each of our completed products, we saved thousands of dollars that would have been incurred if reports continued to be printed. GAO continues to be able to support print copy requests from the Congress, as requested; and

- consolidated our Shared Services and Imaging Centers in our headquarters building. We reduced the four staffed Shared Services Centers to two staffed and two self-service centers, and transitioned the Imaging Center from contract staff to GAO staff. These changes realized savings of about \$500,000 in contract costs.

In fiscal years 2012 and 2013 we will

- continue replacing the "old technology" mail systems, which require costly maintenance, with online technology, enabling us to
  - realize a cost-savings of approximately 55 percent;
  - improve accountability and report postage costs by user;

- increase efficiency and improve service; and
- eliminate the need for conventional mailing equipment.
- begin to test the automated disposition routines, revise and craft an implementation strategy for the electronic audit documentation records (approximately 1,100 engagements) that have reached their 5-year retention period, as stipulated in the GAO Records and Information Disposition Schedule, using a sample of records slated for disposal. This will align our paper and electronic disposition activities going forward;
- continue to implement the GAO Privacy Program by finalizing the rule and order, providing training to all GAO staff, launching the GAO privacy website, and producing privacy threshold analyses and privacy impact assessments that are aligned with GAO's Information Security unit's list of FISMA-compliant systems;
- complete guidance and workflow for incorporating descriptions of graphics into GAO products to ensure images have descriptive text;
- pilot e-reports early in fiscal year 2012, and transition the electronic dissemination process from sending e-mail notifications with attached PDF products to sending e-mail notifications with electronic links (URLs). This new mechanism will point the user back to a product summary page, where product selection options will appear; and
- further automate product management and allow for the production of multiple standard formats (e.g., e-Reports and formats exported for mobile devices, 508 compliant content and printable PDFs).

## **Fiscal Year 2013 Performance Plan**

### **GAO Supports Congressional Decision-making, Saves Resources, and Helps Improve Government**

The Government Accountability Office (GAO) is the audit, evaluation, and investigative arm of the Congress, and exists to support the Congress in meeting its constitutional responsibilities and to help improve the performance and ensure accountability of the federal government for the benefit of the American people. GAO is unique in our audit and evaluation capacity to support the Congress by performing original research, providing technical assistance, and conducting analyses to help the Congress make informed decisions across all segments of the federal budget resulting in tangible results and enhanced oversight. GAO's work directly contributes to improvements in a broad array of federal programs affecting Americans everywhere.

Even during the constrained budgetary environment we have seen these past couple of years, GAO has continued to prove itself to be one of the best investments in the federal government. For example, in fiscal year 2011 our work yielded significant results across the government, including financial benefits of \$45.7 billion—a return of \$81 for every dollar invested in GAO—and over 1,300 other benefits that helped to change laws, improve services to the public, and promote sound management throughout government. In fiscal year 2011, about 80 percent of our recommendations had been adopted by the Congress and federal agencies within the last 4 years. In addition, GAO issue-area experts testified 174 times before the Congress on a wide range of issues, such as military and veterans

disability systems, U.S. Postal Service fiscal sustainability, and Medicare and Medicaid fraud, waste, and abuse. A list of selected testimony topics presented by GAO in fiscal year 2011 is included in figure 1 (page F-3). Once again GAO demonstrated its core values in ensuring that we continue to provide high-quality, high-value, and independent support to the Congress in ways that generate material benefits to the nation.

As a legislative branch agency, we are exempt from many laws that apply to executive branch agencies. However, we generally hold ourselves to the spirit of many of the laws, including the Government Performance and Results Act (GPRA), as amended. Among other things, GPRA requires each agency to prepare an annual "performance plan covering each program activity set forth in the budget of such agency." This section of our budget submission constitutes our performance plan for fiscal year 2013.

### **GAO Services Integral to Congressional Priorities**

Our continued high performance is evidence of the critical role GAO plays in helping the Congress and the American people better understand important national issues, both as they emerge and over the long term. GAO issues hundreds of products annually in response to congressional requests and mandates, including issuing several products under the Dodd-Frank Wall Street Reform Act on mortgages, securities markets, financial institutions, the Federal Reserve, and consumer protection and many other products related to health insurance reform.

We also issued our biennial high-risk report calling attention to opportunities for cost savings and improvements in federal agency and program management that offer the potential to save billions of dollars,

dramatically improve service to the public, and strengthen confidence and trust in the performance and accountability of the U.S. government. GAO's biennial *High-Risk Series* focuses on federal areas and programs at risk of fraud, waste, abuse, and mismanagement, or those in need of broad-based transformation. Overall, the high-risk series has served to identify and help resolve serious weaknesses in areas that involve substantial resources and provide critical services to the public. In fiscal year 2011, GAO issued 186 reports, delivered 57 testimonies to the Congress, and prepared numerous other products, such as briefings and presentations, related to our high-risk series. In addition, we documented \$29.2 billion in financial benefits and 544 nonfinancial benefits related to high-risk areas.

We also issued our first annual report under a new mandate in which we identified 34 areas that have duplicative or overlapping objectives, or provide similar services to the

same populations, or where government missions are fragmented across multiple agencies or programs. The report (GAO-11-318SP) also identified 47 areas where the federal government may be able to achieve cost savings or revenue enhancements, such as promoting more competition for the more than \$500 billion in federal contracts and applying strategic sourcing best practices throughout the federal procurement system. In addition, we continued to regularly report the results of our work related to the Troubled Asset Relief Program (TARP) and the American Recovery and Reinvestment Act.

Given GAO's reputation for consistently producing high quality work that is typically based on original research, it is not surprising that congressional demand for GAO products and services remains high during these challenging times.

Our current high-risk list is shown in table 1.

Figure 1: Selected Testimony Topics for Fiscal Year 2011

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

- Safety of Medical Devices
- DOD and VA Care Coordination Program
- VA Prevention of Sexual Assaults
- State Oversight of Private Health Insurance Rates
- Potential Overlap and Duplication in Government Programs
- Incapacitated Adults
- Federal Workers' Compensation
- Military and Veterans Disability System
- Oversight of DOD Tuition Assistance Program
- Securities Lending in 401(k) Plans
- Pension Benefit Guaranty Corporation Management
- Financial Literacy
- Mortgage Foreclosures Regulatory Oversight
- Oversight of Residential Appraisals
- TARP
- Interior's Major Management Challenges
- Federal Oil and Gas Restructuring
- Improvements Needed for Safe Drinking Water
- Food and Agriculture Emergency Preparedness
- Airport and Airway Trust Funds
- Traffic and Vehicle Safety
- Use of Recovery Act Transportation Funds
- Unneeded Owned and Leased Federal Facilities
- VA Real Property Realignment
- Needed U.S. Postal Service Legislation

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

- DHS 10 Years After 9/11
- Electronic Employment Eligibility Verification
- Aviation Security Behavior Detection Program
- Maritime Security U.S. Counterpiracy Action Plan
- Cross-Border Currency Smuggling
- Assessing National Preparedness Capabilities
- Visa Overstay Enforcement
- Combatting Nuclear Smuggling
- Flood Insurance Reform
- Efforts to Address Terrorist Safe Havens
- Antidumping and Countervailing Duties
- Diplomatic Security Training Challenges
- DOD Space Acquisitions
- Missile Defense Transparency and Accountability
- DOD Cost Overruns
- Joint Strike Fighter Program Restructuring
- Coast Guard Deepwater Program
- Army's Ground Force Modernization
- Littoral Combat Ship Acquisition Strategies
- Contract Oversight of non-U.S. Vendors in Afghanistan
- Addressing Urgent Warfighter Needs
- Personnel Security Clearance Process

### **Goal 3: Help Transform the Federal Government to Address National Challenges**

- Oversight and Accountability of Federal Grants
- Reducing Improper Payments
- Fiscal Year 2010 U.S. Government Financial Statements
- DOD Financial Management Challenges
- Medicare and Medicaid Fraud, Waste, and Abuse
- Fraud Prevention in Service-Disabled Veteran-Owned Small Business Program
- Fraud Prevention in SBA's 8(a) Program
- Tax Delinquent Recovery Act Contractors
- Protecting Federal Information Systems
- Information Technology Investment Oversight
- VA Information Technology
- Federal Information Technology Spending
- Unfunded Mandates Reform Act Requirements
- Budget Enforcement Mechanisms
- 2010 Census Lessons Learned
- Value Added Taxes
- Tax System Complexity and Taxpayer Compliance
- GPRA Modernization Act Implementation

Source: GAO.

**Table 1: GAO's High-Risk List as of September 30, 2011****Strengthening the Foundation of Efficiency and Effectiveness**

- Management of Federal Oil and Gas Resources (new)
- Modernizing the Outdated U.S. Financial Regulatory System
- Restructuring the U.S. Postal Service to Achieve Sustainable Financial Viability
- Funding the Nation's Surface Transportation System
- Strategic Human Capital Management
- Managing Federal Real Property

**Transforming DOD Program Management**

- DOD Approach to Business Transformation
- DOD Business Systems Modernization
- DOD Support Infrastructure Management
- DOD Financial Management
- DOD Supply Chain Management
- DOD Weapon Systems Acquisition

**Ensuring Public Safety and Security**

- Implementing and Transforming the Department of Homeland Security
- Establishing Effective Mechanisms for Sharing and Managing Terrorism-Related Information to Protect the Homeland
- Protecting the Federal Government's Information Systems and the Nation's Cyber Critical Infrastructures
- Ensuring the Effective Protection of Technologies Critical to U.S. National Security Interests
- Revamping Federal Oversight of Food Safety
- Protecting Public Health through Enhanced Oversight of Medical Products
- Transforming EPA's Process for Assessing and Controlling Toxic Chemicals

**Managing Federal Contracting More Effectively**

- DOD Contract Management
- DOE's Contract Management for the National Nuclear Security Administration and Office of Environmental Management
- NASA Acquisition Management
- Management of Interagency Contracting

**Assessing the Efficiency and Effectiveness of Tax Law Administration**

- Enforcement of Tax Laws
- IRS Business System Modernization

**Modernizing and Safeguarding Insurance and Benefit Programs**

- Improving and Modernizing Federal Disability Programs
- Pension Benefit Guaranty Corporation Insurance Programs
- Medicare Program
- Medicaid Program
- National Flood Insurance Program

Source: This and all other tables in this report were created by GAO.

## GAO Seeks to Begin Rebuilding Staff Capacity to Meet Congressional Priorities

GAO depends on a talented and diverse, high-performing, knowledge-based workforce to carry out our mission in support of the Congress. We continue to include human capital, particularly succession planning and development, as one of our internal management challenges that could affect our performance and progress toward our goals.

Since fiscal year 2010, we have limited hiring to critical positions that, if left unfilled, would place GAO operations at risk. This unfortunate but unavoidable staffing retrenchment has negatively impacted our staffing capacity, and resulted in not replacing departing staff to address succession planning challenges and skill gaps. By the end of fiscal year 2012, for the first time in over 75 years, GAO's staffing level will drop below 3,000 staff resulting in an 11 percent reduction in our staff capacity, or 365 people, in only a 2-year period.

Over the last 2 years, we have implemented significant reductions across all areas of GAO, including reducing discretionary spending and reducing or deferring planned investments. However, given that about 81 percent of our budget funds staff compensation and benefits and with the deep cuts already taken in our infrastructure spending, reducing the size of our workforce could not be avoided. While we have been able to achieve staffing reductions through attrition, voluntary early retirements, and voluntary separation incentives without resorting to drastic workforce restructuring, such as layoffs, GAO faces succession challenges as more of our workforce, especially senior managers, become retirement eligible.

By the end of fiscal year 2013, 12 percent of our total analysts, about 25 percent of supervisory analysts and 43 percent of our senior executive staff will be eligible for retirement, and we project losing 190 additional staff in fiscal year 2013. It is therefore essential that GAO be able to replace some of our lost staff capacity to avoid further erosion of our knowledge base and ensure we can continue to respond to the most pressing issues facing the nation.

Demand for GAO's services remains high. To ensure our ability to maintain our highly skilled workforce to support Congress and produce results to reduce costs and improve government performance, it is imperative that we begin to replenish our workforce to both replace departing staff and add more highly skilled talent. Moreover, we have been and will continue to outreach to our congressional clients to ensure they recognize our situation, help focus our work to the highest priority areas, and help prioritize our work to obtain the maximum benefit in this resource-constrained environment.

We are also continuing to explore opportunities to enhance workforce and budget flexibilities, increase our effectiveness and efficiency, and further reduce our operating costs. We believe these efforts have the potential to yield long-term benefits to GAO, the Congress, and the nation. For example, we are optimizing the space in our headquarters facility, which will provide GAO with additional rentable space, thereby providing the potential to attract a future tenant and increase revenue in fiscal year 2013;

- pursuing opportunities to reduce our physical footprint in a number of our field offices through our enhanced telework pilot program, to include reconfiguring field-office spaces to support office sharing and, therefore, reduce infrastructure costs;

- conducting a pilot to expand our video-conference capability and information sharing to enhance our workforce flexibility and further reduce travel costs;
- exploring alternative ways to deliver our products to the Congress and the public more efficiently and effectively;
- evaluating our model for utilizing staff on engagements to enhance our agility and responsiveness; and
- assessing opportunities to reengineer our engagement-management process and identify areas that can be streamlined or standardized to yield improvements in the efficiency of our work without sacrificing quality.

In fiscal year 2013 and beyond, it will be critical for GAO to not only reap the benefits of our current cost-cutting and efficiency actions, but to begin to rebuild our staff capacity to our target goal of 3,250 staff to ensure that GAO has the depth, organizational agility, and broad-based skills needed to contribute to the vast array of topics about which the Congress seeks our analysis and advice.

In light of GAO's commitment to minimize costs and improve efficiencies while maintaining the quality of our support to the Congress, for fiscal year 2013 we are

seeking a funding level of \$526.2 million—a modest increase of 2.9 percent over our fiscal year 2012 level. This funding represents the first step in rebuilding our staff capacity to a level that will enable us to optimize the benefits we yield for the Congress and the nation, provide insightful analyses on the most important priorities for congressional oversight, and help improve government performance, accountability, and transparency.

Our fiscal year 2013 budget request includes funds to achieve an FTE level of 3,046 (3,100 staff)—a down payment towards our target goal of 3,250 FTEs, cover mandatory funding increases, and partially restore essential funding deferred or eliminated in prior years because of budget constraints for staff recognition and benefits programs, essential engagement support, and critical investments in facilities and information technology. Reductions in staff recognition and benefits programs jeopardize our ability to recruit and retain staff when other agencies, nonprofit institutions, and private firms with whom we compete can offer these benefits. Continual deferral of needed investments in our systems and building will ultimately diminish our productivity and effectiveness and potentially lead to more costly repairs.

A summary of our funding sources is shown in table 2.

**Table 2: Fiscal Year 2011–2013 Source of Funds**  
(Dollars in thousands)

Funding source	Fiscal year 2011 actual			Fiscal year 2012 revised estimate			Fiscal year 2013 request		
	Staff <sup>a</sup>	FTEs	Amount	Staff <sup>a</sup>	FTEs	Amount	Staff <sup>a</sup>	FTEs	Amount
Appropriation		3,192	\$546,075		2,982	\$511,296		3,037	\$526,233
Reimbursable programs		20	6,648		18	7,977		9	4,717
Offsetting collections			15,031			22,304			24,318
<b>Total resources</b>	<b>3,134</b>	<b>3,212</b>	<b>\$567,754</b>	<b>2,985</b>	<b>3,000</b>	<b>\$541,577</b>	<b>3,100</b>	<b>3,046</b>	<b>\$555,268</b>

<sup>a</sup>Number of staff on board at year end.

In addition to our appropriation request, GAO estimates that about \$4.7 million in reimbursements from program and financial audits will be available to offset our costs. In accordance with authorizing legislation, these activities include

- program reviews of TARP;
- financial statement audits of the Federal Housing Finance Agency (FHFA) and the Consumer Financial Protection Bureau (CFPB); and
- operation of the Financial Accounting Standards Advisory Board.

In fiscal year 2013, we are also requesting authority to use \$24.3 million in offsetting collections, including

- \$8.6 million in rental income, primarily from the U.S. Army Corps of Engineers and a potential new tenant, for rental of space in the GAO headquarters building; and
- \$15.7 million from the Federal Deposit Insurance Corporation (FDIC), the Securities and Exchange Commission (SEC), and the U.S. Treasury Department as reimbursement for an audit of their financial statements.

### **Our Strategic Plan Illustrates the Wide Array of Issues That GAO Covers**

In July 2010 GAO issued our strategic plan for fiscal years 2010 through 2015. Our strategic goals and objectives reflect the wide array of national and international issues that GAO covers in our mission to support the Congress and, in the case of goal 4, our efforts to ensure our internal operations support that mission. GAO serves every standing congressional committee and about 70 percent of their

subcommittees. Consequently, the scope of our work is broad-based which allows us to respond to domestic and international challenges, such as threats confronting U.S. national security interests; fiscal sustainability and debt challenges; economic recovery and restored job growth; and advances in science, technology, engineering, and mathematics. In covering the following mission goals and objectives, GAO seeks not only to help position the government to better manage risks that could compromise the nation's security, health, and solvency, but also to identify opportunities for managing government resources wisely for a more sustainable future.

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

- Financing and Programs to Serve the Health Needs of an Aging and Diverse Population
- Lifelong Learning to Enhance U.S. Competitiveness
- Benefits and Protections for Workers, Families, and Children
- Financial Security for an Aging Population
- A Responsive, Fair, and Effective System of Justice
- Viable Communities
- A Stable Financial System and Consumer Protection
- Responsible Stewardship of Natural Resources and the Environment
- A Viable, Efficient, Safe, and Accessible National Infrastructure

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

- Protect and Secure the Homeland from Threats and Disasters
- Ensure Military Capabilities and Readiness

- Advance and Protect U.S. Foreign Policy Interests
- Respond to the Impact of Global Market Forces on U.S. Economic and Security Interests

**Goal 3: Help Transform the Federal Government to Address National Challenges**

- Analyze the Government's Fiscal Position and Opportunities to Strengthen Approaches to Address the Current and Projected Fiscal Gap
- Identify Fraud, Waste, and Abuse
- Support Congressional Oversight of Major Management Challenges and Program Risks

**Goal 4: Maximize the Value of GAO by Enabling Quality, Timely Service to the Congress and Being a Leading Practices Federal Agency**

- Improve efficiency and effectiveness in performing our mission and delivering quality products and services to the Congress and the American people
- Maintain and enhance a diverse workforce and inclusive work environment through strengthened recruiting, retention development, and reward programs
- Expand networks, collaborations, and partnerships that promote professional standards and enhance GAO's knowledge, agility, and response time
- Be a responsible steward of GAO's human, information, fiscal, technological, and physical resources

In February 2012, GAO will be releasing an update to our strategic plan, in accordance with amendments to GPRA.

**GAO's High Performance Due to Dedicated Workforce**

GAO achieves a high level of performance through the outstanding efforts of our professional, multidisciplinary, and diverse staff. Recognizing that GAO's

accomplishments are a direct result of our dedicated workforce, we continuously strive to maintain a work environment that promotes employee well-being and productivity, and to serve as a leading-practices agency. In 2011, GAO was once again recognized as one of the "Best Places to Work." The annual survey conducted by the Partnership for Public Service identified GAO as number 3 in its rankings for all large organizations across the entire federal government, and *Washingtonian* magazine selected GAO as one of the Best Places to Work in Washington, D.C., among private and public organizations in its annual rankings.

**Performance Measurement**

To help us determine how well we are meeting the needs of the Congress and maximizing our value as a leading-practices organization, we assess our performance annually using a balanced set of quantitative performance measures that focus on four key areas—results, client, people, and internal operations.

*Results:* Focusing on results and the effectiveness of the processes needed to achieve them is fundamental to accomplishing our mission. To assess our results, we measure financial benefits, other (nonfinancial) benefits, GAO recommendations implemented, and percentage of new products with recommendations.

*Client:* To judge how well we are serving our client, we measure the number of congressional hearings where we are asked to present expert testimony as well as our timeliness in delivering products to the Congress.

*People:* As our most important asset, our people define our character and capacity to perform. A variety of data sources, including an internal survey, provide information to help us measure how well we

are attracting and retaining high-quality staff and how well we are developing, supporting, using, and leading staff.

***Internal operations:*** Our mission and people are supported by our internal administrative services, including information management, building management, knowledge, human capital, and financial management services. Through an internal customer satisfaction survey, we gather information on how well our internal operations help employees get their jobs done and improve employees' quality of work life.

### **Setting Performance Targets**

To establish targets for all of our measures, we consider our past performance, including recent patterns and 4-year rolling averages, as well as relevant upcoming events and external factors that influence our work. On the basis of this information, the teams and offices that are directly engaged in the work discuss with our top executives their views of what we have planned to accomplish in the strategic plan and what they believe they can accomplish in the upcoming fiscal year. The GAO Executive Committee then establishes targets for the performance measures.

We may adjust these targets after they are initially published when our expected future work or level of funding provided warrants doing so. If we make changes, we include the changed targets in later documents, such as this performance plan, and indicate we have changed them. For instance, we lowered our initial fiscal year 2012 financial-benefits target from \$42 billion, as reported in the fiscal year 2012 performance budget in January 2011, to \$40 billion. Even though our actual documented fiscal year 2011 financial benefits to the federal government was \$45.7 billion, in fiscal year 2012 we will have fewer resources, which will likely impact our ability to meet our original target.

An agencywide summary of our annual performance measures and targets for fiscal years 2008-2013 is included in table 3.

For more details on how we measure our performance, including details on our fiscal year 2011 performance, please see our Fiscal Year 2011 Performance and Accountability Report at <http://www.gao.gov/products/GAO-12-4SP>.

**Table 3: Agencywide Summary of Annual Measures and Targets**

Performance measure	2008 actual	2009 actual	2010 actual	2011 actual	2012 target	2013 target
<b>Results</b>						
Financial benefits (Dollars in billions)	\$58.1 <sup>a</sup>	\$43.0	\$49.9	\$45.7	\$40.0	\$40.0
Nonfinancial benefits	1,398	1,315	1,361	1,318	1,200	1,200
Past recommendations implemented	83%	80%	82%	80%	80%	80%
New products with recommendations	66%	68%	61%	68%	60%	60%
<b>Client</b>						
Testimonies	298	203	192	174	180	180
Timeliness <sup>b</sup>	95%	95%	95%	95%	90%	90%
<b>People</b>						
New hire rate	96%	99%	95%	84%	95%	95%
Retention rate						
With retirements	90%	94%	94%	92%	90%	90%
Without retirements	93%	96%	96%	96%	94%	94%
Staff development <sup>c</sup>	77%	79%	79%	79%	76%	76%
Staff utilization <sup>c, d</sup>	75%	78%	77%	78%	75%	75%
Effective Leadership by Supervisors <sup>c, e</sup>	81%	83%	83%	83%	80%	80%
Organizational climate <sup>c</sup>	77%	79%	79%	80%	75%	75%
<b>Internal operations<sup>f</sup></b>						
Help to get job done	4.00	4.03	3.94	N/A	4.00	4.00
Quality of work life	4.01	4.01	3.94	N/A	4.00	4.00

<sup>a</sup>In fiscal year 2008, we recorded several unexpected and large financial benefits that significantly contributed to our performance.

<sup>b</sup>The timeliness measure is based on one question on a form sent out to selected clients. The response rate for the form in fiscal year 2011 was 25 percent, and 98 percent of the clients who responded answered this question. The percentage shown in the table represents the percentage of respondents who answered favorably to this question on the form.

<sup>c</sup>These measures are derived from our annual agencywide employee feedback survey. From the staff who expressed an opinion, we calculated the percentage of those who selected favorable responses to the related survey questions. Responses of "no basis to judge/not applicable" or "no answer" were excluded from the calculation. While including these responses in the calculation would result in a different percentage, our method of calculation is an acceptable survey practice, and we believe it produces a better and more valid measure because it represents only those employees who have an opinion on the questions.

<sup>d</sup>Our employee feedback survey asks staff how often the following occurred in the last 12 months: (1) my job made good use of my skills, (2) GAO provided me with opportunities to do challenging work, and (3) in general, I was utilized effectively.

<sup>e</sup>In fiscal year 2009 we changed the name of this measure from "Leadership" to its current nomenclature to clarify that the measure reflects employees' satisfaction with their immediate supervisor's leadership. In fiscal year 2010, we changed one of the questions for this measure.

<sup>f</sup>For our internal operations measures, we ask staff to rank 32 internal services available to them and to indicate on a scale from 1 to 5, with 5 being the highest, their satisfaction with each service. We will report actual data for fiscal year 2011 once data from our December 2011 internal customer satisfaction survey has been analyzed.

## Budgetary Resources by Goal

Table 4 provides an overview of how our human capital and budgetary resources are

allocated among our strategic goals for fiscal years 2011 through 2013.

**Table 4: Budgetary Resources by Strategic Goal**  
(Dollars in millions)

Strategic goal	Fiscal year 2011 actual		Fiscal year 2012 estimate		Fiscal year 2013 request	
	FTEs	Amount	FTEs	Amount	FTEs	Amount
<b>Goal 1</b> Address current and emerging challenges to the well-being and financial security of the American people	1,352	\$245	1,264	\$224	1,282	\$234
<b>Goal 2</b> Respond to changing security threats and the challenges of global interdependence	817	\$145	768	\$150	780	\$143
<b>Goal 3</b> Help transform the federal government to address national challenges	944	\$164	876	\$152	890	\$161
<b>Goal 4</b> Maximize the value of GAO by enabling quality, timely service to the Congress and being a leading practices federal agency	99	\$14	92	\$16	94	\$17
<b>Total budgetary resources</b>	<b>3,212</b>	<b>\$568</b>	<b>3,000</b>	<b>\$542</b>	<b>3,046</b>	<b>\$555</b>

## Performance Plans by Strategic Goal

The following sections address performance results, strategic objectives, and plans for each of our four strategic goals. These objectives, along with the performance goals and key efforts that support them, are discussed fully in our strategic plan, which is available on our website at [www.gao.gov](http://www.gao.gov). Specifically, for goals 1, 2, and 3—our external goals—we present performance results for the three annual measures that we assess at the goal level.

### Goal 1

Our first strategic goal upholds our mission to support the Congress in carrying out its

constitutional responsibilities by focusing on work that helps *address the current and emerging challenges affecting the well-being and financial security of the American people.*

#### GAO Teams Contributing to Goal 1

Education, Workforce, and Income Security  
 Financial Markets and Community Investment  
 Health Care  
 Homeland Security and Justice  
 Natural Resources and Environment  
 Physical Infrastructure  
**Supporting GAO Office**  
 General Counsel

The following table presents selected benefits attributable to Goal 1 in fiscal year 2011.

**Table 5: Selected Goal 1 Benefits in Fiscal Year 2011**

Financial benefits	<p>Informed legislation aimed at reducing payments to Medicare Advantage Program (\$3.7 billion)</p> <p>Prompted elimination of seller-funded down-payment assistance for Federal Housing Administration-insured mortgages (\$2.7 billion)</p> <p>Identified concerns about Department of Energy (DOE) management of its Loan Guarantee Program (\$2.0 billion)</p>
Other (nonfinancial) benefits	<p>Improved disclosure of pension plan information</p> <p>Identified and helped remove registered sex offenders employed at schools or child care facilities</p> <p>Helped increase enforcement against nursing homes providing poor quality care</p> <p>Improved contracting opportunities for small business</p>
Testimonies	<p>Military and veterans disability system</p> <p>Overlap in federal employment and training programs</p> <p>U.S. Postal Service (USPS) fiscal sustainability</p> <p>Medicare and Medicaid fraud, waste, and abuse</p>

A summary of Goal 1 performance results and targets is shown in the following table.

**Table 6: Strategic Goal 1's Annual Performance Results and Targets**  
(Dollars in billions)

Performance measures	2008 actual	2009 actual <sup>a</sup>	2010 actual <sup>b</sup>	2011 actual	2012 target <sup>c</sup>	2013 target
Financial benefits	\$19.3	\$12.1	\$17.8	\$12.6	\$11.0	\$9.7
Other (nonfinancial) benefits	226	224	233	243	225	225
Testimonies	123	85	86	84	85	85

<sup>a</sup> In fiscal year 2009, we did not meet the target for goal 1 financial benefits. Because financial benefits often result from work completed in prior years, we set our fiscal year 2009 target on the basis of our assessment of the progress agencies were making in implementing our past recommendations.

<sup>b</sup> In fiscal year 2010, we exceeded our target for goal 1 financial benefits by \$4.4 billion due to higher than estimated savings from our work on the Medicare Advantage program and insurance claims for Federal Housing Administration insured mortgages.

<sup>c</sup> In fiscal year 2012, given that our resources have been significantly reduced below the level that we initially requested we have adjusted our targets accordingly. Our fiscal year 2012 target for financial benefits has been reduced by \$6.0 billion from our initial target reported in our fiscal year 2012 performance budget in January 2011. Similarly, the fiscal year 2012 target for testimonies has been reduced by 5.

Table 7 provides examples of work we plan to conduct during fiscal years 2012 and 2013 under Goal 1.

**Table 7: Examples of Planned Work under Goal 1**

*Financial Security*

- Evaluate reforms to the financial regulatory structure
- Evaluate consumer protections for financial services and products
- Evaluate financial literacy programs

*Social Programs*

- Review Medicare and Medicaid payment methods and program management
- Assess implementation of the Patient Protection and Affordable Care Act
- Assess the health care provided to veterans and military families
- Assess quality and oversight of online learning programs

*Effective Systems*

- Review federal efforts to develop renewable energy, energy efficient technologies, and mitigating the environmental effects of energy production
- Identify overlap and duplication of federal natural resources stewardship
- Assess USPS plans for restructuring to address its financial outlook and condition
- Review federal efforts to promote affordable telecommunications services
- Assess alternative methods for financing federal surface transportation infrastructure investments

**Goal 2**

Our second strategic goal focuses on helping the Congress and the federal government in *responding to changing security threats and the challenges of global interdependence*. The federal government is working to promote foreign policy goals, sound trade policies, and other strategies to advance the interests of the United States and its allies. The federal government is also working to balance national security demands overseas and at home with demands related to an evolving national security environment.

**Primary GAO Teams Contributing to Goal 2**

Acquisition and Sourcing Management  
 Defense Capabilities and Management  
 Homeland Security and Justice  
 International Affairs and Trade

**Supporting GAO Teams and Offices**

Financial Markets and Community Investment  
 Information Technology  
 Natural Resources and Environment  
 General Counsel

The following table presents selected benefits attributable to Goal 2 in fiscal year 2011.

**Table 8: Selected Goal 2 Benefits in Fiscal Year 2011**

Financial benefits	<p>Contributed to the Department of Defense's (DOD) decision to cancel the Manned Ground Portion of the Army's Future Combat System (\$11.2 billion)</p> <p>Contributed to the termination of the Transformational Satellite Communications System (\$5.3 billion)</p> <p>Contributed to the termination of the Multiple Kill Vehicle (\$2.7 billion)</p>
Other (nonfinancial) benefits	<p>Identified duplication between DOD and Department of State security assistance programs</p> <p>Improved planning and information sharing among multiple agencies to reduce redundancy in economic development spending in Afghanistan</p> <p>Helped DOD strengthen its ability to provide trained and ready forces for military operations</p> <p>Helped clarify fighter aircraft requirements and shortfalls to better inform future budget decisions</p>
Testimonies	<p>Ensuring readiness of the Department of State's diplomatic security</p> <p>Enhancing cost sharing in Iraq</p> <p>DOD cost overruns</p> <p>Littoral Combat Ship acquisitions</p>

A summary of Goal 2 performance results and targets are shown in the following table

**Table 9: Strategic Goal 2's Annual Performance Results and Targets**  
(Dollars in billions)

Performance measures	2008 actual	2009 actual	2010 actual <sup>a</sup>	2011 actual	2012 target <sup>b</sup>	2013 target
Financial benefits	\$15.4	\$12.4	\$20.5	\$25.9	\$11.4	\$11.4
Other (nonfinancial) benefits	468	457	444	447	450	450
Testimonies	93	67	58	48	50	50

<sup>a</sup> In fiscal year 2010, we exceeded our target for goal 2 financial benefits by \$6.7 billion. We recorded larger than anticipated financial benefits from reductions DOD made to the Army's Future Combat System vehicle program and the Missile Defense Agency's cancellation of the Kinetic Energy Interceptor program and second airborne laser aircraft prototype.

<sup>b</sup> In fiscal year 2012, given that our resources have been significantly less than we initially requested we have reduced our targets accordingly. We have reduced our target for financial benefits by \$2.6 billion from our initial estimate reported in our fiscal year 2012 performance budget in January 2011. Similarly, we have reduced the target for testimonies by 20. Conversely, based on actual data the target for nonfinancial benefits has been increased by 105.

Table 10 provides examples of work we plan to conduct during fiscal years 2012 and 2013 under Goal 2.

**Table 10: Examples of Planned Work under Goal 2**

*Weapon Systems Costs*

- Assess the soundness and efficiency of DOD's highest cost weapon acquisition programs
- Evaluate the effect of recent weapon system acquisition reforms and policy changes
- Assess overlap, duplication, and fragmentation among defense programs and activities

*Foreign Operations*

- Assess the management of logistics and contractor support for the drawdown in Afghanistan and Iraq
- Monitor the transition from a military-led to a civilian-led presence in post conflict areas
- Assess the efficiency and fiscal sustainability of foreign assistance

*Cyber Security*

- Assess DHS's efforts to enhance the resiliency of critical national assets, networks, and systems
- Review the effectiveness of computer and network security at federal agencies
- Assess efforts to manage and protect the computer information systems and networks that support the nation's critical infrastructure

*Other Global Threats*

- Evaluate the effectiveness of government programs designed to protect critical technologies

- Review U.S. and foreign efforts to deter, detect, and thwart terrorists aiming to disrupt the international aviation system
- Review the coordination of federal strategies, resources and results for enforcing U.S. immigration laws

**Goal 3**

Our third strategic goal is to *help transform the federal government to address national challenges* through a focus on the collaborative and integrated elements needed for the federal government to achieve results. Our work under this goal includes assessing the government’s fiscal position and options for closing the gap, as well as identifying management challenges, program risk; and fraud, waste, and abuse.

- Primary GAO Teams Contributing to Goal 3**
- Applied Research and Methods
  - Financial Management and Assurance
  - Forensic Audits and Investigative Service
  - Information Technology
  - Strategic Issues
  - General Counsel (bid protest and appropriation law decisions)
- Supporting GAO Teams and Offices**
- Acquisition and Sourcing Management
  - Natural Resources and Environment
  - General Counsel (supporting other Goal 3 work)

The following table presents selected benefits

**Table 11: Selected Goal**

Financial benefits	Improved oversight of cr Increased transparency, million) Contributed to Census B
Other (nonfinancial) benefits	Identified tax delinquent; increase collection of unpaid taxes Improved and modernized government audit standards to be used by federal, state, and local auditors Helped the Internal Revenue Service (IRS) identify ways to reduce delays in resolving identity theft victims’ tax filing issues
Testimonies	Coast Guard Deepwater Program Tax Gap Complexity DOD Financial Management GPRA Modernization Act

A summary of Goal 3 performance results and targets is shown in the following table.

**Table 12: Strategic Goal 3's Annual Performance Results and Targets**  
(Dollars in billions)

Performance measures	2008 actual	2009 actual	2010 actual <sup>a</sup>	2011 actual <sup>a</sup>	2012 target <sup>b</sup>	2013 target <sup>c</sup>
Financial benefits	\$23.4	\$18.5	\$11.6	\$7.2	\$7.3	\$7.8
Other (nonfinancial) benefits	704	634	684	628	525	525
Testimonies	76	49	45	39	40	40

<sup>a</sup> Our fiscal year 2010 and 2011 Goal 3 financial benefits were less than our target. Because financial benefits often result from work completed in prior years, we set our target based on an assessment of the progress agencies make in implementing our recommendations.

<sup>b</sup> Our fiscal year 2012 target for financial benefits is \$3.7 billion less than what we reported in our fiscal year 2012 performance budget in January 2011. Similarly, the fiscal year 2012 target for nonfinancial benefits has been reduced by 105, and the fiscal year 2012 target for testimonies has been reduced by 17. These targets have been reduced in part due to the steady decline in financial benefits for this goal over the past 4 years, as well as due to the reduced resources available to GAO in fiscal year 2012 when compared to previous years.

<sup>c</sup> Fiscal year 2013 financial benefits for Goals 1 through 3 do not sum to the total agencywide target as we have left \$11.1 billion of the financial benefits target unassigned. Our experience leads us to believe we can meet the agency target, but it is premature at this time to assign this amount to specific goals.

Table 13 provides examples of work we plan to conduct during fiscal years 2012 and 2013 under Goal 3.

**Table 13: Examples of Planned Work under Goal 3**

*Management Challenges/Risks*

- Review DOD financial-management improvement efforts
- Review the effectiveness of federal agencies to provide secure, reliable, and fast Internet and web connections
- Assess the government's ability to protect personal information
- Review the government's progress in using technology to store, preserve, and share public records
- Assess federal agencies' reliance on contractors and their ability to provide effective contract management and oversight
- Identify ways to improve NASA's acquisition of major space flight projects
- Identify critical skills gaps and related human capital issues across the government

**Table 13: Examples of Planned Work under Goal 3 (continued)***Accountability*

- Conduct annual financial audits of the IRS, SEC, FDIC, TARP, CFPB, FHFA, the Bureau of the Public Debt, and consolidated financial audit of the federal government
- Conduct audits of federal internal controls needed to ensure accountability over resources and payments, including improper payment controls
- Identify fraud, waste, and abuse in federal programs
- Assess the implementation of the GPRA Modernization Act

*Financial Effectiveness*

- Assess DOE's priorities for scientific investment
- Assess and promote the application and use of information technology (IT) investment management best practices across the government
- Review federal management and effectiveness in carrying out IT acquisition, development, and integration efforts

*Fiscal Condition of the Government*

- Evaluate government efforts to reduce the gap between taxes owed and taxes collected
- Review issues related to financing the federal government's growing debt

*Technology Assessments*

- Continue work on past areas of study, as deemed necessary by the Congress, potentially including topics such as homeland security, information technology, and climate change
- Expand to other areas as determined by congressional needs, including potential topics such as nanotechnology, synthetic biology, and hypersonic aviation

**Goal 4**

Our fourth goal is *to maximize the value of GAO by enabling quality, timely service to the Congress and being a leading practices federal agency* through an internal focus on improving efficiency and effectiveness in performing our work; maintaining and enhancing a diverse workforce; expanding collaboration to promote professional standards; and being a responsible steward of our resources.

**Leading GAO Office for Goal 4**

Chief Administrative Officer (CAO/CFO)

**Primary GAO Offices Contributing to Goal 4**

Controller and Administrative Services

Field Operations

Human Capital

Information Systems and Technology Services

Knowledge Services

Professional Development Program

**Supporting GAO Offices**

Applied Research and Methods

Strategic Planning and External Liaison

Congressional Relations

Opportunity and Inclusiveness

Quality and Continuous Improvement

Public Affairs

General Counsel

The following table presents selected accomplishments attributable to Goal 4 in fiscal year 2011.

**Table 14: Selected Goal 4 Accomplishments in Fiscal Year 2011**

Enhancing support for reporting on our work	<p>Continued to pilot our e-report format to provide faster and easier Internet access to key aspects of our reports</p> <p>Broadened our use of social media technologies to help reach new external audiences by launching Facebook and Flickr pages and increasing our use of Twitter to communicate our findings</p>
Promoting a fair and unbiased work environment	<p>Completed delivery of Part I and began Part II of our diversity training, which is focused on discussing team-specific areas of concern regarding diversity and inclusion, and developing solutions</p> <p>Issued a new Diversity and Inclusion statement</p> <p>Finalized the first comprehensive collective bargaining agreement with IFPTE, GAO Employees Organization, Local 1921, that sets the agreed-upon working conditions, processes, and rights of the parties</p> <p>Negotiated with IFPTE in good faith and worked constructively with our Employee Advisory and Diversity Advisory Committees to reach agreement on several specific agency actions that affect employee working conditions</p>
Enhancing professional standards and collaboration with others	<p>Worked with the International Organization of Supreme Audit Institutions (INTOSAI) to use the INTOSAI Journal to ensure broad understanding of new INTOSAI standards</p> <p>Leveraged relationships with leading organizations and experts to convene Comptroller General Forums to gather perspectives in areas of national concern—including municipal ratings and financial literacy</p> <p>Leveraged technology to enable our experts to provide “virtual presentations” at several intergovernmental audit forums</p>

Table 15 provides examples of work we plan to conduct during fiscal years 2012 and 2013 under Goal 4.

**Table 15: Planned Work under Goal 4**

*Human Capital Management*

- Implementing new performance-management and compensation systems
- Focusing on succession planning
- Shifting our training focus to provide more "just-in-time" training
- Fully implementing a new system that will support all essential HR functions, including self service and electronic workflow

*Engagement Efficiency*

- Completing an end-to-end analysis of our engagement process and implementing actions to significantly improve efficiency while maintaining adherence to essential quality standards
- Analyzing our staff utilization model and implementing changes to enhance our agility and responsiveness
- Continuing pursuing alternative methods for communicating the results of our work including significantly improving our ability to quickly and easily provide important content in easy-to-use formats

*Responsible Agency Stewardship*

- Continuing to pursue operational efficiencies in administrative support areas
- Conducting a pilot of expanded telework and workspace sharing that will reduce infrastructure costs and enhance employee flexibility

## Management Challenges

The Comptroller General, the Executive Committee, and other senior executives identify management challenges through the agency's strategic planning, management, internal control, and budgeting processes. We monitor our progress in addressing the challenges through our annual performance and accountability process. Under strategic goal 4, several performance goals and underlying key efforts focus attention on each of our management challenges. We use a balanced scorecard approach for quarterly monitoring of these and other critical initiatives, and we report each year on our progress toward our performance goals. Each year, we ask our Inspector General (IG) to examine management's assessment of the challenges and the agency's progress in addressing them.

For many years, we have focused high-level management attention on three challenges—physical security, information security, and human capital. For fiscal year 2012, we are removing the first two of these challenges, as we have advanced our security programs' maturity levels to a point where we have programs in place to adequately protect our people, property, and other assets; continuously monitor for threats; and respond as needed when new threats arise. We will continue focusing high-level management attention on human capital issues and have identified several high-priority areas for fiscal year 2012. In addition, as discussed in detail below, we have identified a new challenge related to improving the efficiency of our engagements process.

### Physical Security Challenge

We identified physical security as a management challenge in our 2001 Performance and Accountability Report as a result of the September 11, 2001, terrorist attacks and the anthrax incidents. We continued reporting physical security as a

challenge over the last 10 years because of the substantial effort necessary to put effective programs in place. In the ensuing years, we have implemented a multitude of actions to improve building and personnel security, including development of continuity of operations plans and disaster preparedness. While we still have several projects under way or planned to enhance our safety, security, and emergency preparedness functions, we believe that reporting physical security as a management challenge is no longer warranted. In our review of these programs for this year's report, we have determined that our programs are mature; meet federal requirements; and provide appropriate protections for our people, property, and other assets. Embedded in our programs are procedures for continuous monitoring of threats and changing requirements and practices, and processes for evolving our programs, as needed. We are confident that we have the ability to respond to and address new threats and emergencies as they arise.

### Information Security Challenge

Since our fiscal year 2002 Performance and Accountability Report, we have reported information security as a management challenge because of the magnitude of risk associated with weaknesses identified during internal reviews and independent evaluations of our information security program. For example, we did not have a comprehensive disaster recovery program dealing with the continuity of information technology (IT) services and had not implemented a comprehensive intrusion detection strategy to provide effective compensating security controls against malware and external threats. In addition, we needed to ensure that our policies and procedures were consistent with federal information-security governance.

Through sustained commitment and top leadership support, we have developed and implemented an information systems

security program that comprehensively addresses risks and provides for continuous evolution of our processes and controls. Of note, our program has been assessed by our IG every year since 2003 and, for the past 3 years, has been found to be consistent with the requirements of the Federal Information Security Management Act of 2002. As such, we have determined that reporting information security as a management challenge is no longer warranted. However, given the constantly evolving nature of information security threats, we will maintain management focus on continuing to support a robust security program.

#### **Human Capital Challenge**

Given the fiscal changes affecting federal agencies, we are facing an era of austere budgets and the associated effects on our ability to hire, retain, and motivate a top-performing workforce. At the same time, demand for our work remains high. While we have achieved many successes in recruiting and hiring top-notch diverse candidates, providing outstanding entry-level development training, and offering employees a wide range of highly desired benefits programs, it may be difficult to continue to build on these successes. As a result, the overarching human-capital challenge that we face now, and for the foreseeable future, is ensuring that we continue to support the mission of the agency with the right resources, where and when they are needed, in the face of declining budgets, and provide meaningful rewards and recognition needed to retain our highly skilled workforce. In order to ensure continued high-quality and timely service to the Congress in fiscal years 2012 and 2013, we will focus our efforts on a few top priorities to sustain an agile, well-trained, balanced, diverse workforce. These priority areas will include succession planning, focused training, targeted hiring, new performance management and compensation systems, and new technology

solutions to ensure accuracy and efficiency in human capital processes and management.

#### **Engagement Efficiency Challenge**

In fiscal year 2012, we will be addressing a new management challenge focused on improving the efficiency of how we conduct and support our engagements. With the many complex challenges facing the Congress and the nation and declining budgets—including our own—we need to look for ways to produce our reports and analyses more quickly and efficiently without sacrificing quality. To address this challenge, we have identified three areas of opportunity for improved efficiency and will be taking the following steps in these areas in fiscal years 2012 and 2013.

##### *Managing and conducting engagements.*

While we have relieved some administrative burdens in managing and conducting engagements by streamlining certain business processes and improving technology support, more work remains to significantly improve our efficiency. The way in which we plan and conduct our engagements has changed little over the years, and the business process for most types of GAO engagements is fundamentally the same. Accordingly, we have begun an end-to-end analysis of our engagement management process to identify areas for improvements in efficiency while maintaining adherence to essential quality standards.

*Utilizing resources.* Our highly professional workforce, which represents a broad array of disciplines, is our most important asset. Our work covers the breadth of government and requires that our employees frequently master intricate details of federal programs and agency operations to which they have sometimes had little previous exposure. Their ability to do so is a hallmark of a “GAO analyst” and is critical to our ability to respond to changing congressional

needs. However, we could do more to capitalize on our employees' flexibility and agility when assigning work. We need to improve our ability to multitask staff across multiple engagements, tapping needed skills and expertise where and when they are needed. As a result, we will evaluate our current model for utilizing staff on engagements and identify changes to enhance our agility and responsiveness.

*Communicating our message.* In recent years, the way in which the world communicates has changed dramatically as a result of electronic media. While our findings and conclusions are a standard of excellence and accepted authoritative statements on the functioning of federal agencies and programs, producing a typical GAO report can be made more efficient. Furthermore, the reports do not output with ease. We have made significant progress in the past year tailoring the presentation of the results of our work to be more web friendly; however, this process adds another step to an already multilayered report-writing and production process. In addition, we have tremendous amounts of valuable content in existing reports that could be quickly repurposed and in-house expertise that should be leveraged to inform Congressional decision making on key issues of national importance. Thus, we will continue to assess our clients' and audited agencies' key information needs and communication-style preferences, and explore alternative ways of meeting those needs that will enable us to deliver our products to the Congress and the public more efficiently and effectively, without sacrificing quality or context.

### Soliciting Input from Experts

We will continue to gather information and perspectives for our strategic and annual planning efforts through a series of forums, advisory boards, and panels; periodic scans

of international and national issues that affect the political and social environment in which we work; and our speakers' series.

GAO's advisory boards and panels will support our strategic and annual work planning by alerting us to issues, trends, and lessons learned across the national and international audit community that we should factor into our work.

During fiscal years 2012 and 2013, GAO will rely on the following:

The **Comptroller General's Advisory Board**, whose 40 or so members from the public, private, and nonprofit sectors have broad expertise in areas related to our strategic objectives.

The **Domestic Working Group**, which is composed of the Comptroller General and the heads of 19 federal, state, and local audit organizations that meet informally to exchange information and pursue opportunities to collaborate on accountability issues that impact all levels of government.

The **Global Working Group (GWG)**, which provides an opportunity for selected Auditors General from around the world to informally discuss emerging issues of concern, as well as to explore ways to work more closely together.

We also will continue to work with a number of issue-specific and technical panels to improve our strategic and annual work planning, such as the following:

The **Advisory Council on Government Auditing Standards**, which provides input and recommendations to the Comptroller General in his role of promulgating government auditing standards, popularly known as "the Yellow Book." These standards provide a framework for conducting high-quality audits with competence, integrity, objectivity, and independence. Audits performed in

accordance with these standards provide information used for oversight, accountability, transparency, and improvements in government programs and operations. The council's work has helped ensure that the revised standards being issued in December 2011 are generally accepted and feasible.

**The Accountability Advisory Council**, which is composed of experts from the financial management community, and advises GAO on vital and emerging issues related to federal financial management and performance/accountability reporting, primarily in conjunction with GAO's continued efforts to audit the U.S. government's consolidated financial statements.

**The Executive Council on Information Management and Technology**, whose members are experts from the public and private sectors and representatives of related professional organizations, and which helps us to identify high-risk and emerging issues in the IT arena.

**The Comptroller General's Educators' Advisory Panel**, composed of deans, professors, and other academics from prominent universities across the United States, which advises us on strategic planning matters and recruiting, retaining, and developing staff.

## Collaborating with Other Organizations

In addition to these formal advisory bodies, GAO also networks with federal, state, local, and international officials with similar or complementary missions, notably through organizations such as the following:

**The National Intergovernmental Audit Forum** and 10 regional intergovernmental audit forums through which we will consult regularly with federal inspectors general and

state and local auditors. The forum exists to improve coordination, communication, and cooperation among its members, private-sector firms, and other accountability organizations in order to address common challenges; enhance government performance, accountability, and transparency; and increase public trust.

**The Council of Inspectors General on Integrity and Efficiency**, a federal IG coordinating council created by statute in 2008 that combines what was formerly known as the President's Council on Integrity and Efficiency and the Executive Council on Integrity and Efficiency.

These collaborative relationships have been instrumental in facilitating GAO's audit work, coordinating work to avoid overlap and duplication of effort, and sharing best practices. In fiscal 2012 and 2013, GAO will plan and hold the 19th Biennial of Intergovernmental Audit Forum in June 2012 in the Washington, D.C., metropolitan area with expected participation from 500 inspectors general, state auditors, and local auditors that will convene to address common challenges and enhance government performance, accountability, and transparency.

GAO's primary vehicle for collaborating internationally is the **International Organization of Supreme Audit Institutions (INTOSAI)**—the professional organization of the national audit offices of 190 countries, plus the European Court of Auditors and several associate members. GAO will continue to be an active member of international teams working on INTOSAI's 2011–2016 strategic goals of enhancing (1) professional standards, (2) capacity building, (3) knowledge sharing, and (4) organizational excellence. For example, we participate in INTOSAI's knowledge sharing groups on public debt, information technology, environmental auditing, program evaluation, international money laundering and corruption, and key

national indicators. GAO chairs the 26-nation INTOSAI Task Force on the Global Financial Crisis, which serves as a forum to share knowledge about the causes and effect of the crisis.

By collaborating with others, we plan to continue strengthening professional standards, providing technical assistance, leveraging resources, and developing and disseminating best practices.

For example, in fiscal years 2012 and 2013, GAO plans to do the following:

- Continue GAO's strong partnership and leadership of the INTOSAI Task Force on the Global Financial Crisis. In Spring 2012, a joint meeting of the task force and the INTOSAI working group on public debt will be held in Washington.
- Continue to advance INTOSAI's capacity-building goal through the Comptroller General's Vice Chairmanship through 2013 of the steering committee overseeing implementation of the Donors Funding Initiative. This memorandum of understanding between INTOSAI and 16 donor organizations aims to coordinate efforts to strengthen Supreme Audit Institutions in developing countries. GAO will continue to play a significant role in focusing the agenda and the dialogue on the most critical issues. Meetings planned for 2012 could enhance the ability for the initiative to draw major funding for donors to support SAI capacity building, and result in matching of significant capacity building projects with interested donors.
- Continue to actively participate in development, implementation, and harmonization of International Standards of Supreme Audit Institutions (ISSAI) through GAO

membership in the subcommittees of INTOSAI's Professional Standards Committee.

- Directly build the capacity of national audit offices around the world through our 4-month International Audit Fellowship program. Since the program's inception in 1979, more than 400 officials from 110 countries have participated. GAO has received nominations for over 25 participants in the 2012 class.



**OPEN WORLD**  
LEADERSHIP CENTER

**Budget Justification Request for the  
Committee on Appropriations**

**Fiscal Year 2013**

**January 25, 2012**



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January 25, 2012

Dear Members of the Committee,

As outgoing Chairman of the Board of Trustees for the Open World Leadership Center, I would like to share with you my reflections on this extraordinary legislative branch program. Every year there are people who influence their communities; often the names of these people are unfamiliar to most of us around the globe. Yet these individuals have leadership qualities that inspired others and enabled them to take action, to give voice to perceived inequities and to participate in a process that makes governments more accountable to their citizens.

The Open World program gives emerging leaders the opportunity to come to the United States, discuss policy, and trade expertise with leaders in communities spread across our country. It allows the informed electorate of the United States to interact with and influence talented, capable individuals from across Eastern Europe and Eurasia.

As they see Americans of all walks of life forming American values and engaging with their elected officials, Open World participants reexamine their plans and goals as they gain a new perspective by engaging with their counterparts here in the United States. Open World is not a technical assistance program, but a mirror of ourselves, reflecting our best qualities. And these visiting civic and political leaders hear our fresh voices that, by tradition and national inclination, question the status quo and challenge our priorities, just as Americans for over two centuries have done. It is a lesson best shown not told, and in the showing has had profound effect on our program participants.

The Open World program is timeless and without borders in that it promotes personal aspirations, yet it is current and local in its applications and adaptability to the winds of change. It is a must to help America maintain its status as a foremost world power. Finally, the Open World program leads to the heart of understanding among people and nations and highlights our respect of all cultures, those that have contributed to our great nation and those around the globe.

Sincerely,

A handwritten signature in black ink that reads "James H. Billington". The signature is fluid and cursive, with the first name being the most prominent. Below the signature, the name "James H. Billington" is printed in a standard serif font.

James H. Billington

Open World Leadership Center

101 Independence Ave SE • 4th Floor • Capitol Hill • Washington, DC 20540 • 202 707 8943 • [www.openworld.gov](http://www.openworld.gov)

## II. Introduction

By the end of calendar year 2013, the Open World Leadership Center will have brought over 20,000 rising leaders from fourteen former Soviet bloc countries<sup>1</sup> to engage their American counterparts in professional exchanges. This growing network, where many continue their relationships with each other and with their American counterparts, enables the impact of the Open World program to continue far beyond the eleven-day program in the United States. With the continued support of the Congress, Open World host families will once again open their homes to help sustain this successful congressional program that focuses on a region of profound interest to U.S. foreign policy.

Open World alumni continue to rise in leadership positions in their home countries, bringing about changes from the periphery in and the bottom up. The Center tracks results inspired by their Open World experience using categories, such as partnerships with, and benefits for Americans. Since launching this effort in 2007, the Center has identified more than 5,300 results. To that end, continued Congressional support will build on the strong and vigorous groundwork already laid in the previous twelve years.

Since its inception in 1999, Open World remains the only international exchange agency in the Legislative Branch serving Members of Congress in both chambers. As a resource, the Center is available to all Members, their staff, and their constituents for information, consultation, and introduction to any Open World country. As a unique asset, it is positioned to assist the Congress in its foreign policy and oversight responsibilities. Finally, as an investment, the Center gives Congress and the American people a direct line to the future leaders of these countries.

Open World has served the Congress well, earning strong bipartisan and bicameral support. Funding Open World's 2013 budget request of \$10 million will allow this powerful global network to make a significant and positive mark on events in this strategically important region.



*Russian delegation visiting Frankfort observing a session of the Kentucky Legislature*

<sup>1</sup> Armenia, Azerbaijan, Belarus, Georgia, Kazakhstan, Kyrgyzstan, Lithuania, Moldova, Russia, Serbia, Tajikistan, Turkmenistan, Ukraine, Uzbekistan

### III. Budget Overview

#### FY 2013 Budget Request: \$10 million

Open World offers an extraordinary “bang for the buck”, serving as a model of efficiency, cost-effectiveness and value. The Center boasts an overhead rate of 7% with 93% of its annual expenditures going directly to program costs. The Center investigates every opportunity for savings and diligently manages its fiscal operations with a view to reducing costs while maintaining program quality.

The Center is committed to employing a series of best practices to develop the most cost-efficient and effective means to accomplish our mission. We have internal controls to ensure program quality, including pre- and post-program report follow-up, weekly teleconferencing with our logistical contractor, grantees, and local hosts. We use a zero-based budget approach to every contract, every grant budget, as well as the Center’s annual operating budget. The Center actively seeks cost-sharing partnerships with other government initiatives whose missions complement ours. The U.S. Agency for International Development, the U.S. Department of Energy and the U.S. Embassies in Armenia, Turkmenistan, and Ukraine have all joined with the Open World Leadership Center in either directly hosting or funding of a number of our delegations. By using this approach with the Department of Energy, for example, the Center was able to offer one of our most successful programs, the non-proliferation program, at half the cost to Open World.

Open World’s rigorous efforts to maintain high program quality, to work with dedicated and well-run national and local hosting organizations, and to spend federal dollars wisely and responsibly have resulted in a highly competitive grant process. Interest in hosting an Open World delegation remains vibrant within the American hosting community. For the 2012 grant proposal cycle, demand for hosting Open World delegations is up to three times the supply of available hosting slots.

Open World strongly encourages grantees to costshare, making it part of our annual competitive proposal process. For example, in 2011, Supporters of Civil Society in Russia (SCSR), the American partner of the prestigious Moscow School of Political Studies (MSPS), contributed \$95,000 toward lodging, meals, interpretation services, and other goods and services—53 percent of the total U.S. programming cost—to bring a group of 28 emerging Russian leaders in May to St. Louis and another group of 28 in October to

Chicago for intensive accountable governance programming. Open World awarded a 2012 grant to SCSR to host again in both of these locations with a similar cost share. The



*Head of the Michigan Press Association greets delegate from the Russian republic of Buryatia.*

search for cost-sharing partners with common or overlapping goals creates an environment beneficial for all participants and allows Open World grant funds to go farther.

The dedicated and enthusiastic American citizens who host program participants in their homes and communities provide major support to the Open World program. Private American citizens freely provide social events, community-wide activities, housing, and most meals for participants. Without this in-kind support, the cost of hosting Open World delegations would be substantially higher and the Center would have brought far fewer delegates on this important program.



*Open World hosts greet their delegates at the Denver International Airport.*

In 2010, the hosting of Open World participants in homes throughout the United States and a significant contribution from the Center's logistical contractor saved the Center an estimated \$2.3 million. To date, almost 7,100 American families in 2,000 communities in all fifty states have hosted Open World delegations. The appendices list the local host organizations, U.S. federal judges, and national host organizations (grantees) who have acted as hosts for an Open World delegation.

Open World is government's partnership with the American people, providing them with the opportunity to bring the world into their homes, not experiencing world events through media, rather through face-to-face interaction. In conclusion, the fiscal year 2013 budget request will enable the Open World Leadership Center to continue to make major contributions to an understanding of democracy, civil society, and free enterprise in a region of vital importance to the Congress and the nation.

#### IV. Budget Request Detail

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

Open World spends its appropriation in two categories: Direct Program Costs and Administration Costs. Direct Program Costs includes: a logistical coordinator contract; grants to host delegations in the United States; and the salary and benefits of the Center's D.C. and Moscow staff as follows:

Executive Director	— Senior Level	50% Direct Program
Budget Officer	— GS 14	15% Direct Program
Public Affairs Officer	— GS 13	15% Direct Program
Program Managers (3)	— GS 13	100% Direct Program
Administrative Specialist	— GS 9	5% Direct Program
Foreign Service Nationals (FSN) (2)		100% Direct Program

This is the minimum staff level required to manage 1,200 participants in a program year. Each Program Manager handles between four and ten grantees and between 400 and 450 participants. They coordinate all aspects of the delegation from initial nominations, selection and vetting; approving the program agenda in Washington, DC; and planning and monitoring activities in the host community. The staff in the U.S. Embassy in Moscow are critical in coordinating nominations and selections, program development, and relations with in-country officials.

The Center works closely with its grantees to capture any possible reductions or savings in costs. For example, we work with grantees to find professional interpreters at competitive rates and we require costsharing in every grant proposal. We work closely with our logistical contractor to find the best airfares, to keep staff costs at a minimum, and to find savings wherever possible.

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

##### A. Direct Program — \$ 9,689,372

1.	Logistical Contract	5,720,000
2.	Grants/Other Hosting Costs	3,283,450
3.	Salary/Benefits	685,922

The logistical services contract with a Washington-based NGO is the single largest expenditure at Open World. This contractor is responsible for coordinating the

delegate nomination and vetting process and is tasked with obtaining visas and other travel documents; arranging and purchasing airfare; planning and executing the two-day D.C. orientation, and coordinating with grantees and placing delegates in American host cities, among a host of other duties.

Grants/Other Hosting Costs refer to national and local hosting organizations (such as Rotary Club, Friendship Force International, and community colleges) that plan and execute an 8-day local program for each delegation. This category also includes agreements with other agencies to execute programs and costs associated with the Center's own management of delegations (usually in tandem with an Embassy).

**B. Administration — \$ 773,501**

1.	Salary/Benefits	408,255
2.	Services of Other Agencies	182,000
3.	Professional Services	146,640
4.	Miscellaneous Office	36,606

This category includes an interagency agreement with the Library of Congress for infrastructure services, small contracts for professional services, postage, telephone, cell phones, and office supplies and materials. The Center benefits from lower administrative costs due to its physical location in the Library of Congress.

**TOTAL BUDGET: \$10,462,873<sup>2</sup>**

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<sup>2</sup> The amount over \$10 million shown here will be covered by donations and other offsets.

## V. Conclusion

*Serving as a facilitator for the second time, I got absolutely convinced how useful and exciting the program is...I have no doubt that such visits leave everlasting traces in their memories and inspire them to work even harder for the benefit of their local communities.*

*Excerpted from Open World Facilitator Report*

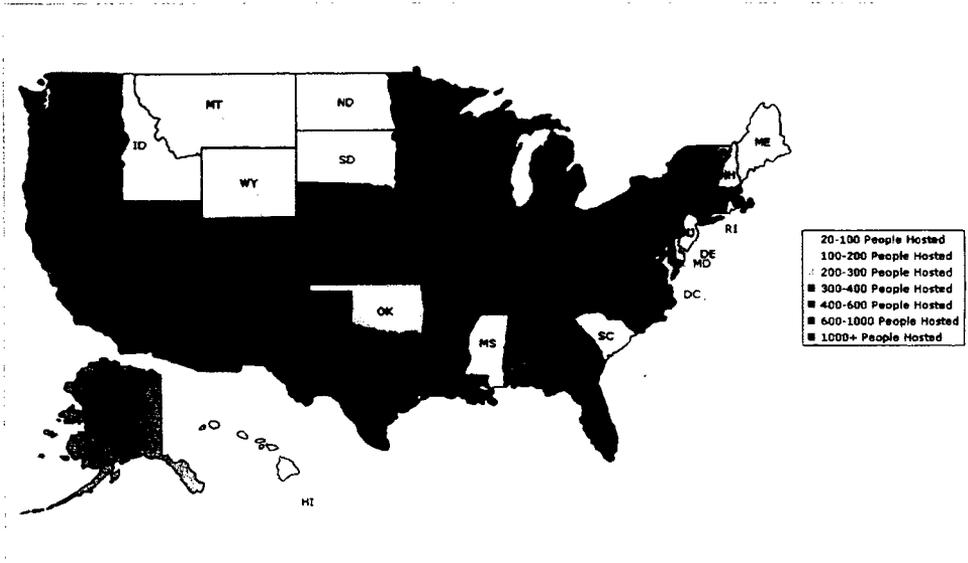


*An Uzbek journalist published "Two-Storyed America," an account of his Open World experience.*

There is no more important moment for the Open World program than at this seminal point in post-Soviet history, with the citizenry of those countries now grappling with the importance of freedom and democratization in the building of a fair, successful, and prosperous society. The momentum of history is in the hands of more than 18,000 progressive minded alumni that have seen, first hand, the role that legislatures play in building every aspect of society.

Open World has demonstrated that the popular Russian phrase "Mir tecen"—*it's a small world*—is the current reality and that every dollar spent on this Congressional program is an investment that the Congress has made with multiple and profitable returns, including the spreading of best practices and the improved political relationships that familiarity brings.

# Host States 1999-2011



## Appendix A      Local Host Organizations by State

- Alabama**
- Birmingham International Center
  - Birmingham Sister Cities Commission – Ukraine Committee
  - Birmingham Southern College
  - Friendship Force of Birmingham
  - Friendship Force of Huntsville
  - Friendship Force of Montgomery
  - International Services Council of Alabama
  - National Peace Foundation
  - Rotary Club of Montgomery
  - U.S. District Court for the District of Alabama
  - University of Alabama Huntsville, Office of International Programs and Services
- Alaska**
- Alaska Commission on Judicial Conduct
  - Alaska Court System
  - Alaska State Legislature
  - Alaska/Khabarovsk Rule of Law Partnership
  - Anchorage International Rotary Club
  - Pacific Environment
  - Prince William Sound Regional Citizens' Advisory Council
  - Rotary Club of Homer Kachemak Bay
  - Rotary Club of Juneau
  - U.S. District Court for the District of Alaska
- Arizona**
- Arizona Supreme Court
  - Corporate Education Consulting, Inc.
  - East Mesa Branch, American Association of University Women
  - Friendship Force of Central Arizona
  - Flagstaff Sister Cities Organization
  - International Training and Consulting, Inc.
  - Kingman Route 66 Rotary Club
  - People to People International. Greater Phoenix, Arizona Chapter
  - Pima Community College
  - Rotary Club of Fountain Hills
  - Rotary Club of Sun City West
  - Tucson-Almaty Sister Cities Committee
  - U.S. Bankruptcy Court for the District of Arizona
  - U.S. District Court for the District of Arizona
- Arkansas**
- Arkansas Council for International Visitors
  - Arkansas River Valley Regional Library
  - Arkansas State University Mountain Home
  - League of Women Voters of Washington County, AR
  - North Little Rock Chapter, American Association of University Women

- Arkansas (cont'd)** Rotary Club of Bentonville  
 Rotary Club of Bella Vista Noon  
 Sebastian County Bar Association  
 The Jonesboro Sun  
 United Methodist Church  
 University of Arkansas School of Law
- California** American Association of University Women  
 Alusha-Santa Cruz Sister County Support  
 American-Azeri Council  
 Brubeck Institute at the University of the Pacific  
 Center for Safe Energy  
 Citizen Diplomacy Council of San Diego  
 Congress of Russian Americans, Stanford University  
 City of Santa Cruz Sister Cities Committee  
 County of Santa Clara/Moscow Sister County Commission  
 Earth Island Institute: Baikal Watch  
 Estate Financial, Inc.  
 Friendship Force of Kern County  
 Greater Los Angeles Chapter of People to People International  
 Hartnell College Foundation  
 Hollywood Rotary Club  
 Independent Television Services  
 International Visitors Council of San Diego  
 International Visitors Council of Los Angeles  
 Kidsave International  
 League of Women Voters of Claremont  
 League of Women Voters of Los Angeles  
 League of Women Voters of Piedmont  
 League of Women Voters of San Luis Obispo  
 Livermore Rotary Club  
 Long Beach/Sochi Sister City Association  
 Los Altos Rotary Club  
 Los Angeles-Saint Petersburg Sister City Committee  
 Merced Sunrise Rotary Club  
 Modesto Sister Cities International  
 Northern California World Trade Center  
 Oakland/Nakhodka Sister City Association  
 Pacific Environment  
 Paso Robles Rotary Club  
 Rotary Club of Del Amo  
 Rotary Club of Manhattan Beach  
 Rotary Club of Nevada City  
 Rotary Club of Oakland  
 Rotary Club of Palos Verdos  
 Rotary Club of Pasadena  
 Rotary Club of Paso Robles

**California (cont'd)** Rotary Club of Rancho Cucamonga  
 Rotary Club of San Pedro  
 Rotary Club of Santa Cruz  
 Rotary Club of the High Desert  
 Rotary Club of Turlock  
 Rotary Club of Westlake Village  
 Russian American Business and Arts Council  
 Sacramento City College, International Studies Program  
 Sacramento Council for International Visitors  
 San Diego-Vladivostok Sister City Society  
 Santa Cruz Sister Cities  
 Sebastopol World Friends, Chyhyryn Committee  
 Sonoma City Opera  
 Tahoe-Baikal Institute  
 U.S. Bankruptcy Court for the Eastern District of California  
 U.S. Bankruptcy Court for the Northern District of California  
 U.S. Court of Appeals for the Ninth Circuit  
 U.S. District Court for the Central District of California  
 U.S. West Coast-Russian Far East  
 University of California Los Angeles Department of Information  
 Studies  
 University of the Pacific McGeorge School of Law  
 Wilshire-Rotary Club of Los Angeles

**Colorado** Boulder-Dushanbe Sister Cities  
 Breakfast Rotary Club of Fort Collins  
 Centennial Rotary Club  
 Colorado Springs Sister Cities International  
 CROSSwalk People Helpers  
 Denver Tech Center Rotary Club  
 Evergreen Rotary Club  
 Fremont County and Valdai Sister City Association  
 Friendship Force of Greater Denver  
 Friendship Force of Northern Colorado  
 Institute of International Education, Rocky Mountain Regional  
 Center  
 League of Women Voters of Boulder County  
 Peace Links  
 Research Management Consultants, Inc.  
 Rotary Club of Aspen  
 Rotary Club of Denver  
 Rotary Club of Golden  
 Rotary Club of Longmont  
 Rotary Club of Parker  
 Rotary Club of Westminster 7:10  
 Smoky Hill Rotary Club  
 Telluride Film Festival

- Colorado (cont'd)** U.S. Bankruptcy Court for the Northern District of California  
U.S. Court of Appeals for the Tenth Circuit  
Vail Rotary Club
- Connecticut** Colchester Rotary Club  
Connecticut-Pskov Rule of Law Partnership Committee  
Friendship Force of Southern Connecticut  
International Visitors Committee of Connecticut  
League of Women Voters of Canton, CT  
State of Connecticut Judicial Branch Court Support Services  
Division  
University of Connecticut Global Training and Development  
Institute  
Yale School of Drama
- Delaware** Delaware Justice of the Peace Courts  
University of Delaware Library
- District of Columbia** Academy for Educational Development  
American Foreign Policy Council  
Center for Democracy  
Center for International Programs (Valbin)  
Center for Law and Social Policy  
Global Arts Network  
Hillwood Estate Museum and Gardens  
Historic Preservation Office, District of Columbia Office of  
Planning  
League of Women Voters of the United States  
National Peace Foundation  
Rotary Club of Washington, DC  
Vital Voices Global Partnership  
Women in Politics Institute, American University
- Florida** American Association of University Women of Sarasota  
Cantonment Rotary Club  
Eckerd College  
Eleventh Judicial Circuit of Florida  
Enter-Met Thermochemical Engineers, Inc.  
Florida Suncoast Friendship Force Club  
Friendship Force International  
Friendship Force of Greater Orlando  
Friendship Force of Sarasota  
Gulf Coast Citizen Diplomacy Council  
GlobalJAX (formerly Jacksonville International Visitor Center)  
International Council of Central Florida, Inc.  
Jacksonville Sister Cities Association

**Florida (cont'd)**

Lakeland Sister Cities International, Inc.  
 League of Women Voters of Broward County, FL  
 Miami Council for International Visitors  
 Miami Dade College  
 Rotary Club of Brandon South  
 Rotary Club of Coral Springs  
 Rotary Club of Seminole County South  
 Rotary Club of Tallahassee  
 Rotary Club of Tampa/Tampa Armature Works  
 Rotary Club of Weston, FL  
 Sister City Program of Gainesville, Inc  
 St. Petersburg College  
 Stetson College of Law  
 Tallahassee Community College  
 Tampa Law Center  
 U.S. Bankruptcy Court for the Southern District of Florida  
 U.S. Court of Appeals for the Eleventh Circuit  
 U.S. District Court for the Middle District of Florida  
 University of Miami School of Law  
 University of South Florida Health Science Center

**Georgia**

Addiction Recovery Institute  
 Alston and Bird One Atlantic Center  
 Atlanta-Tbilisi Sister City Committee  
 Citizen Diplomat Corps  
 Columbus-Zugdidi Sister Cities  
 Community Service Board of DeKalb  
 Emory University School of Law  
 Friendship Force of Decatur, Georgia  
 Friendship Force of Greater Atlanta  
 Friendship Force of Hartwell, Georgia  
 Georgia Council for International Visitors  
 Georgia to Georgia Foundation  
 Hall, Booth, Smith & Slover, P.C.  
 Juvenile Court of Clayton County  
 League of Women Voters of Atlanta-Fulton County  
 National Peace Foundation  
 Office of International Affairs, Emory University  
 Rotary Club of Duluth  
 Rotary District 6920  
 Toccoa/Stephens County Chamber of Commerce  
 World Health Organization Collaborating Center in Reproductive  
 Health, Emory University School of Medicine

- Hawaii** International Peace and Friendship  
Kapiolani Community College  
Rotary Club of Honolulu  
U.S. District Court for the District of Hawaii
- Idaho** Boise State University, International Programs  
Idaho Council for International Visitors  
International Jazz Collections  
Lionel Hampton International Jazz Festival, University of Idaho  
Rotary Club of Boise
- Illinois** American Association of University Women of Carbondale  
Chicago Jazz Ensemble, Columbia College  
Chicago Sister Cities International Program  
Council of International Programs – Chicago  
Columbia College Chicago  
Council of International Programs in Chicago  
Friendship Force of Northern Illinois  
Heartland International  
International Cultural Educational Association  
International Visitors Center of Chicago  
League of Women Voters of Lake Forest, IL  
League of Women Voters of McLean County, IL  
League of Women Voters of Oak Park, IL  
Otto and Associates  
Rotary Club of Chicago  
Rotary Club of Springfield  
Russian, East European, and Eurasian Center, University of Illinois  
at Urbana-Champaign  
Springfield Commission on International Visitors  
U.S. District Court for the Northern District of Illinois  
U.S. Court of Appeals for the Seventh Circuit  
U.S. District Court for the Central District of Illinois  
Vladimir/Canterbury Sister City Association of Bloomington-  
Normal  
WorldChicago
- Indiana** Beyond Borders Global Connections  
Indiana Government Center South  
Indiana Judicial Center  
Indiana Supreme Court  
Indiana University School of Public and Environmental Affairs  
International Center of Indianapolis  
Lafayette Rotary Club  
Marion County Law Library  
Muncie Sunrise Rotary Club  
Office of the Indiana Attorney General

- Indiana (cont'd)**
- Resource Foundation, Inc.
  - Rotary Club of Bedford, Indiana, District 6580
  - Rotary Club of Carmel
  - Rotary Club of Columbus
  - Rotary Club of Indianapolis
  - Rotary Club of Jeffersonville
  - Sigma Theta Tau International Nursing Honor Society
  - Sister Cities of Richmond, Indiana
  - U.S. Court of Appeals for the Seventh Circuit
  - Vincennes Rotary Club
- Iowa**
- Community Sister City Organization (Osage)
  - Council Bluffs Tobolsk Sister City Association
  - Council for International Visitors to Iowa Cities
  - Creating Great Places
  - Friendship Force of Cedar Rapids/Iowa City
  - Genesis Medical Center
  - Grinnell Renaissance
  - International Training, Education and Business Services and Associates, LLC
  - International Writing Program at the University of Iowa
  - Iowa Council for International Understanding
  - Iowa Sister States
  - League of Women Voters of Ames, Iowa
  - Marshalltown Medical and Surgical Center
  - Marshalltown Sister Cities
  - Mary Greely Medical Center
  - Mercy Medical Center
  - Mt. Pleasant Public Library
  - Muscatine Sister Cities, Inc.
  - Myrtue Memorial Hospital
  - OPEN (Organization Promoting Everlasting Neighbors)
  - People to People International, Oscaloosa Chapter
  - Rotary Club of Des Moines
  - Siouxland Community Health Center
  - Skiff Medical Center
  - Southeastern Community College
  - St. Luke's Hospital
  - U.S. District Court for the Southern District of Iowa
  - Van Buren County Hospital
- Kansas**
- Andover Rotary Club
  - Center for Russian, East European and Eurasian Studies at the University of Kansas
  - Dodge City Public Library
  - El Dorado Rotary Club
  - Emporia State University

- Kansas (cont'd)** Friendship Force of Kansas  
 Honors Leadership Academy, Neosho County Community College  
 Johnson County Library  
 Kansas District Court  
 Larned Rotary Club  
 League of Women Voters, Wichita Metro  
 Leawood Rotary Club  
 Rotary Club of Shawnee  
 Rotary Club of Topeka  
 Rotary Club of West Wichita  
 U.S. District Court for the District of Kansas  
 Winfield Rotary Club
- Kentucky** Health Services Management, University of Kentucky  
 Bluegrass Community and Technical College  
 Friendship Force of Western Kentucky  
 Kentucky Community and Technical College System  
 Kentucky World Trade Center  
 Louisville International Cultural Center  
 Sister Cities of Louisville, Inc.  
 U.S. District Court for the Western District of Kentucky  
 University of Louisville School of Music  
 World Affairs Council of Kentucky & Southern Indiana
- Louisiana** Contemporary Arts Center, New Orleans  
 Council for International Visitors of Greater New Orleans  
 Louisiana State University, Department of History and Social  
 Sciences  
 New Orleans Citizen Diplomacy Council  
 Rotary Club of Harahan  
 Rotary Club of Shreveport  
 Shreveport Bar Association  
 Turkmenistan Youth and Civic Values Foundation  
 U.S. District Court for the Middle District of Louisiana  
 U.S. District Court for the Western District of Louisiana
- Maine** American Association of University Women of Caribou  
 Greater Portland Russian Sister City Project (Archangel  
 Committee)  
 Kotlas-Waterville Area Sister City Connection  
 Maine Supreme Judicial Court  
 Maine/Arkhangelsk Rule of Law Partnership Committee  
 Rotary Club of Portland  
 U.S. District Court for the District of Maine  
 University of Maine School of Law  
 University of Southern Maine, American-Caucasus Workgroup  
 Verill & Dana, LLP

**Maryland**

American Association of University Women of Rockville  
 Baltimore-Odesa Sister City Committee  
 Center for Democracy and the Interpretation of Civil Society,  
 St. Mary's College of Maryland  
 Center for International Programs  
 Community College of Baltimore County  
 Cultural Vistas  
 Director of International Affairs/Mayor's Office  
 Ferguson Foundation  
 Frederick Community College  
 Friends of Chernobyl Centers, U.S. (FOCCUS)  
 Harford Community College  
 Howard Community College  
 International Education Associates  
 League of Women Voters Baltimore City  
 League of Women Voters of Baltimore County  
 League of Women Voters of Calvert, Maryland  
 Maryland/Leningrad Oblast Rule of Law Partnership  
 Maryland Sister States Program  
 Montgomery County Sister Cities  
 National Council for the Traditional Arts  
 National Peace Foundation  
 Parole Rotary Clubs  
 Rotary Club of Towsontowne  
 Rotary District 7620  
 U.S. District Court for the District of Maryland  
 Westminster Branch, Carroll County Public Library  
 World Trade Center Institute, International Visitors Program

**Massachusetts**

Berkshire Community College  
 Cape Cod Community College  
 International Center of Worcester  
 Jacob's Pillow Dance  
 Kanfer Legal LLC  
 Massachusetts Superior Court  
 Massachusetts Supreme Judicial Court  
 Massachusetts Trial Court, Probate and Family Court Department  
 Massachusetts/Tomsk Rule of Law Partnership Committee  
 Mount Holyoke College  
 Rotary Club of Scituate, MA  
 Rotary Club of West Springfield  
 Rotary International District 7950  
 The Altai Project  
 U.S. Bankruptcy Court for the District of Massachusetts  
 U.S. Court of Appeals for the First Circuit  
 U.S. District Court for the District of Massachusetts  
 University of Massachusetts Medical School

**Massachusetts (cont'd)**

University of Massachusetts Amherst Institute for Global Health  
WorldBoston

**Michigan**

Andrews University  
Colleagues International, Inc.  
Detroit Metropolitan Bar Association  
Eastern Michigan University School of Social Work  
Ellen Thompson Women's Health Center  
Friendship Force of Greater Lansing, Michigan  
Grand Rapids Public Schools  
Hillsdale Community Library  
Interlochen Center for the Arts, Education Department  
International Visitors Council of Metropolitan Detroit  
Kalamazoo-Pushkin Partnership Committee  
Lithuanian-American Community, Inc.  
Livingston Sunrise Rotary Club  
Midland Chapter of People to People International  
Pittsfield Charter Township  
Portage Lake District Library  
Rotary Club of Downtown Grand Rapids  
Rotary Club of Grand Rapids  
Sister Cities of Flint  
Ukrainian National Women's League of America Detroit  
U.S. District Court for the Eastern District of Michigan  
University of Michigan  
Washtenaw County Prosecutor's Office

**Minnesota**

Alliance for Democracy - Minnesota  
Connect/US-Russia  
Duluth/Petrozavodsk Committee, Duluth Sister Cities International  
Friends of Houston Nature Center  
International Visitors Center of Jackson  
La Crosse Dubna Friendship Association  
Lake Superior Medical Society  
League of Women Voters of Duluth  
League of Women Voters of Edina  
League of Women Voters of Minneapolis  
League of Women Voters of St. Paul  
Martin County Library System  
Minnesota AIDS Project  
Minnesota Alliance of Peacemakers  
Minnesota State University  
Minnesota State University Moorhead  
Minnesota Supreme Court  
North Country Health Services  
North County Regional Hospital

- Minnesota (cont'd)** Peace Corps-Ukraine  
 Plymouth Church Global Connections Committee  
 Rainy River Community College  
 Rotary Club of Hibbing  
 Rotary Club of White Bear Lake  
 Rural AIDS Action Network (RAAN)  
 U.S. Bankruptcy Court for the District of Minnesota  
 U.S. District Court for the District of Minnesota  
 Women in Business
- Mississippi** International Visitors Center of Jackson  
 Mississippi Consortium for International Development  
 Moss Point Rotary Club  
 University of Mississippi
- Missouri** All Species Project  
 City of Columbia, Public Communications Office  
 Friendship Force of Missouri-St. Louis  
 Greater St. Louis-Samara Sister City Committee  
 Harry S. Truman School of Public Policy Affairs  
 International Visitors Council of Greater Kansas City  
 Kansas City Plaza Rotary Club  
 League of Women Voters of Kansas City, Mo., Jackson, Clay, and  
 Platte Counties  
 League of Women Voters of Sedalia-Pettis County  
 League of Women Voters of Southwest Missouri  
 Lee's Summit Sunrise Rotary  
 People to People International  
 Rotary Club of Webster Groves  
 St. Louis Sister Cities  
 Supporters of Civil Society in Russia, Inc  
 World Affairs Council of St. Louis
- Montana** Advisory Commission on International Relationships for City of  
 Great Falls  
 Friendship Force International  
 Montana Center for International Visitors  
 National Peace Foundation of Missoula
- Nebraska** Arts Industry Coordinator/Nebraska Arts Council  
 Friendship Force of Eastern Nebraska  
 Friendship Force of Lincoln  
 Grand Island Area Council for International Visitors  
 Heartland Family Service  
 Kiwanis Club of Omaha, Nebraska  
 Omaha Sister Cities Association  
 Rotary Club of Omaha

- Nebraska (cont'd)** U.S. District Court for the District of Nebraska  
University of Nebraska Medical Center College of Nursing
- Nevada** Northern Nevada International Center  
Rotary Club of Las Vegas  
U.S. District Court for the District of Nevada
- New Hampshire** Friendship Force of the New Hampshire Seacoast  
International Cultural Education Association  
New Hampshire Supreme Court; Office of the General Counsel  
New Hampshire/Vologda Rule of Law Partnership Committee  
Portsmouth/Severodvinsk Connection  
Public Defender, New Hampshire Public Defender's Office  
Rotary Club of Bow, New Hampshire  
World Affairs Council of New Hampshire
- New Jersey** Camden County Library  
City of New Brunswick  
Cross Cultural International Institute  
Global Education Center at Montclair State University  
League of Women Voters of Montclair, New Jersey  
Monmouth University Institute for Global Understanding and  
Department of Political Science and Sociology  
Ocean County Library  
Phillipsburg Free Public Library  
Princeton University, Department of Slavic Languages and  
Literatures  
Rotary District 7470  
Rutgers University School of Law  
Rutgers University School of Communication and Information  
U.S. District Court for the District of New Jersey
- New Mexico** Albuquerque/Ashgabat Sister Cities Committee  
Los Alamos and Sarov Sister Cities Initiative  
National Peace Foundation  
People to People International, New Mexico Chapter  
Rotary Club of Las Cruces  
Santa Fe Council on International Relations  
Thomas Branigan Memorial Library  
U.S. Bankruptcy Court for the District of New Mexico  
U.S. District Court for the District of New Mexico
- New York** Albany Law School  
Albany-Tula Alliance  
American Dance Festival  
Benjamin N. Cardozo School of Law, Yeshiva University  
Brooklyn College Library

- New York (cont'd)**
- Buffalo-Tyler Sister Cities, Inc
  - CDS International, Inc.
  - CEC ArtsLink
  - Cornell University
  - Criminal Court for the Seventh Judicial District
  - Doctors of the World-USA
  - Fayetteville-Manlius Rotary Club
  - Friendship Force of Smithtown
  - Greater Rochester Area Branch of American Association of University Women
  - Hofstra University School of Law
  - International Center of Syracuse
  - International Film Seminars, Inc.
  - International Institute of Buffalo
  - Irondequoit-Poltava Sister Cities
  - League of Women Voters of the Onconta Area, New York
  - Leaguc of Women Voters of the Rochester Metropolitan Area
  - League of Women Voters of Saratoga County
  - Lincoln Center Directors' Lab
  - Linkages of Rochester, Inc.
  - Multicultural Resource Center
  - New York State Unified Court System, Office of Court Administration
  - Newcomb Central School District
  - Public Relations Kingsborough Community College
  - Rotary Club District 7230
  - Rotary Club of Shenendehowa
  - Saratoga Springs Public Library
  - Saratoga Springs/Chekhov Sister City International, Inc
  - State University of New York Plattsburgh
  - Town of Johnsbury Library
  - U.S. District Court for the Eastern District of New York
  - U.S. District Court for the Northern District of New York
  - U.S. District Court for the Western District of New York
  - U.S. Court of International Trade
  - Western New York/Novgorod Rule of Law Partnership Committee
- North Carolina**
- American Dance Festival
  - Ashville Sister Cities, Inc.
  - Blue Ridge Environmental Defense League
  - Charlotte East Rotary Club
  - Charlotte Sister Cities
  - DeWitt Wallace Center for Communications and Journalism – Duke University
  - Durham-Kostroma Sister Cities Association
  - Friendship Force of Central North Carolina

**North Carolina (cont'd)**

Friendship Force of Charlotte  
 Friendship Force of Western North Carolina  
 Institute for Global Collaboration, Forsyth Technical Community  
 College  
 International Affairs Council  
 International House of Metrolina  
 League of Women Voters of Charlotte-Mecklenberg  
 People for World Change  
 Rotary Club of Franklin  
 Rotary Club of Statesville  
 SCIAN-Institute for Scientific Policy Analysis  
 The U.S.-Russia Mayor to Mayor Program  
 University of North Carolina at Chapel Hill, Department of Slavic  
 Languages and Literatures  
 Western North Carolina Peacekeepers

**North Dakota**

Minot Area Council for International Visitors  
 North Dakota State College of Science  
 Peace Lutheran and Our Savior's Lutheran Churches

**Ohio**

Akron International Friendship  
 Athens Center for Film and Video  
 Cincinnati-Ukraine Partnership  
 Cleveland Council on World Affairs  
 Cleveland International Program  
 Cleveland State University College of Law  
 Columbus International Programs USA  
 Friendship Force of Dayton  
 Great Lakes Consortium for International Training and  
 Development  
 Global Cincinnati  
 International Visitors Council of Columbus  
 International Visitors Council of Greater Cincinnati  
 League of Women Voters of Clermont County  
 League of Women Voters of Columbus  
 League of Women Voters of the Greater Dayton Area  
 Ohio Employee Ownership Center  
 Sister Cities Committee, Toledo Sister Cities International  
 Supreme Court of Ohio  
 U.S. District Court for the Northern District of Ohio  
 U.S. District Court for the Southern District of Ohio

**Oklahoma**

American Association of University Women, Tahlequah  
 Friendship Force Oklahoma  
 Habitat for Humanity, Tahlequah  
 International Visitors Committee

- Oklahoma (cont'd)** League of Women Voters of Bartlesville  
 Redlands Community College  
 Rotary Club of Oklahoma City  
 Rotary Club of Tahlequah  
 Southeastern Public Library System of Oklahoma  
 Tulsa Global Alliance  
 U.S. District Court for the Eastern District of Oklahoma  
 U.S. District Court for the Western District of Oklahoma  
 University of Oklahoma International Programs Center
- Oregon** Blooming Hill Vineyard  
 Corvallis Sister Cities Association  
 Eugene Emerald Rotary Club  
 Eugene-Irkutsk Sister City Committee  
 Grants Pass Sister City Committee  
 League of Women Voters of Lane County  
 League of Women Voters of Portland  
 League of Women Voters of Marion-Polk Counties  
 Oregon Justice Resource Center  
 Oregon Law Commission  
 Oregon Supreme Court  
 Oregon/Sakhalin Rule of Law Partnership Committee  
 Roseburg Area Zonta Club  
 Rotary Club of Beaverton  
 Umpqua Community College  
 U.S. Court of Appeals for the Ninth Circuit  
 U.S. District Court for the District of Oregon  
 World Affairs Council of Oregon
- Pennsylvania** Allegheny College  
 Alvernia College, Nursing Department (NRC 010)  
 American Institute of Finance and Technology  
 Department of Slavic Languages and Literatures at the University  
 of Pennsylvania  
 Friendship Force of Greater Harrisburg  
 GlobalPittsburgh (Pittsburgh Council for International Visitors)  
 Keystone Human Services International  
 MaGee Womancare International  
 Mid-Atlantic Russia Business Council  
 Northampton Community College  
 Overseas Strategic Consulting, Ltd  
 Pacific Environment  
 Pennsylvania College of Technology  
 Pennsylvania Commission on Crime and Delinquency  
 Pennsylvania Peace Links  
 Pennsylvania State University College of Agricultural Sciences,  
 International Programs

**Pennsylvania (cont'd)**

Rotary Club of Blue Bell  
 Rotary Club of Greenville  
 State College Rotary Evening Club  
 Ukrainian Cultural and Humanitarian Institute  
 Ukrainian Federation of America  
 U.S. Bankruptcy Court for the Eastern District of Pennsylvania  
 U.S. District Court for the Eastern District of Pennsylvania  
 U.S. District Court for the Eastern District of Pennsylvania  
 Historical Society  
 U.S. District Court for the Western District of Pennsylvania  
 West Chester University Poetry Center  
 West Reading-Wyomissing Rotary Club  
 World Affairs Council of Harrisburg

**Rhode Island**

Brown University Library  
 Cape Cod and the Islands and Rhode Island Rotary Club  
 Newport Rotary Club  
 Roger Williams University, Justice System Training & Research  
 Institute, School of Justice Studies  
 Rotary International District 7950  
 U.S. District Court for the District of Rhode Island  
 World Affairs Council of Rhode Island

**South Carolina**

Clemson University  
 League of Women Voters of Bluffton Area  
 National District Attorneys Association  
 Richland School District Two  
 Rotary Club of Hilton Head Island  
 The Brown Angel Center  
 Walker Institute for International and Area Studies, University of  
 South Carolina

**South Dakota**

Dacotah Territory International Visitor Program  
 Sioux Falls Promise, Greater Sioux Falls Alliance for Youth  
 South Dakota World Affairs Council  
 U.S. District Court for the District of South Dakota

**Tennessee**

Blount County Sister City Organization  
 Chattanooga-Nizhni Tagil Sister City Committee- Department of  
 Public Works  
 Friendship Force of Knoxville  
 Friendship Force of Memphis  
 Nashville Health Care Council  
 Oak Ridge National Laboratory  
 Oak Ridge Sister City Support Organization  
 Rotary Club of Memphis

- Tennessee (cont'd)** Southwest Tennessee Community College  
 U.S. Bankruptcy Court for the Middle District of Tennessee  
 U.S. Bankruptcy Court for the Western District of Tennessee  
 U.S. District Court for the Middle District of Tennessee  
 University of Tennessee Institute of Agriculture International Programs  
 University of Tennessee at Chattanooga  
 Vanderbilt University Public Affairs Office
- Texas** Alamo Colleges  
 Burleson Rotary Club  
 Carter Blood Care  
 CMS Emergency  
 El Paso Chapter of the Federal Bar Association  
 Grapevine Rotary Club  
 Houston Baku Sister Cities Association  
 International Hospitality Council of Austin  
 J. M. Dawson Institute for Church-State Studies, Baylor University  
 Kilgore College Small Business Development Center  
 Knowledge Management and Data Resources, Office of  
 Community Outreach, University of Texas Medical Branch  
 at Galveston  
 Lamar University  
 League of Women Voters of Tyler/Smith County  
 North Harris College  
 Office of Environmental Justice and Tribal Affairs, U.S.  
 Environmental Protection Agency, Region 6  
 Panola Community College  
 Plano-Ivanovo Sister City Program  
 Richland College  
 Rotary Club of Frisco Noon  
 Rotary Club of Northwest Austin  
 Rotary Club of San Antonio North Central  
 San Antonio Council for International Visitors  
 Texas A&M University, Sponsored Student Programs Office  
 United Methodist Church – Russia Initiative  
 University of Texas at Austin  
 World Affairs Council of Dallas/Fort Worth  
 YMCA International Services
- Utah** Brigham Young University Center for Law and Religion Studies  
 International Hosting  
 Izhevsk-Salt Lake City Partnership  
 Salt Lake Chamber of Commerce  
 Salt Lake City Community College  
 Sundance Institute  
 Tooele Sister Cities, Inc.

- Utah (cont'd)** U.S. Court of Appeals for the Tenth Circuit  
 U.S. District Court for the District of Utah  
 Utah State Legislature  
 Utah State University, Center for Persons with Disabilities  
 Utah Valley University, Office of International Affairs & Diplomacy
- Vermont** Ecologia  
 School of International Studies, St Michael's College  
 Vermont Council on World Affairs  
 Vermont Karelia Rule of Law Project, Inc.  
 Vermont Law School  
 Vermont Supreme Court
- Virginia** American Association of University Women, Reston-Herndon Branch  
 Arlington Sister City Association  
 Eastern Mennonite University Center for Justice and Peacebuilding  
 Fredericksburg Sister City Association, Inc.  
 Friendship Force of Charlottesville  
 Friendship Force of the National Capitol Area  
 League of Women Voters of South Hampton Roads  
 Norfolk Sister City Association, Inc.  
 Partners for Community Solutions  
 Rotary Club of Alexandria and Mount Vernon  
 Rotary Club of Bailey's Crossroads  
 Rotary Club of Blacksburg  
 Rotary Club of Falls Church  
 Rotary Club of James City County  
 Rotary Club of Leesburg  
 Rotary Club of Lynchburg  
 Rotary Club of Richmond  
 Rotary Club of Stafford  
 Terrorism, Transnational Crime and Corruption Center at George Mason University  
 Town of Leesburg, Virginia  
 Virginia Commonwealth University  
 U.S. District Court for the Eastern District of Virginia  
 World Music Folklife Center
- Washington** Battelle- Pacific Northwest National Laboratory  
 Clark College  
 Downtown Vancouver Rotary Club  
 EarthCorps  
 Foundation for Russian American Economic Cooperation  
 Global Education Service

**Washington (cont'd)**

Governor's Interagency Committee of State-Employed Women  
(ICSEW)  
League of Women Voters of Washington  
Lewis River Rotary Club (Clark County)  
Nakhodka Sister City  
Rotary Club of Lynnwood  
Seattle-Tashkent Sister Cities Association  
Spokane Community College  
Tacoma Rotary Club #8  
U.S. District Court for the Western District of Washington  
West Seattle Rotary Club  
Whatcom Community College  
World Affairs Council of Seattle  
World Affairs Council/World Trade Center West

**West Virginia**

Center for International Understanding, Inc  
Robert C. Byrd Center for Legislative Studies, Shepherd College  
Rotary Club of Morgantown  
Rotary Club of Morgantown North  
Rotary Club of Cheat Lake  
U.S. District Court for the Southern District of West Virginia

**Wisconsin**

Appleton Area School District, Volunteer Services  
Bellin Health System (AIHA)  
Center for International Education, St. Norbert College  
Continuing Education and International Students, University of  
Wisconsin at Marinette  
Fox Cities - Kurgan Sister Cities Program, Inc.  
Fox Valley Technical College  
Friends of Chernobyl Centers, U.S. (FOCCUS)  
Friendship Force of Greater Milwaukee  
Greater Green Bay YMCA  
Green Bay West Rotary Club  
Heart of Wisconsin Business Alliance  
Hedberg Public Library  
Hudson Daybreak Rotary Club  
Institute of World Affairs, University of Wisconsin-Milwaukee  
International Crane Foundation  
International Institute of Wisconsin  
Jackson-Monroe-Vernon County Leadership Program  
La Crosse Area League of Women Voters  
League of Women Voters of Door County  
League of Women Voters of Milwaukee County  
Marquette University College of Nursing  
National Peace Foundation  
New London Medical Center

**Wisconsin (cont'd)** Northcentral Technical College  
Rotary Club of Hudson  
Shawano Public Health (AIHA)  
Sigurd Olson Environment Institute, Northland College  
Stevens Point-Rostov Veliky Sister City Project  
ThedaCare  
U.S. District Court for the Eastern District of Wisconsin  
U.S. District Court for the Western District of Wisconsin  
Vernon County Office, Family and Children's Center  
Western Technical College  
World Services of La Crosse, Inc.

**Wyoming** Brown, Drew & Massey, LLP  
Rotary Club of Kemmerer  
Vista 360°, Inc.  
U.S. District Court for the District of Wyoming  
Wyoming Global Leadership Exchange

**Appendix B Federal, District and State Host Judges by State****Alaska** Harry Branson, *Magistrate Judge***Alabama** Karon O. Bowdre, *District Judge*  
Mark E. Fuller, *District Judge*  
Myron H. Thompson, *Magistrate Judge*  
Susan Walker, *Magistrate Judge*

*U.S. Supreme Court Chief Justice John G. Roberts, Jr., (center) and retired Justice Sandra Day O'Connor (far right) meet with Ukrainian Constitutional Court justices to discuss judicial independence and the workings of the Supreme Court.*

Photo credit: Steve Petteway. Collection of the Supreme Court of the United States

**Arizona** Eileen Hollowell, *Bankruptcy Judge*  
John Roll, *District Judge***Arkansas** Robert T. Dawson, *Bankruptcy Judge*  
Richard D. Taylor, *Bankruptcy Judge*  
Susan Webber Wright, *District Judge***California** Louise Adler, *Bankruptcy Judge*  
Peter Bowie, *Bankruptcy Judge*  
Samuel Bufford, *Bankruptcy Judge*  
Ronald S.W. Lew, *District Judge*  
Consuelo B. Marshall, *District Judge*  
Margaret McKeown, *Circuit Judge*  
Michael McManus, *Bankruptcy Judge*  
Louisa Porter, *Magistrate Judge*  
William Shubb, *District Judge*  
Dickran Tevrizian, *District Judge***Colorado** Sidney B. Brooks, *Bankruptcy Judge*  
David M. Ebel, *Circuit Judge*  
Timothy M. Tymkovich, *Circuit Judge***Connecticut** Peter Dorsey, *District Judge*  
John Walker, *Circuit Judge***Delaware** Sue Robinson, *District Judge*

- Florida** David Baker, *Magistrate Judge*  
 Rosemary Barkett, *District Judge*  
 A. Jay Cristol, *Bankruptcy Judge*  
 Patricia Fawsett, *District Judge*  
 James Glazebrook, *Magistrate Judge*  
 Alan S. Gold, *District Judge*  
 Elizabeth Jenkins, *Magistrate Judge*  
 Elizabeth Kovachevich, *District Judge*  
 Stephen P. Mickle, *District Judge*  
 Harvey Schlesinger, *District Judge*
- Georgia** William Duffey, *District Judge*  
 Owen Forrester, *District Judge*
- Hawaii** David Ezra, *District Judge*
- Idaho** Lynn B. Winmill, *District Judge*
- Illinois** Marvin Aspen, *District Judge*  
 Phil Gilbert, *District Judge*  
 David Herndon, *District Judge*  
 Charles Kocoras, *District Judge*  
 George Marovich, *District Judge*  
 Michael McCuskey, *District Judge*  
 Michael Mihm, *District Judge*  
 Richard Mills, *District Judge*  
 James Moran, *District Judge*  
 Diane Wood, *Circuit Judge*
- Indiana** Michael, Kanne, *Circuit Judge*
- Iowa** Robert Pratt, *District Judge*
- Kansas** Monti L. Belot, *District Judge*  
 John Lungstrum, *District Judge*  
 John Thomas Marten, *District Judge*  
 Kathryn Vratil, *District Judge*
- Kentucky** James Moyar, *Magistrate Judge*  
 John Rogers, *Circuit Judge*  
 Thomas Russell, *District Judge*  
 Charles Simpson, *District Judge*
- Louisiana** S. Maurice Hicks, *District Judge*  
 Roy Payne, *Magistrate Judge*  
 Donald Walter, *District Judge*

<b>Maine</b>	Margaret Kravchuck, <i>Magistrate Judge</i>
<b>Maryland</b>	Richard Bennett, <i>District Judge</i> Andre Davis, <i>District Judge</i>
<b>Massachusetts</b>	Frank Bailey, <i>Circuit Judge</i> Marianne Bowler, <i>Magistrate Judge</i> Joan Feeney, <i>Bankruptcy Judge</i>
<b>Michigan</b>	Virginia Morgan, <i>Magistrate Judge</i> Gordon Quist, <i>District Judge</i> Gerald Rosen, <i>District Judge</i>
<b>Minnesota</b>	Michael Davis, <i>District Judge</i> Nancy Dreher, <i>Bankruptcy Judge</i> Jeanne Graham, <i>Magistrate Judge</i> Jeffrey Keyes, <i>Magistrate Judge</i> Gregory Kishel, <i>Bankruptcy Judge</i> Paul A. Magnuson, <i>District Judge</i> John Tunheim, <i>District Judge</i>
<b>Mississippi</b>	Jerry Davis, <i>Magistrate Judge</i>
<b>Missouri</b>	Catherine Perry, <i>District Judge</i> Jerry Venters, <i>Bankruptcy Judge</i>
<b>Montana</b>	Robert Holter, <i>Magistrate Judge</i> Donald Molloy, <i>District Judge</i>
<b>Nebraska</b>	Joseph E. Bataillon, <i>District Judge</i> Laurie Smith Camp, <i>District Judge</i> Lyle E. Strom, <i>District Judge</i>
<b>Nevada</b>	Lloyd D. George, <i>District Judge</i> Howard McKibben, <i>District Judge</i>
<b>New Jersey</b>	John Bissell, <i>District Judge</i> Marie Renee Bumb, <i>District Judge</i>
<b>New Mexico</b>	Carmen Garza, <i>Magistrate Judge</i> Leslie C. Smith, <i>Magistrate Judge</i> James S. Starzynski, <i>Bankruptcy Judge</i>

- New York** Jonathon Feldman, *Magistrate Judge*  
 George Lowe, *Magistrate Judge*  
 Norman Mordue, *District Judge*  
 Frederick Scullin, *District Judge*  
 Joanna Seybert, *District Judge*  
 Charles Sifton, *District Judge*  
 Randolph Treece, *Magistrate Judge*  
 Evan Wallach, *Circuit Judge*
- North Carolina** Allyson Kay Duncon, *Circuit Judge*
- North Dakota** Myron Bright, *Circuit Judge*  
 Karen Klein, *Magistrate Judge*
- Ohio** Christopher Boyko, *District Judge*  
 Paul Matia, *District Judge*  
 Edmund A. Sargus, *District Judge*  
 Jack Zouhary, *District Judge*
- Oklahoma** Stephen Friot, *District Judge*  
 Robert Henry, former *District Judge*  
 Vicki Miles-LaGrange, *District Judge*  
 Ronald White, *District Judge*
- Oregon** Michael R. Hogan, *District Judge*  
 Diarmuid F. O'Scannlain, *Circuit Judge*
- Pennsylvania** Harvey Bartle, III, *District Judge*  
 Richard Fehling, *Bankruptcy Judge*  
 D. Brooks Smith, *Circuit Judge*
- Rhode Island** Ernest Torres, *District Judge*
- South Dakota** Charles B. Kornmann, *District Judge*  
 Karen Schreier, *District Judge*
- Tennessee** Jennie D. Latta, *Bankruptcy Judge*  
 Jon Phipps McCalla, *District Judge*  
 George Paine, *Bankruptcy Judge*  
 Thomas A. Wiseman, Jr., *District Judge*
- Texas** Leif M. Clark, *Bankruptcy Judge*  
 Frank Montalvo, *District Judge*
- Utah** Dee V. Benson, *District Judge*  
 Leif M. Clark, *Bankruptcy Judge*  
 David O. Nuffer, *Magistrate Judge*

- Virginia** Thomas Selby Ellis III, *District Judge*  
Henry Coke Morgan, Jr., *District Judge*  
Anthony J. Trenga, *District Judge*
- Washington** John C. Coughenour, *District Judge*
- West Virginia** David Faber, *District Judge*
- Wisconsin** Charles N. Clevert, *District Judge*  
Barbara Crabb, *District Judge*  
Patricia Gorence, *Magistrate Judge*  
Rudolph Randa, *District Judge*
- Wyoming** William F. Downes, *District Judge*

## Appendix C                      National Host Organizations by State

- Alaska**            Alaska State Legislature
- California**        Brubeck Institute at the University of the Pacific  
 Center for Safe Energy  
 Earth Island Institute  
 Independent Television Service (ITVS)  
 Pacific Environment  
 Sonoma City Opera  
 Tahoe-Baikul Institute
- Colorado**        International Institute of Education/Rocky Mountain Center
- Connecticut**    State of Connecticut Judicial Branch, Court Support Services Division
- District of Columbia**
- American Councils for International Education
  - American Foreign Policy Council
  - American International Health Alliance
  - American University – Women and Politics Institute
  - Center for Democracy
  - Coalition for Intellectual Property Rights
  - FHI 360
  - Freedom House
  - Graduate School
  - International Academy for Freedom of Religion and Belief
  - International Republican Institute
  - ISAR Resources for Environmental Activists
  - League of Women Voters
  - Meridian International Center
  - National Council for International Visitors
  - National Democratic Institute for International Affairs
  - National Peace Foundation
  - Peace Links
  - Thelonius Monk Institute
  - Terrorism, Transnational Crime and Corruption Center (TraCCC)
  - U.S.-Ukraine Foundation
  - Vital Voices Global Partnership
- Florida**            GlobalJAX (formerly International Visitor Center of Jacksonville)  
 Stetson University School of Law
- Georgia**            Claus M. Halle Institute for Global Learning at Emory University

- Friendship Force International  
 Future of Russia Foundation  
 GA2GE Foundation (Georgia to Georgia Foundation)  
 Intercultural Services
- Idaho**      Lionel Hampton Center at the University of Idaho
- Illinois**      Columbia College Chicago  
 Rotary International  
 Vladimir/Canterbury Sister City Association
- Indiana**      Resource Foundation
- Iowa**      Iowa Sister States  
 United States District for the Southern District of Iowa  
 University of Iowa International Writing Program
- Kentucky**      Louisville International Cultural Center  
 University of Louisville School of Music
- Maine**      Arkangelsk Committee of Greater Portland
- Maryland**      Foundation for International Arts and Education
- Massachusetts**  
 University of Massachusetts-Amherst Institute of Global Health
- Minnesota**      Connect US-Russia
- Mississippi**      Mississippi Consortium for International Development  
 University of Mississippi/PEN
- Missouri**      Supporters of Civil Society in Russia, Inc
- Nevada**      Jewish Community Council
- New York**      Appeal of Conscience  
 CEC ArtsLink  
 Lincoln Center Theater Directors' Lab  
 Linkages of Rochester
- North Carolina**  
 Dewitt Wallace Center for Media and Democracy at Duke University  
 International Affairs Council of North Carolina  
 University of North Carolina/PEN
- Ohio**      Council of International Programs USA (CIP/USA)  
 Margaret Mead Film and Video Festival

## Future of Russia Foundation

- Pennsylvania** Keystone Human Services International  
 Magee Womencare International  
 Russian Ministry Network of the Episcopal Church  
 West Chester University Poetry Center
- Tennessee** Nashville Healthcare Council  
 Oak Ridge Sister City Support Organization
- Texas** El Paso Chapter of the Federal Bar Association  
 United Methodist Church Russia Initiative Program
- Utah** International Hosting  
 The Church of Jesus Christ of Latter-Day Saints
- Vermont** International Rule of Law Consortium
- Virginia** National Center for State Courts  
 National Council for Traditional Arts  
 Norfolk Sister City Association  
 Partners for Community Solutions
- Washington** Battelle Memorial Institute/Pacific Northwest National Laboratory  
 World Affairs Council of Seattle
- Wisconsin** Northcentral Technical College  
 World Services of La Crosse, Inc
- Wyoming** Vista360°

