

# LEGISLATIVE BRANCH APPROPRIATIONS FOR 2014

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## HEARINGS BEFORE THE COMMITTEE ON APPROPRIATIONS HOUSE OF REPRESENTATIVES ONE HUNDRED THIRTEENTH CONGRESS FIRST SESSION

SUBCOMMITTEE ON LEGISLATIVE BRANCH

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DAVID G. VALADAO, California

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### PART 1

### JUSTIFICATION OF THE BUDGET ESTIMATES



Printed for the use of the Committee on Appropriations

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U.S. GOVERNMENT PRINTING OFFICE

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WILLIAM E. SMITH, *Clerk and Staff Director*

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COMPARATIVE STATEMENT OF NEW BUDGET (OBIGATIONAL) AUTHORITY FOR 2013 AND THE BUDGET REQUEST FOR 2014  
(Amounts in Thousands of Dollars)

|   | FY 2013                     |                          | FY 2014 Request | Request vs. Enacted | Request vs. Final |
|---|-----------------------------|--------------------------|-----------------|---------------------|-------------------|
|   | Enacted OMB Across-PL 113-6 | March 1 Sequestration 2/ |                 |                     |                   |
| <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.....  | 8,670                       | -17                      | 8,225           | -1,694              | -1,240            |
| Office of the Majority Floor Leader.....  | 2,847                       | -6                       | 2,868           | -565                | -406              |
| Office of the Minority Floor Leader.....  | 9,291                       | -19                      | 8,805           | -1,613              | -1,327            |
| Office of the Majority Whip.....  | 2,484                       | -5                       | 2,355           | -1,563              | -522              |
| Office of the Minority Whip.....  | 1,896                       | -4                       | 1,883           | -372                | -271              |
| Republican Conference.....  | 1,942                       | -4                       | 1,883           | -384                | -281              |
| Democratic Caucus.....  | 1,942                       | -4                       | 1,840           | -378                | -277              |
| <b>Subtotal, House Leadership Offices.....</b>  | <b>29,095</b>               | <b>-58</b>               | <b>27,572</b>   | <b>-5,978</b>       | <b>-4,155</b>     |
| <b>Members' Representational Allowances Including Members' Clerk Hire, Official Expenses of Members, and Official Staff</b> |                             |                          |                 |                     |                   |
| Expenses.....   | 573,838                     | -1,148                   | 543,918         | +3,513              | +33,534           |
| <b>Committee Employees</b>  |                             |                          |                 |                     |                   |
| Standing Committees, Special and Select.....  | 125,865                     | -252                     | 118,376         | +771                | +7,360            |
| Committee on Appropriations (including studies and investigations).....   | 28,666                      | -53                      | 25,272          | +163                | +1,557            |
| <b>Subtotal, Committee employees.....</b>   | <b>102,631</b>              | <b>-305</b>              | <b>144,648</b>  | <b>+834</b>         | <b>+8,917</b>     |
| <b>Salaries, Officers and Employees</b>   |                             |                          |                 |                     |                   |
| Office of the Clerk.....  | 28,114                      | -52                      | 24,748          | -2,105              | -739              |
| Office of the Sergeant at Arms.....   | 12,685                      | -25                      | 11,927          | +77                 | +735              |
| Office of the Chief Administrative Officer.....   | 116,782                     | -234                     | 123,568         | +6,776              | +12,885           |
| Office of the Inspector General.....  | 5,045                       | -10                      | 4,781           | -303                | -38               |
| Office of General Counsel.....  | 1,415                       | -3                       | 1,341           | -71                 | 9                 |
| Office of the Chaplain.....   | 179                         | -9                       | 170             | -178                | -170              |

COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2013 AND THE BUDGET REQUEST FOR 2014  
(Amounts in Thousands of Dollars)

|  | FY 2013          |  | Request vs. Enacted | FY 2014 Request | Request vs. Final |
|--|------------------|--|---------------------|-----------------|-------------------|
|  | Enacted PL 113-6 | OMB Across-The-Board 1/ Sequestration 2/ March 1 |                     |                 |                   |
| Office of the Parliamentarian.....   | 2,060            | -4   | -104                | 2,073           | +13               |
| Office of the Parliamentarian.....   | (1,466)          | (-3)   | (-74)               | (2,071)         | (+605)            |
| Compilation of precedents of the House of Representatives.....                                 | (594)            | (-1)   | (-30)               | (2)             | (-592)            |
| Office of the Law Revision Counsel of the House.....   | 3,258            | -7   | -164                | 5,069           | +1,811            |
| Office of the Legislative Counsel of the House.....  | 8,814            | -18  | -443                | 9,728           | +914              |
| Office of Interparliamentary Affairs.....  | 859              | -2   | -43                 | 864             | +5                |
| Other authorized employees.....  | 347              | -1   | -17                 | 442             | +95               |
| Historian.....   | 170              | --   | -9                  | --              | -170              |
| Subtotal, Salaries, officers and employees.....  | 177,628          | -356   | -8,936              | 184,571         | +6,943            |
| Allowances and Expenses  |                  |  |                     |                 |                   |
| Supplies, materials, administrative costs and Federal tort claims.....                         | 3,696            | -7   | -186                | 3,719           | +23               |
| Official mail for committees, leadership offices, and administrative offices of the House..... | 201              | --   | -10                 | 202             | +1                |
| Government contributions.....  | 264,848          | -530   | -13,323             | 266,469         | +1,621            |
| Business Continuity and Disaster Recovery.....   | 17,112           | -34  | -861                | 17,217          | +105              |
| Transition activities.....   | 1,722            | -3   | -87                 | 1,732           | +10               |
| Wounded Warrior program.....   | 2,500            | -5   | -126                | 2,515           | +15               |
| Office of Congressional Ethic.....   | 1,548            | -3   | -78                 | 1,557           | +9                |
| Miscellaneous items.....   | 760              | -2   | -38                 | 765             | +5                |
| Subtotal, Allowances and expenses.....   | 292,387          | -584   | -14,709             | 294,176         | +1,789            |
| Total, House of Representatives.....   | 1,225,680        | -2,452   | -61,660             | 1,233,181       | +7,501            |

COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2013 AND THE BUDGET REQUEST FOR 2014  
(Amounts in Thousands of Dollars)

|  | FY 2013             |  |         |                    |                        |                      |
|--|---------------------|--|---------|--------------------|------------------------|----------------------|
|  | Enacted<br>PL 113-6 | OMB Across-<br>The-Board 1/<br>Sequestration 2/<br>March 1 | Final   | FY 2014<br>Request | Request vs.<br>Enacted | Request vs.<br>Final |
| <b>JOINT ITEMS</b>                                     |                     |  |         |                    |                        |                      |
| Joint Economic Committee.....                          | 4,203               | -8   | 3,984   | 4,279              | +76                    | +295                 |
| Joint Committee on Taxation.....                       | 10,004              | -20  | 9,481   | 10,065             | +61                    | +584                 |
| Office of the Attending Physician                      |                     |  |         |                    |                        |                      |
| Medical supplies, equipment, expenses, and allowances. | 3,400               | -7   | 3,222   | 3,421              | +21                    | +199                 |
| Office of Congressional Accessibility Services.....    | 1,363               | -3   | 1,291   | 1,367              | +24                    | +86                  |
| Total, Joint items.....                                | 18,970              | -38  | 17,978  | 19,152             | +182                   | +1,174               |
| <b>CAPITOL POLICE</b>                                  |                     |  |         |                    |                        |                      |
| Salaries.....  | 277,133             | -554   | 262,638 | 297,863            | +20,730                | +35,225              |
| General expenses.....                                  | 62,004              | -124   | 58,711  | 65,433             | +3,429                 | +6,722               |
| Total, Capitol Police.....                             | 339,137             | -678   | 321,349 | 363,296            | +24,159                | +41,947              |
| <b>OFFICE OF COMPLIANCE</b>                            |                     |  |         |                    |                        |                      |
| Salaries and expenses.....                             | 3,817               | -8   | 3,617   | 4,482              | +665                   | +865                 |



COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2013 AND THE BUDGET REQUEST FOR 2014  
(Amounts in Thousands of Dollars)

|   | FY 2013      |                  | FY 2014          |         | Request vs. |
|---|--------------|------------------|------------------|---------|-------------|
|   | Enacted      | OMB Across-      | Enacted          | Request | Enacted     |
|   | PL 113-6     | The-Board 1/     | PL 113-6         | Final   | Final       |
|   | The-Board 1/ | Sequestration 2/ | Sequestration 2/ |         |             |
|   | March 1      |                  |                  |         |             |
| LIBRARY OF CONGRESS   |              |                  |                  |         |             |
| Salaries and expenses.....  | 420,093      | -827             | -20,814          | 398,452 | +13,737     |
| Authority to spend receipts.....                                  | -6,350       | ---              | ---              | -6,350  | ---         |
| Subtotal, Salaries and expenses.....                              | 413,743      | -827             | -20,814          | 392,102 | +13,737     |
| Copyright Office, salaries and expenses.....                      | 51,650       | -35              | -812             | 50,803  | +1,302      |
| Authority to spend receipts.....                                  | -34,250      | ---              | ---              | -33,619 | +631        |
| Subtotal, Copyright Office.....                                   | 17,400       | -35              | -812             | 16,553  | +1,933      |
| Congressional Research Service, Salaries and expenses.            | 106,790      | -214             | -5,372           | 101,204 | +3,189      |
| Books for the blind and physically handicapped                    | 50,674       | -101             | -2,549           | 48,024  | +1,253      |
| Salaries and expenses.....  | 588,607      | -1,177           | -28,547          | 557,883 | +20,112     |
| Total, Library of Congress.....                                   |              |                  |                  | 608,719 | +50,836     |
| GOVERNMENT PRINTING OFFICE  |              |                  |                  |         |             |
| Congressional printing and binding.....                           | 83,632       | -167             | -1,335           | 82,130  | -3,886      |
| Office of Superintendent of Documents, Salaries and expenses..... | 31,500       | -63              | ---              | 31,437  | +4,323      |
| Government Printing Office Revolving Fund.....                    | 4,000        | -8               | -25              | 3,967   | +8,919      |
| Total, Government Printing Office.....                            | 119,132      | -238             | -1,360           | 117,534 | +9,346      |

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COMPARATIVE STATEMENT OF NEW BUDGET (OBIGATIONAL) AUTHORITY FOR 2013 AND THE BUDGET REQUEST FOR 2014  
(Amounts in Thousands of Dollars)

|   | FY 2013   |                  | FY 2014   |           | Request vs. | Request vs. |
|---|-----------|------------------|-----------|-----------|-------------|-------------|
|   | Enacted   | March 1          | FY 2014   | Request   | Enacted     | Final       |
|   | PL 113-6  | Sequestration 1/ | Request   |           |             |             |
|   | The-Board | Sequestration 2/ |           |           |             |             |
|   |           |                  | Final     |           |             |             |
| <b>GOVERNMENT ACCOUNTABILITY OFFICE</b>                                   |           |                  |           |           |             |             |
| Salaries and expenses.....  | 532,686   | -1,013           | 505,952   | 556,257   | +23,571     | +50,305     |
| Offsetting collections.....   | -26,404   | ---              | -26,404   | -31,918   | -5,514      | -5,514      |
| Total, Government Accountability Office.....                              | 506,282   | -1,013           | 479,548   | 524,339   | +18,057     | +44,791     |
| <b>OPEN WORLD LEADERSHIP CENTER</b>                                       |           |                  |           |           |             |             |
| Payment to the Open World Leadership Center Trust Fund.....               | 8,000     | -3               | 7,997     | 10,061    | +2,061      | +2,064      |
| <b>JOHN C. STENNIS CENTER FOR PUBLIC SERVICE TRAINING AND DEVELOPMENT</b> |           |                  |           |           |             |             |
| Stennis Center for Public Service.....                                    | 430       | -1               | 407       | 430       | ---         | +23         |
| Grand total.....  | 3,346,223 | -6,681           | 3,175,802 | 3,543,101 | +196,878    | +367,299    |

1/ FY 2013 OMB across-the-board rescissions of 0.032 percent for security programs and 0.2 percent for nonsecurity programs.  
2/ FY 2013 March 1 Sequestration of 5 percent applied to amounts provided in PL 112-175.

COMPARATIVE STATEMENT OF NEW BUDGET (OBIGATIONAL) AUTHORITY FOR 2013 AND THE BUDGET REQUEST FOR 2014  
(Amounts in Thousands of Dollars)

|  | FY 2013   |                                      | Request vs.<br>Enacted | Request vs.<br>Final |
|--|---|--------------------------------------|------------------------|----------------------|
|  | Enacted<br>PL 113-6<br>The Board 1/<br>Sequestration 1/ | March 1<br>Sequestration 2/<br>Final |                        |                      |
| House of Representatives.....          | 1,225,680   | 1,161,660                            | +7,501                 | +71,613              |
| Joint Items.....                       | 18,970  | -954                                 | +182                   | +1,174               |
| Capitol Police.....                    | 339,137   | -17,110                              | +24,159                | +41,947              |
| Office of Compliance.....              | 3,817   | -192                                 | +665                   | +865                 |
| Congressional Budget Office.....       | 43,787  | -2,203                               | +1,913                 | +4,204               |
| Architect of the Capitol.....          | 492,381   | -24,971                              | +112,882               | +138,838             |
| Library of Congress.....               | 586,607   | -29,547                              | +20,112                | +50,836              |
| Government Printing Office.....        | 119,132   | -1,360                               | +9,346                 | +10,944              |
| Government Accountability Office.....  | 508,282   | -25,721                              | +18,057                | +44,791              |
| Open World Leadership Center.....      | 8,000   | ---                                  | +2,061                 | +2,064               |
| Stennis Center for Public Service..... | 430   | -22                                  | ---                    | +23                  |
| Grand total.....                       | 3,346,223   | 3,175,802                            | +196,878               | +367,299             |

|                               |           |           |          |          |
|-------------------------------|-----------|-----------|----------|----------|
| Discretionary:                |           |           |          |          |
| Defense discretionary.....    | ---       | ---       | ---      | ---      |
| Nondefense discretionary..... | 3,346,223 | 3,175,802 | +196,878 | +367,299 |

SECURITY/NONSECURITY DISCRETIONARY RECAP  
AS DEFINED BY SEC. 102 OF THE BUDGET CONTROL ACT

|   |           |          |          |          |
|---|-----------|----------|----------|----------|
| Security category (discretionary).....    | 8,000     | ---      | +2,061   | +2,064   |
| Nonsecurity category (discretionary)..... | 3,338,223 | -163,740 | +194,817 | +365,235 |

1/ FY 2013 OMB across-the-board rescissions of 0.032 percent for security programs and 0.2 percent for nonsecurity programs.  
2/ FY 2013 March 1 Sequestration of 5 percent applied to amounts provided in PL 112-175.

# FY 2014



# Budget Justification

**FY 2014 U.S. House of Representatives Budget Justification**  
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| <hr/>   |             |
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| <hr/>   |             |
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| OFFICE OF THE INSPECTOR GENERAL                             | 75          |
| OFFICE OF GENERAL COUNSEL                                   | 80          |
| OFFICE OF THE CHAPLAIN                                      | 84          |
| OFFICE OF THE PARLIAMENTARIAN                               | 87          |
| COMPILATION OF PRECEDENTS                                   | 91          |
| TOTAL – OFFICE OF THE PARLIAMENTARIAN                       | 94          |
| OFFICE OF THE LAW REVISION COUNSEL OF THE HOUSE             | 96          |
| OFFICE OF THE LEGISLATIVE COUNSEL OF THE HOUSE              | 101         |
| OFFICE OF INTERPARLIAMENTARY AFFAIRS                        | 106         |
| TECHNICAL ASSISTANTS  | 109         |

|   |     |
|---|-----|
| FORMER SPEAKER'S STAFF  | 112 |
| TOTAL – OTHER AUTHORIZED EMPLOYEES                                | 115 |
| OFFICE OF THE HISTORIAN   | 117 |
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| <hr/>   |     |
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## FISCAL YEAR 2014 BUDGET JUSTIFICATION SUMMARY

For salaries and expenses of the House of Representatives, \$1.2 billion (excluding Joint Items: the Office of the Attending Physician and the Joint Committee on Taxation) which is flat with the FY'13 Continuing Resolution annualized per P.L. 112-175.

### Personnel & Benefit Changes: Increase of \$4.6 million

The FY'14 Personnel increase for U.S. House of Representatives Salaries and Expenses (excluding Joint Items) are attributed to variances in following categories:

- Personnel Compensation Base – (\$0.138) million
- Base Adjustment – (\$5.785 million)
- Cost of Living Adjustments - \$9.791 million
- Longevity Increases – \$0.181 million
- Meritorious Increases – \$0.030 million
- Overtime Pay – \$0.562 million

### House Positions Summary

| US House of Representatives Accounts<br>(excluding Joint Items) | FY 2013             | FY 2014                |          |
|---|---------------------|------------------------|----------|
|   | Funded<br>Positions | Requested<br>Positions | Variance |
| House Leadership Offices  | 245                 | 245                    | 0        |
| Members' Representational Allowances                            | 9,702               | 9,702                  | 0        |
| Standing Committees, Special & Select                           | 1,412               | 1,412                  | 0        |
| Committees on Appropriations                                    | 220                 | 220                    | 0        |
| Salaries, Officers and Employees                                | 1,206               | 1,206                  | 0        |
| Allowances and Expenses   | 60                  | 60                     | 0        |
| <b>Total Positions</b>  | <b>17,845</b>       | <b>17,845</b>          | <b>0</b> |

### Price Level Increases: \$0

In FY'14, additional obligational authority is not requested to fund increased costs associated with inflation.

### Program Changes: Decrease of (\$4.6 million)

Program changes show non-personnel variances as well as current staffing level changes. The following table summarizes the total program variance across House accounts:

| US House of Representatives Accounts<br>(excluding Joint Items) | FY 2013                   | FY 2014              |                     |
|---|---------------------------|----------------------|---------------------|
|   | Enacted Budget<br>(\$000) | Requested<br>(\$000) | Variance<br>(\$000) |
| House Leadership Offices  | \$1,250                   | \$849                | (\$401)             |
| Members' Representational Allowances                            | \$159,188                 | \$152,990            | (\$6,198)           |
| Standing Committees, Special & Select                           | \$8,491                   | \$6,745              | (\$1,746)           |
| Committees on Appropriations                                    | \$2,568                   | \$2,010              | (\$558)             |
| Salaries, Officers and Employees                                | \$70,098                  | \$74,401             | \$4,303             |
| Allowances and Expenses   | \$24,329                  | \$24,289             | (\$41)              |
| <b>Total Program Changes</b>                                    | <b>\$265,924</b>          | <b>\$261,284</b>     | <b>(\$4,641)</b>    |

House Three Year Comparative Summary Table

| House Account                                      | FY 13                  |                        | FY 14                  |                                  | % Change<br>{FY 13 EBUD vs<br>FY 14 Request} |
|--|------------------------|------------------------|------------------------|----------------------------------|--|
|  | Enacted Budget         | Enacted Budget         | Budget Request         | {FY 13 EBUD vs<br>FY 14 Request} |  |
| Speaker  | \$8,678,464            | \$8,731,576            | \$6,985,260            | (\$1,746,316)                    | (20%)  |
| Majority Floor Leader                              | \$2,846,994            | \$2,864,418            | \$2,291,534            | (\$572,884)                      | (20%)  |
| Minority Floor Leader                              | \$9,291,017            | \$9,347,878            | \$7,478,301            | (\$1,869,577)                    | (20%)  |
| Majority Whip                                      | \$2,463,813            | \$2,478,892            | \$1,983,113            | (\$495,779)                      | (20%)  |
| Minority Whip                                      | \$1,906,189            | \$1,917,855            | \$1,534,284            | (\$383,571)                      | (20%)  |
| Minority Conference                                | \$1,965,985            | \$1,978,017            | \$1,582,413            | (\$395,604)                      | (20%)  |
| Republican Caucus                                  | \$1,942,259            | \$1,954,146            | \$1,563,316            | (\$390,830)                      | (20%)  |
| <b>TOTAL LEADERSHIP</b>                            | <b>\$29,094,721</b>    | <b>\$29,272,782</b>    | <b>\$23,418,321</b>    | <b>(\$5,854,561)</b>             | <b>(20%)</b>                                 |
| Clerk Hire   | \$415,719,610          | \$418,263,814          | \$424,461,814          | \$6,198,000                      | 1.48%  |
| Official Expenses                                  | \$143,219,672          | \$143,175,163          | \$136,977,163          | (\$6,198,000)                    | (4.33%)                                      |
| Official Mail                                      | \$15,000,000           | \$16,012,814           | \$16,012,814           | \$0                              | 0%   |
| <b>TOTAL MEMBERS' REPRESENTATIONAL</b>             | <b>\$573,939,282</b>   | <b>\$577,451,791</b>   | <b>\$577,451,791</b>   | <b>\$0</b>                       | <b>0%</b>                                    |
| Standing Committees, Special & Select              | \$125,964,870          | \$126,735,775          | \$126,735,775          | \$0                              | 0%   |
| Hearing Room Renovations                           | \$0                    | \$0                    | \$0                    | \$0                              | 0%   |
| <b>TOTAL STANDING COMMITTEES</b>                   | <b>\$125,964,870</b>   | <b>\$126,735,775</b>   | <b>\$126,735,775</b>   | <b>\$0</b>                       | <b>0%</b>                                    |
| <b>TOTAL APPROPRIATIONS COMMITTEE</b>              | <b>\$26,665,785</b>    | <b>\$26,828,980</b>    | <b>\$26,828,980</b>    | <b>\$0</b>                       | <b>0%</b>                                    |
| Clerk of the House                                 | \$26,114,400           | \$26,274,221           | \$24,009,473           | (\$2,264,748)                    | (8.62%)                                      |
| Sergeant At Arms                                   | \$12,585,000           | \$12,662,020           | \$12,662,020           | \$0                              | 0%   |
| Chief Administrative Officer                       | \$116,782,000          | \$117,496,706          | \$123,557,834          | \$6,061,128                      | 5.16%  |
| Inspector General                                  | \$5,045,000            | \$5,075,875            | \$4,741,809            | (\$334,066)                      | (6.58%)                                      |
| General Counsel                                    | \$1,415,000            | \$1,423,660            | \$1,423,660            | \$0                              | 0%   |
| Chaplain   | \$179,000              | \$180,095              | \$0                    | (\$180,095)                      | (100%)                                       |
| Parliamentarian                                    | \$2,060,000            | \$2,072,607            | \$2,072,607            | \$0                              | 0%   |
| Law Revision Counsel                               | \$3,258,000            | \$3,277,939            | \$5,069,043            | \$1,791,104                      | 54.64%                                       |
| Legislative Counsel                                | \$8,814,000            | \$8,867,942            | \$9,727,702            | \$859,760                        | 9.7%   |
| Office of Interparliamentary Affairs               | \$859,000              | \$864,257              | \$864,257              | \$0                              | 0%   |
| Other Authorized Employees                         | \$347,000              | \$349,124              | \$441,642              | \$92,518                         | 26.5%  |
| Office of the Historian                            | \$170,000              | \$171,040              | \$0                    | (\$171,040)                      | (100%)                                       |
| <b>TOTAL SALARIES, OFFICERS &amp; EMPLOYEES</b>    | <b>\$177,628,400</b>   | <b>\$178,715,486</b>   | <b>\$184,570,047</b>   | <b>\$5,854,561</b>               | <b>3.28%</b>                                 |
| Supplies and Materials                             | \$3,696,118            | \$3,718,738            | \$3,718,738            | \$0                              | 0%   |
| Official Mail (non members)                        | \$201,000              | \$202,230              | \$202,230              | \$0                              | 0%   |
| Energy Demonstrations Project                      | \$0                    | \$0                    | \$0                    | \$0                              | 0%   |
| Government Contributions                           | \$264,848,219          | \$266,469,087          | \$266,469,087          | \$0                              | 0%   |
| Transition Activities                              | \$1,721,533            | \$1,732,069            | \$1,732,069            | \$0                              | 0%   |
| Wounded Warrior Program                            | \$2,500,000            | \$2,515,300            | \$2,515,300            | \$0                              | 0%   |
| Office of Congressional Ethics                     | \$1,548,000            | \$1,557,474            | \$1,557,474            | \$0                              | 0%   |
| Business Continuity / Disaster Recovery            | \$17,112,072           | \$17,216,798           | \$17,216,798           | \$0                              | 0%   |
| Miscellaneous Items                                | \$760,000              | \$764,651              | \$764,651              | \$0                              | 0%   |
| <b>TOTAL ALLOWANCES &amp; EXPENSES</b>             | <b>\$292,386,942</b>   | <b>\$294,176,347</b>   | <b>\$294,176,347</b>   | <b>\$0</b>                       | <b>0%</b>                                    |
| <b>GRAND TOTAL - U.S. HOUSE OF REPRESENTATIVES</b> | <b>\$1,225,680,000</b> | <b>\$1,233,181,161</b> | <b>\$1,233,181,161</b> | <b>\$0</b>                       | <b>0%</b>                                    |
| <b>JOINT ITEMS</b>                                 |                        |                        |                        |                                  |  |
| Joint Committee on Taxation                        | \$10,004,000           | \$10,065,224           | \$10,065,224           | \$0                              | 0%   |
| Attending Physician                                | \$3,400,000            | \$3,420,808            | \$3,420,808            | \$0                              | 0%   |
| <b>TOTAL JOINT ITEMS</b>                           | <b>\$13,404,000</b>    | <b>\$13,486,032</b>    | <b>\$13,486,032</b>    | <b>\$0</b>                       | <b>0%</b>                                    |
| <b>TOTAL U.S. HOUSE OF REPS &amp; JOINT ITEMS</b>  | <b>\$1,239,084,000</b> | <b>\$1,246,667,193</b> | <b>\$1,246,667,193</b> | <b>\$0</b>                       | <b>0%</b>                                    |

SCHEDULE A – HOUSE SUMMARY  
Pg 1 of 2

HOUSE OF REPRESENTATIVES  
HOUSE SUMMARY

|   | FY 2012<br>Actual<br>Dollars (\$000) | FY 2013<br>Enacted<br>Dollars (\$000) | FY 2014<br>Estimated<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Dollars (\$000) |
|---|--------------------------------------|---------------------------------------|---|--|
| Payment to Widows and Heirs of Deceased Members<br>of Congress        |                                      | 174                                   |   | (174)  |
| House Leadership Offices  | 21,061                               | 29,273                                | 23,418                                  | (5,855)  |
| Members' Representational Allowances                                  | 577,356                              | 577,452                               | 577,452                                 | -  |
| Standing Committees, Special & Select<br>Committees on Appropriations | 125,898                              | 126,736                               | 126,736                                 | -  |
| Salaries, Officers and Employees                                      | 19,167                               | 26,829                                | 26,829                                  | -  |
| Allowances and Expenses   | 138,593                              | 178,715                               | 184,570                                 | 5,855  |
|   | 272,629                              | 294,176                               | 294,176                                 | -  |
| <b>Total House of Representatives</b>                                 | <b>1,154,703</b>                     | <b>1,233,355</b>                      | <b>1,233,181</b>                        | <b>(174)</b>                                     |
| 1100 Personnel Compensation   | 673,623                              | 700,788                               | 705,428                                 | 4,641  |
| 1200 Personnel Benefits   | 256,563                              | 266,712                               | 266,524                                 | (188)  |
| 1300 Benefits to Former Personnel                                     | 922                                  | 487                                   | 487                                     | -  |
| 2100 Travel   | 23,165                               | 26,484                                | 25,494                                  | (990)  |
| 2200 Transportation of Things   | 68                                   | 145                                   | 155                                     | 10   |
| 2300 Rent, Communications, Utilities                                  | 79,053                               | 83,152                                | 80,373                                  | (2,779)  |
| 2400 Printing and Reproduction  | 26,130                               | 16,280                                | 15,648                                  | (632)  |
| 2500 Other Services   | 44,278                               | 65,793                                | 62,818                                  | (2,975)  |
| 2600 Supplies and Materials   | 19,414                               | 27,388                                | 24,601                                  | (2,787)  |
| 3100 Equipment  | 31,487                               | 46,071                                | 51,597                                  | 5,526  |
| 4200 Insurance Claims/Indemnities                                     | -                                    | 56                                    | 56                                      |  |
| <b>Total House of Representatives</b>                                 | <b>1,154,703</b>                     | <b>1,233,355</b>                      | <b>1,233,181</b>                        | <b>(174)</b>                                     |

## SCHEDULE A – HOUSE SUMMARY

Pg. 2 of 2

HOUSE OF REPRESENTATIVES  
HOUSE SUMMARY (POSITIONS)

|   | FY 2012      | FY 2013       | FY 2014       | FY 14 vs. FY 13 |
|---|--------------|---------------|---------------|-----------------|
|   | Actual       | Enacted       | Estimated     | Net Change      |
| Payment to Widows and Heirs of Deceased |              |               |               |                 |
| Members of Congress                     |              |               |               |                 |
| House Leadership Offices                | 204          | 245           | 245           | -               |
| Members' Representational Allowances    | 7,224        | 9,702         | 9,702         | -               |
| Standing Committees, Special & Select   | 1,132        | 1,412         | 1,412         | -               |
| Committees on Appropriations            | 167          | 220           | 220           |                 |
| Salaries, Officers and Employees        | 1,071        | 1,206         | 1,206         |                 |
| Allowances and Expenses                 | 41           | 60            | 60            | -               |
| <b>Total House of Representatives</b>   | <b>9,839</b> | <b>12,845</b> | <b>12,845</b> |                 |

## SCHEDULE A – JOINT ITEMS SUMMARY

Pg. 1 of 2

HOUSE OF REPRESENTATIVES  
JOINT ITEMS SUMMARY

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actual          | Enacted         | Estimated       | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) |
| Joint Committee on Taxation          | 9,598           | 10,065          | 10,065          |                 |
| Office of the Attending Physician    | 2,357           | 3,421           | 3,421           |                 |
| <b>Total Joint Items</b>             | <b>11,954</b>   | <b>13,486</b>   | <b>13,486</b>   | <b>-</b>        |
| 1100 Personnel Compensation          | 8,435           | 9,022           | 9,156           | 133             |
| 1200 Personnel Benefits              | 156             | 162             | 162             | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               |
| 2100 Travel                          | 44              | 94              | 94              | -               |
| 2200 Transportation of Things        | -               | 8               | 8               | -               |
| 2300 Rent, Communications, Utilities | 181             | 202             | 202             | -               |
| 2400 Printing and Reproduction       | 6               | 6               | 6               | -               |
| 2500 Other Services                  | 1,877           | 2,813           | 2,835           | 22              |
| 2600 Supplies and Materials          | 800             | 788             | 693             | (95)            |
| 3100 Equipment                       | 455             | 390             | 329             | (61)            |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               |
| <b>Total Joint Items</b>             | <b>11,954</b>   | <b>13,486</b>   | <b>13,486</b>   | <b>-</b>        |

SCHEDULE A – JOINT ITEMS SUMMARY  
Pg. 2 of 2

HOUSE OF REPRESENTATIVES  
JOIN ITEMS SUMMARY (POSITIONS)

|                                   | FY 2012<br>Actual | FY 2013<br>Enacted | FY 2014<br>Estimated | FY 14 vs. FY 13<br>Net Change |
|-----------------------------------|-------------------|--------------------|----------------------|-------------------------------|
| Joint Committee on Taxation       | 65                | 77                 | 77                   | -                             |
| Office of the Attending Physician | [18]              | [18]               | [18]                 |                               |
| <b>Total Joint Items</b>          | <b>65</b>         | <b>77</b>          | <b>77</b>            | <b>-</b>                      |

## SCHEDULE A – HOUSE AND JOINT ITEMS SUMMARY

Pg. 1 of 3

HOUSE OF REPRESENTATIVES  
HOUSE AND JOINT ITEMS SUMMARY

|   | FY 2012<br>Actual<br>Dollars (\$000) | FY 2013<br>Enacted<br>Dollars (\$000) | FY 2014<br>Estimated<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Dollars (\$000) |
|---|--------------------------------------|---------------------------------------|---|--|
| Payments to Widows and Heirs of Deceased Members<br>of Congress       |                                      | 174                                   |   | (174)  |
| House Leadership Offices  | 21,061                               | 29,273                                | 23,418                                  | (5,855)  |
| Members' Representational Allowances                                  | 577,356                              | 577,452                               | 577,452                                 | -  |
| Standing Committees, Special & Select<br>Committees on Appropriations | 125,898                              | 126,736                               | 126,736                                 | -  |
| Salaries, Officers and Employees                                      | 19,167                               | 26,829                                | 26,829                                  | -  |
| Allowances and Expenses   | 138,593                              | 178,715                               | 184,570                                 | 5,855  |
|   | 272,629                              | 294,176                               | 294,176                                 | -  |
| <b>Total House of Representatives</b>                                 | <b>1,154,703</b>                     | <b>1,233,355</b>                      | <b>1,233,181</b>                        | <b>(174)</b>                                     |
| <b>Joint Items-House</b>  |                                      |                                       |   |  |
| Joint Committee on Taxation   | 9,598                                | 10,065                                | 10,065                                  |  |
| Office of the Attending Physician                                     | 2,357                                | 3,421                                 | 3,421                                   |  |
| <b>Total Joint items</b>  | <b>11,954</b>                        | <b>13,486</b>                         | <b>13,486</b>                           | <b>-</b>   |
| <b>Total House and Joint</b>  | <b>1,166,658</b>                     | <b>1,246,841</b>                      | <b>1,246,667</b>                        | <b>(174)</b>                                     |

## SCHEDULE A – HOUSE AND JOINT ITEMS SUMMARY

Pg. 2 of 3

HOUSE OF REPRESENTATIVES  
HOUSE AND JOINT ITEMS SUMMARY

|                                      | FY 2012          | FY 2013          | FY 2014          | FY 14 vs. FY 13 |
|--------------------------------------|------------------|------------------|------------------|-----------------|
|                                      | Actual           | Enacted          | Estimated        | Net Change      |
|                                      | Dollars (\$000)  | Dollars (\$000)  | Dollars (\$000)  | Dollars (\$000) |
| 1100 Personnel Compensation          | 682,058          | 709,810          | 714,584          | 4,774           |
| 1200 Personnel Benefits              | 256,720          | 266,874          | 266,686          | (188)           |
| 1300 Benefits to Former Personnel    | 922              | 487              | 487              | -               |
| 2100 Travel                          | 23,208           | 26,578           | 25,588           | (990)           |
| 2200 Transportation of Things        | 68               | 153              | 163              | 10              |
| 2300 Rent, Communications, Utilities | 79,234           | 83,354           | 80,576           | (2,779)         |
| 2400 Printing and Reproduction       | 26,136           | 16,286           | 15,654           | (632)           |
| 2500 Other Services                  | 46,155           | 68,606           | 65,653           | (2,953)         |
| 2600 Supplies and Materials          | 20,214           | 28,176           | 25,294           | (2,882)         |
| 3100 Equipment                       | 31,942           | 46,461           | 51,927           | 5,465           |
| 4200 Insurance Claims/Indemnities    | -                | 56               | 56               | -               |
| <b>Total House and Joint</b>         | <b>1,166,658</b> | <b>1,246,841</b> | <b>1,246,667</b> | <b>(174)</b>    |

## SCHEDULE A – HOUSE AND JOINT ITEMS SUMMARY

Pg. 3 of 3

HOUSE OF REPRESENTATIVES  
HOUSE AND JOINT ITEMS SUMMARY (POSITIONS)

|  | FY 2012<br>Actual | FY 2013<br>Enacted | FY 2014<br>Estimated | FY 14 vs. FY 13<br>Net Change |
|--|-------------------|--------------------|----------------------|-------------------------------|
| Payments to Widows and Heirs of Deceased                           |                   |                    |                      |                               |
| Members of Congress  |                   |                    |                      |                               |
| House Leadership Offices   | 204               | 245                | 245                  | -                             |
| Members' Representational Allowances                               | 7,224             | 9,702              | 9,702                | -                             |
| Standing Committees, Special & Select-Committees on Appropriations | 1,132             | 1,412              | 1,412                | -                             |
| Salaries, Officers and Employees                                   | 167               | 220                | 220                  | -                             |
| Allowances and Expenses  | 1,071             | 1,206              | 1,206                | -                             |
|  | 41                | 60                 | 60                   | -                             |
| <b>Total House of Representatives</b>                              | <b>9,839</b>      | <b>12,845</b>      | <b>12,845</b>        |                               |
| Joint Items-House  |                   |                    |                      |                               |
| Joint Committee on Taxation  | 65                | 77                 | 77                   |                               |
| Office of the Attending Physician                                  | [18]              | [18]               | [18]                 |                               |
| <b>Total Joint Items</b>   | <b>65</b>         | <b>77</b>          | <b>77</b>            | <b>-</b>                      |
| <b>Total House and Joint</b>                                       | <b>9,904</b>      | <b>12,922</b>      | <b>12,922</b>        | <b>-</b>                      |

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

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

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | -               | -               | -               | -               | -               |
| 1200 Personnel Benefits              | -               | 174             | -               | (174)           | (100%)          |
| 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>                         | -               | 174             | -               | (174)           | (100%)          |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| POSITIONS                            | -               | -               | -               | -               | -               |

SCHEDULE C -- PAYMENT TO WIDOWS AND HEIRS OF DECEASED MEMBERS OF CONGRESS

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 PAYMENT TO WIDOWS AND HEIRS OF DECEASED MEMBERS OF CONGRESS

|                                 | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|---------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                 | Enacted         | Estimates       | Net Change      | Net Change      |
|                                 | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>      | 174             | -               | (174)           | (100%)          |
| Personnel Benefits              | 174             | -               | (174)           | (100%)          |
| <b>B. PRICE LEVEL INCREASES</b> | -               | -               | -               | -               |
| <b>C. PROGRAM CHANGES</b>       | -               | -               | -               | -               |
| <b>TOTAL</b>                    | 174             | -               | (174)           | (100%)          |
| <b>POSITIONS</b>                | -               | -               | -               | -               |

A gratuity was authorized in Pub. L. 112-175, "Making Continuing Appropriations, 2013".

## SCHEDULE A – SALARIES AND EXPENSES

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

|                                      | FY 2012          | FY 2013          | FY 2014          | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|------------------|------------------|------------------|-----------------|-----------------|
|                                      | Actuals          | Enacted          | Estimates        | Net Change      | Net Change      |
|                                      | Dollars (\$000)  | Dollars (\$000)  | Dollars (\$000)  | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 673,623          | 700,788          | 705,428          | 4,641           | 0.66%           |
| 1200 Personnel Benefits              | 256,563          | 266,538          | 266,524          | (14)            | (0.01%)         |
| 1300 Benefits to Former Personnel    | 922              | 487              | 487              | -               | -               |
| 2100 Travel                          | 23,165           | 26,484           | 25,494           | (990)           | (3.74%)         |
| 2200 Transportation of Things        | 68               | 145              | 155              | 10              | 6.83%           |
| 2300 Rent, Communications, Utilities | 79,053           | 83,152           | 80,373           | (2,779)         | (3.34%)         |
| 2400 Printing and Reproduction       | 26,130           | 16,280           | 15,648           | (632)           | (3.88%)         |
| 2500 Other Services                  | 44,278           | 65,793           | 62,818           | (2,975)         | (4.52%)         |
| 2600 Supplies and Materials          | 19,414           | 27,388           | 24,601           | (2,787)         | (10.18%)        |
| 3100 Equipment                       | 31,487           | 46,071           | 51,597           | 5,526           | 11.99%          |
| 4200 Insurance Claims/Indemnities    | -                | 56               | 56               | -               | -               |
| <b>Total</b>                         | <b>1,154,703</b> | <b>1,233,181</b> | <b>1,233,181</b> | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012          | FY 2013          | FY 2014          | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals          | Enacted          | Estimates        | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>9,839</b>     | <b>12,845</b>    | <b>12,845</b>    | <b>-</b>        | <b>-</b>        |

## SCHEDULE C – SALARIES AND EXPENSES

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

|                                       | FY 2013          | FY 2014          | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|---------------------------------------|------------------|------------------|-----------------|-----------------|
|                                       | Enacted          | Estimates        | Net Change      | Net Change      |
|                                       | Dollars (\$000)  | Dollars (\$000)  | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>            | <b>967,257</b>   | <b>971,897</b>   | <b>4,641</b>    | <b>0.48%</b>    |
| Base Adjustment                       | 1                | (5,784)          | (5,785)         | (460.601.27%)   |
| Cost of Living Adjustment             | -                | 8,863            | 8,863           | -               |
| Cost of Living Adjustment Annualized  | -                | 928              | 928             | -               |
| Longevity Increase                    | -                | 181              | 181             | -               |
| Meritorious Increase                  | -                | 30               | 30              | -               |
| Overtime Pay                          | 200              | 762              | 562             | 281%            |
| Personnel Base                        | 700,588          | 700,449          | (138)           | (0.02%)         |
| Personnel Benefits                    | 266,469          | 266,469          | -               | -               |
| Reclassifications                     | -                | -                | -               | -               |
| Temporary Positions                   | -                | -                | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>       | -                | -                | -               | -               |
| <b>C. PROGRAM CHANGES</b>             | <b>265,924</b>   | <b>261,284</b>   | <b>(4,641)</b>  | <b>(1.75%)</b>  |
| House Leadership Offices              | 1,250            | 849              | (401)           | (32.08%)        |
| Members' Representational Allowances  | 159,188          | 152,990          | (6,198)         | (3.89%)         |
| Standing Committees, Special & Select | 8,491            | 6,745            | (1,746)         | (20.56%)        |
| Committees on Appropriations          | 2,568            | 2,010            | (558)           | (21.73%)        |
| Salaries, Officers and Employees      | 70,098           | 74,401           | 4,303           | 6.14%           |
| Allowances and Expenses               | 24,329           | 24,289           | (41)            | (0.17%)         |
| <b>TOTAL</b>                          | <b>1,233,181</b> | <b>1,233,181</b> | <b>-</b>        | <b>-</b>        |
| <b>POSITIONS</b>                      | <b>12,845</b>    | <b>12,845</b>    | <b>-</b>        | <b>-</b>        |

## SCHEDULE A – OFFICE OF THE SPEAKER

HOUSE OF REPRESENTATIVES  
OFFICE OF THE SPEAKER  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 5,319           | 8,198           | 6,656           | (1,543)         | (18.82%)        |
| 1200 Personnel Benefits              | 25              | 31              | 25              | (6)             | (20%)           |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 10              | 94              | 75              | (19)            | (20%)           |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 1               | 26              | 21              | (5)             | (20%)           |
| 2400 Printing and Reproduction       | 4               | 26              | 21              | (5)             | (20%)           |
| 2500 Other Services                  | 11              | 139             | 14              | (125)           | (89.82%)        |
| 2600 Supplies and Materials          | 135             | 217             | 174             | (43)            | (20%)           |
| 3100 Equipment                       | -               | -               | -               | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>5,505</b>    | <b>8,732</b>    | <b>6,985</b>    | <b>(1,746)</b>  | <b>(20%)</b>    |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | 52              | 66              | 66              | -               | -               |

## SCHEDULE C – OFFICE OF THE SPEAKER

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

|                                      | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>8,198</b>    | <b>6,656</b>    | <b>(1,543)</b>  | <b>(18.82%)</b> |
| Base Adjustment                      | -               | (1,640)         | (1,640)         | -               |
| Cost of Living Adjustment            | -               | 89              | 89              | -               |
| Cost of Living Adjustment Annualized | -               | 8               | 8               | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Meritorious Increase                 | -               | -               | -               | -               |
| Overtime Pay                         | -               | -               | -               | -               |
| Personnel Base                       | 8,198           | 8,198           | -               | -               |
| Personnel Benefits                   | -               | -               | -               | -               |
| Reclassifications                    | -               | -               | -               | -               |
| Temporary Positions                  | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>      |                 |                 |                 |                 |
| <b>C. PROGRAM CHANGES</b>            | <b>533</b>      | <b>330</b>      | <b>(204)</b>    | <b>(38.19%)</b> |
| Non-Personnel                        | 502             | 305             | (197)           | (39.33%)        |
| Official Expenses                    | 31              | 25              | (6)             | (20%)           |
| <b>TOTAL</b>                         | <b>8,732</b>    | <b>6,985</b>    | <b>(1,746)</b>  | <b>(20%)</b>    |
| <b>POSITIONS</b>                     | <b>66</b>       | <b>66</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, \$6,985,260. The fiscal year (FY) 2014 budget request is (\$1,746,316) or (20%) below the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals minus the transition funding that was appropriated in FY'13 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 2014 budget cycle, January 3, 2014 – January 2, 2015.

This amount includes \$6,655,719 for mandatory items, \$533,176 for program current services and a decrease of (\$203,635) for program changes.

I. Personnel Details: FY'14 Request – \$6,655,719A. Base: \$8,198,400

- i. The estimated FY'13 personnel compensation will be \$8,198,400.

B. Budget Calculations:

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%
- ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%

C. Requested Changes:

- i. FY'13 Base Adjustment – (\$1,639,681)
  - This decrease includes the transition funds that were appropriated for FY'13 in support of the House Leadership Offices transition to a Legislative Year budget cycle. The budget request for FY'14 will fund the Legislative Year 2014 budget cycle.
- ii. FY'13 Cost of Living Annualized - \$8,000
- iii. FY'14 Cost of Living Prorated - \$89,000

II. Price Level Details: FY'14 Request – \$0

The price level inflation of 1.5% is not reflected in this request.

III. Program Details: FY'14 Request – \$329,541A. Current Services:

- i. Non-Personnel: \$501,926 – This account provides the necessary funding for the Office of the Speaker's non-personnel expenses. This amount includes the transition funds for October 1, 2013 through January 2, 2014.

- ii. Official Expenses: \$31,250 – This funds the Speaker’s allowance for official expenses. This amount includes the transition funds for October 1, 2013 through January 2, 2014.
- B. Proposed Changes:
- i. Non-Personnel: (\$197,385) – This decrease includes the transition funds that were appropriated for FY’13 in support of the House Leadership Offices transition to a Legislative Year budget cycle. The budget request for FY’14 will fund the Legislative Year 2014 budget cycle.
  - ii. Official Expenses: (\$6,250) – This decrease includes the transition funds that were appropriated for FY’13 in support of the House Leadership Offices transition to a Legislative Year budget cycle. The budget request for FY’14 will fund the Legislative Year 2014 budget cycle.

## SCHEDULE A – OFFICE OF THE MAJORITY FLOOR LEADER

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

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 2,130           | 2,741           | 2,226           | (515)           | (18.8%)         |
| 1200 Personnel Benefits              | -               | 12              | 10              | (2)             | (20%)           |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 5               | 6               | 5               | (1)             | (19.99%)        |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 2               | 1               | -               | -               | (19.97%)        |
| 2400 Printing and Reproduction       | 1               | 1               | -               | -               | (19.97%)        |
| 2500 Other Services                  | 5               | -               | -               | -               | (19.97%)        |
| 2600 Supplies and Materials          | 86              | 102             | 49              | (53)            | (52.32%)        |
| 3100 Equipment                       | -               | -               | -               | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>2,230</b>    | <b>2,864</b>    | <b>2,292</b>    | <b>(573)</b>    | <b>(20%)</b>    |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>22</b>       | <b>32</b>       | <b>32</b>       | <b>-</b>        | <b>-</b>        |

## SCHEDULE C – OFFICE OF THE MAJORITY FLOOR LEADER

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

|                                      | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>2,741</b>    | <b>2,226</b>    | <b>(515)</b>    | <b>(18.8%)</b>  |
| Base Adjustment                      | -               | (548)           | (548)           | -               |
| Cost of Living Adjustment            | -               | 30              | 30              | -               |
| Cost of Living Adjustment Annualized | -               | 3               | 3               | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Meritorious Increase                 | -               | -               | -               | -               |
| Overtime Pay                         | -               | -               | -               | -               |
| Personnel Base                       | 2,741           | 2,741           | -               | -               |
| 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>124</b>      | <b>66</b>       | <b>(58)</b>     | <b>(46.71%)</b> |
| Non-Personnel                        | 111             | 56              | (55)            | (49.71%)        |
| Official Expenses                    | 12              | 10              | (2)             | (20%)           |
| <b>TOTAL</b>                         | <b>2,864</b>    | <b>2,292</b>    | <b>(573)</b>    | <b>(20%)</b>    |
| <b>POSITIONS</b>                     | <b>32</b>       | <b>32</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, \$2,291,534. The fiscal year (FY) 2014 budget request is (\$572,884) or (20%) below the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals minus the transition funding that was appropriated in FY'13 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 2014 budget cycle, January 3, 2014 – January 2, 2015.

This amount includes \$2,225,692 for mandatory items, \$123,551 for program current services and a decrease of (\$57,709) for program changes.

I. Personnel Details: FY'14 Request – \$2,225,692A. Base: \$2,740,867

- i. The estimated FY'13 personnel compensation will be \$2,740,867

B. Budget Calculations:

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%
- ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%

C. Requested Changes:

- i. FY'13 Base Adjustment – (\$548,175)
  - This decrease includes the transition funds that were appropriated for FY'13 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY'14 will fund the Legislative Year 2014 budget cycle.
- ii. FY'13 Cost of Living Annualized – \$3,000
- iii. FY'14 Cost of Living Prorated – \$30,000

II. Price Level Details: FY'14 Request – \$0

The price level increase of 1.5% is not reflected in this request.

III. Program Details: FY'14 Request – \$65,842

## A. Current Services:

- i. Non-Personnel: \$111,051 – 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 1, 2013 through January 2, 2014.

- ii. Official Expenses: \$12,500 – This funds the Majority Leader’s allowance for official expenses. This amount includes the transition funds for October 1, 2013 through January 2, 2014.

B. Proposed Changes:

- i. Non-Personnel: (\$55,209) – This decrease includes the transition funds that were appropriated for FY’13 in support of the House Leadership Offices transition to a Legislative Year budget cycle. The budget request for FY’14 will fund the Legislative Year 2014 budget cycle.
- ii. Official Expenses: (\$2,500) – This decrease includes the transition funds that were appropriated for FY’13 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY’14 will fund the Legislative Year 2014 budget cycle.

## SCHEDULE A – OFFICE OF THE MINORITY FLOOR LEADER

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

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 6,696           | 9,255           | 7,404           | (1,851)         | (20%)           |
| 1200 Personnel Benefits              | -               | 12              | 10              | (2)             | (20%)           |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 126             | 6               | 5               | (1)             | (19.99%)        |
| 2200 Transportation of Things        | 3               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | -               | 2               | 2               | -               | (20.01%)        |
| 2400 Printing and Reproduction       | 10              | -               | -               | -               | -               |
| 2500 Other Services                  | 113             | 1               | -               | -               | (19.97%)        |
| 2600 Supplies and Materials          | 222             | 71              | 57              | (14)            | (20%)           |
| 3100 Equipment                       | -               | -               | -               | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>7,170</b>    | <b>9,348</b>    | <b>7,478</b>    | <b>(1,870)</b>  | <b>(20%)</b>    |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | 58              | 55              | 55              | -               | -               |

## SCHEDULE C – OFFICE OF THE MINORITY FLOOR LEADER

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

|                                      | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>9,255</b>    | <b>7,404</b>    | <b>(1,851)</b>  | <b>(20%)</b>    |
| Base Adjustment                      | -               | (1,959)         | (1,959)         | -               |
| Cost of Living Adjustment            | -               | 99              | 99              | -               |
| Cost of Living Adjustment Annualized | -               | 9               | 9               | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Meritorious Increase                 | -               | -               | -               | -               |
| Overtime Pay                         | -               | -               | -               | -               |
| Personnel Base                       | 9,255           | 9,255           | -               | -               |
| Personnel Benefits                   | -               | -               | -               | -               |
| Reclassifications                    | -               | -               | -               | -               |
| Temporary Positions                  | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>      | -               | -               | -               | -               |
| <b>C. PROGRAM CHANGES</b>            | <b>93</b>       | <b>74</b>       | <b>(19)</b>     | <b>(20%)</b>    |
| Non-Personnel                        | 80              | 64              | (16)            | (20%)           |
| Official Expenses                    | 12              | 10              | (2)             | (20%)           |
| <b>TOTAL</b>                         | <b>9,348</b>    | <b>7,478</b>    | <b>(1,870)</b>  | <b>(20%)</b>    |
| <b>POSITIONS</b>                     | <b>55</b>       | <b>55</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, \$7,478,301. The fiscal year (FY) 2014 budget request is (\$1,869,577) or (20%) below the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals minus the transition funding that was appropriated in FY'13 in support of the House Leadership Offices transition to a Legislative Year budget cycle.

This amount includes \$7,403,950 for mandatory items, \$92,938 for program current services and a decrease of (\$18,587) for program changes.

I. Personnel Details: FY'14 Request – \$7,403,950A. Base: \$9,254,940

- i. The estimated FY'13 personnel compensation will be \$9,254,940.

B. Budget Calculations:

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%
- ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%

C. Requested Changes:

- i. FY'13 Base Adjustment – (\$1,958,990)
  - This decrease includes the transition funds that were appropriated for FY'13 in support of the House Leadership Offices transition to a Legislative Year budget cycle. The budget request for FY'14 will fund the Legislative Year 2014 budget cycle.
- ii. FY'13 Cost of Living Annualized – \$9,000
- iii. FY'14 Cost of Living Prorated – \$99,000

II. Price Level Details: FY'14 Request – \$0

The price level increase of 1.5% is not reflected in this request.

III. Program Details: FY'14 Request – \$74,351

## A. Current Services:

- i. Non-Personnel: \$80,438 – 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 1, 2013 through January 2, 2014.
- ii. Official Expenses: \$12,500 – This funds the Minority Leader's allowance for official expenses. This amount includes the transition funds for October 1, 2013 through January 2, 2014.

**B. Proposed Changes:**

- i. **Non-Personnel:** (\$16,087) – This decrease includes the transition funds that were appropriated for FY’13 in support of the House Leadership Offices transition to a Legislative Year budget cycle. The budget request for FY’14 will fund the Legislative Year 2014 budget cycle.
- ii. **Official Expenses:** (\$2,500) – This decrease includes the transition funds that were appropriated for FY’13 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY’14 will fund the Legislative Year 2014 budget cycle.

## SCHEDULE A – OFFICE OF THE MAJORITY WHIP

HOUSE OF REPRESENTATIVES  
OFFICE OF THE MAJORITY WHIP  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 1,733           | 2,341           | 1,873           | (468)           | (20%)           |
| 1200 Personnel Benefits              | -               | 6               | 5               | (1)             | (20%)           |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 2               | 15              | 12              | (3)             | (20%)           |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | -               | 1               | -               | -               | (19.97%)        |
| 2400 Printing and Reproduction       | -               | 1               | -               | -               | (19.97%)        |
| 2500 Other Services                  | -               | 9               | 8               | (2)             | (20%)           |
| 2600 Supplies and Materials          | 126             | 104             | 84              | (21)            | (20%)           |
| 3100 Equipment                       | -               | -               | -               | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>1,864</b>    | <b>2,479</b>    | <b>1,983</b>    | <b>(496)</b>    | <b>(20%)</b>    |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>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 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>2,341</b>    | <b>1,873</b>    | <b>(468)</b>    | <b>(20%)</b>    |
| Base Adjustment                      | -               | (495)           | (495)           | -               |
| Cost of Living Adjustment            | -               | 25              | 25              | -               |
| Cost of Living Adjustment Annualized | -               | 2               | 2               | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Meritorious Increase                 | -               | -               | -               | -               |
| Overtime Pay                         | -               | -               | -               | -               |
| Personnel Base                       | 2,341           | 2,341           | -               | -               |
| 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>138</b>      | <b>110</b>      | <b>(28)</b>     | <b>(20%)</b>    |
| Non-Personnel                        | 131             | 105             | (26)            | (20%)           |
| Official Expenses                    | 6               | 5               | (1)             | (20%)           |
| <b>TOTAL</b>                         | <b>2,479</b>    | <b>1,983</b>    | <b>(496)</b>    | <b>(20%)</b>    |
| <b>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, \$1,983,113. The fiscal year (FY) 2014 budget request is (\$495,779) or (20%) below the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals minus the transition funding that was appropriated in FY'13 in support of the House Leadership Offices transition to a Legislative Year budget cycle.

This amount includes \$1,872,937 for mandatory items, \$137,720 for program current services and a decrease of (\$27,544) for program changes.

**I. Personnel Details: FY'14 Request – \$1,872,937**

**A. Base: \$2,341,172**

- i. The estimated FY'13 personnel compensation will be \$2,341,172.

**B. Budget Calculations:**

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%  
ii. FY'14 Cost of Living Prorated – (1.5%) 1.8%

**C. Requested Changes:**

- i. FY'13 Base Adjustment – (\$495,235)  
     ▪ This decrease includes the transition funds that were appropriated for FY'13 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY'14 will fund the Legislative Year 2014 budget cycle.  
 ii. FY'13 Cost of Living Annualized – \$2,000  
 iii. FY'14 Cost of Living Prorated – \$25,000

**II. Price Level Details: FY'14 Request – \$0**

The price level increase of 1.5% is not reflected in this request.

**III. Program Details: FY'14 Request – \$110,176**

**A. Current Services:**

- i. Non-Personnel: \$131,470 – 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 1, 2013 through January 2, 2014.

- ii. Official Expenses: \$6,250 – This funds the Majority Whip’s allowance for official expenses. This amount includes the transition funds for October 1, 2013 through January 2, 2014.

B. Proposed Changes:

- i. Non-Personnel: (\$26,294) – This decrease includes the transition funds that were appropriated for FY’13 in support of the House Leadership Offices transition to a Legislative Year budget cycle. The budget request for FY’14 will fund the Legislative Year 2014 budget cycle.
- ii. Official Expenses: (\$1,250) – This decrease includes the transition funds that were appropriated for FY’13 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY’14 will fund the Legislative Year 2014 budget cycle.

## SCHEDULE A – OFFICE OF THE MINORITY WHIP

HOUSE OF REPRESENTATIVES  
OFFICE OF THE MINORITY WHIP  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 1,417           | 1,757           | 1,426           | (330)           | (18.8%)         |
| 1200 Personnel Benefits              | -               | 6               | 5               | (1)             | (20%)           |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 1               | 15              | 12              | (3)             | (20%)           |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 3               | 1               | -               | -               | (19.97%)        |
| 2400 Printing and Reproduction       | 7               | 4               | 3               | -               | (20.01%)        |
| 2500 Other Services                  | 3               | 1               | -               | -               | (19.97%)        |
| 2600 Supplies and Materials          | 57              | 134             | 86              | (48)            | (35.69%)        |
| 3100 Equipment                       | -               | -               | -               | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>1,487</b>    | <b>1,918</b>    | <b>1,534</b>    | <b>(384)</b>    | <b>(20%)</b>    |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | 18              | 27              | 27              | -               | -               |

## SCHEDULE C – OFFICE OF THE MINORITY WHIP

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

|                                      | FY 2013<br>Enacted<br>Dollars (\$000) | FY 2014<br>Estimates<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Percent % |
|--------------------------------------|---------------------------------------|---|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>1,757</b>                          | <b>1,426</b>                            | <b>(330)</b>                                     | <b>(18.8%)</b>                             |
| Base Adjustment                      | -                                     | (351)                                   | (351)  | -  |
| Cost of Living Adjustment            | -                                     | 19                                      | 19   | -  |
| Cost of Living Adjustment Annualized | -                                     | 2                                       | 2  | -  |
| Longevity Increase                   | -                                     | -                                       | -  | -  |
| Meritorious Increase                 | -                                     | -                                       | -  | -  |
| Overtime Pay                         | -                                     | -                                       | -  | -  |
| Personnel Base                       | 1,757                                 | 1,757                                   | -  | -  |
| 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>161</b>                            | <b>108</b>                              | <b>(53)</b>                                      | <b>(33.02%)</b>                            |
| Non-Personnel                        | 155                                   | 103                                     | (52)   | (33.55%)                                   |
| Official Expenses                    | 6                                     | 5                                       | (1)  | (20%)                                      |
| <b>TOTAL</b>                         | <b>1,918</b>                          | <b>1,534</b>                            | <b>(384)</b>                                     | <b>(20%)</b>                               |
| <b>POSITIONS</b>                     | <b>27</b>                             | <b>27</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, \$1,534,284. The fiscal year (FY) 2014 budget request is (\$383,571) or (20%) below the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals minus the transition funding that was appropriated in FY'13 in support of the House Leadership Offices transition to a Legislative Year budget cycle.

This amount includes \$1,426,269 for mandatory items, \$161,268 for program current services and a decrease of (\$53,253) for program changes.

**I. Personnel Details: FY'14 Request – \$1,426,269**

**A. Base: \$1,756,587**

- i. The estimated FY'13 personnel compensation will be \$1,756,587.

**B. Budget Calculations:**

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%  
ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%

**C. Requested Changes:**

- i. FY'13 Base Adjustment – (\$351,318)  
     ▪ This decrease includes the transition funds that were appropriated for FY'13 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY'14 will fund the Legislative Year 2014 budget cycle.
- ii. FY'13 Cost of Living Annualized – \$2,000  
iii. FY'14 Cost of Living Prorated – \$19,000

**II. Price Level Details: FY'14 Request – \$0**

The price level inflation of 1.5% is not reflected in this request.

**III. Program Details: FY'14 Request – \$108,015**

**A. Current Services:**

- i. Non-Personnel: \$ 155,018 – This account provides the necessary funding for the Office of the Minority Whip non-personnel expenses. This amount includes the transition funds for October 1, 2013 through January 2, 2014.
- ii. Official Expenses: \$ 6,250 – This funds the Minority Whip's allowance for official expenses. This amount includes the transition funds for October 1, 2013 through January 2, 2014.

**B. Proposed Changes:**

- i. Non-Personnel: (\$52,003) – This decrease includes the transition funds that were appropriated for FY'13 in support of the House Leadership Offices transition to a Legislative Year budget cycle. The budget request for FY'14 will fund the Legislative Year 2014 budget cycle.
- ii. Official Expenses: (\$1,250) – This decrease includes the transition funds that were appropriated for FY'13 in support of the House Leadership Offices transition to a Legislative Year budget cycle. The budget request for FY'14 will fund the Legislative Year 2014 budget cycle.

## SCHEDULE A – REPUBLICAN CONFERENCE

HOUSE OF REPRESENTATIVES  
REPUBLICAN CONFERENCE  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 1,206           | 1,894           | 1,516           | (379)           | (20%)           |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | -               | 9               | 8               | (2)             | (20%)           |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 9               | 15              | 12              | (3)             | (20%)           |
| 2400 Printing and Reproduction       | 13              | -               | -               | -               | -               |
| 2500 Other Services                  | -               | 6               | 5               | (1)             | (19.99%)        |
| 2600 Supplies and Materials          | 63              | 53              | 42              | (11)            | (20%)           |
| 3100 Equipment                       | -               | -               | -               | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>1,292</b>    | <b>1,978</b>    | <b>1,582</b>    | <b>(396)</b>    | <b>(20%)</b>    |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>16</b>       | <b>20</b>       | <b>20</b>       | <b>-</b>        | <b>-</b>        |

## SCHEDULE C – REPUBLICAN CONFERENCE

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 REPUBLICAN CONFERENCE

|                                      | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>1,894</b>    | <b>1,516</b>    | <b>(379)</b>    | <b>(20%)</b>    |
| Base Adjustment                      | -               | (401)           | (401)           | -               |
| Cost of Living Adjustment            | -               | 20              | 20              | -               |
| Cost of Living Adjustment Annualized | -               | 2               | 2               | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Meritorious Increase                 | -               | -               | -               | -               |
| Overtime Pay                         | -               | -               | -               | -               |
| Personnel Base                       | 1,894           | 1,894           | -               | -               |
| 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>84</b>       | <b>67</b>       | <b>(17)</b>     | <b>(20%)</b>    |
| Non-Personnel                        | 84              | 67              | (17)            | (20%)           |
| <b>TOTAL</b>                         | <b>1,978</b>    | <b>1,582</b>    | <b>(396)</b>    | <b>(20%)</b>    |
| <b>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, \$1,582,413. The fiscal year (FY) 2014 budget request is (\$395,604) or (20%) below the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals minus the transition funding that was appropriated in FY'14 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 2014 budget cycle, January 3, 2014 – January 2, 2015.

This amount includes \$1,515,535 for mandatory items, \$83,597 for program current services and a decrease of (\$16,719) for program changes.

I. Personnel Details: FY'14 Request – \$1,515,535A. Base: \$1,894,420

- i. The estimated FY'13 personnel compensation will be \$1,894,420.

B. Budget Calculations:

- i. FY'13 Cost of Living Annualized – (0.13% 0.5%
- ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%

C. Requested Changes:

- i. FY'13 Base Adjustment – (\$400,885)
  - This decrease includes the transition funds that were appropriated for FY'13 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY'14 will fund the Legislative Year 2014 budget cycle.
- ii. FY'13 Cost of Living Annualized – \$2,000
- iii. FY'14 Cost of Living Prorated – \$20,000

II. Price Level Details: FY'14 Request – \$0

The price level inflation of 1.5% is not reflected in this request.

III. Program Details: FY'14 Request – \$66,878

## A. Current Services:

- i. Non-Personnel: \$ 83,597 – This account provides the necessary funding for the Office of the Republican Conference non-personnel expenses. This amount includes the transition funds for October 1, 2013 through January 2, 2014.

**B. Proposed Changes:**

- i. **Non-Personnel:** (\$16,719) – This decrease includes the transition funds that were appropriated for FY'13 in support of the House Leadership Offices transition to a Legislative Year budget cycle. The budget request for FY'14 will fund the Legislative Year 2014 budget cycle.

## SCHEDULE A – DEMOCRATIC CAUCUS

HOUSE OF REPRESENTATIVES  
DEMOCRATIC CAUCUS  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 1,433           | 1,836           | 1,469           | (367)           | (20%)           |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 16              | 7               | 6               | (1)             | (20%)           |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | -               | 15              | 12              | (3)             | (20%)           |
| 2400 Printing and Reproduction       | -               | 4               | 3               | -               | (20.04%)        |
| 2500 Other Services                  | 4               | 12              | 9               | (2)             | (20%)           |
| 2600 Supplies and Materials          | 60              | 80              | 64              | (16)            | (20%)           |
| 3100 Equipment                       | -               | -               | -               | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>1,513</b>    | <b>1,954</b>    | <b>1,563</b>    | <b>(391)</b>    | <b>(20%)</b>    |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | 19              | 22              | 22              | -               | -               |

## SCHEDULE C – DEMOCRATIC CAUCUS

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 DEMOCRATIC CAUCUS

|                                      | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>1,836</b>    | <b>1,469</b>    | <b>(367)</b>    | <b>(20%)</b>    |
| Base Adjustment                      | -               | (389)           | (389)           | -               |
| Cost of Living Adjustment            | -               | 20              | 20              | -               |
| Cost of Living Adjustment Annualized | -               | 2               | 2               | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Meritorious Increase                 | -               | -               | -               | -               |
| Overtime Pay                         | -               | -               | -               | -               |
| Personnel Base                       | 1,836           | 1,836           | -               | -               |
| Personnel Benefits                   | -               | -               | -               | -               |
| Reclassifications                    | -               | -               | -               | -               |
| Temporary Positions                  | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>      | -               | -               | -               | -               |
| <b>C. PROGRAM CHANGES</b>            | <b>118</b>      | <b>94</b>       | <b>(24)</b>     | <b>(20%)</b>    |
| Non-Personnel                        | 118             | 94              | (24)            | (20%)           |
| <b>TOTAL</b>                         | <b>1,954</b>    | <b>1,563</b>    | <b>(391)</b>    | <b>(20%)</b>    |
| <b>POSITIONS</b>                     | <b>22</b>       | <b>22</b>       | <b>-</b>        |                 |

HOUSE LEADERSHIP OFFICES  
DEMOCRATIC CAUCUS

For salaries and expenses of the Democratic Caucus, \$1,563,316. The fiscal year (FY) 2014 budget request is (\$390,830) or (20%) below the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals minus the transition funding that was appropriated in FY'14 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 2014 budget cycle, January 3, 2014 – January 2, 2015.

This amount includes \$1,469,123 for mandatory items, \$117,743 for program current services and a decrease of (\$23,550) for program changes.

I. Personnel Details: FY'14 Request – \$1,469,123

A. Base: \$1,836,403

- i. The estimated FY'13 personnel compensation will be \$1,836,403.

B. Budget Calculations:

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%  
ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%

C. Requested Changes:

- i. FY'13 Base Adjustment – (\$389,280)  
▪ This decrease includes the transition funds that were appropriated for FY'13 in support of the House Leadership Office transition to a Legislative Year budget cycle. The budget request for FY'14 will fund the Legislative Year 2014 budget cycle.  
ii. FY'13 Cost of Living Annualized – \$2,000  
iii. FY'14 Cost of Living Prorated – \$20,000

II. Price Level Details: FY'14 Request – \$0

The price level inflation of 1.5% is not reflected in this request.

III. Program Details: FY'14 Request – \$94,193

A. Current Services:

- i. Non-Personnel: \$ 117,743 – This account provides the necessary funding for the Office of the Democratic Caucus' non-personnel expenses. This amount includes the transition funds for October 1, 2013 through January 2, 2014.

B. Proposed Changes:

- i. Non-Personnel: (\$23,550) – This decrease includes the transition funds that were appropriated for FY'13 in support of the House Leadership

Offices' transition to a Legislative Year budget cycle. The budget request for FY'14 will fund the Legislative Year 2014 budget cycle.

## SCHEDULE A – TOTAL HOUSE LEADERSHIP OFFICES

HOUSE OF REPRESENTATIVES  
TOTAL – HOUSE LEADERSHIP OFFICES  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 19,934          | 28,023          | 22,569          | (5,454)         | (19.46%)        |
| 1200 Personnel Benefits              | 25              | 69              | 55              | (14)            | (20%)           |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 161             | 153             | 122             | (31)            | (20%)           |
| 2200 Transportation of Things        | 3               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 15              | 62              | 50              | (12)            | (20%)           |
| 2400 Printing and Reproduction       | 36              | 35              | 28              | (7)             | (20%)           |
| 2500 Other Services                  | 137             | 169             | 38              | (131)           | (77.37%)        |
| 2600 Supplies and Materials          | 750             | 761             | 555             | (206)           | (27.09%)        |
| 3100 Equipment                       | -               | -               | -               | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>21,061</b>   | <b>29,273</b>   | <b>23,418</b>   | <b>(5,855)</b>  | <b>(20%)</b>    |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>204</b>      | <b>245</b>      | <b>245</b>      | <b>-</b>        | <b>-</b>        |

## SCHEDULE C – TOTAL HOUSE LEADERSHIP OFFICES

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

|                                      | FY 2013<br>Enacted<br>Dollars (\$000) | FY 2014<br>Estimates<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Percent % |
|--------------------------------------|---------------------------------------|---|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>28,023</b>                         | <b>22,569</b>                           | <b>(5,454)</b>                                   | <b>(19.46%)</b>                            |
| Base Adjustment                      | -                                     | (5,784)                                 | (5,784)  | -  |
| Cost of Living Adjustment            | -                                     | 302                                     | 302  | -  |
| Cost of Living Adjustment Annualized | -                                     | 28                                      | 28   | -  |
| Longevity Increase                   | -                                     | -                                       | -  | -  |
| Meritorious Increase                 | -                                     | -                                       | -  | -  |
| Overtime Pay                         | -                                     | -                                       | -  | -  |
| Personnel Base                       | 28,023                                | 28,023                                  | -  | -  |
| Personnel Benefits                   | -                                     | -                                       | -  | -  |
| Reclassifications                    | -                                     | -                                       | -  | -  |
| Temporary Positions                  | -                                     | -                                       | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      |                                       |   |  |  |
| <b>C. PROGRAM CHANGES</b>            | <b>1,250</b>                          | <b>849</b>                              | <b>(401)</b>                                     | <b>(32.08%)</b>                            |
| Office of the Speaker                | 533                                   | 330                                     | (204)  | (38.19%)                                   |
| Office of the Majority Floor Leader  | 124                                   | 66                                      | (58)   | (46.71%)                                   |
| Office of the Minority Floor Leader  | 93                                    | 74                                      | (19)   | (20%)                                      |
| Office of the Majority Whip          | 138                                   | 110                                     | (28)   | (20%)                                      |
| Office of the Minority Whip          | 161                                   | 108                                     | (53)   | (33.02%)                                   |
| Republican Conference                | 84                                    | 67                                      | (17)   | (20%)                                      |
| Democratic Caucus                    | 118                                   | 94                                      | (24)   | (20%)                                      |
| <b>TOTAL</b>                         | <b>29,273</b>                         | <b>23,418</b>                           | <b>(5,855)</b>                                   | <b>(20%)</b>                               |
| <b>POSITIONS</b>                     | <b>245</b>                            | <b>245</b>                              |  |  |

## SCHEDULE A – MEMBERS' REPRESENTATIONAL ALLOWANCES

HOUSE OF REPRESENTATIVES  
MEMBERS' REPRESENTATIONAL ALLOWANCES  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 419,671         | 418,264         | 424,462         | 6,198           | 1.48%           |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 21,493          | 24,490          | 23,537          | (954)           | (3.89%)         |
| 2200 Transportation of Things        | -               | 2               | 2               | -               | (3.88%)         |
| 2300 Rent, Communications, Utilities | 66,694          | 67,819          | 65,178          | (2,641)         | (3.89%)         |
| 2400 Printing and Reproduction       | 25,969          | 16,013          | 15,389          | (623)           | (3.89%)         |
| 2500 Other Services                  | 22,654          | 21,664          | 20,821          | (844)           | (3.89%)         |
| 2600 Supplies and Materials          | 13,290          | 18,839          | 18,105          | (733)           | (3.89%)         |
| 3100 Equipment                       | 7,585           | 10,361          | 9,958           | (403)           | (3.89%)         |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>577,356</b>  | <b>577,452</b>  | <b>577,452</b>  | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>7,224</b>    | <b>9,702</b>    | <b>9,702</b>    | <b>-</b>        | <b>-</b>        |

## SCHEDULE C – MEMBERS' REPRESENTATIONAL ALLOWANCES

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

|                                      | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>418,264</b>  | <b>424,462</b>  | <b>6,198</b>    | <b>1.48%</b>    |
| Base Adjustment                      | -               | -               | -               | -               |
| Cost of Living Adjustment            | -               | 5,654           | 5,654           | -               |
| Cost of Living Adjustment Annualized | -               | 544             | 544             | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Meritorious Increase                 | -               | -               | -               | -               |
| Overtime Pay                         | -               | -               | -               | -               |
| Personnel Base                       | 418,264         | 418,264         | -               | -               |
| Personnel Benefits                   | -               | -               | -               | -               |
| Reclassifications                    | -               | -               | -               | -               |
| Temporary Positions                  | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>      | -               | -               | -               | -               |
| <b>C. PROGRAM CHANGES</b>            | <b>159,188</b>  | <b>152,990</b>  | <b>(6,198)</b>  | <b>(3.89%)</b>  |
| Official Expenses                    | 143,175         | 136,977         | (6,198)         | (4.33%)         |
| Official Mail                        | 16,013          | 16,013          | -               | -               |
| <b>TOTAL</b>                         | <b>577,452</b>  | <b>577,452</b>  |                 |                 |
| <b>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, \$577,451,791. The fiscal year (FY) 2014 budget is flat with the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals.

This amount includes \$424,461,814 for mandatory items, \$159,187,977 for program current services and a decrease of (\$6,198,000) in program changes.

I. Personnel Details: FY'14 Request – \$424,461,814A. Base: \$418,263,814

- i. The estimated FY'13 personnel compensation will be \$418,263,814.

B. Budget Calculations:

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%
- ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%

C. Requested Changes:

- i. FY'13 Cost of Living Annualized - \$544,000.
- ii. FY'14 Cost of Living Prorated - \$5,654,000.

II. Price Level Details: FY'14 Request – \$0

The price level inflation of 1.5% is not reflected in this request.

III. Program Details: FY'14 Request – \$152,989,977

## A. Current Services:

- i. Official Expenses: \$143,175,163 – Official Expenses of the MRA are composed of non-personnel items such as equipment, federal and private rent, telecommunications, printing and contract services.
- ii. Official Mail: \$16,012,814 – The Official Mail program covers all MRA mailing expenses from both the district and DC offices of all Members.

## B. Proposed Changes:

- i. Official Expenses: (\$6,198,000) - This decrease in non-personnel spending offsets an anticipated increase in personnel due to cost of living adjustments.
- ii. Official Mail: \$0 – None.

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

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

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 113,984         | 118,245         | 119,991         | 1,746           | 1.48%           |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 633             | 500             | 500             | -               | -               |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 1,524           | 1,321           | 1,200           | (121)           | (9.16%)         |
| 2400 Printing and Reproduction       | 56              | 70              | 60              | (10)            | (14.29%)        |
| 2500 Other Services                  | 2,108           | 1,500           | 1,100           | (400)           | (26.67%)        |
| 2600 Supplies and Materials          | 2,441           | 2,000           | 1,085           | (915)           | (45.75%)        |
| 3100 Equipment                       | 3,979           | 3,100           | 2,800           | (300)           | (9.68%)         |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>124,725</b>  | <b>126,736</b>  | <b>126,736</b>  | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>1,132</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 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>118,245</b>  | <b>119,991</b>  | <b>1,746</b>    | <b>1.48%</b>    |
| Base Adjustment                      | -               | -               | -               | -               |
| Cost of Living Adjustment            | -               | 1,598           | 1,598           | -               |
| Cost of Living Adjustment Annualized | -               | 148             | 148             | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Meritorious Increase                 | -               | -               | -               | -               |
| Overtime Pay                         | -               | -               | -               | -               |
| Personnel Base                       | 118,245         | 118,245         | -               | -               |
| Personnel Benefits                   | -               | -               | -               | -               |
| Reclassifications                    | -               | -               | -               | -               |
| Temporary Positions                  | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>      | -               | -               | -               | -               |
| <b>C. PROGRAM CHANGES</b>            | <b>8,491</b>    | <b>6,745</b>    | <b>(1,746)</b>  | <b>(20.56%)</b> |
| Official Expenses                    | 8,491           | 6,745           | (1,746)         | (20.56%)        |
| <b>TOTAL</b>                         | <b>126,736</b>  | <b>126,736</b>  | <b>-</b>        | <b>0%</b>       |
| <b>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, \$126,735,775. The fiscal year (FY) 2014 budget is flat with the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals.

This amount includes \$119,990,850 for mandatory items, \$8,491,030 for program current services and a (\$1,746,105) decrease in program changes.

I. Personnel Details: FY'14 Request – \$119,990,850

A. Base: \$118,244,745

i. The estimated FY'13 personnel compensation will be \$118,244,745.

B. Budget Calculations:

i. FY'13 Cost of Living Annualized – (0.13%) 0.5%

ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%

C. Requested Changes:

i. FY'13 Cost of Living Annualized – \$147,806

ii. FY'14 Cost of Living Prorated – \$1,598,299

II. Price Level Details: FY'14 Request – \$0

The price level inflation of 1.5% is not reflected in this request.

III. Program Details: FY'14 Request – \$6,744,925

A. Current Services:

i. Official Expenses: \$8,491,030 – 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: (\$1,746,105) - This decrease in non-personnel spending offsets an anticipated increase in personnel expenses due to cost of living adjustments.

## SCHEDULE A – HEARING ROOM RENOVATIONS

HOUSE OF REPRESENTATIVES  
HEARING ROOM RENOVATIONS  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | 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                  | 29              | -               | -               | -               | -               |
| 2600 Supplies and Materials          | 40              | -               | -               | -               | -               |
| 3100 Equipment                       | 1,104           | -               | -               | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>1,173</b>    | -               | -               | -               | -               |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | -               | -               | -               | -               | -               |

SCHEDULE C – HEARING ROOM RENOVATIONS

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

|                                      | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | -               | -               | -               | -               |
| Base Adjustment                      | -               | -               | -               | -               |
| Cost of Living Adjustment            | -               | -               | -               | -               |
| Cost of Living Adjustment Annualized | -               | -               | -               | -               |
| 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>POSITIONS</b>                     | -               | -               | -               | -               |

## Explanation of Changes Shown on Schedule C

## HEARING ROOM RENOVATIONS

For salaries and expenses of the Hearing Room Renovations, \$0. The fiscal year 2014 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'14 Request – \$0

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

II. Price Level Details: FY'14 Request – \$0

III. Program Details: FY'14 Request – \$0

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 Committee Hearing Rooms.

B. Proposed Changes:

- i. Hearing Room Renovations: \$0 - None.

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

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

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 113,984         | 118,245         | 119,991         | 1,746           | 1.48%           |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 633             | 500             | 500             | -               | -               |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 1,524           | 1,321           | 1,200           | (121)           | (9.16%)         |
| 2400 Printing and Reproduction       | 56              | 70              | 60              | (10)            | (14.29%)        |
| 2500 Other Services                  | 2,137           | 1,500           | 1,100           | (400)           | (26.67%)        |
| 2600 Supplies and Materials          | 2,481           | 2,000           | 1,085           | (915)           | (45.75%)        |
| 3100 Equipment                       | 5,083           | 3,100           | 2,800           | (300)           | (9.68%)         |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>125,898</b>  | <b>126,736</b>  | <b>126,736</b>  | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>1,132</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 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|---------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                       | Enacted         | Estimates       | Net Change      | Net Change      |
|                                       | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>            | <b>118,245</b>  | <b>119,991</b>  | <b>1,746</b>    | <b>1.48%</b>    |
| Base Adjustment                       | -               | -               | -               | -               |
| Cost of Living Adjustment             | -               | 1,598           | 1,598           | -               |
| Cost of Living Adjustment Annualized  | -               | 148             | 148             | -               |
| Longevity Increase                    | -               | -               | -               | -               |
| Meritorious Increase                  | -               | -               | -               | -               |
| Overtime Pay                          | -               | -               | -               | -               |
| Personnel Base                        | 118,245         | 118,245         | -               | -               |
| 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>8,491</b>    | <b>6,745</b>    | <b>(1,746)</b>  | <b>(20.56%)</b> |
| Standing Committees, Special & Select | 8,491           | 6,745           | (1,746)         | (20.56%)        |
| <b>TOTAL</b>                          | <b>126,736</b>  | <b>126,736</b>  | <b>-</b>        | <b>0%</b>       |
| <b>POSITIONS</b>                      | <b>1,412</b>    | <b>1,412</b>    | <b>-</b>        | <b>-</b>        |

## SCHEDULE A – COMMITTEES ON APPROPRIATIONS

HOUSE OF REPRESENTATIVES  
COMMITTEES ON APPROPRIATIONS  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 16,629          | 24,260          | 24,819          | 558             | 2.3%            |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 25              | 100             | 100             | -               | -               |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 234             | 240             | 240             | -               | -               |
| 2400 Printing and Reproduction       | 5               | 9               | 9               | -               | -               |
| 2500 Other Services                  | 1,923           | 1,733           | 1,383           | (350)           | (20.2%)         |
| 2600 Supplies and Materials          | 109             | 200             | 120             | (80)            | (40%)           |
| 3100 Equipment                       | 242             | 287             | 159             | (128)           | (44.72%)        |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>19,167</b>   | <b>26,829</b>   | <b>26,829</b>   | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>167</b>      | <b>220</b>      | <b>220</b>      | <b>-</b>        | <b>-</b>        |

## SCHEDULE C – COMMITTEES ON APPROPRIATIONS

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

|                                      | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>24,260</b>   | <b>24,819</b>   | <b>558</b>      | <b>2.3%</b>     |
| Base Adjustment                      | -               | -               | -               | -               |
| Cost of Living Adjustment            | -               | 328             | 328             | -               |
| Cost of Living Adjustment Annualized | -               | 30              | 30              | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Meritorious Increase                 | -               | -               | -               | -               |
| Overtime Pay                         | 200             | 200             | -               | -               |
| Personnel Base                       | 24,060          | 24,260          | 200             | 0.83%           |
| Personnel Benefits                   | -               | -               | -               | -               |
| Reclassifications                    | -               | -               | -               | -               |
| Temporary Positions                  | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>      | -               | -               | -               | -               |
| <b>C. PROGRAM CHANGES</b>            | <b>2,568</b>    | <b>2,010</b>    | <b>(558)</b>    | <b>(21.73%)</b> |
| Administration                       | 2,568           | 2,010           | (558)           | (21.73%)        |
| <b>TOTAL</b>                         | <b>26,829</b>   | <b>26,829</b>   | -               | -               |
| <b>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, \$26,828,980. The fiscal year (FY) 2014 budget is flat with the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals.

This amount includes \$24,818,752 for mandatory items, \$2,568,480 for program current services and a (\$558,252) decrease in program changes.

I. Personnel Details: FY'14 Request – \$24,818,752

A. Base: \$24,260,500

- i. The estimated FY'13 personnel compensation will be \$24,060,500.
- ii. The estimated FY'13 overtime will be \$200,000.

B. Budget Calculations:

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%
- ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%
- iii. FY'14 Meritorious Increases – 0%

C. Requested Changes:

- i. FY'13 Cost of Living Annualized – \$30,326
- ii. FY'14 Cost of Living Prorated – \$327,926
- iii. FY'14 Meritorious Increases – \$0
- iv. Overtime Pay - \$200,000

II. Price Level Details: FY'14 Request – \$0

The price level inflation of 1.5% is not reflected in this request.

III. Program Details: FY'14 Request – \$2,010,228

A. Current Services:

- i. Official Expenses: \$2,568,480 – 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: (\$558,252) – This decrease in non-personnel spending offsets an anticipated increase in personnel expenses due to cost of living adjustments.

## SCHEDULE A – OFFICE OF THE CLERK

HOUSE OF REPRESENTATIVES  
OFFICE OF THE CLERK  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 17,918          | 19,154          | 19,622          | 468             | 2.44%           |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 37              | 71              | 69              | (2)             | (2.74%)         |
| 2200 Transportation of Things        | -               | -               | 10              | 10              | -               |
| 2300 Rent, Communications, Utilities | 145             | 192             | 200             | 8               | 4.35%           |
| 2400 Printing and Reproduction       | 17              | 41              | 44              | 4               | 8.71%           |
| 2500 Other Services                  | 1,697           | 3,698           | 1,813           | (1,885)         | (50.97%)        |
| 2600 Supplies and Materials          | 262             | 1,438           | 574             | (864)           | (60.07%)        |
| 3100 Equipment                       | 1,101           | 1,682           | 1,678           | (4)             | (0.26%)         |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>21,176</b>   | <b>26,274</b>   | <b>24,009</b>   | <b>(2,265)</b>  | <b>(8.62%)</b>  |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>188</b>      | <b>214</b>      | <b>216</b>      | <b>2</b>        | <b>0.93%</b>    |

## SCHEDULE C – OFFICE OF THE CLERK

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

|                                      | FY 2013<br>Enacted<br>Dollars (\$000) | FY 2014<br>Estimates<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Percent % |
|--------------------------------------|---------------------------------------|---|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>19,154</b>                         | <b>19,622</b>                           | <b>468</b>                                       | <b>2.44%</b>                               |
| Base Adjustment                      | -                                     | (51)                                    | (51)   | -  |
| Cost of Living Adjustment            | -                                     | 252                                     | 252  | -  |
| Cost of Living Adjustment Annualized | -                                     | 24                                      | 24   | -  |
| Longevity Increase                   | -                                     | 121                                     | 121  | -  |
| Meritorious Increase                 | -                                     | -                                       | -  | -  |
| Overtime Pay                         | -                                     | 122                                     | 122  | -  |
| Personnel Base                       | 19,154                                | 19,154                                  | -  | -  |
| Personnel Benefits                   | -                                     | -                                       | -  | -  |
| Reclassifications                    | -                                     | -                                       | -  | -  |
| Temporary Positions                  | -                                     | -                                       | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      | -                                     | -                                       | -  | -  |
| <b>C. PROGRAM CHANGES</b>            | <b>7,121</b>                          | <b>4,388</b>                            | <b>(2,733)</b>                                   | <b>(38.38%)</b>                            |
| Service Group                        | 28                                    | 27                                      | -  | (2.03%)                                    |
| Clerk of the House                   | 2,023                                 | 13                                      | (2,010)  | (99.36%)                                   |
| Immediate Office of the Clerk        | 225                                   | 234                                     | 9  | 4.11%                                      |
| Legislative Operations               | 58                                    | 58                                      | -  | 1.04%                                      |
| Legislative Computers                | 1,549                                 | 1,544                                   | (4)  | (0.29%)                                    |
| Official Reporters                   | 112                                   | 114                                     | 2  | 1.34%                                      |
| Legislative Resource Center          | 504                                   | 506                                     | 2  | 0.34%                                      |
| Page Program                         | 360                                   | -                                       | (360)  | (100%)                                     |
| Newspaper Subscriptions              | 112                                   | 112                                     | -  | -  |
| Stenographic Reporting               | 700                                   | 700                                     | -  | -  |
| House Employment Counsel             | 265                                   | 255                                     | (10)   | (3.72%)                                    |
| Closed Captioning                    | 850                                   | 474                                     | (376)  | (44.24%)                                   |
| Office of Communications             | 47                                    | 47                                      | -  | -  |
| Office of Arts and Archives          | 192                                   | 192                                     | (1)  | (0.52%)                                    |
| Office of the Historian Staff        | 95                                    | 112                                     | 16   | 17.33%                                     |
| <b>TOTAL</b>                         | <b>26,274</b>                         | <b>24,009</b>                           | <b>(2,265)</b>                                   | <b>(8.62%)</b>                             |
| <b>POSITIONS</b>                     | <b>214</b>                            | <b>216</b>                              | <b>2</b>   | <b>0.93%</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, \$24,009,473. The fiscal year (FY) 2014 budget is \$2,264,748 or (8.62%) below the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals. The FY'14 request includes funding authority and authorized positions of both the Chaplain and Historian.

This amount includes \$19,621,516 for mandatory items, \$7,120,550 for current program services and a decrease of (\$2,732,593) in program changes.

- I. Personnel Details: FY'14 Request – \$19,621,516
  - A. Base: \$19,153,671
    - i. The estimated FY'13 personnel compensation will be \$19,153,671.
  - B. Budget Calculations:
    - i. FY'13 Cost of Living Annualized – (0.13%) 0.5%
    - ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%
  - C. Requested Changes:
    - i. FY'13 Cost of Living Annualized – \$24,000
    - ii. FY'14 Cost of Living Prorated – \$252,000
    - iii. FY'14 Based Adjustment – (51,000)
    - iv. FY'14 Overtime - \$122,000
    - v. FY'14 Longevity - \$120,845
- II. Price Level Details: FY'14 Request – \$0

The price level inflation of 1.5% is not reflected in this request.

- III. Program Details: FY'14 Request – \$4,387,957

- A. Current Services:
  - i. Clerk of the House: \$2,023,000: The Office of Clerk 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. 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 (Lobbying Disclosures, Financial Disclosures, etc); new or enhanced document availability (Phase II of the Committee Project); new Clerk website development or redesign; and HouseLive streaming video enhancements.

- ii. Immediate Office of the Clerk of the House: \$224,900 – 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.
- iii. Legislative Operations: \$57,800 – 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.
- iv. Legislative Computer Systems: \$1,548,600 – 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.
- v. Official Reporters: \$112,500 – 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.
- vi. Legislative Resource Center: \$504,500 – 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.
- vii. Service Group: \$27,560 – The Service Group administers the Members and Family Room, the Congresswomen’s Suite, and the Capitol Prayer Room.
- viii. Page Program: \$360,234 – 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. This funding completes closing out the Program.
- ix. Newspaper Subscriptions: \$112,000 – Newspaper Subscriptions program provides subscriptions of periodicals for House Leadership Offices.

- x. Stenographic Reporting: \$700,000 – Stenographic Reporting provides funding for any supplemental costs associated with stenographic reporting for House committees.
- xi. House Employment Counsel: \$264,800 – 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.
- xii. Closed Captioning: \$850,000 – The Closed Captioning contract provides closed captioning services for the House Floor.
- xiii. Office of Communications: \$46,950 – The Office of Communications provides comprehensive creative services to all divisions of the Office of the Clerk.
- xiv. Office of Arts and Archives: \$192,500 – 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.
- xv. Office of the Historian's Staff: \$95,206 – 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.

**B. Proposed Changes:**

- i. Clerk of the House: (\$2,010,000) – This reduction in the FY' 14 submission reflects the Office of the Clerk's plan to spend prior fiscal year carryover no year fund balances to execute duties associated with the Stock Act. The Office does not anticipate needing additional no year funding to implement these tasks.
- ii. Immediate Office of the Clerk of the House: \$9,240 - This increase reflects the Office of the Chaplain and Office of the Historian transfers under the Clerk of the House. This increase is also offset by a non-personnel decrease in printing.
- iii. Legislative Operations: \$600 – This increase is a result of budgeting for costs associated with traveling to alternate sites.
- iv. Legislative Computer Systems: (\$4,500) – This decrease is a result of anticipating a decline in non-personnel activity such as travel, rent communications, and utilities, as well as supplies in this division.

- v. Official Reporters: \$1,512 - This increase will fund travel to alternate sites and field hearings and employee training.
- vi. Legislative Resource Center: \$1,699 – This additional funding will cover anticipated maintenance of new equipment purchased in FY'12.
- vii. Service Group: (\$560) – This minor decrease is a result of an anticipated decline in non-personnel expenses.
- viii. Page Program: (\$360,234) – The decrease is a result of the Page Program closure.
- ix. Newspaper Subscriptions: \$0 - None.
- x. Stenographic Reporting: \$0 - None.
- xi. House Employment Counsel: (\$9,850) – This decrease is a result of an anticipated decline in non-personnel expenses within this Office; more specifically, in the areas of supplies and equipment.
- xii. Closed Captioning: (\$376,000) – This decrease is a result of a renegotiated contractual agreement that originated in FY'12.
- xiii. Office of Communications: \$0 – None.
- xiv. Office of Arts and Archives: (\$1,000) – This decrease results from an anticipated decline in travel expenses.
- xv. Office of the Historian's Staff: \$16,500 – This increase will fund expenses associated with House projects such as the Civil Rights Project and the Asian Pacific Americans Project, purchase rights to use pictures, employee training and service contract increases.

## SCHEDULE A – OFFICE OF THE SERGEANT AT ARMS

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

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 8,656           | 8,926           | 9,091           | 165             | 1.85%           |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 144             | 132             | 116             | (16)            | (12.12%)        |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 159             | 181             | 168             | (13)            | (7.18%)         |
| 2400 Printing and Reproduction       | 5               | 4               | 7               | 3               | 75%             |
| 2500 Other Services                  | 1,913           | 2,542           | 2,011           | (532)           | (20.91%)        |
| 2600 Supplies and Materials          | 69              | 110             | 153             | 43              | 38.77%          |
| 3100 Equipment                       | 205             | 767             | 1,117           | 350             | 45.58%          |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>11,151</b>   | <b>12,662</b>   | <b>12,662</b>   | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>115</b>      | <b>132</b>      | <b>132</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 2013<br>Enacted<br>Dollars (\$000) | FY 2014<br>Estimates<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Percent % |
|--------------------------------------|---------------------------------------|---|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>8,926</b>                          | <b>9,091</b>                            | <b>165</b>                                       | <b>1.85%</b>                               |
| Base Adjustment                      | -                                     | -                                       | -  | -  |
| Cost of Living Adjustment            | -                                     | 118                                     | 118  | -  |
| Cost of Living Adjustment Annualized | -                                     | 11                                      | 11   | -  |
| Longevity Increase                   | -                                     | 36                                      | 36   | -  |
| Meritorious Increase                 | -                                     | -                                       | -  | -  |
| Overtime Pay                         | -                                     | -                                       | -  | -  |
| Personnel Base                       | 8,926                                 | 8,926                                   | -  | -  |
| Personnel Benefits                   | -                                     | -                                       | -  | -  |
| Reclassifications                    | -                                     | -                                       | -  | -  |
| Temporary Positions                  | -                                     | -                                       | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      |                                       |   |  |  |
| <b>C. PROGRAM CHANGES</b>            | <b>3,736</b>                          | <b>3,571</b>                            | <b>(165)</b>                                     | <b>(4.43%)</b>                             |
| Immediate Office                     | 334                                   | 406                                     | 72   | 21.38%                                     |
| House Garages/Parking Security       | 9                                     | 43                                      | 34   | 380.56%                                    |
| House Security Office                | 5                                     | 259                                     | 254  | 5,083.76%                                  |
| Office of Information Services       | 213                                   | 519                                     | 306  | 143.57%                                    |
| Office of Emergency Management       | 3,175                                 | 2,344                                   | (831)  | (26.18%)                                   |
| <b>TOTAL</b>                         | <b>12,662</b>                         | <b>12,662</b>                           | <b>-</b>   |  |
| <b>POSITIONS</b>                     | <b>132</b>                            | <b>132</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, \$12,662,020. The fiscal year (FY) 2014 budget is flat with the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals.

This amount includes \$9,091,251 for mandatory items, \$3,736,092 for program current services and a decrease of (\$165,323) in program changes.

I. Personnel Details: FY'14 Request – \$9,091,251A. Base: \$8,925,928

- i. The estimated FY'13 personnel compensation will be \$8,925,928

B. Budget Calculations:

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%
- ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%
- iii. FY'14 Longevity Increase – 0.41%

C. Requested Changes:

- i. FY'13 Cost of Living Annualized – \$11,157
- ii. FY'14 Cost of Living Prorated – \$118,103
- iii. FY'14 Longevity Increase \$36,063

II. Price Level Details: FY'14 Request – \$0

The price level inflation of 1.5% but is not reflected in this request.

III. Program Details: FY'14 Request – \$3,570,769A. Current Services:

- i. Office of the Sergeant At Arms Immediate Office: \$334,500 - The Sergeant at Arms Immediate Office oversees and administers all divisions within the organization. The Immediate Office is comprised of the divisions of Police Services / Special Events and Protocol and the House Appointments Desks. 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 assist 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 House Security Office: \$5,000 - The division 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. OHS provides training for Members of Congress and House staff on the protocols and responsibilities in handling and storage of classified materials, foreign travel, counterintelligence, and operations security
  - iv. Sergeant At Arms Information Services: \$213,000 - 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.
  - v. Sergeant At Arms Office of Emergency Management: \$3,174,592 - 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 Immediate Office: \$71,500 – This increase is a result of consolidating non personnel operational costs under the Immediate Office such as rent, communications and utilities (RCU) and printing. The increase is also due to the purchase of Member and spouse pins and license plates for the 114<sup>th</sup> Congress.
- ii. Sergeant At Arms House Garages/Parking Security: \$34,250 – This increase is due to the purchase of parking permits for the 114<sup>th</sup> Congress, the lifecycle replacement of parking security uniforms, and projected expenses associated with the maintenance of parking security vehicles.
- iii. Sergeant At Arms House Security Office: \$254,189 – This requested increase will fund contract services (such as E-Learning) which will produce a security refresher course/training package. It will also provide necessary funding for upgrades to the system that stores classified documents for the House. This will provide increased storage capacity and user accessibility.

- iv. Sergeant At Arms Information Services: \$305,800 - This increase will provide funding for staff training and the purchase of virtual server software. This increase is also due to consolidating, SAA divisions' equipment purchases. This net increase is offset by a decrease in supplies and materials within this functional component.
- v. Sergeant At Arms Office of Emergency Management: (\$831,062) – This decrease is a result of consolidating non personnel administrative/operational expenses such as travel, rent, communications and utilities, printing, etc. with the Immediate Office.

## SCHEDULE A – OFFICE OF THE CHIEF ADMINISTRATIVE OFFICER

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

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 58,112          | 62,476          | 63,388          | 912             | 1.46%           |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 235             | 277             | 277             | -               | -               |
| 2200 Transportation of Things        | 62              | 123             | 123             | -               | -               |
| 2300 Rent, Communications, Utilities | 4,959           | 6,806           | 6,806           | -               | -               |
| 2400 Printing and Reproduction       | 11              | 43              | 43              | -               | -               |
| 2500 Other Services                  | 9,686           | 25,211          | 24,300          | (911)           | (3.61%)         |
| 2600 Supplies and Materials          | 1,719           | 2,903           | 2,903           | -               | -               |
| 3100 Equipment                       | 13,390          | 19,658          | 25,718          | 6,060           | 30.83%          |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>88,173</b>   | <b>117,497</b>  | <b>123,558</b>  | <b>6,061</b>    | <b>5.16%</b>    |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | 627             | 714             | 714             | -               | -               |

## SCHEDULE C – OFFICE OF THE CHIEF ADMINISTRATIVE OFFICER

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

|                                      | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>62,476</b>   | <b>63,388</b>   | <b>912</b>      | <b>1.46%</b>    |
| Base Adjustment                      | -               | -               | -               | -               |
| Cost of Living Adjustment            | -               | 354             | 354             | -               |
| Cost of Living Adjustment Annualized | -               | 118             | 118             | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Meritorious Increase                 | -               | -               | -               | -               |
| Overtime Pay                         | -               | 440             | 440             | -               |
| Personnel Base                       | 62,476          | 62,476          | -               | -               |
| Personnel Benefits                   | -               | -               | -               | -               |
| Reclassifications                    | -               | -               | -               | -               |
| Temporary Positions                  | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>      | -               | -               | -               | -               |
| <b>C. PROGRAM CHANGES</b>            | <b>55,021</b>   | <b>60,170</b>   | <b>5,149</b>    | <b>9.36%</b>    |
| Administration                       | 6,696           | 6,696           | -               | -               |
| Applications Support Operations      | 1,842           | 1,842           | -               | -               |
| CVC Operations                       | 44              | 44              | -               | -               |
| Enterprise Operations                | 5,414           | 5,414           | -               | -               |
| Furniture and Furnishings            | 5,290           | 5,290           | -               | -               |
| House IT Training                    | 459             | 459             | -               | -               |
| House Recording Studio               | 615             | 615             | -               | -               |
| House Technical Support              | 2,972           | 2,972           | -               | -               |
| Information Systems Security         | 6,384           | 6,384           | -               | -               |
| Mail and Package Delivery            | 8,577           | 8,577           | -               | -               |
| Strategic Initiatives/CAO-Wide       | 3,961           | 9,110           | 5,149           | 129.99%         |
| Telecommunications Data              | 8,427           | 8,427           | -               | -               |
| Telecommunications Voice             | 2,850           | 2,850           | -               | -               |
| Web Services and Support             | 1,489           | 1,489           | -               | -               |
| <b>TOTAL</b>                         | <b>117,497</b>  | <b>123,558</b>  | <b>6,061</b>    | <b>5.16%</b>    |
| <b>POSITIONS</b>                     | <b>714</b>      | <b>714</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, \$123,557,834. The fiscal year (FY) 2014 budget request is \$6,061,128 or 5.16% above the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of 0.612% over the FY'12 enacted totals.

This amount includes \$63,388,327 for mandatory items, \$55,020,678 for program current services and \$5,148,829 or 9.36% increase in program changes.

**I. Personnel Details: FY'14 Request – \$63,388,327**

- A. Base:\$62,476,028
  - i. The estimated FY'13 personnel compensation will be \$62,476,028.
  - ii. The estimated FY'13 personnel benefits will be \$0.
- B. Budget Calculations:
  - i. FY'13 Cost of Living Annualized – (0.13%) 0.5%
  - ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%
  - iii. FY'14 Longevity Increases – 0%
  - iv. FY'14 Meritorious Increases – 0%
- C. Requested Changes:
  - i. FY'13 Base Adjustment – \$0
  - ii. FY'13 Cost of Living Annualized – \$118,075
  - iii. FY'14 Cost of Living Prorated – \$354,224
  - iv. FY'14 Longevity Increases – \$0
  - v. FY'14 Meritorious Increase – \$0
  - vi. FY'14 Overtime Pay – \$440,000
  - vii. FY'14 Personnel Benefits – \$0

**II. Price Level Details: FY'14 Request – \$0**

The price level inflation of 1.5% is not reflected in this request.

**III. Program Details: FY'14 Request – \$60,169,507**

- A. Current Services:
  - i. Administration: \$6,695,558 – 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: \$1,842,206 – Provides funding for management, maintenance and support of House financial and non-financial applications including contractor support and licensing.
- iii. CVC Operations: \$44,269 – Provides operational funding for carpet cleaning, furniture, wiring maintenance agreements, equipment replacement, ad hoc wiring requests, and contractor support.
- iv. Enterprise Operations: \$5,413,932 – 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: \$5,290,179 – 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 furnishings, finish schedules, refurbishment, and warehousing.
- vi. House IT Training: \$458,790 – Provides funding for training classes offered to the House community.
- vii. House Recording Studio: \$614,739 – Provides audio and video services to Members, Committees and House Officers enabling official information to be disbursed to constituents and other entities.
- viii. House Technical Support: \$2,972,078 – Provides funding for the Technology Call Center, including contractor support, phone maintenance, software purchases and upgrades as well as the CAO Seat Management program.
- ix. Information Systems Security: \$6,383,831 – 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.
- x. Mail and Package Delivery: \$8,577,173 – 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.
- xi. Strategic Initiatives/CAO-Wide: \$3,961,266 – 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.
- xii. Telecommunications Data: \$8,427,261 – 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.
- xiii. Telecommunications Voice: \$2,850,338 – Provides funding for local telephone services (e.g., voice mail, PBX, facilities configuration, secure voice units), contractor support, and maintaining the system infrastructure.

- xiv. Web Services and Support: \$1,489,058 – 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: \$0 - None.
- ii. Applications Support Operations: \$0 - None.
- iii. CVC Operations: \$0 - None.
- iv. Enterprise Operations: \$0 - None.
- v. Furniture and Furnishings: \$0 - None.
- vi. House IT Training: \$0 - None.
- vii. House Recording Studio: \$0 - None.
- viii. House Technical Support: \$0 - None.
- ix. Information Systems Security: \$0 - None.
- x. Mail and Package Delivery: \$0 - None.
- xi. Strategic Initiatives/CAO-Wide: \$5,148,829 – The Strategic Initiatives/CAO Wide program includes a total of \$9,110,095 of which \$6,085,394 is for the House cloud expansion and the remaining \$3,024,701 is for improvements to financial applications. This increase will allow the CAO to upgrade the House cloud to keep pace with the growing enterprise systems storage demand. 385 House offices use the House Cloud to store data. In addition, this line reflects a decrease of \$912,299 from FY 2013 levels. This decrease in non-personnel spending offsets an anticipated increase in personnel expenses due to cost of living adjustments.
- xii. Telecommunications Data: \$0 - None.
- xiii. Telecommunications Voice: \$0 - None.
- xiv. Web Services and Support: \$0 - None.

## SCHEDULE A – OFFICE OF THE INSPECTOR GENERAL

**HOUSE OF REPRESENTATIVES  
OFFICE OF THE INSPECTOR GENERAL  
BY OBJECT CLASS**

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 2,983           | 3,430           | 3,421           | (9)             | (0.25%)         |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 9               | 13              | 13              | -               | -               |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 33              | 42              | 42              | -               | -               |
| 2400 Printing and Reproduction       | -               | 1               | 1               | -               | -               |
| 2500 Other Services                  | 285             | 1,443           | 1,118           | (325)           | (22.54%)        |
| 2600 Supplies and Materials          | 48              | 101             | 101             | -               | -               |
| 3100 Equipment                       | 141             | 46              | 46              | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>3,500</b>    | <b>5,076</b>    | <b>4,742</b>    | <b>(334)</b>    | <b>(6.58%)</b>  |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | 22              | 24              | 24              | -               | -               |

## SCHEDULE C – OFFICE OF THE INSPECTOR GENERAL

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

|   | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|---|-----------------|-----------------|-----------------|-----------------|
|   | Enacted         | Estimates       | Net Change      | Net Change      |
|   | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>                  | <b>3,430</b>    | <b>3,421</b>    | <b>(9)</b>      | <b>(0.25%)</b>  |
| Base Adjustment                             | -               | (59)            | (59)            | -               |
| Cost of Living Adjustment                   | -               | 46              | 46              | -               |
| Cost of Living Adjustment Annualized        | -               | 4               | 4               | -               |
| Longevity Increase                          | -               | -               | -               | -               |
| Meritorious Increase                        | -               | -               | -               | -               |
| Overtime Pay                                | -               | -               | -               | -               |
| Personnel Base                              | 3,430           | 3,430           | -               | -               |
| Personnel Benefits                          | -               | -               | -               | -               |
| Reclassifications                           | -               | -               | -               | -               |
| Temporary Positions                         | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>             | -               | -               | -               | -               |
| <b>C. PROGRAM CHANGES</b>                   | <b>1,646</b>    | <b>1,321</b>    | <b>(325)</b>    | <b>(19.76%)</b> |
| General Operations Program                  | 130             | 130             | -               | -               |
| Audit, Advisory, and Investigative Services | 1,433           | 1,108           | (325)           | (22.7%)         |
| Training                                    | 83              | 83              | -               | -               |
| <b>TOTAL</b>                                | <b>5,076</b>    | <b>4,742</b>    | <b>(334)</b>    | <b>(6.58%)</b>  |
| <b>POSITIONS</b>                            | <b>24</b>       | <b>24</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, \$4,741,809. The fiscal year (FY) 2014 budget is a decrease of 7% or \$334,066 below the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals.

This amount includes \$3,420,809 for mandatory items, \$1,646,323 for program current services and a decrease of (\$325,323) in proposed changes.

I. Personnel Details: FY'14 Request – \$3,420,809A. Base: \$3,429,553

- i. The estimated FY'13 personnel compensation will be \$3,429,553

B. Budget Calculations:

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%
- ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%
- iii. FY'14 Meritorious Increases – 0%

C. Requested Changes:

- i. FY'14 Base Adjustment – (\$58,523) - This decrease represents a more accurate forecast of Personnel salaries.
- ii. FY'13 Cost of Living Annualized – \$4,214
- iii. FY'14 Cost of Living Prorated – \$45,565
- iv. FY'14 Meritorious Increases – \$0

II. Price Level Details: FY'14 Request – \$0

The price level inflation of 1.5% is not reflected in this request.

III. Program Details: FY'14 Request – \$1,321,000A. Current Services:

- i. General Operations Program: \$130,000 – The Office of Inspector General's (OIG) Operations Program (OPS) provides Human Resources management, contracting and procurement, IT support, budget formulation and execution, process improvements, and other administrative support activities to ensure audit staff and management have the necessary resources, services and support to effectively and efficiently perform mission activities. This includes the purchase of office supplies, equipment (including maintenance agreements), office furnishings, computer software, hardware, and/or licensing

- agreements, relevant publications, communications equipment and service subscriptions, as well as payment for shipping these items.
- ii. Audit, Advisory and Investigative Services Program: \$1,433,323 – The Audit, Advisory, and Investigative Services (AAIS) program includes salaries for the Inspector General and 20 audit, advisory, investigative, and quality assurance staff members. Based upon specific job requirements, the OIG may augment its staff with contractors having specialized technical skills or subject matter expertise. The OIG prepares an Annual Work Plan which is reviewed and approved by both the Majority and Minority of the CHA. This plan consists of requested projects from the House Officers and the CHA. 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 House operations, emerging trends, and the continual reassessment of risk. Because investigative services 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. Support for the audit, advisory, and investigative services program 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: \$83,000 – Rule II states that the OIG 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 specialized 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 non-government vendors, (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. The majority of this training is done locally but in some instances, travel and travel expenses are necessary if the training cannot be obtained in a timely fashion or is not available locally. Purchases of computer software,

accessories or publications associated with OIG training are also covered under this training Program.

B. Proposed Changes:

- i. General Operations Program: \$0 – None.
- ii. Audit, Advisory, and Investigative Services Program:(\$325,323) – This reduction is due to cost savings through increased efficiencies and automation. Additionally, we restructured the Financial Statement Audit contract, and will therefore realize savings during the initial period of performance and each of the 4 option years compared to historic costs. This reduction brings the OIG into alignment with its reduced FY'13 budget request.
- iii. Training Program: \$0 – None.

SCHEDULE A – OFFICE OF GENERAL COUNSEL

HOUSE OF REPRESENTATIVES  
OFFICE OF GENERAL COUNSEL  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 1,038           | 1,300           | 1,320           | 20              | 1.54%           |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 5               | 21              | 10              | (11)            | (52.38%)        |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 8               | 14              | 12              | (2)             | (17.24%)        |
| 2400 Printing and Reproduction       | 5               | 1               | 4               | 3               | 250.67%         |
| 2500 Other Services                  | 247             | 7               | 6               | (2)             | (24.66%)        |
| 2600 Supplies and Materials          | 41              | 46              | 46              | -               | -               |
| 3100 Equipment                       | 18              | 34              | 26              | (8)             | (22.39%)        |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>1,362</b>    | <b>1,424</b>    | <b>1,424</b>    | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | 10              | 11              | 11              | -               | -               |

## SCHEDULE C – OFFICE OF GENERAL COUNSEL

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

|                                      | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>1,300</b>    | <b>1,320</b>    | <b>20</b>       | <b>1.54%</b>    |
| Base Adjustment                      | -               | -               | -               | -               |
| Cost of Living Adjustment            | -               | 18              | 18              | -               |
| Cost of Living Adjustment Annualized | -               | 2               | 2               | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Meritorious Increase                 | -               | -               | -               | -               |
| Overtime Pay                         | -               | -               | -               | -               |
| Personnel Base                       | 1,300           | 1,300           | -               | -               |
| 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>123</b>      | <b>103</b>      | <b>(20)</b>     | <b>(16.21%)</b> |
| Legal Representation and Advice      | 122             | 103             | (19)            | (15.52%)        |
| Miscellaneous                        | 1               | -               | (1)             | (100%)          |
| <b>TOTAL</b>                         | <b>1,424</b>    | <b>1,424</b>    | <b>-</b>        | <b>-</b>        |
| <b>POSITIONS</b>                     | <b>11</b>       | <b>11</b>       | <b>-</b>        | <b>-</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, \$1,423,660. The fiscal year (FY) 2014 budget is flat with the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175, which includes an increase of .612% over the FY'12 enacted totals.

This amount includes \$1,320,243 for mandatory items, \$123,417 for program current services and program changes of (\$20,000).

I. Personnel Details: FY'14 Request – \$1,320,243A. Base: \$1,300,243

- i. The estimated FY'13 personnel compensation will be \$1,300,243.

B. Budget Calculations:

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%
- ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%
- iii. FY'14 Meritorious Increases – 0%

C. Requested Changes:

- i. FY'13 Cost of Living Annualized – \$2,000
- ii. FY'14 Cost of Living Prorated – \$18,000
- iii. FY'14 Meritorious Increase - \$0

II. Price Level Details: FY'14 Request – \$0

The price level inflation of 1.5% is not reflected in this request.

III. Program Details: FY'14 Request – \$103,417A. Current Services:

- i. Legal Representation and Advice: \$122,417 – 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 Office of the General Counsel (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 OGC.

**B. Proposed Changes:**

- i. Legal Representation and Advice: (\$19,000) – Evaluation of the current and anticipated caseload, as well as evaluation of historical spending, suggests that it is appropriate to allocate a lower amount for the travel budget, the rent, communications and utilities budget, and the other services budget. In addition, there is an anticipated reduction in equipment spending.
- ii. Miscellaneous: (\$1,000)– The budget for the Miscellaneous program expenses was reallocated to the Legal Representation and Advice program.

SCHEDULE A – OFFICE OF THE CHAPLAIN

HOUSE OF REPRESENTATIVES  
OFFICE OF THE CHAPLAIN  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 172             | 179             | -               | (179)           | (100%)          |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | -               | 1               | -               | (1)             | (100%)          |
| 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>173</b>      | <b>180</b>      | <b>-</b>        | <b>(180)</b>    | <b>(100%)</b>   |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>1</b>        | <b>1</b>        | <b>-</b>        | <b>(1)</b>      | <b>(100%)</b>   |

## SCHEDULE C -- OFFICE OF THE CHAPLAIN

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

|                                      | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>179</b>      | <b>-</b>        | <b>(179)</b>    | <b>(100%)</b>   |
| Base Adjustment                      | -               | -               | -               | -               |
| Cost of Living Adjustment            | -               | -               | -               | -               |
| Cost of Living Adjustment Annualized | -               | -               | -               | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Meritorious Increase                 | -               | -               | -               | -               |
| Overtime Pay                         | -               | -               | -               | -               |
| Personnel Base                       | 179             | -               | (179)           | (100%)          |
| 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>1</b>        | <b>-</b>        | <b>(1)</b>      | <b>(100%)</b>   |
| Miscellaneous                        | 1               | -               | (1)             | (100%)          |
| <b>TOTAL</b>                         | <b>180</b>      | <b>-</b>        | <b>(180)</b>    | <b>(100%)</b>   |
| <b>POSITIONS</b>                     | <b>1</b>        | <b>-</b>        | <b>(1)</b>      | <b>(100%)</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, \$0. The Office of the Chaplain's funding authority and authorized positions have been combined with the Office of the Clerk for FY 2014.

## SCHEDULE A – OFFICE OF THE PARLIAMENTARIAN

HOUSE OF REPRESENTATIVES  
OFFICE OF THE PARLIAMENTARIAN  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 1,172           | 1,318           | 1,338           | 20              | 1.52%           |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | -               | -               | -               | -               | -               |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 24              | 24              | 24              | -               | -               |
| 2400 Printing and Reproduction       | -               | -               | -               | -               | -               |
| 2500 Other Services                  | 12              | 57              | 37              | (20)            | (34.78%)        |
| 2600 Supplies and Materials          | 4               | 18              | 18              | -               | -               |
| 3100 Equipment                       | 6               | 58              | 58              | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>1,219</b>    | <b>1,475</b>    | <b>1,475</b>    | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | 9               | 9               | 9               | -               | -               |

## SCHEDULE C – OFFICE OF THE PARLIAMENTARIAN

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

|   | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|---|-----------------|-----------------|-----------------|-----------------|
|   | Enacted         | Estimates       | Net Change      | Net Change      |
|   | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>              | <b>1,318</b>    | <b>1,338</b>    | <b>20</b>       | <b>1.52%</b>    |
| Base Adjustment                         | -               | -               | -               | -               |
| Cost of Living Adjustment               | -               | 18              | 18              | -               |
| Cost of Living Adjustment Annualized    | -               | 2               | 2               | -               |
| Longevity Increase                      | -               | -               | -               | -               |
| Meritorious Increase                    | -               | -               | -               | -               |
| Overtime Pay                            | -               | -               | -               | -               |
| Personnel Base                          | 1,318           | 1,318           | -               | -               |
| Personnel Benefits                      | -               | -               | -               | -               |
| Reclassifications                       | -               | -               | -               | -               |
| Temporary Positions                     | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>         | -               | -               | -               | -               |
| <b>C. PROGRAM CHANGES</b>               | <b>157</b>      | <b>137</b>      | <b>(20)</b>     | <b>(12.76%)</b> |
| Daily Procedural Services               | 51              | 99              | 49              | 95.69%          |
| Precedent and Rule Compilation Services | 105             | 36              | (69)            | (65.24%)        |
| Representational Fund                   | 1               | 1               | -               | -               |
| <b>TOTAL</b>                            | <b>1,475</b>    | <b>1,475</b>    | <b>-</b>        | <b>-</b>        |
| <b>POSITIONS</b>                        | <b>9</b>        | <b>9</b>        | <b>-</b>        | <b>-</b>        |

## 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, \$1,474,972. The fiscal year (FY) 2014 budget is flat with the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175, which includes an increase of .612% over the FY'12 enacted totals.

This amount includes \$1,338,288 for mandatory items, \$156,684 for program current services and program changes of (\$20,000).

I. Personnel Details: FY'14 Request – \$1,338,288A. Base: \$1,318,288

- i. The estimated FY'13 personnel compensation will be \$1,318,288.

B. Budget Calculations:

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%
- ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%

C. Requested Changes:

- i. FY'13 Cost of Living Annualized – \$2,000
- ii. FY'14 Cost of Living Prorated – \$18,000

II. Price Level Details: FY'14 Request – \$0

The price level inflation of 1.5% is not reflected in this request.

III. Program Details: FY'14 Request - \$136,684

## A. Current Services:

- i. Daily Procedural Services: \$50,684 – 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: \$48,501** – This increase reflects an anticipated increase in equipment and supplies and a reallocation of communications and utilities expenses from the Precedent and Rule Compilation and Services program to the Daily Procedural Services program. Note: This increase is offset by a decrease in contract services – specifically amounts dedicated to a former Parliamentarian.
- ii. **Precedent and Rule Compilation Services: (\$68,501)** – This reduction reflects the reallocation of communications and utilities expenses from the Precedent and Rule Compilation Services program to the Daily Procedural Services program. Also, there is an anticipated reduction in expenses for supplies and equipment under this program.
- iii. **Representational Fund: \$0** – None.

## SCHEDULE A – COMPILATION OF PRECEDENTS

HOUSE OF REPRESENTATIVES  
 COMPILATION OF PRECEDENTS  
 BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 443             | 598             | 598             | -               | -               |
| 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>443</b>      | <b>598</b>      | <b>598</b>      | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>4</b>        | <b>4</b>        | <b>4</b>        | <b>-</b>        | <b>-</b>        |

## SCHEDULE C – COMPILATION OF PRECEDENTS

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

|                                      | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>598</b>      | <b>598</b>      | <b>-</b>        | <b>-</b>        |
| Base Adjustment                      | -               | (9)             | (9)             | -               |
| Cost of Living Adjustment            | -               | 8               | 8               | -               |
| Cost of Living Adjustment Annualized | -               | 1               | 1               | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Meritorious Increase                 | -               | -               | -               | -               |
| Overtime Pay                         | -               | -               | -               | -               |
| Personnel Base                       | 598             | 598             | -               | -               |
| Personnel Benefits                   | -               | -               | -               | -               |
| Reclassifications                    | -               | -               | -               | -               |
| Temporary Positions                  | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>      |                 |                 |                 |                 |
| <b>C. PROGRAM CHANGES</b>            |                 |                 |                 |                 |
| <b>TOTAL</b>                         | <b>598</b>      | <b>598</b>      | <b>-</b>        | <b>-</b>        |
| <b>POSITIONS</b>                     | <b>4</b>        | <b>4</b>        |                 |                 |

## Explanation of Changes Shown on Schedule C

SALARIES, OFFICERS AND EMPLOYEES  
COMPILATION OF PRECEDENTS

For salaries and expenses of the Compilation of Precedents, \$597,635. The fiscal year (FY) 2014 budget is flat with the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175, which includes an increase of .612% over the FY'12 enacted totals.

This amount includes \$597,635 for mandatory items.

I. Personnel Details: FY'14 Request – \$597,635A. Base: \$597,635

- i. The estimated FY'13 personnel compensation will be \$597,635.

B. Budget Calculations:

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%
- ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%

C. Requested Changes:

- i. FY'13 Cost of Living Annualized – \$1,000
- ii. FY'14 Cost of Living Prorated – \$8,000
- iii. FY '14 Base Adjustment – (\$9,000)

## SCHEDULE A – TOTAL OFFICE OF THE PARLIAMENTARIAN

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

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 1,615           | 1,916           | 1,936           | 20              | 1.04%           |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | -               | -               | -               | -               | -               |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 24              | 24              | 24              | -               | -               |
| 2400 Printing and Reproduction       | -               | -               | -               | -               | -               |
| 2500 Other Services                  | 12              | 57              | 37              | (20)            | (34.78%)        |
| 2600 Supplies and Materials          | 4               | 18              | 18              | -               | -               |
| 3100 Equipment                       | 6               | 58              | 58              | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>1,662</b>    | <b>2,073</b>    | <b>2,073</b>    | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>13</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 2013         | FY 2014         | FY 14 vs FY 13  | FY 14 vs. FY 13 |
|---|-----------------|-----------------|-----------------|-----------------|
|   | Enacted         | Estimates       | Net Change      | Net Change      |
|   | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>              | <b>1,916</b>    | <b>1,936</b>    | <b>20</b>       | <b>1.04%</b>    |
| Base Adjustment                         | -               | (9)             | (9)             | -               |
| Cost of Living Adjustment               | -               | 26              | 26              | -               |
| Cost of Living Adjustment Annualized    | -               | 3               | 3               | -               |
| Longevity Increase                      | -               | -               | -               | -               |
| Meritorious Increase                    | -               | -               | -               | -               |
| Overtime Pay                            | -               | -               | -               | -               |
| Personnel Base                          | 1,916           | 1,916           | -               | -               |
| Personnel Benefits                      | -               | -               | -               | -               |
| Reclassifications                       | -               | -               | -               | -               |
| Temporary Positions                     | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>         | -               | -               | -               | -               |
| <b>C. PROGRAM CHANGES</b>               | <b>157</b>      | <b>137</b>      | <b>(20)</b>     | <b>(12.76%)</b> |
| Daily Procedural Services               | 51              | 99              | 49              | 95.69%          |
| Precedent and Rule Compilation Services | 105             | 36              | (69)            | (65.24%)        |
| Representational Fund                   | 1               | 1               | -               | -               |
| <b>TOTAL</b>                            | <b>2,073</b>    | <b>2,073</b>    | <b>-</b>        | <b>-</b>        |
| <b>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 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 2,112           | 2,260           | 2,356           | 96              | 4.25%           |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | -               | 1               | 1               | -               | -               |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 10              | 12              | 10              | (2)             | (16.67%)        |
| 2400 Printing and Reproduction       | -               | 1               | 1               | -               | -               |
| 2500 Other Services                  | 161             | 776             | 2,516           | 1,741           | 224.49%         |
| 2600 Supplies and Materials          | 43              | 87              | 70              | (17)            | (19.36%)        |
| 3100 Equipment                       | 66              | 142             | 115             | (27)            | (19.01%)        |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>2,392</b>    | <b>3,278</b>    | <b>5,069</b>    | <b>1,791</b>    | <b>54.64%</b>   |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>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 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>2,260</b>    | <b>2,356</b>    | <b>96</b>       | <b>4.25%</b>    |
| Base Adjustment                      | -               | 32              | 32              | -               |
| Cost of Living Adjustment            | -               | 31              | 31              | -               |
| Cost of Living Adjustment Annualized | -               | 3               | 3               | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Meritorious Increase                 | -               | 30              | 30              | -               |
| Overtime Pay                         | -               | -               | -               | -               |
| Personnel Base                       | 2,260           | 2,260           | -               | -               |
| Personnel Benefits                   | -               | -               | -               | -               |
| Reclassifications                    | -               | -               | -               | -               |
| Temporary Positions                  | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>      | -               | -               | -               | -               |
| <b>C. PROGRAM CHANGES</b>            | <b>1,018</b>    | <b>2,713</b>    | <b>1,695</b>    | <b>166.46%</b>  |
| Codification of the Law              | 262             | 250             | (12)            | (4.69%)         |
| Miscellaneous                        | 14              | 12              | (2)             | (14.29%)        |
| Publication of the US Code           | 742             | 660             | (82)            | (11.01%)        |
| Modernization Initiative             | -               | 1,791           | 1,791           | -               |
| <b>TOTAL</b>                         | <b>3,278</b>    | <b>5,069</b>    | <b>1,791</b>    | <b>54.64%</b>   |
| <b>POSITIONS</b>                     | <b>21</b>       | <b>21</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, \$5,069,043. The fiscal year (FY) 2014 budget is 54.64% or \$1,791,104 above the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175, which includes an increase of .612% over the FY'12 enacted totals. The amount above the FY'13 Continuing Appropriations Resolution, \$1,791,104, represents to the dollar the funding needed to complete the House Modernization Initiative as directed by House leadership.

This amount includes \$2,355,635 for mandatory items, \$1,018,304 for program current services and an increase of \$1,695,104 for proposed program changes.

**I. Personnel Details: FY'14 Request – \$2,355,635**

**A. Base: \$2,259,635**

- i. The estimated FY'13 personnel compensation will be \$2,259,635.

**B. Budget Calculations:**

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%  
 ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%  
 iii. FY'14 Meritorious Increase – 1.3%

**C. Requested Changes:**

- i. FY'14 Base Adjustment – \$32,000 – This adjustment will provide adequate funding for an existing vacant position that will be filled in fiscal year 2014.  
 ii. FY'13 Cost of Living Annualized – \$3,000  
 iii. FY'14 Cost of Living Prorated – \$31,000  
 iv. FY'14 Meritorious Increase – \$30,000 -This increase is for staff raises. These are vital to retention of employees, especially our junior attorneys upon whom the Office of the Law Revision Counsel (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'14 Request – \$0**

The price level inflation of 1.5% is not reflected in this request.

**III. Program Details: FY'14 Request – \$2,713,408**

**A. Current Services:**

- i. Codification of United States Code Titles: \$262,304 – 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. 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 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: (\$12,304) – The retention of mid-level staff is a primary concern but at the same time we are keenly aware of the fiscal constraints under which the House is operating. In order to budget for merit increases, we have offset this increase by reducing the expenses for other services, materials and supplies, and equipment.
- ii. Miscellaneous: (\$2,000) – In order to offset the requested merit increases for our staff, we have reduced the “Rent, Communications, Utilities” line item.
- iii. Publication of the United States Code: (\$81,696) – This reduction reflects an offset to the increase in the personnel compensation line item by reducing expenses in other services, materials and supplies, and equipment.
- iv. Modernization Initiative: \$1,791,104 – This increase represents a continuation of the House Modernization Initiative. In FY’12, the OLRC received \$1,084,832 of reprogrammed funds (\$250,000 of which we contributed ourselves) to launch the Initiative (in collaboration with House Office of Legislative Counsel) at the behest of House leadership. The OLRC modernization effort proceeds in three stages. Stage 1 completes the conversion of United States Code data into XML and builds a conversion tool to convert data in plain text and GPO locator codes into XML. Stage 2 builds a tool which allows our Codification attorneys to draft in XML in a way that is

compatible with the current efforts of House and Senate Legislative Counsel. Stage 3 builds an editing tool which allows the Office to edit the Code in XML. FY'12 reprogrammed monies funded approximately 35% of the project total. This increase represents the balance of finishing the task.

## 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 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 7,349           | 7,919           | 8,036           | 117             | 1.48%           |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 6               | 7               | 7               | -               | -               |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 38              | 50              | 50              | -               | -               |
| 2400 Printing and Reproduction       | -               | -               | -               | -               | -               |
| 2500 Other Services                  | 331             | 607             | 1,362           | 755             | 124.3%          |
| 2600 Supplies and Materials          | 59              | 109             | 109             | -               | -               |
| 3100 Equipment                       | 34              | 175             | 163             | (12)            | (6.86%)         |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>7,818</b>    | <b>8,868</b>    | <b>9,728</b>    | <b>860</b>      | <b>9.7%</b>     |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>66</b>       | <b>67</b>       | <b>67</b>       | <b>-</b>        | <b>-</b>        |

## 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 2013<br>Enacted<br>Dollars (\$000) | FY 2014<br>Estimates<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Percent % |
|--------------------------------------|---------------------------------------|---|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>7,919</b>                          | <b>8,036</b>                            | <b>117</b>                                       | <b>1.48%</b>                               |
| Base Adjustment                      | -                                     | -                                       | -  | -  |
| Cost of Living Adjustment            | -                                     | 107                                     | 107  | -  |
| Cost of Living Adjustment Annualized | -                                     | 10                                      | 10   | -  |
| Longevity Increase                   | -                                     | -                                       | -  | -  |
| Meritorious Increase                 | -                                     | -                                       | -  | -  |
| Overtime Pay                         | -                                     | -                                       | -  | -  |
| Personnel Base                       | 7,919                                 | 7,919                                   | -  | -  |
| Personnel Benefits                   | -                                     | -                                       | -  | -  |
| Reclassifications                    | -                                     | -                                       | -  | -  |
| Temporary Positions                  | -                                     | -                                       | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      |                                       |   |  |  |
| <b>C. PROGRAM CHANGES</b>            | <b>948</b>                            | <b>1,691</b>                            | <b>743</b>                                       | <b>78.31%</b>                              |
| Transparency Initiatives             | 420                                   | 370                                     | (50)   | (11.9%)                                    |
| Drafting Legislation                 | 244                                   | 189                                     | (55)   | (22.52%)                                   |
| Technical and Other Support          | 284                                   | 272                                     | (12)   | (4.22%)                                    |
| Modernization Initiative             | -                                     | 860                                     | 860  | -  |
| <b>TOTAL</b>                         | <b>8,868</b>                          | <b>9,728</b>                            | <b>860</b>                                       | <b>9.7%</b>                                |
| <b>POSITIONS</b>                     | <b>67</b>                             | <b>67</b>                               | <b>-</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, \$9,727,702. The fiscal year (FY) 2014 budget is 9.7% or \$859,760 above the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175, which includes an increase of .612% over the FY'12 enacted totals. The amount above the FY'13 Continuing Appropriations Resolution, \$859,760, represents to the dollar the funding needed to complete the Office's portion of the House Modernization Initiative as directed by House leadership.

This amount includes \$8,036,449 for mandatory items, \$948,493 for program current services and an increase of \$742,760 in program level changes.

**I. Personnel Details: FY'14 Request – \$8,036,449**

**A. Base: \$7,919,449.**

- i. The estimated FY'13 personnel compensation will be \$7,919,449.

**B. Budget Calculations:**

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%  
 ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%  
 iii. FY'14 Meritorious Increase – 0%

**C. Requested Changes:**

- i. FY'13 Cost of Living Annualized – \$10,000  
 ii. FY'14 Cost of Living Prorated – \$107,000  
 iii. FY'14 Meritorious Increase – \$0  
 iv. FY'14 Overtime Pay – \$0  
 v. FY'14 Personnel Based Adjustment - \$0  
 vi. FY'14 Temporary Positions – \$0

**II. Price Level Details: FY'14 Request – \$0**

The price level inflation of 1.5% is not reflected in this request.

**III. Program Details: FY'14 Request – \$1,691,253**

**A. Current Services:**

- i. Transparency Initiatives: \$420,000 – This program, at its core, 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). The House Rules were changed for the 113<sup>th</sup> Congress to require that Ramseyers must include adjacent provisions if useful to enable the intent and effect of the amendment to be clearly understood; this change will require modifications of the technology and operation of the program. The transparency initiative 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 entire transparency initiative 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: \$244,193 – 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 by contract of retired former employees with special expertise in certain areas.
- iii. Technical and Other Support: \$284,300 – 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). 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: (\$50,000) - This decrease reflects the reductions in resources needed due to the implementation of the separate modernization initiative program.

- ii. Drafting Legislation: (\$55,000) – This decrease reflects anticipated savings from the Office of Law Revision Counsel’s efforts (as part of its companion modernization initiative) to provide a timely version of positive law titles of the US Code in XML for our use by sometime FY 2014, as well as a projected reduction in the use of retired former employees in FY 2014.
- iii. Technical and Other Support: (\$12,000) – This decrease reflects an anticipated reduction in equipment purchases.
- iv. Modernization Initiative \$859,760 – This increase represents a continuation of the House Modernization Initiative. In FY 2012, the Office received \$1,167,424 of reprogrammed funds (\$550,000 of which the Office contributed) to launch the Initiative (in collaboration with the Office of the Law Revision Counsel) at the behest of House leadership. There are a total of 6 projects that comprise the Office’s part of the Initiative and the increase sought for FY 2014 would fund the option under the current modernization initiative contract with Xcential to extend, maintain, and expand activities to complete the IT initiative contemplated in the contract.

## SCHEDULE A – OFFICE OF INTERPARLIAMENTARY AFFAIRS

HOUSE OF REPRESENTATIVES  
OFFICE OF INTERPARLIAMENTARY AFFAIRS  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 277             | 549             | 557             | 8               | 1.48%           |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 4               | 10              | 10              | -               | -               |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 14              | 25              | 25              | -               | -               |
| 2400 Printing and Reproduction       | 4               | 10              | 10              | -               | -               |
| 2500 Other Services                  | 19              | 25              | 25              | -               | -               |
| 2600 Supplies and Materials          | 67              | 205             | 197             | (8)             | (3.96%)         |
| 3100 Equipment                       | 2               | 40              | 40              | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>388</b>      | <b>864</b>      | <b>864</b>      | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>3</b>        | <b>5</b>        | <b>5</b>        |                 |                 |

## SCHEDULE C – OFFICE OF INTERPARLIAMENTARY AFFAIRS

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

|                                      | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>549</b>      | <b>557</b>      | <b>8</b>        | <b>1.48%</b>    |
| Base Adjustment                      | -               | -               | -               | -               |
| Cost of Living Adjustment            | -               | 7               | 7               | -               |
| Cost of Living Adjustment Annualized | -               | -               | -               | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Meritorious Increase                 | -               | -               | -               | -               |
| Overtime Pay                         | -               | -               | -               | -               |
| Personnel Base                       | 549             | 549             | -               | -               |
| Personnel Benefits                   | -               | -               | -               | -               |
| Reclassifications                    | -               | -               | -               | -               |
| Temporary Positions                  | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>      |                 |                 | -               | -               |
| <b>C. PROGRAM CHANGES</b>            | <b>315</b>      | <b>307</b>      | <b>(8)</b>      | <b>(2.58%)</b>  |
| Office of Interparliamentary Affairs | 315             | 307             | (8)             | (2.58%)         |
| <b>TOTAL</b>                         | <b>864</b>      | <b>864</b>      |                 |                 |
| <b>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, \$864,257. The fiscal year (FY) 2014 budget is flat with the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals.

This amount includes \$557,482 for mandatory items, \$314,887 for program current services and a decrease of (\$8,112) in proposed program changes.

I. Personnel Details: FY'14 Request – \$557,482

A. Base: \$549,370.

- i. The estimated FY'13 personnel compensation will be \$549,370.

B. Budget Calculations:

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%  
 ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%  
 iii. FY'14 Meritorious Increase – 0%

C. Requested Changes:

- i. FY'13 Cost of Living Annualized – \$686  
 ii. FY'14 Cost of Living Prorated – \$7,426  
 iii. FY'14 Meritorious Increase – \$0

II. Price Level Details: FY'14 Request – \$0

The price level inflation of 1.5% is not reflected in this request.

III. Program Details: FY'14 Request – \$306,775

A. Current Services:

- i. Interparliamentary Affairs: \$314,887 – 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: (\$8,112) – This decrease in non-personnel expenses will provide adequate funding for mandatory personnel compensation.

## SCHEDULE A – TECHNICAL ASSISTANTS

HOUSE OF REPRESENTATIVES  
TECHNICAL ASSISTANTS  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 434             | 349             | 442             | 93              | 26.5%           |
| 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>349</b>      | <b>442</b>      | <b>93</b>       | <b>26.5%</b>    |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>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 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>349</b>      | <b>442</b>      | <b>93</b>       | <b>26.5%</b>    |
| Base Adjustment                      | 1               | 86              | 85              | 6,754.38%       |
| Cost of Living Adjustment            | -               | 6               | 6               | -               |
| Cost of Living Adjustment Annualized | -               | -               | -               | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Meritorious Increase                 | -               | -               | -               | -               |
| Overtime Pay                         | -               | -               | -               | -               |
| Personnel Base                       | 348             | 349             | 1               | 0.36%           |
| Personnel Benefits                   | -               | -               | -               | -               |
| Reclassifications                    | -               | -               | -               | -               |
| Temporary Positions                  | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>      | -               | -               | -               | -               |
| <b>C. PROGRAM CHANGES</b>            | -               | -               | -               | -               |
| <b>TOTAL</b>                         | <b>349</b>      | <b>442</b>      | <b>93</b>       | <b>26.5%</b>    |
| <b>POSITIONS</b>                     | <b>3</b>        | <b>3</b>        | -               | -               |

## Explanation of Changes Shown on Schedule C

SALARIES, OFFICERS AND EMPLOYEES  
TECHNICAL ASSISTANTS

For salaries and expenses of the Technical Assistants, \$441,642. The fiscal year (FY) 2014 budget is \$92,518 or 27% above the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals.

This amount includes \$441,642 for mandatory items.

I. Personnel Details: FY'14 Request – \$441,642A. Base: \$349,124

i. The estimated FY'13 personnel compensation will be \$347,868.

B. Budget Calculations:

i. FY'13 Cost of Living Annualized –(0.13%) 0.5%

ii. FY'14 Cost of Living Prorated –(1.35%) 1.8%

C. Requested Changes:

i. FY'13 Cost of Living Annualized – \$544

ii. FY'14 Cost of Living Prorated – \$5,883

iii. FY'13 Base Adjustment - \$1,256

iv. FY'14 Base Adjustment – \$86,091 – This adjustment is required to adequately fund the additional position approved in the FY'10 budget.

II. Price Level Details: FY'14 Request – \$0

The price level inflation of 1.5% is not reflected in this request.

III. Program Details: FY'14 Request – \$0

A. Current Services: \$0 - None.

B. Proposed Changes: \$0 - None.

SCHEDULE A – FORMER SPEAKER'S STAFF

HOUSE OF REPRESENTATIVES  
FORMER SPEAKER'S STAFF  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 186             | -               | -               | -               | -               |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | -               | -               | -               | -               | -               |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 12              | -               | -               | -               | -               |
| 2400 Printing and Reproduction       | -               | -               | -               | -               | -               |
| 2500 Other Services                  | -               | -               | -               | -               | -               |
| 2600 Supplies and Materials          | -               | -               | -               | -               | -               |
| 3100 Equipment                       | -               | -               | -               | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>199</b>      | <b>-</b>        | <b>-</b>        | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>2</b>        | <b>-</b>        | <b>-</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 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | -               | -               | -               | -               |
| Base Adjustment                      | -               | -               | -               | -               |
| Cost of Living Adjustment            | -               | -               | -               | -               |
| Cost of Living Adjustment Annualized | -               | -               | -               | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Mentorinous 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>POSITIONS</b>                     | -               | -               | -               | -               |

**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, \$0. This office was established In November 2007 (FY 2008) per Title 2 of the U.S. Code Chapter 3. The office existed for five (5) consecutive fiscal years and was closed December 2012. Consequently, no request is necessary for FY 2014.

## SCHEDULE A – TOTAL OTHER AUTHORIZED EMPLOYEES

HOUSE OF REPRESENTATIVES  
TOTAL – OTHER AUTHORIZED EMPLOYEES  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 620             | 349             | 442             | 93              | 26.5%           |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | -               | -               | -               | -               | -               |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 12              | -               | -               | -               | -               |
| 2400 Printing and Reproduction       | -               | -               | -               | -               | -               |
| 2500 Other Services                  | -               | -               | -               | -               | -               |
| 2600 Supplies and Materials          | -               | -               | -               | -               | -               |
| 3100 Equipment                       | -               | -               | -               | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>633</b>      | <b>349</b>      | <b>442</b>      | <b>93</b>       | <b>26.5%</b>    |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>5</b>        | <b>3</b>        | <b>3</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 2013<br>Enacted<br>Dollars (\$000) | FY 2014<br>Estimates<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Percent % |
|--------------------------------------|---------------------------------------|---|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>349</b>                            | <b>442</b>                              | <b>93</b>  | <b>26.5%</b>                               |
| Base Adjustment                      | 1                                     | 86                                      | 85   | 6,754.38%                                  |
| Cost of Living Adjustment            | -                                     | 6                                       | 6  | -  |
| Cost of Living Adjustment Annualized | -                                     | -                                       | -  | -  |
| Longevity Increase                   | -                                     | -                                       | -  | -  |
| Meritorious Increase                 | -                                     | -                                       | -  | -  |
| Overtime Pay                         | -                                     | -                                       | -  | -  |
| Personnel Base                       | 348                                   | 349                                     | 1  | 0.36%                                      |
| Personnel Benefits                   | -                                     | -                                       | -  | -  |
| Reclassifications                    | -                                     | -                                       | -  | -  |
| Temporary Positions                  | -                                     | -                                       | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      | -                                     | -                                       | -  | -  |
| <b>C. PROGRAM CHANGES</b>            | -                                     | -                                       | -  | -  |
| <b>TOTAL</b>                         | <b>349</b>                            | <b>442</b>                              | <b>93</b>  | <b>26.5%</b>                               |
| <b>POSITIONS</b>                     | <b>3</b>                              | <b>3</b>                                | -  | -  |

## SCHEDULE A – OFFICE OF THE HISTORIAN

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

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 160             | 160             | -               | (160)           | (100%)          |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 2               | 6               | -               | (6)             | (100%)          |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | -               | -               | -               | -               | (100%)          |
| 2400 Printing and Reproduction       | -               | -               | -               | -               | -               |
| 2500 Other Services                  | -               | 2               | -               | (2)             | (100%)          |
| 2600 Supplies and Materials          | 2               | 2               | -               | (2)             | (100%)          |
| 3100 Equipment                       | -               | 1               | -               | (1)             | (100%)          |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>166</b>      | <b>171</b>      | <b>-</b>        | <b>(171)</b>    | <b>(100%)</b>   |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>1</b>        | <b>1</b>        | <b>-</b>        | <b>(1)</b>      | <b>(100%)</b>   |

## SCHEDULE C – OFFICE OF THE HISTORIAN

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

|                                      | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>160</b>      |                 | <b>(160)</b>    | <b>(100%)</b>   |
| Base Adjustment                      | -               | -               | -               | -               |
| Cost of Living Adjustment            | -               | -               | -               | -               |
| Cost of Living Adjustment Annualized | -               | -               | -               | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Meritorious Increase                 | -               | -               | -               | -               |
| Overtime Pay                         | -               | -               | -               | -               |
| Personnel Base                       | 160             | -               | (160)           | (100%)          |
| Personnel Benefits                   | -               | -               | -               | -               |
| Reclassifications                    | -               | -               | -               | -               |
| Temporary Positions                  | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>      |                 | -               | -               |                 |
| <b>C. PROGRAM CHANGES</b>            | <b>11</b>       | -               | <b>(11)</b>     | <b>(100%)</b>   |
| Miscellaneous                        | 11              | -               | (11)            | (100%)          |
| <b>TOTAL</b>                         | <b>171</b>      | -               | <b>(171)</b>    | <b>(100%)</b>   |
| <b>POSITIONS</b>                     | <b>1</b>        |                 | <b>(1)</b>      | <b>(100%)</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, \$0. The Office of the Historian's funding authority and authorized positions have been combined with the Office of the Clerk for FY 2014.

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

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

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 101,013         | 108,618         | 110,169         | 1,551           | 1.43%           |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 442             | 538             | 502             | (36)            | (6.69%)         |
| 2200 Transportation of Things        | 62              | 123             | 133             | 10              | 8.15%           |
| 2300 Rent, Communications, Utilities | 5,402           | 7,347           | 7,338           | (10)            | (0.13%)         |
| 2400 Printing and Reproduction       | 43              | 102             | 111             | 9               | 9.2%            |
| 2500 Other Services                  | 14,351          | 34,369          | 33,188          | (1,181)         | (3.44%)         |
| 2600 Supplies and Materials          | 2,315           | 5,017           | 4,170           | (847)           | (16.89%)        |
| 3100 Equipment                       | 14,965          | 22,601          | 28,959          | 6,358           | 28.13%          |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>138,593</b>  | <b>178,715</b>  | <b>184,570</b>  | <b>5,855</b>    | <b>3.28%</b>    |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>1,071</b>    | <b>1,206</b>    | <b>1,206</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 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|---|-----------------|-----------------|-----------------|-----------------|
|   | Enacted         | Estimates       | Net Change      | Net Change      |
|   | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>                      | <b>108,618</b>  | <b>110,169</b>  | <b>1,551</b>    | <b>1.43%</b>    |
| Base Adjustment                                 | 1               | -               | (2)             | (126.43%)       |
| Cost of Living Adjustment                       | -               | 965             | 965             | -               |
| Cost of Living Adjustment Annualized            | -               | 176             | 176             | -               |
| Longevity Increase                              | -               | 157             | 157             | -               |
| Meritorious Increase                            | -               | 30              | 30              | -               |
| Overtime Pay                                    | -               | 562             | 562             | -               |
| Personnel Base                                  | 108,617         | 108,279         | (338)           | (0.31%)         |
| Personnel Benefits                              | -               | -               | -               | -               |
| Reclassifications                               | -               | -               | -               | -               |
| Temporary Positions                             | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>                 | -               | -               | -               | -               |
| <b>C. PROGRAM CHANGES</b>                       | <b>70,098</b>   | <b>74,401</b>   | <b>4,303</b>    | <b>6.14%</b>    |
| Office of the Clerk                             | 7,121           | 4,388           | (2,733)         | (38.38%)        |
| Office of the Sergeant at Arms                  | 3,736           | 3,571           | (165)           | (4.43%)         |
| Office of the Chief Administrative Officer      | 55,021          | 60,170          | 5,149           | 9.36%           |
| Office of the Inspector General                 | 1,646           | 1,321           | (325)           | (19.76%)        |
| Office of General Counsel                       | 123             | 103             | (20)            | (16.21%)        |
| Office of the Chaplain                          | 1               | -               | (1)             | (100%)          |
| Office of the Parliamentarian-                  | 157             | 137             | (20)            | (12.76%)        |
| Office of the Law Revision Counsel of the House | 1,018           | 2,713           | 1,695           | 166.46%         |
| Office of the Legislative Counsel of the House  | 948             | 1,691           | 743             | 78.31%          |
| Office of Interparliamentary Affairs            | 315             | 307             | (8)             | (2.58%)         |
| Office of the Historian                         | 11              | -               | (11)            | (100%)          |
| <b>TOTAL</b>                                    | <b>178,715</b>  | <b>184,570</b>  | <b>5,855</b>    | <b>3.28%</b>    |
| <b>POSITIONS</b>                                | <b>1,206</b>    | <b>1,206</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 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | 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                          | 2               | -               | -               | -               | -               |
| 2200 Transportation of Things        | 3               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 392             | 709             | 709             | -               | -               |
| 2400 Printing and Reproduction       | 18              | 38              | 38              | -               | -               |
| 2500 Other Services                  | 1,365           | 829             | 829             | -               | -               |
| 2600 Supplies and Materials          | 227             | 330             | 330             | -               | -               |
| 3100 Equipment                       | 141             | 1,758           | 1,758           | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | 56              | 56              | -               | -               |
| <b>Total</b>                         | <b>2,146</b>    | <b>3,719</b>    | <b>3,719</b>    | -               | -               |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |

POSITIONS

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 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | -               | -               | -               | -               |
| Base Adjustment                      | -               | -               | -               | -               |
| Cost of Living Adjustment            | -               | -               | -               | -               |
| Cost of Living Adjustment Annualized | -               | -               | -               | -               |
| 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>3,719</b>    | <b>3,719</b>    | -               | -               |
| Administrative Costs                 | 1,132           | 1,132           | -               | -               |
| Technology                           | 2,587           | 2,587           | -               | -               |
| <b>TOTAL</b>                         | <b>3,719</b>    | <b>3,719</b>    |                 |                 |
| <b>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, \$3,718,738. The fiscal year (FY) 2014 budget is flat with the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals.

This amount includes \$0 for mandatory items, \$3,718,738 for program current services and no program changes.

I. Personnel Details: FY'14 Request – \$0

II. Price Level Details: FY'14 Request – \$0

The price level inflation of 1.5% is not reflected in this request.

III. Program Details: FY'14 Request – \$3,718,738

A. Current Services:

- i. Administrative Costs: \$1,132,199 – Provides non-personnel funding for supplies, insurance, and printing and graphics for certain Leadership offices.
- ii. Technology: \$2,586,539 - Provides non-personnel funding for hardware, software, certain telecommunications and contract support for implementation of automated solutions for certain Leadership offices.

B. Proposed Changes:

- i. Administrative Costs: \$0 – None.
- ii. Technology: \$0 – None.

SCHEDULE A – OFFICIAL MAIL (NON MEMBERS)

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

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | 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 | 84              | 202             | 202             | -               | -               |
| 2400 Printing and Reproduction       | -               | -               | -               | -               | -               |
| 2500 Other Services                  | -               | -               | -               | -               | -               |
| 2600 Supplies and Materials          | -               | -               | -               | -               | -               |
| 3100 Equipment                       | -               | -               | -               | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>84</b>       | <b>202</b>      | <b>202</b>      | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | -               | -               | -               | -               | -               |

SCHEDULE C – OFFICIAL MAIL (NON MEMBERS)

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

|   | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|---|-----------------|-----------------|-----------------|-----------------|
|   | Enacted         | Estimates       | Net Change      | Net Change      |
|   | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>              | -               | -               | -               | -               |
| Base Adjustment                         | -               | -               | -               | -               |
| Cost of Living Adjustment               | -               | -               | -               | -               |
| Cost of Living Adjustment Annualized    | -               | -               | -               | -               |
| 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>202</b>      | <b>202</b>      | -               | -               |
| Nonmember Other House Offices           | 107             | 107             | -               | -               |
| Nonmember Special and Select Committees | 96              | 96              | -               | -               |
| <b>TOTAL</b>                            | <b>202</b>      | <b>202</b>      | -               | -               |
| <b>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), \$202,230. The fiscal year (FY) 2014 budget is flat with the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals.

This amount includes \$0 for mandatory items, \$202,230 for program current services and no program changes.

I. Personnel Details: FY'14 Request – \$0

None.

II. Price Level Details: FY'14 Request – \$0

The price level inflation of 1.5% is not reflected in this request.

III. Program Details: FY'14 Request – \$202,230

A. Current Services:

- i. Official Mail (Non-Members): \$202,230 – 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 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 61              | -               | -               | -               | -               |
| 1200 Personnel Benefits              | 256,538         | 266,469         | 266,469         | -               | -               |
| 1300 Benefits to Former Personnel    | 876             | -               | -               | -               | -               |
| 2100 Travel                          | -               | -               | -               | -               | -               |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | -               | -               | -               | -               | -               |
| 2400 Printing and Reproduction       | -               | -               | -               | -               | -               |
| 2500 Other Services                  | 367             | -               | -               | -               | -               |
| 2600 Supplies and Materials          | -               | -               | -               | -               | -               |
| 3100 Equipment                       | -               | -               | -               | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>257,842</b>  | <b>266,469</b>  | <b>266,469</b>  | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | -               | -               | -               | -               | -               |

SCHEDULE C – GOVERNMENT CONTRIBUTIONS

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 GOVERNMENT CONTRIBUTIONS

|                                      | FY 2013<br>Enacted<br>Dollars (\$000) | FY 2014<br>Estimates<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Percent % |
|--------------------------------------|---------------------------------------|---|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>266,469</b>                        | <b>266,469</b>                          | -  | -  |
| Base Adjustment                      | -                                     | -                                       | -  | -  |
| Cost of Living Adjustment            | -                                     | -                                       | -  | -  |
| Cost of Living Adjustment Annualized | -                                     | -                                       | -  | -  |
| Longevity Increase                   | -                                     | -                                       | -  | -  |
| Meritorious Increase                 | -                                     | -                                       | -  | -  |
| Overtime Pay                         | -                                     | -                                       | -  | -  |
| Personnel Base                       | -                                     | -                                       | -  | -  |
| Personnel Benefits                   | 266,469                               | 266,469                                 | -  | -  |
| Reclassifications                    | -                                     | -                                       | -  | -  |
| Temporary Positions                  | -                                     | -                                       | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      | -                                     | -                                       | -  | -  |
| <b>C. PROGRAM CHANGES</b>            | -                                     | -                                       | -  | -  |
| <b>TOTAL</b>                         | <b>266,469</b>                        | <b>266,469</b>                          | -  | -  |
| <b>POSITIONS</b>                     |                                       |   | -  | -  |

## Explanation of Changes Shown on Schedule C

ALLOWANCES AND EXPENSES  
GOVERNMENT CONTRIBUTIONS

For salaries and expenses of Government Contributions, \$266,469,087. The fiscal year (FY) 2014 budget is flat with the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals.

This amount includes \$266,469,087 for mandatory items, \$0 for program current services and no program changes.

I. Personnel Details: FY'14 Request – \$266,469,087A. Base: \$266,469,087

- i. The estimated FY'13 personnel benefits will be \$266,469,087.

B. Budget Calculations:

- i. Cost estimates are based on 38 cents in benefit costs for every personnel dollar estimated to be earned in FY'13, which is \$708,386,000.

C. Requested Changes:

- i. FY'14 Personnel Benefits – \$0

II. Price Level Details: FY'14 Request – \$0

The price level inflation of 1.5% is not reflected in this request.

III. Program Details: FY'14 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 3% 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 employer's 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 the 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. The Federal Employees' Retirement System Revised Annuity Employees (FERS RAE): The retirement plan is effective for staff with appointments on January 1, 2013 or later, with exceptions for staff previously employed by the federal government who may be eligible for FERS. The government contribution to the FERS RAE plan is 9.6% versus 16.7% for FERS employees. As of February 2013, 1,017 staff have been enrolled in the new FERS RAE retirement plan; 8,212 staff were enrolled in FERS.

## SCHEDULE A – BUSINESS CONTINUITY/DISASTER RECOVERY

HOUSE OF REPRESENTATIVES  
BUSINESS CONTINUITY/DISASTER RECOVERY  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | 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                          | 82              | 177             | 177             | -               | -               |
| 2200 Transportation of Things        | -               | 20              | 20              | -               | -               |
| 2300 Rent, Communications, Utilities | 4,677           | 5,397           | 5,397           | -               | -               |
| 2400 Printing and Reproduction       | -               | -               | -               | -               | -               |
| 2500 Other Services                  | 1,189           | 3,522           | 3,522           | -               | -               |
| 2600 Supplies and Materials          | 143             | 172             | 172             | -               | -               |
| 3100 Equipment                       | 3,439           | 7,929           | 7,929           | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>9,532</b>    | <b>17,217</b>   | <b>17,217</b>   | -               | -               |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | -               | -               | -               | -               | -               |

## SCHEDULE C – BUSINESS CONTINUITY/DISASTER RECOVERY

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

|                                       | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|---------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                       | Enacted         | Estimates       | Net Change      | Net Change      |
|                                       | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>            | -               | -               | -               | -               |
| Base Adjustment                       | -               | -               | -               | -               |
| Cost of Living Adjustment             | -               | -               | -               | -               |
| Cost of Living Adjustment Annualized  | -               | -               | -               | -               |
| Longevity Increase                    | -               | -               | -               | -               |
| Meritorious Increase                  | -               | -               | -               | -               |
| Overtime Pay                          | -               | -               | -               | -               |
| Personnel Base                        | -               | -               | -               | -               |
| Personnel Benefits                    | -               | -               | -               | -               |
| Reclassifications                     | -               | -               | -               | -               |
| Temporary Positions                   | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>       | -               | -               | -               | -               |
| <b>C. PROGRAM CHANGES</b>             | 17,217          | 17,217          | -               | -               |
| Business Continuity/Disaster Recovery | 17,217          | 17,217          | -               | -               |
| <b>TOTAL</b>                          | 17,217          | 17,217          | -               | -               |
| <b>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, \$17,216,798. The fiscal year (FY) 2014 budget request is flat with the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of 0.612% over the FY'12 enacted totals.

This amount includes \$0 for mandatory items, \$17,216,798 for program current services and no program changes.

I. Personnel Details: FY'14 Request – \$0

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

II. Price Level Details: FY'14 Request – \$0

The price level inflation of 1.5% is not reflected in this request.

III. Program Details: FY'14 Request – \$17,216,798

A. Current Services:

- i. Business Continuity/Disaster Recovery (BC/DR): \$17,216,798 – 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:

- i. Business Continuity/Disaster Recovery (BC/DR): \$0 – None.

## SCHEDULE A – TRANSITION ACTIVITIES

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

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | 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                  | 13              | 1,732           | 1,732           | -               | -               |
| 2600 Supplies and Materials          | 48              | -               | -               | -               | -               |
| 3100 Equipment                       | 29              | -               | -               | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>90</b>       | <b>1,732</b>    | <b>1,732</b>    | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | -               | -               | -               | -               | -               |

SCHEDULE C – TRANSITION ACTIVITIES

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 TRANSITION ACTIVITIES

|                                      | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | -               | -               | -               | -               |
| Base Adjustment                      | -               | -               | -               | -               |
| Cost of Living Adjustment            | -               | -               | -               | -               |
| Cost of Living Adjustment Annualized | -               | -               | -               | -               |
| Longevity Increase                   | -               | -               | -               | -               |
| Mentorship Increase                  | -               | -               | -               | -               |
| Overtime Pay                         | -               | -               | -               | -               |
| Personnel Base                       | -               | -               | -               | -               |
| Personnel Benefits                   | -               | -               | -               | -               |
| Reclassifications                    | -               | -               | -               | -               |
| Temporary Positions                  | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>      | -               | -               | -               | -               |
| <b>C. PROGRAM CHANGES</b>            | 1,732           | 1,732           | -               | -               |
| Transition Activities                | 1,732           | 1,732           | -               | -               |
| <b>TOTAL</b>                         | 1,732           | 1,732           | -               | -               |
| <b>POSITIONS</b>                     | -               | -               | -               | -               |

## Explanation of Changes Shown on Schedule C

**ALLOWANCES AND EXPENSES  
TRANSITION ACTIVITIES**

For salaries and expenses of the Transition Activities, \$1,732,069. The fiscal year (FY) 2014 budget request is flat with the FY'13 Continuing Appropriations Resolution (annualized) per P.L. 112-175 which includes an increase of 0.612% over the FY'12 enacted totals.

This amount includes \$0 for mandatory items, \$1,732,069 for program current services and no program changes.

I. Personnel Details: FY'14 Request – \$0

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

II. Price Level Details: FY'14 Request – \$0

The price level inflation is 1.5% but was not reflected in this request.

III. Program Details: FY'14 Request – \$1,732,069

A. Current Services:

- i. Transition Activities: \$1,732,069 – 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: \$0 - None.

SCHEDULE A – WOUNDED WARRIOR PROGRAM

HOUSE OF REPRESENTATIVES  
WOUNDED WARRIOR PROGRAM  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 1,422           | 2,250           | 2,250           | -               | -               |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 78              | 215             | 215             | -               | -               |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | -               | 5               | 5               | -               | -               |
| 2400 Printing and Reproduction       | 4               | 10              | 10              | -               | -               |
| 2500 Other Services                  | 2               | 25              | 25              | -               | -               |
| 2600 Supplies and Materials          | 3               | 5               | 5               | -               | -               |
| 3100 Equipment                       | -               | 5               | 5               | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>1,509</b>    | <b>2,515</b>    | <b>2,515</b>    | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>33</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 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>2,250</b>    | <b>2,250</b>    | -               | -               |
| Base Adjustment                      | -               | -               | -               | -               |
| Cost of Living Adjustment            | -               | -               | -               | -               |
| Cost of Living Adjustment Annualized | -               | -               | -               | -               |
| 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>265</b>      | <b>265</b>      | -               | -               |
| Wounded Warrior Program              | 265             | 265             | -               | -               |
| <b>TOTAL</b>                         | <b>2,515</b>    | <b>2,515</b>    |                 |                 |
| <b>POSITIONS</b>                     | <b>50</b>       | <b>50</b>       | -               | -               |

## Explanation of Changes Shown on Schedule C

ALLOWANCES AND EXPENSES  
WOUNDED WARRIOR PROGRAM

For salaries and expenses of the Wounded Warrior Program, \$2,515,300. The fiscal year (FY) 2014 budget request is flat with the FY'13 Continuing Appropriations Resolution (annualized) per P.L. 112-175 which includes an increase of 0.612% over the FY'12 enacted totals.

This amount includes \$2,250,000 for mandatory items, \$265,300 for program current services and no program changes.

I. Personnel Details: FY'14 Request – \$2,250,000

A. Base: \$2,250,000

- i. The estimated FY'13 personnel compensation will be \$2,250,000.
- ii. The estimated FY'13 personnel benefits will be \$0.

B. Budget Calculations:

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%
- ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%
- iii. FY'14 Longevity Increases – 0%
- iv. FY'14 Meritorious Increases – 0%

C. Requested Changes:

- i. FY'13 Base Adjustment – \$0
- ii. FY'13 Cost of Living Annualized – \$0
- iii. FY'14 Cost of Living Prorated – \$0
- iv. FY'14 Longevity Increases – \$0
- v. FY'14 Meritorious Increase – \$0
- vi. FY'14 Overtime Pay – \$0
- vii. FY'14 Personnel Benefits – \$0

II. Price Level Details: FY'14 Request – \$0

The price level inflation is 1.5% but was not reflected in this request.

III. Program Details: FY'14 Request – \$265,300

A. Current Services:

- i. Wounded Warrior Program: \$265,300 – 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: \$0 - None.

## SCHEDULE A – CONGRESSIONAL ETHICS

HOUSE OF REPRESENTATIVES  
CONGRESSIONAL ETHICS  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 909             | 1,128           | 1,168           | 41              | 3.6%            |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 76              | 85              | 115             | 30              | 35.29%          |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 30              | 40              | 45              | 5               | 12.5%           |
| 2400 Printing and Reproduction       | -               | 4               | 3               | -               | (14.29%)        |
| 2500 Other Services                  | 112             | 241             | 171             | (70)            | (29.13%)        |
| 2600 Supplies and Materials          | 34              | 30              | 25              | (5)             | (16.67%)        |
| 3100 Equipment                       | 3               | 30              | 30              | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>1,164</b>    | <b>1,557</b>    | <b>1,557</b>    | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>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 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>           | <b>1,128</b>    | <b>1,168</b>    | <b>41</b>       | <b>3.6%</b>     |
| Base Adjustment                      | -               | -               | -               | -               |
| Cost of Living Adjustment            | -               | 15              | 15              | -               |
| Cost of Living Adjustment Annualized | -               | 1               | 1               | -               |
| Longevity Increase                   | -               | 24              | 24              | -               |
| Meritorious Increase                 | -               | -               | -               | -               |
| Overtime Pay                         | -               | -               | -               | -               |
| Personnel Base                       | 1,128           | 1,128           | -               | -               |
| 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>430</b>      | <b>389</b>      | <b>(41)</b>     | <b>(9.45%)</b>  |
| Office of Congressional Ethics       | 430             | 389             | (41)            | (9.45%)         |
| <b>TOTAL</b>                         | <b>1,557</b>    | <b>1,557</b>    |                 |                 |
| <b>POSITIONS</b>                     | <b>10</b>       | <b>10</b>       | <b>-</b>        | <b>-</b>        |

## Explanation of Changes Shown on Schedule C

**ALLOWANCES AND EXPENSES  
CONGRESSIONAL ETHICS**

For salaries and expenses of the Congressional Ethics, \$1,557,474. The fiscal year (FY) 2014 budget is flat with the FY'13 Continuing Appropriations Resolution (annualized) per Public Law 112-175 which includes an increase of .612% over the FY'12 enacted totals.

This amount includes \$1,168,410 for mandatory items, \$429,661 for program current services and a decrease of (\$40,597) in program changes.

**I. Personnel Details: FY'14 Request – \$1,168,410**

**A. Base: \$1,127,813**

- i. The estimated FY'13 personnel compensation will be \$1,127,813.

**B. Budget Calculations:**

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%  
 ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%  
 iii. FY'14 Longevity Increase – 2%

**C. Requested Changes:**

- i. FY'13 Cost of Living Annualized - \$1,410  
 ii. FY'14 Cost of Living Prorated - \$15,244  
 iii. FY'14 Longevity Increase – \$23,943

**II. Price Level Details: FY'14 Request – \$0**

The price level inflation of 1.5% is not reflected in this request.

**III. Program Details: FY'14 Request – \$389,064**

**A. Current Services:**

- i. Administration: \$429,661 – 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: (\$40,597) – This decrease in non-personnel expenses is to provide adequate funding for mandatory personnel compensation due to cost of living adjustments.

## SCHEDULE A – MISCELLANEOUS ITEMS

HOUSE OF REPRESENTATIVES  
MISCELLANEOUS ITEMS  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | -               | -               | -               | -               | -               |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | 46              | 487             | 487             | -               | -               |
| 2100 Travel                          | 172             | 225             | 225             | -               | -               |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | -               | 9               | 9               | -               | -               |
| 2400 Printing and Reproduction       | -               | -               | -               | -               | -               |
| 2500 Other Services                  | 28              | 9               | 9               | -               | -               |
| 2600 Supplies and Materials          | 16              | 35              | 35              | -               | -               |
| 3100 Equipment                       | -               | -               | -               | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>262</b>      | <b>765</b>      | <b>765</b>      | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | -               | -               | -               | -               | -               |

SCHEDULE C – MISCELLANEOUS ITEMS

HOUSE OF REPRESENTATIVES  
 DETAILED ANALYSIS OF CHANGE BY ORGANIZATION  
 MISCELLANEOUS ITEMS

|   | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|---|-----------------|-----------------|-----------------|-----------------|
|   | Enacted         | Estimates       | Net Change      | Net Change      |
|   | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| <b>A. MANDATORY CHANGE</b>                    | -               | -               | -               | -               |
| Base Adjustment                               | -               | -               | -               | -               |
| Cost of Living Adjustment                     | -               | -               | -               | -               |
| Cost of Living Adjustment Annualized          | -               | -               | -               | -               |
| Longevity Increase                            | -               | -               | -               | -               |
| Meritorious Increase                          | -               | -               | -               | -               |
| Overtime Pay                                  | -               | -               | -               | -               |
| Personnel Base                                | -               | -               | -               | -               |
| Personnel Benefits                            | -               | -               | -               | -               |
| Reclassifications                             | -               | -               | -               | -               |
| Temporary Positions                           | -               | -               | -               | -               |
| <b>B. PRICE LEVEL INCREASES</b>               | -               | -               | -               | -               |
| <b>C. PROGRAM CHANGES</b>                     | 765             | 765             | -               | -               |
| Gratuities to Beneficiaries of Deceased Staff | 487             | 487             | -               | -               |
| House Autos                                   | 239             | 239             | -               | -               |
| Interparliamentary Receptions                 | 39              | 39              | -               | -               |
| <b>TOTAL</b>                                  | 765             | 765             | -               | -               |
| <b>POSITIONS</b>                              | -               | -               | -               | -               |

## Explanation of Changes Shown on Schedule C

ALLOWANCES AND EXPENSES  
MISCELLANEOUS ITEMS

For salaries and expenses of the Miscellaneous Items, \$764,651. The fiscal year (FY) 2014 budget is flat with the FY'13 Continuing Appropriations Resolution (annualized) per P.L. 112-175 which includes an increase of .612% over the FY'12 enacted totals.

This amount includes \$0 for mandatory items, \$764,651 for program current services and no program changes.

I. Personnel Details: FY'14 Request – \$0

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

II. Price Level Details: FY'14 Request – \$0

The price level inflation of 1.5% is not reflected in this request.

III. Program Details: FY'14 Request – \$764,651

## A. Current Services:

- i. Gratuities to Heirs of Deceased Employees: \$486,651 – 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:

- i. Gratuities to Heirs of Deceased Employees: \$0 – None.
- ii. House Automobiles: \$0 – None.
- iii. Interparliamentary Receptions: \$0 – None.

## SCHEDULE A – TOTAL – ALLOWANCES AND EXPENSES

**HOUSE OF REPRESENTATIVES  
TOTAL – ALLOWANCES AND EXPENSES  
BY OBJECT CLASS**

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 2,392           | 3,378           | 3,418           | 41              | 1.2%            |
| 1200 Personnel Benefits              | 256,538         | 266,469         | 266,469         | -               | -               |
| 1300 Benefits to Former Personnel    | 922             | 487             | 487             | -               | -               |
| 2100 Travel                          | 411             | 703             | 733             | 30              | 4.27%           |
| 2200 Transportation of Things        | 3               | 21              | 21              | -               | -               |
| 2300 Rent, Communications, Utilities | 5,183           | 6,362           | 6,367           | 5               | 0.08%           |
| 2400 Printing and Reproduction       | 22              | 51              | 51              | -               | (0.98%)         |
| 2500 Other Services                  | 3,076           | 6,357           | 6,287           | (70)            | (1.1%)          |
| 2600 Supplies and Materials          | 470             | 571             | 566             | (5)             | (0.88%)         |
| 3100 Equipment                       | 3,612           | 9,722           | 9,722           | -               | -               |
| 4200 Insurance Claims/Indemnities    | -               | 56              | 56              | -               | -               |
| <b>Total</b>                         | <b>272,629</b>  | <b>294,176</b>  | <b>294,176</b>  | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>41</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 2013<br>Enacted<br>Dollars (\$000) | FY 2014<br>Estimates<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Percent % |
|---|---------------------------------------|---|--|--|
| <b>A. MANDATORY CHANGE</b>  | <b>269,847</b>                        | <b>269,887</b>                          | <b>41</b>  | <b>0.02%</b>                               |
| Base Adjustment   | -                                     | -                                       | -  | -  |
| Cost of Living Adjustment   | -                                     | 15                                      | 15   | -  |
| Cost of Living Adjustment Annualized                              | -                                     | 1                                       | 1  | -  |
| Longevity Increase  | -                                     | 24                                      | 24   | -  |
| Meritorious Increase  | -                                     | -                                       | -  | -  |
| Overtime Pay  | -                                     | -                                       | -  | -  |
| Personnel Base  | 3,378                                 | 3,378                                   | -  | -  |
| Personnel Benefits  | 266,469                               | 266,469                                 | -  | -  |
| Reclassifications   | -                                     | -                                       | -  | -  |
| Temporary Positions   | -                                     | -                                       | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>                                   | <b>-</b>                              | <b>-</b>                                | <b>-</b>   | <b>-</b>                                   |
| <b>C. PROGRAM CHANGES</b>   | <b>24,329</b>                         | <b>24,289</b>                           | <b>(41)</b>                                      | <b>(0.17%)</b>                             |
| Supplies, Materials, Administrative Costs and Federal Tort Claims | 3,719                                 | 3,719                                   | -  | -  |
| Official Mail (non members)                                       | 202                                   | 202                                     | -  | -  |
| Business Continuity/Disaster Recovery                             | 17,217                                | 17,217                                  | -  | -  |
| Transition Activities   | 1,732                                 | 1,732                                   | -  | -  |
| Wounded Warrior Program   | 265                                   | 265                                     | -  | -  |
| Congressional Ethics  | 430                                   | 389                                     | (41)   | (9.45%)                                    |
| Miscellaneous Items   | 765                                   | 765                                     | -  | -  |
| <b>TOTAL</b>  | <b>294,176</b>                        | <b>294,176</b>                          | <b>-</b>   | <b>-</b>                                   |
| <b>POSITIONS</b>  | <b>60</b>                             | <b>60</b>                               | <b>-</b>   | <b>-</b>                                   |

## SCHEDULE A – JOINT COMMITTEE ON TAXATION

HOUSE OF REPRESENTATIVES  
JOINT COMMITTEE ON TAXATION  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | 8,435           | 9,022           | 9,156           | 133             | 1.48%           |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 11              | 15              | 15              | -               | -               |
| 2200 Transportation of Things        | -               | -               | -               | -               | -               |
| 2300 Rent, Communications, Utilities | 86              | 100             | 100             | -               | -               |
| 2400 Printing and Reproduction       | 3               | 6               | 6               | -               | -               |
| 2500 Other Services                  | 183             | 210             | 210             | -               | -               |
| 2600 Supplies and Materials          | 449             | 480             | 385             | (95)            | (19.69%)        |
| 3100 Equipment                       | 429             | 232             | 193             | (39)            | (16.71%)        |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>9,598</b>    | <b>10,065</b>   | <b>10,065</b>   | <b>-</b>        | <b>-</b>        |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| <b>POSITIONS</b>                     | <b>65</b>       | <b>77</b>       | <b>77</b>       |                 |                 |

## SCHEDULE C – JOINT COMMITTEE ON TAXATION

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

|   | FY 2013<br>Enacted<br>Dollars (\$000) | FY 2014<br>Estimates<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Percent % |
|---|---------------------------------------|---|--|--|
| <b>A. MANDATORY CHANGE</b>                | <b>9,022</b>                          | <b>9,156</b>                            | <b>133</b>                                       | <b>1.48%</b>                               |
| Base Adjustment                           | -                                     | -                                       | -  | -  |
| Cost of Living Adjustment                 | -                                     | 122                                     | 122  | -  |
| Cost of Living Adjustment Annualized      | -                                     | 11                                      | 11   | -  |
| Longevity Increase                        | -                                     | -                                       | -  | -  |
| Meritorious Increase                      | -                                     | -                                       | -  | -  |
| Overtime Pay                              | -                                     | -                                       | -  | -  |
| Personnel Base                            | 9,022                                 | 9,022                                   | -  | -  |
| Personnel Benefits                        | -                                     | -                                       | -  | -  |
| Reclassifications                         | -                                     | -                                       | -  | -  |
| Temporary Positions                       | -                                     | -                                       | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>           | -                                     | -                                       | -  | -  |
| <b>C. PROGRAM CHANGES</b>                 | <b>1,043</b>                          | <b>909</b>                              | <b>(133)</b>                                     | <b>(12.78%)</b>                            |
| Joint Committee on Taxation Miscellaneous | 1,043                                 | 909                                     | (133)  | (12.78%)                                   |
| <b>TOTAL</b>                              | <b>10,065</b>                         | <b>10,065</b>                           |  |  |
| <b>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, \$10,065,224. The fiscal year (FY) 2014 budget is flat with the FY'13 Continuing Appropriations Resolution (annualized) per P.L. 112-175 which includes an increase of .612% over the FY'12 enacted totals.

This amount includes \$9,155,734 for mandatory items, \$1,042,724 for program current services and a decrease of (\$133,234) in program changes.

I. Personnel Details: FY'14 Request – \$9,155,734A. Base: \$9,022,500

- i. The estimated FY'13 personnel compensation will be \$9,022,500.

B. Budget Calculations:

- i. FY'13 Cost of Living Annualized – (0.13%) 0.5%
- ii. FY'14 Cost of Living Prorated – (1.35%) 1.8%
- iii. FY'14 Meritorious Increase – 0%

C. Requested Changes:

- i. FY'13 Cost of Living Annualized – \$11,278
- ii. FY'14 Cost of Living Prorated – \$121,956
- iii. FY'14 Meritorious Increase – \$0

II. Price Level Details: FY'14 Request – \$0

None.

III. Program Details: FY'14 Request – \$909,490

## A. Current Services:

- i. Miscellaneous: \$1,042,724 – 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: (\$133,234) – This decrease in non-personnel expenses is to provide adequate funding for mandatory personnel compensation.

## SCHEDULE A – OFFICE OF THE ATTENDING PHYSICIAN

HOUSE OF REPRESENTATIVES  
OFFICE OF THE ATTENDING PHYSICIAN  
BY OBJECT CLASS

|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %       |
| 1100 Personnel Compensation          | -               | -               | -               | -               | -               |
| 1200 Personnel Benefits              | 156             | 162             | 162             | -               | -               |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -               |
| 2100 Travel                          | 32              | 79              | 79              | -               | -               |
| 2200 Transportation of Things        | -               | 8               | 8               | -               | -               |
| 2300 Rent, Communications, Utilities | 94              | 102             | 102             | -               | -               |
| 2400 Printing and Reproduction       | 3               | -               | -               | -               | -               |
| 2500 Other Services                  | 1,694           | 2,603           | 2,625           | 22              | 0.85%           |
| 2600 Supplies and Materials          | 351             | 308             | 308             | -               | -               |
| 3100 Equipment                       | 25              | 158             | 136             | (22)            | (13.9%)         |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -               |
| <b>Total</b>                         | <b>2,357</b>    | <b>3,421</b>    | <b>3,421</b>    | -               | -               |
|                                      | FY 2012         | FY 2013         | FY 2014         | FY 14 vs. FY 13 | FY 14 vs. FY 13 |
|                                      | Actuals         | Enacted         | Estimates       | Net Change      | Net Change %    |
| POSITIONS                            | -               | -               | -               | -               | -               |

## SCHEDULE C – OFFICE OF THE ATTENDING PHYSICIAN

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

|                                      | FY 2013<br>Enacted<br>Dollars (\$000) | FY 2014<br>Estimates<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Dollars (\$000) | FY 14 vs. FY 13<br>Net Change<br>Percent % |
|--------------------------------------|---------------------------------------|---|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>162</b>                            | <b>162</b>                              | <b>-</b>   | <b>-</b>                                   |
| Base Adjustment                      | -                                     | -                                       | -  | -  |
| Cost of Living Adjustment            | -                                     | -                                       | -  | -  |
| Cost of Living Adjustment Annualized | -                                     | -                                       | -  | -  |
| Longevity Increase                   | -                                     | -                                       | -  | -  |
| Meritorious Increase                 | -                                     | -                                       | -  | -  |
| Overtime Pay                         | -                                     | -                                       | -  | -  |
| Personnel Base                       | -                                     | -                                       | -  | -  |
| Personnel Benefits                   | 162                                   | 162                                     | -  | -  |
| Reclassifications                    | -                                     | -                                       | -  | -  |
| Temporary Positions                  | -                                     | -                                       | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      | <b>-</b>                              | <b>-</b>                                | <b>-</b>   | <b>-</b>                                   |
| <b>C. PROGRAM CHANGES</b>            | <b>3,259</b>                          | <b>3,259</b>                            | <b>-</b>   | <b>-</b>                                   |
| Miscellaneous                        | 656                                   | 634                                     | (22)   | (3.35%)                                    |
| Reimbursement to the Navy            | 2,603                                 | 2,625                                   | 22   | 0.85%                                      |
| <b>TOTAL</b>                         | <b>3,421</b>                          | <b>3,421</b>                            | <b>-</b>   | <b>-</b>                                   |
| <b>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, \$3,420,808. The fiscal year (FY) 2014 budget is flat with the FY'13 Continuing Appropriations Resolution (annualized) per P.L. 112-175 which includes an increase of .612% over the FY'12 enacted totals.

This amount includes \$162,000 for mandatory items, \$3,258,808 for program current services and no program changes.

I. Personnel Details: FY'14 Request – \$162,000

A. Base: \$162,000

- i. The estimated FY'13 personnel benefits will be \$162,000.

B. Budget Calculations: \$0

C. Requested Changes: \$0

II. Price Level Details: FY'14 Request – \$0

The price level increase of 1.5% was not reflected in this request.

III. Program Details: FY'14 Request – \$3,258,808

A. Current Services:

- i. Reimbursement to the Navy: \$2,603,000 – 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. Miscellaneous: \$655,808 – The Office of the Attending Physician provides medical services to House and Senate staff. Services and supplies provided include the following: 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 and First Aid training, cost of maintenance of MeRV and cost of drivers' training, equipment to directly support continuity of operations and enduring constitutional government; 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; on-going training to maintain licensure and certifications, and to increase knowledge of clinical issues. Additional expenses include costs incurred with communication devices, X-ray, laboratory, maintenance of electronic medical records, computers, contracts for maintenance and user fees, and mobile capability upkeep, telephone charges, wireless communications capabilities, and other costs incurred with training.

**B. Proposed Changes:**

- i. Reimbursement to the Navy: \$22,000 – 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 offset by a decrease in the subsequent Miscellaneous program.
- ii. Miscellaneous: (\$22,000) – This decrease is to offset the increase in the Reimbursement to the Navy.

**Appendices to the U.S. House of Representatives  
Zero Based Budgeting for FY2014 Request**

During the formulation of FY2014, several offices throughout the U.S. House of Representatives implemented principles of Zero Based Budgeting (ZBB) to develop their request in a more efficient and transparent manner. The Appendix portion of this request provides additional information regarding how each of the offices derived their requests utilizing principles of ZBB. The Appendices for each House Office are in the following order:

- Office of the Clerk
- Office of the Sergeant At Arms
- Office of the Chief Administrative Officer
- Office of the Inspector General
- Office of the General Counsel
- Office of the Parliamentarian
- Office of the Law Revision Counsel
- Office of the Legislative Counsel
- Office of Interparliamentary Affairs
- Office of Congressional Ethics

Office of the Clerk  
FY 2014  
Zero Based Budgeting Appendix

**Legislative History:** The Office of the Clerk of the House of Representatives was established constitutionally in 1789. The duties of the Office are mandated by law, House Rules (II and VII), policies and traditions of the House.

**Mission Statement:** The mission of the Office of the Clerk is to provide procedural assistance and support necessary for the orderly conduct and dissemination of the official business of the House.

**Strategic Plan (Our Vision):** The Office of the Clerk aims to be an organization of highly professional staff that leads in providing innovative legislative services and support to the House, while protecting the integrity and traditions of the institution.

**Functional Components:** The functional components of the Office of the Clerk are as follows:

**Immediate Office:** Supplies support to all other office components. It also manages the office and supervises the staff of any deceased, resigned, or expelled Member until a successor is elected.

**Legislative Operations:** Coordinates the services of the Bill and Enrolling Clerks, the Journal Clerks, the Tally Clerks, the Daily Digest, and the Floor Action Reporting. This office also provides support pertaining to the Clerk's legislative duties. Among the duties of this office are receiving and processing official papers; compiling and publishing the daily minutes of 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*.

**Legislative Computer Systems (LCS):** LCS provides technical support for offices under the Clerk and maintains the electronic voting system on the House Floor.

**Official Reporters:** The Official Reporters transcribes House proceedings verbatim for publication in the *Congressional Record* and provides stenographic support to Committees for all hearings, meetings, and mark-up sessions.

**Legislative Resource Center (LRC):** LRC ensures that House legislative and membership information is accessible to all. LRC supplies House Members with the documents under consideration on the House Floor. LRC also gathers and verifies information on actions by House Committees and the President of the United States regarding legislation. The data are stored in the Legislative Information Management System (LIMS), and in-house system that tracks all legislation from its introduction on the House Floor to its signing by the President. LRC manages lobbying disclosure filings as well as public disclosure forms from all House Officers, Members, and staff and makes disclosure registrations and reports accessible to the public. LRC compiles and publishes official lists and informational publications about the House-including Member, Committee, and House office information as well as nominee and election statistics-

and serves as the repository and a disseminator of official House legislative documents and publications. LRC also supports congressional offices with orders for official stationery and envelopes and other print services and responds to congressional and public inquiries regarding legislative information about Congress.

**Capitol Service Groups:** The Capitol Service Groups provide support services to the maintenance of the Republican and Democratic Cloakrooms, the Lindy Claiborne Boggs Congressional Women's Reading Room, the Members and Family Committee Room, and the Capitol Prayer Room.

**Office of House Employment Counsel (OHEC):** OHEC provides advice about employment practices and acts as legal representation for all employing authorities in the House.

**Office of Communications:** The Office of Communications provides comprehensive creative services to all divisions of the Office of the Clerk. Offerings include message positioning and branding, Web and print content development and management, graphic and interactive Web design, event and architectural photography, event support, email marketing, and social media consulting.

**Office of Arts & Archives and Office of the Historian:** These Offices research and collect more than 200 years of House history in the form of documents, artifacts, biographical information, historical information, historical analysis, and artwork, providing a variety of services concerning historical publications, the House Collection, and the records of the House. The Offices maintain the House entries of the *Biographical Directory of the United States Congress* and present original research in publications such as *Women in Congress, 1917-2006* and *Black Americans in Congress, 1870-2007*. The Offices curate the House Collection of fine art and historical artifacts, collecting and caring for the more than 2,000 objects, resulting in exhibitions, publications, and commissions. The Offices also process the records of the House and oversees their eventual safe transfer to the National Archives, help House committees and officers identify records for permanent retention, and provide management advice to Members for their congressional papers.

**ZBB Instructions:** At the beginning of the FY 2014 budget cycle we asked the head of each organization to prepare their request by first determining the level of service which is currently essential to support required House activities. Also at this time we asked them to add any new service requirements that were 'in the pipeline' for FY 2014; as well as eliminating any service requirements that were being discontinued for the budget year. After the level of service was determined the managers then recreated their organization and developed the budget needed to deliver those services critical to House operations. Both personnel and non-personnel costs were developed from the ground up.

**Office of the Sergeant at Arms**  
**Fiscal Year 2014**  
**Zero Based Budgeting Appendix**

**Legislative History**

The Sergeant at Arms is a Constitutional Officer of the House of Representatives whose duties are mandated in law, House rules, customs, and policies. Under the authority of House Rule II, the Sergeant at Arms serves as the House's chief law enforcement and chief protocol officer. The Sergeant at Arms is responsible for administering the security of Members of Congress, Congressional staff, visitors, and property within the Capitol complex while maintaining open access to the People's House. The Sergeant at Arms is also charged with maintaining order and decorum in the House Chamber.

**Office Mission**

The Office of the Sergeant at Arms is focused on providing the maximum degree of support to Members of Congress and their staff. This is accomplished by coordinating police, protocol, and administrative services as a highly integrated, flexible, and professional organization.

**Organization**

**Functional Components**

The employees of the Office of the Sergeant at Arms are our most valued assets and have a shared responsibility in fulfilling our mission of service towards the House community. The Office is comprised of seven divisions with 131 authorized positions. Staff within each division (functional component) of the Office of the Sergeant at Arms are tasked with providing essential services in support of the Constitutional roles and responsibilities of the House of Representatives.

- **Immediate Office** – The Sergeant at Arms Immediate Office oversees and administers all divisions within the organization. The Immediate Office is made up of Administrative staff, Police Services/Special Events and Protocol staff, and House Appointments Desk staff. Administrative staff provide general administrative support for all divisions within the organization. Police Services/Special Events and

Protocol staff provide logistical and security support at on and off campus events involving Members of Congress. Appointments Desk staff facilitate access to the Capitol Building for visitors on official business. To support these activities funding for 20 positions is requested for personnel. The increase in funding for this functional component is due in large part to the non-recurring purchase of supplies and materials (Member and spouse pins and license plates) needed for the 114<sup>th</sup> Congress. In addition, the increase can be attributed to consolidating and transferring administrative expenses from other divisions to the Immediate Office. This consolidation, in turn, will provide a decrease in those divisions' overall funding requests.

- **Chamber Security** – The division of Chamber Security facilitates access to and maintains decorum in the House Chamber. To support these activities funding for 28 positions is requested for personnel.
- **House Garages and Parking Security** – 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. Staff in this division enforce the parking policies and allocations set forth by the Committee on House Administration. To support these activities funding for 40 positions is requested for personnel. The increase in funding for this functional component is due in large part to the non-recurring purchase of parking permits for use in the 114<sup>th</sup> Congress.
- **House Security Office** – The House Security Office serves as a central location to oversee the issuance, administration, and verification of all House of Representatives security clearances. This division also serves as a central repository for classified materials and is responsible for receiving, controlling, transmitting, storing, and destroying classified information. Staff in this division provide training for Members of Congress and House staff on the protocols and responsibilities in handling and storage of classified materials, foreign travel, counterintelligence, and operations security. To support these activities funding for 5 positions is requested for personnel. The increase in funding for this functional component is due in large part to the non-recurring costs associated with the purchase of upgrades to the document system used to store, retrieve, and safeguard classified information.
- **Information Services** – The division of Information Services consists of Information Technology and Identification Services. The Information Technology section provides technical support for the entire organization. The Identification Services section assists with the security of the Capitol complex by issuing identification badges to all authorized personnel employed by the House of Representatives and

the Architect of the Capitol. To support these activities funding for 10 positions is requested for personnel. Additionally, funding is requested for non-personnel items such as equipment hardware and associated maintenance. The increase in funding for this functional component is due in large part to consolidating and transferring the majority of the other divisions' equipment purchases to Information Services.

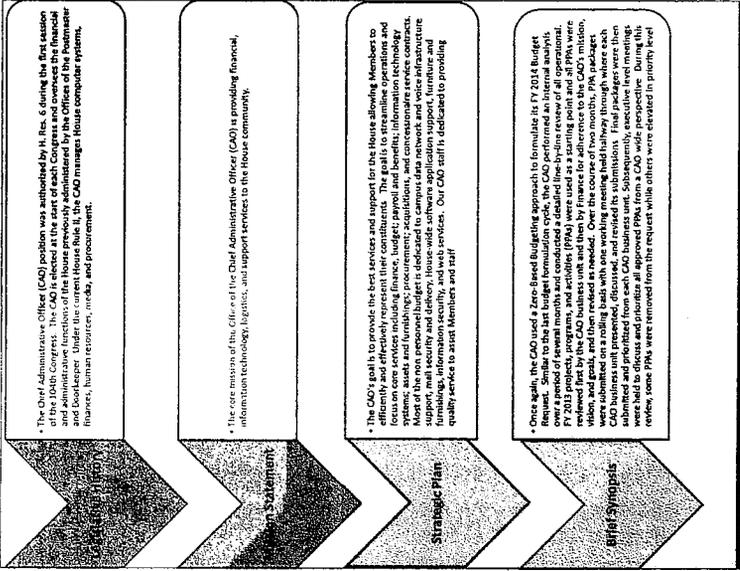
- **Office of Emergency Management** – The division of Emergency Management serves as the focal point for the House of Representatives emergency planning and continuity programs. The division manages the House of Representatives life safety support programs, the House Operations Center, and internal continuity activities for the Office of the Sergeant at Arms. To support these activities funding for 14 positions is requested for personnel. Funding requested for non-personnel items includes continued consultant/contracted services to assist with emergency planning and preparedness programs and operations. The decrease in funding for this functional component can be attributed to consolidating and transferring administrative expenses to the Immediate Office. Additionally, funding has been reduced for contractor support.

In the spirit of zero based budgeting the goal of the Sergeant at Arms is to continue to provide exceptional services to the Congressional community while maintaining the current staffing level of 117 encumbered positions. We recognize operating below optimal staffing levels compels us to streamline efficiencies while contributing to the cost savings in the House.

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

**FY'14 Budget Request Table**

|   | Amount                   | Narrative   |
|---|--------------------------|---|
| <b>Tier 1: Flat FY14 Budget</b>                                 |                          |   |
| 11-Personnel Compensation                                       | \$ 62,476,077.53         |   |
| 21-Travel   | \$ 716,683.00            |   |
| 22-Transportation of Things                                     | \$ 122,746.54            |   |
| 23-Rent, Communications, Utilities                              | \$ 6,806,401.80          |   |
| 24-Printing   | \$ 43,763.16             |   |
| 25-Other Services   | \$ 25,211,354.96         |   |
| 26-Supplies and Materials                                       | \$ 2,902,656.20          |   |
| 31-Equipment  | \$ 19,657,572.55         |   |
| <b>Subtotal Tier 1</b>  | <b>\$ 117,486,705.84</b> |   |
| <b>Tier 2: Zero-based budgeting applied to Flat FY14 Budget</b> |                          |   |
| 11-Personnel Compensation                                       | \$ 912,296.89            | Additional funding is being requested for hardware and software lifecycle replacement of storage and backup devices. This equipment is used for storing data from all House Offices including Members and Committees. This is part of the CAO's Capital Planning Initiative that will renew all CAO capital purchasing needs. |
| 21-Travel   | \$ -                     |   |
| 22-Transportation of Things                                     | \$ -                     |   |
| 23-Rent, Communications, Utilities                              | \$ -                     |   |
| 24-Printing   | \$ -                     |   |
| 25-Other Services   | \$ (911,203.98)          | Funding has also been realigned to reflect our changing operational needs. In FY14, funding needed to be realigned to personnel to absorb the anticipated COLA of 0.5% for 3 months and 1.8% for 9 months.  |
| 26-Supplies and Materials                                       | \$ 6,060,093.00          |   |
| 31-Equipment  | \$ -                     |   |
| <b>Subtotal Tiers 1&amp;2</b>                                   | <b>\$ 123,557,833.75</b> |   |
| <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  | \$ -                     |   |
| <b>Subtotal Tiers 1,2,&amp;3</b>                                | <b>\$ 123,557,833.75</b> |   |



Addendum of Office of the Chief Administrative Officer  
FY 2014 Zero-Based Budget Request

**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 (CAO) is providing financial, information technology, logistics, and other support services to the House community.

**ORGANIZATION - Functional Components**

The CAO supports the House community by operating the financial and administrative functions of the House. The CAO staff consists of 638 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. Below is a summary of the request:

|                                     | FY 2013<br>Continuing<br>Resolution<br>annualized per<br>P.L. 112-175 | FY 2014<br>Budget<br>Request | FY 14 Request<br>vs.<br>FY 13 CR<br>\$ | FY 14 Request<br>vs.<br>FY 13 CR<br>% |
|-------------------------------------|---|------------------------------|--|---------------------------------------|
| <b>Chief Administrative Officer</b> |   |                              |  |                                       |
| CAO Immediate Office and Galleries  | \$ 4,072,774  | \$ 13,229,756                | \$ 9,156,982                           | 224.8%                                |
| Acquisitions Management             | \$ 10,649,780   | \$ 10,677,880                | \$ 28,100                              | 0.3%                                  |
| Finance                             | \$ 10,023,974   | \$ 10,155,265                | \$ 131,291                             | 1.3%                                  |
| House Information Resources         | \$ 65,841,499   | \$ 62,325,644                | \$ (3,515,855)                         | -5.3%                                 |
| House Recording Studio              | \$ 5,699,670  | \$ 5,764,794                 | \$ 65,124                              | 1.1%                                  |
| Human Resources                     | \$ 3,007,293  | \$ 3,041,781                 | \$ 34,489                              | 1.1%                                  |
| Logistics and Support               | \$ 18,201,717   | \$ 18,362,714                | \$ 160,997                             | 0.9%                                  |
| <b>Total CAO Budget</b>             | <b>\$ 117,496,706</b>   | <b>\$ 123,557,834</b>        | <b>\$ 6,061,128</b>                    | <b>5.2%</b>                           |

NOTE: Business Unit budgets above include both personnel and non-personnel expenses.

Addendum of Office of the Chief Administrative Officer  
FY 2014 Zero-Based Budget Request

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

The CAO's main goal for FY 2014 formulation was to continue to maintain current services with a flat operating budget. Once again, the CAO used a Zero-Based Budgeting approach to formulate its FY 2014 Budget Request. Similar to the last budget formulation cycle, the CAO performed an internal analysis over a period of several months and conducted a detailed line-by-line review of all operational expenses. 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.

FY 2013 projects, programs, and activities (PPAs) were used as a starting point and all PPAs were reviewed first by the CAO business unit and then by Finance for adherence to the CAO's mission, vision, and goals, and then revised as needed. The CAO began the process with 135 PPAs and ended with 92 PPAs.

Each PPA submitted as part of the request provided an overview of services, 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. Additionally, individual line items in each PPA were assigned into expense categories: Operating Expense and Other Costs including carpeting, communication/circuit charges, drapes, facility/warehouse rent or lease, furniture and furnishings, hardware/software – new, hardware/software – lifecycle replacement, hardware/software maintenance, professional services and subscriptions, program supplies, project support, staff augmentation, and training and travel.

Over the course of two months, PPA packages were submitted on a rolling basis with one working meeting held halfway through where each CAO business unit presented, discussed, and revised its submissions. Final packages were then submitted and prioritized from each CAO business unit. 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.

Addendum of Office of the Chief Administrative Officer  
 FY 2014 Zero-Based Budget Request

**DIVISION – Chief Administrative Officer Immediate Office**

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

As the CAO continued its ZBB efforts, it became clear that a shift in the budget formulation process was necessary. With this in mind, the CAO formulated its budget to include both an Operational budget and a Capital Planning budget. The CAO is currently in the process of developing an overarching framework for Capital Planning. As such a Capital Planning budget is established under the CAO Immediate Office (CAO-IO). The CAO-IO will function as the central point for CAO-wide capital related planning, budgeting and expenditures. Additionally, the increase to overall CAO budget is reflected in the CAO-IO Capital Planning budget. This increase will provide the much needed funding required for hardware and software lifecycle replacement of storage and backup devices. This equipment is used for storing data from all House Office including Members and Committees.

**CAO IMMEDIATE OFFICE SUMMARY - FY'14 BUDGET REQUEST TABLE**

| Description  | Amount                  | Narrative  |
|--|-------------------------|--|
| <b>Tier 1: Flat FY'14 Budget</b>                                 |                         |  |
| 11-Personnel Compensation  | \$ 3,242,724.76         |  |
| 21-Travel  | \$ 34,208.08            |  |
| 22-Transportation of Things                                      | \$ -                    |  |
| 23-Rent, Communications, Utilities                               | \$ 86,526.32            |  |
| 24-Printing  | \$ 20,122.40            |  |
| 25-Other Services  | \$ 556,384.36           |  |
| 26-Supplies and Materials  | \$ 42,257.04            |  |
| 31-Equipment   | \$ 90,550.80            |  |
| <b>Subtotal Tier 1</b>   | <b>\$ 4,072,773.76</b>  |  |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'14 Budget</b> |                         |  |
| 11-Personnel Compensation  | \$ 46,886.98            | In FY 2014, additional funding is being requested for hardware and software lifecycle replacement of storage and backup devices. This equipment is used for storing data from all House Office including Members and Committees. |
| 21-Travel  | \$ -                    |  |
| 22-Transportation of Things                                      | \$ -                    |  |
| 23-Rent, Communications, Utilities                               | \$ -                    |  |
| 24-Printing  | \$ -                    |  |
| 25-Other Services  | \$ 2,539,959.62         |  |
| 26-Supplies and Materials  | \$ -                    |  |
| 31-Equipment   | \$ 6,570,135.84         |  |
| <b>Subtotal Tiers 1&amp;2</b>                                    | <b>\$ 13,229,756.20</b> | Funding has also been internally realigned to reflect our changing operational needs including shifting funding to personnel to absorb the anticipated COLA of 0.5% for 3 months and 1.8% for 9 months.                          |
| <b>Tier 3: 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   | \$ -                    |  |
| <b>Subtotal Tiers 1,2&amp;3</b>                                  | <b>\$ 13,229,756.20</b> |  |

Addendum of Office of the Chief Administrative Officer  
 FY 2014 Zero-Based Budget Request

**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 - FY'14 BUDGET REQUEST TABLE     |                  |  |
|--|------------------|--|
| Description  | Amount           | Narrative  |
| <b>Tier 1: Flat FY'14 Budget</b>                                 |                  |  |
| 11-Personnel Compensation  | \$ 1,920,683.08  |  |
| 21-Travel  | \$ 21,128.52     |  |
| 22-Transportation of Things                                      | \$ -             |  |
| 23-Rent, Communications, Utilities                               | \$ 151,924.12    |  |
| 24-Printing  | \$ 2,012.24      |  |
| 25-Other Services  | \$ 8,170,700.52  |  |
| 26-Supplies and Materials  | \$ 18,110.16     |  |
| 31-Equipment   | \$ 365,221.56    |  |
| Subtotal Tier 1  | \$ 10,649,780.20 |  |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'14 Budget</b> |                  |  |
| 11-Personnel Compensation  | \$ 28,099.51     | In FY 2014, funding has been internally realigned to reflect our changing operational needs including shifting funding to personnel to absorb the anticipated COLA of 0.5% for 3 months and 1.8% for 9 months. |
| 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   | \$ 10,677,879.71 |  |
| <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   | \$ 10,677,879.71 |  |

Addendum of Office of the Chief Administrative Officer  
 FY 2014 Zero-Based Budget Request

**DIVISION - Finance**

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

| FINANCE SUMMARY - FY'14 BUDGET REQUEST TABLE                     |                         |  |
|--|-------------------------|--|
| Description  | Amount                  | Narrative  |
| <b>Tier 1: Flat FY'14 Budget</b>                                 |                         |  |
| 11-Personnel Compensation  | \$ 8,997,731.16         |  |
| 21-Travel  | \$ 32,195.84            |  |
| 22-Transportation of Things                                      | \$ -                    |  |
| 23-Rent, Communications, Utilities                               | \$ 86,526.32            |  |
| 24-Printing  | \$ 8,048.96             |  |
| 25-Other Services  | \$ 740,504.32           |  |
| 26-Supplies and Materials  | \$ 69,422.28            |  |
| 31-Equipment   | \$ 89,544.68            |  |
| <b>Subtotal Tier 1</b>   | <b>\$ 10,023,973.56</b> |  |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'14 Budget</b> |                         |  |
| 11-Personnel Compensation  | \$ 131,291.24           |  |
| 21-Travel  | \$ -                    |  |
| 22-Transportation of Things                                      | \$ -                    |  |
| 23-Rent, Communications, Utilities                               | \$ -                    |  |
| 24-Printing  | \$ -                    |  |
| 25-Other Services  | \$ -                    |  |
| 26-Supplies and Materials  | \$ -                    |  |
| 31-Equipment   | \$ -                    |  |
| <b>Subtotal Tiers 1&amp;2</b>                                    | <b>\$ 10,155,264.80</b> | In FY 2014, funding has been internally realigned to reflect our changing operational needs including shifting funding to personnel to absorb the anticipated COLA of 0.5% for 3 months and 1.8% for 9 months. |
| <b>Tier 3: Overall 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   | \$ -                    |  |
| <b>Subtotal Tiers 1,2, &amp; 3</b>                               | <b>\$ 10,155,264.80</b> |  |

Addendum of Office of the Chief Administrative Officer  
 FY 2014 Zero-Based Budget Request

**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.

| HOUSE INFORMATION RESOURCES SUMMARY - FY'14 BUDGET REQUEST TABLE |                         |  |
|--|-------------------------|--|
| Description  | Amount                  | Narrative  |
| <b>Tier 1: Flat FY'14 Budget</b>                                 |                         |  |
| 11-Personnel Compensation  | \$ 30,257,046.76        |  |
| 21-Travel  | \$ 112,685.44           |  |
| 22-Transportation of Things                                      | \$ 12,073.44            |  |
| 23-Rent, Communications, Utilities                               | \$ 6,133,307.52         |  |
| 24-Printing  | \$                      |  |
| 25-Other Services  | \$ 12,116,703.16        |  |
| 26-Supplies and Materials  | \$ 459,796.84           |  |
| 31-Equipment   | \$ 16,749,885.76        |  |
| <b>Subtotal Tier 1</b>   | <b>\$ 65,841,498.92</b> |  |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'14 Budget</b> |                         |  |
| 11-Personnel Compensation  | \$ 445,411.11           |  |
| 21-Travel  | \$                      |  |
| 22-Transportation of Things                                      | \$                      |  |
| 23-Rent, Communications, Utilities                               | \$                      |  |
| 24-Printing  | \$                      |  |
| 25-Other Services  | \$ (3,451,163.60)       |  |
| 26-Supplies and Materials  | \$ (510,102.84)         |  |
| 31-Equipment   | \$                      |  |
| <b>Subtotal Tiers 1&amp;2</b>                                    | <b>\$ 62,325,643.59</b> | In FY 2014, funding has been internally reallocated to reflect our changing operational needs including shifting funding to personnel to absorb the anticipated COLA of 0.5% for 3 months and 1.8% for 3 months. |
| <b>Tier 3: Optional funding above Tiers 1, 2, &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   | \$                      |  |
| <b>Subtotal Tiers 1, 2, &amp; 3</b>                              | <b>\$ 62,325,643.59</b> |  |

Addendum of Office of the Chief Administrative Officer  
 FY 2014 Zero-Based Budget Request

**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'14 BUDGET REQUEST TABLE      |                        |           |
|--|------------------------|-----------|
| Description  | Amount                 | Narrative |
| <b>Tier 1: Flat FY'14 Budget</b>                                 |                        |           |
| 11-Personnel Compensation  | \$ 4,558,729.72        |           |
| 21-Travel  | \$ 15,091.80           |           |
| 22-Transportation of Things                                      | \$ -                   |           |
| 23-Rent, Communications, Utilities                               | \$ 181,101.60          |           |
| 24-Printing  | \$ -                   |           |
| 25-Other Services  | \$ 391,380.68          |           |
| 26-Supplies and Materials  | \$ 271,652.40          |           |
| 31-Equipment   | \$ 281,713.60          |           |
| <b>Subtotal Tier 1</b>   | <b>\$ 5,699,669.80</b> |           |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'14 Budget</b> |                        |           |
| 11-Personnel Compensation  | \$ 65,124.28           |           |
| 21-Travel  | \$ -                   |           |
| 22-Transportation of Things                                      | \$ -                   |           |
| 23-Rent, Communications, Utilities                               | \$ -                   |           |
| 24-Printing  | \$ -                   |           |
| 25-Other Services  | \$ -                   |           |
| 26-Supplies and Materials  | \$ -                   |           |
| 31-Equipment   | \$ -                   |           |
| <b>Subtotal Tiers 1&amp;2</b>                                    | <b>\$ 5,764,794.08</b> |           |
| <b>Tier 3: 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   | \$ -                   |           |
| <b>Subtotal Tiers 1,2,&amp;3</b>                                 | <b>\$ 5,764,794.08</b> |           |

In FY 2014, funding has been internally realigned to reflect our changing operational needs including shifting funding to personnel to absorb the anticipated COLA of 0.5% for 3 months and 1.8% for 9 months.

Addendum of Office of the Chief Administrative Officer  
 FY 2014 Zero-Based Budget Request

**DIVISION – Human Resources**

Human Resources provides personnel services to the CAO, 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'14 BUDGET REQUEST TABLE             |                        |  |
|--|------------------------|--|
| Description  | Amount                 | Narrative  |
| <b>Tier 1: Flat FY'14 Budget</b>                                 |                        |  |
| 11-Personnel Compensation  | \$ 2,338,222.88        |  |
| 21-Travel  | \$ 38,232.56           |  |
| 22-Transportation of Things                                      | \$ -                   |  |
| 23-Rent, Communications, Utilities                               | \$ 26,159.12           |  |
| 24-Printing  | \$ 9,055.08            |  |
| 25-Other Services  | \$ 400,435.76          |  |
| 26-Supplies and Materials  | \$ 47,287.64           |  |
| 31-Equipment   | \$ 147,899.64          |  |
| <b>Subtotal Tier 1</b>   | <b>\$ 3,007,292.68</b> |  |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'14 Budget</b> |                        |  |
| 11-Personnel Compensation  | \$ 34,488.79           | In FY 2014, funding has been internally reallocated to reflect our changing operational needs including shifting funding to personnel to absorb the anticipated COLA of 0.5% for 3 months and 1.8% for 9 months. |
| 21-Travel  | \$ -                   |  |
| 22-Transportation of Things                                      | \$ -                   |  |
| 23-Rent, Communications, Utilities                               | \$ -                   |  |
| 24-Printing  | \$ -                   |  |
| 25-Other Services  | \$ -                   |  |
| 26-Supplies and Materials  | \$ -                   |  |
| 31-Equipment   | \$ -                   |  |
| <b>Subtotal Tiers 1&amp;2</b>                                    | <b>\$ 3,041,781.47</b> |  |
| <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   | \$ -                   |  |
| <b>Subtotal Tiers 1, 2, &amp; 3</b>                              | <b>\$ 3,041,781.47</b> |  |

Addendum of Office of the Chief Administrative Officer  
 FY 2014 Zero-Based Budget Request

**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'14 BUDGET REQUEST TABLE       |                         |  |
|--|-------------------------|--|
| Description  | Amount                  | Narrative  |
| <b>Tier 1: Flat FY'14 Budget</b>                                 |                         |  |
| 11-Personnel Compensation  | \$ 11,160,889.16        |  |
| 21-Travel  | \$ 23,140.76            |  |
| 22-Transportation of Things                                      | \$ 110,673.20           |  |
| 23-Rent, Communications, Utilities                               | \$ 140,856.80           |  |
| 24-Printing  | \$ 4,024.48             |  |
| 25-Other Services  | \$ 2,835,246.16         |  |
| 26-Supplies and Materials  | \$ 1,994,129.84         |  |
| 31-Equipment   | \$ 1,932,756.52         |  |
| <b>Subtotal Tier 1</b>   | <b>\$ 18,201,716.92</b> |  |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'14 Budget</b> |                         |  |
| 11-Personnel Compensation  | \$ 160,996.99           | In FY 2014, funding has been internally realigned to reflect our changing operational needs including shifting funding to personnel to absorb the anticipated COLA of 0.5% for 3 months and 1.8% for 9 months. |
| 21-Travel  | \$ -                    |  |
| 22-Transportation of Things                                      | \$ -                    |  |
| 23-Rent, Communications, Utilities                               | \$ -                    |  |
| 24-Printing  | \$ -                    |  |
| 25-Other Services  | \$ -                    |  |
| 26-Supplies and Materials  | \$ -                    |  |
| 31-Equipment   | \$ -                    |  |
| <b>Subtotal Tiers 1&amp;2</b>                                    | <b>\$ 18,362,713.91</b> |  |
| <b>Tier 3: 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   |                         |  |
| <b>Subtotal Tiers 1, 2 &amp; 3</b>                               | <b>18,362,713.91</b>    |  |

**Office of Inspector General****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 103<sup>rd</sup> Congress, pursuant to the House Administrative Reform Resolution of 1992 (HR 423, 102<sup>nd</sup> Congress) to conduct periodic audits of the financial and administrative functions of the House and of joint entities.

**ORGANIZATION - Functional Components**

The OIG supports House governance activities by performing audits, advisory, and investigative services subject to the policy direction and oversight of the Committee on House Administration (CHA). 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 four divisions: Performance/Financial Audits and Investigative Services, Information Systems Audit Services, Management Advisory Services, and Support Services.

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

The Office of Inspector General provides objective, value-added advice to House Leadership, the CHA, the House Officers, and joint entities in the areas of financial management, administrative operations, workplace issues (i.e. health, safety, and security) the 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. The Audit, Advisory, and Investigative Services (AAIS) program includes salaries for the Inspector General and 20 audit, advisory, investigative, and quality assurance staff members. Based upon specific job requirements, the OIG may augment its staff with contractors having specialized technical skills or subject matter expertise.

The OIG prepares an Annual Work Plan which is reviewed and approved by both the Majority and Minority of the CHA. This plan consists of requested projects from the House Officers and the CHA. 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 House operations, emerging trends, and the continual reassessment of risk.

Because investigative services 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.

**Appendix to the Narrative of Schedule C and FY'14 Zero Based Budgeting  
Office of Inspector General**

**FY14 Zero Based Budget – AAIS Program**

**Net Change:** (\$339,454.40). The program budget includes the mandatory 1.8% annualized COLA, offset by a base adjustment on the entire OIG personnel budget from FY13 in the amount of (\$58,522.50). The program's net change to personnel budget is (\$14,131.50). The program's net change to the Other Services budget is (\$325,322.90). These reductions to the AAIS program bring the OIG into alignment with the reductions requested in their FY13 budget.

|   |              |
|---|--------------|
| <b>OIG Audit, Advisory, and Investigative Services (AAIS) Program</b> | <b>FY'14</b> |
| <b>Budget Request</b>   |              |

| Description                        | Amount                 | Narrative  |
|------------------------------------|------------------------|--|
| <b>Tier 1: Flat FY14 Budget</b>    | <b>Appropriations</b>  |  |
| 11-Personnel Compensation          | \$ 3,064,642.50        | The AAIS Program personnel budget includes the salaries of the Inspector General, and 20 audit, advisory, investigative, and quality assurance staff. Positions are budgeted at their highest approved grade at step 6 (e.g. HS-9/6).        |
| 21-Travel                          | \$ -                   | Budgeted in the Training Program (OIGTRN).   |
| 23-Rent, Communications, Utilities | \$ -                   | Budgeted in the Administration Program (OIGADM).   |
| 24-Printing                        | \$ -                   | Budgeted in the Administration Program (OIGADM).   |
| 25-Other Services                  | \$ 1,337,322.90        | For the AAIS Program, the Other Services BOC includes consultant and non-technical service contracts that augment the OIG staff with contractors having specialized skills or subject matter expertise to support the OIG's primary mission. |
| 26-Supplies and Materials          | \$ 79,000.00           | Includes audit-specific supplies and subscriptions.  |
| 31-Equipment                       | \$ 17,000.00           | Includes purchase of audit-specific equipment, forensic tools, software, and licenses.   |
| <b>Subtotal Tier 1</b>             | <b>\$ 4,497,965.40</b> |  |

**Appendix to the Narrative of Schedule C and FY'14 Zero Based Budgeting  
Office of Inspector General**

| <b>Tier 2: Zero-based budgeting applied to Flat FY14 Budget</b> |                        |  |
|---|------------------------|--|
|   |                        | FY13 base (which included a .5% COLA, less a base adjustment to bring the OIG's Personnel budget down to our requested FY13 personnel budget). Mandatory FY14 1.8% COLA Included in requested FY14 budget.   |
| 11-Personnel Compensation                                       | \$ (14,131.50)         |  |
| 21-Travel   | \$ -                   |  |
| 23-Rent, Communications, Utilities                              | \$ -                   |  |
| 24-Printing   | \$ -                   |  |
|   |                        | Reduction due to cost savings through increased efficiencies and automation. Additionally, we restructured the Financial Statement Audit contract, and will therefore realize savings during the initial period of performance and each of the 4 option years compared to historic costs. This reduction brings the OIG into alignment with its reduced FY13 budget request. |
| 25-Other Services   | \$ (325,322.90)        |  |
| 26-Supplies and Materials                                       | \$ -                   |  |
|   |                        |  |
| 31-Equipment  | \$ -                   |  |
| <b>Subtotal Tiers 1&amp;2</b>                                   | <b>\$ 4,158,511.00</b> | <b>TOTAL AAIS Program Budget for FY14</b>  |

**RECURRING PROGRAM – General Operations (OPS)**

The Office of Inspector General's operations program provides Human Resources management, contracting and procurement, IT support, budget formulation and execution, process improvements, and other administrative support activities to ensure audit staff and management have the necessary resources, services and support to effectively and efficiently perform mission activities. This includes the purchase of office supplies, equipment (including maintenance agreements), office furnishings, computer software, hardware, and/or licensing agreements, relevant publications, communications equipment and service subscriptions, as well as payment for shipping these items.

**FY14 Zero Based Budget – OPS Program**

**Net Change:** \$5,388.58. Increase due to mandatory 1.8% annualized COLA.

**Appendix to the Narrative of Schedule C and FY'14 Zero Based Budgeting  
Office of Inspector General**

| <b>OIG General Operations (OPS) Program FY14 Budget Request</b> |                       |  |
|---|-----------------------|--|
| <b>Description</b>  | <b>Amount</b>         | <b>Narrative</b>   |
| <b>Tier 1: Flat FY14 Budget</b>                                 | <b>Appropriations</b> |  |
|   |                       | The OIGOPS Program includes salaries for 3 support services staff who provide administrative support to ensure the auditors, management analysts, and executive management have the necessary resources and services available to efficiently and effectively perform the OIG's primary mission. Positions are budgeted at their highest approved grade at step 6 (e.g. HS-9/6). |
| 11-Personnel Compensation                                       | \$ 364,910.00         |  |
| 21-Travel   | \$ -                  | Budgeted in the Training Program (OIGTRN).   |
| 23-Rent, Communications, Utilities                              | \$ 42,000.00          | Includes desk phones, mobile devices, and data and service plans as part of the OIG's BCDR Plan.   |
| 24-Printing   | \$ 1,000.00           | Includes printing through House Graphics and private vendors of booklets, guides, handbooks, training materials, etc.  |
| 25-Other Services   | \$ 36,000.00          | Includes the Technical Service contract to maintain and support the OIG's IT infrastructure.   |
| 26-Supplies and Materials                                       | \$ 22,000.00          | Covers general office supplies, and publications for the OIG.  |
| 31-Equipment  | \$ 29,000.00          | General office equipment, maintenance agreements, and enterprise software and licenses.  |
| <b>Subtotal Tier 1</b>  | <b>\$ 494,910.00</b>  |  |

**Appendix to the Narrative of Schedule C and FY'14 Zero Based Budgeting  
Office of Inspector General**

| <b>Tier 2: OIG OPS Program Zero-based budgeting applied to Flat FY14 Budget</b> |                      |  |
|---|----------------------|--|
| 11-Personnel Compensation   | \$ 5,388.58          | Increase is due to mandatory FY14 1.8% annualized COLA. A base adjrment for the entire OIG personnel budget was made in the AAIS Program personnel budget. The base adjustment in the personnel budget brings the OIG into alignment with its reduced FY13 budget. |
| 21-Travel   | \$ -                 |  |
| 23-Rent, Communications, Utilities  | \$ -                 |  |
| 24-Printing   | \$ -                 |  |
| 25-Other Services   | \$ -                 |  |
| 26-Supplies and Materials   | \$ -                 |  |
| 31-Equipment  | \$ -                 |  |
| <b>Subtotal Tiers 1&amp;2</b>   | <b>\$ 500,298.58</b> |  |

**RECURRING PROGRAM – Training (TRN)**

Rule II states that the OIG 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 specialized 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 non-government vendors, (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.

The majority of this training is done locally but in some instances, travel and travel expenses are necessary if the training cannot be obtained in a timely fashion or is not available locally. Purchases of computer software, accessories or publications associated with OIG training are also covered under this training Program.

**FY14 Zero Based Budget – TRN Program**  
**No Changes.**

**Appendix to the Narrative of Schedule C and FY'14 Zero Based Budgeting  
Office of Inspector General**

| <b>OIG Training (TRN) Program FY14 Budget Request</b> |                       |   |
|---|-----------------------|---|
| <b>Description</b>                                    | <b>Amount</b>         | <b>Narrative</b>  |
| <b>Tier 1: Flat FY14 Budget</b>                       | <b>Appropriations</b> | Rule II states that the OIG will conduct its audit, investigative, and advisory work in a manner consistent with government-wide auditing standards. Government Auditing Standards require that all auditors and specialists supporting auditors receive 80 hours of specialized 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 and emerging technologies. |
| 11-Personnel Compensation                             | \$ -                  |   |
| 21-Travel   | \$ 13,000.00          | The majority of our training is done locally but in some instances, travel and travel expenses are necessary if the training cannot be obtained in a timely fashion or is not available locally. Purchases of computer software, accessories or publications associated with OIG training are also covered under this training Program.   |
| 23-Rent, Communications, Utilities                    | \$ -                  |   |
| 24-Printing   | \$ -                  |   |
| 25-Other Services                                     | \$ 70,000.00          | To meet the Government Auditing Standards requirements in respect to training, the OIG uses various government training programs and private training providers, such as technical training institutions and local and national professional associations.  |
| 26-Supplies and Materials                             |                       |   |
| 31-Equipment  |                       |   |
| <b>Subtotal Tier 1</b>                                | <b>\$ 83,000.00</b>   |   |

**Appendix to the Narrative of Schedule C and FY'14 Zero Based Budgeting  
Office of Inspector General**

| <b>Tier 2: Zero-based budgeting applied to Flat FY14 Budget</b> |           |  |
|---|-----------|--|
| 11-Personnel Compensation                                       |           |  |
| 21-Travel   | \$        | -  |
| 23-Rent, Communications, Utilities                              | \$        | -  |
| 24-Printing   | \$        | -  |
| 25-Other Services   | \$        | -  |
| 26-Supplies and Materials                                       | \$        | -  |
| 31-Equipment  | \$        | -  |
| <b>Subtotal Tiers 1&amp;2</b>                                   | <b>\$</b> | <b>83,000.00</b>                         |
|   |           | <b>TOTAL TRN Program Budget for FY14</b> |

**TIER 3 – Optimal Funding Changes**

The OIG has no changes to make for Optimal Funding. The OIG is appropriately sized and funded to provide oversight of the House. Through diligent management of our operations, internal cost cutting measures, and increased efficiencies, the OIG can accomplish its mission within its current and requested budget levels.

Office of the General Counsel  
FY'14 Budget Request and Appendix to the Narrative of Schedule C

**Legislative History**

- The Office of General Counsel is established pursuant to Rule II(8) of the Rules of the House of Representatives for the 113th Congress. The office was first established by House Rule in 1993. See H. Res. 5, 103d Cong. (Jan 5, 1993, p.49).

**Mission Statement**

- 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 curiae in cases in which the House has an institutional interest.

**Strategic Plan**

- While it is impossible to provide an exhaustive list of the types of advice and representation the OGC can and does provide, the following are some areas that the OGC addresses with some frequency:
  - committee subpoenas
  - requests for information
  - judicial proceedings
  - privileges
  - tort claims
  - release of constituent information and confidentiality
  - FOIA and the Privacy Act
  - formal legal opinions
  - tax exemption letters

Office of the General Counsel

FY'14 Budget Request and Appendix to the Narrative of Schedule C

**Office Functional Components**

- Legal Representation and Advice

**Brief Synopsis**

- To execute zero based budgeting we performed line by line analysis and evaluation of our historical spending and anticipated needs for FY'14 and reallocated as necessary.

**FY'14 Budget Request**

- 1,423,660

Office of the General Counsel  
 FY'14 Budget Request and Appendix to the Narrative of Schedule C

| <b>FY'14 Budget Request Table</b>   |                        |   |
|---|------------------------|---|
| <b>Description</b>  | <b>Amount</b>          | <b>Narrative</b>  |
| <b>Tier 1: Flat with FY'13 Continuing Appropriations Resolution (annualized) per PL 112-117</b> | <b>Appropriations</b>  |   |
| 11-Personnel Compensation   | \$ 1,300,243.00        |   |
| 21-Travel   | \$ 21,000.00           |   |
| 23-Rent, Communications, Utilities  | \$ 14,500.00           |   |
| 24-Printing   | \$ 1,117.00            |   |
| 25-Other Services   | \$ 7,300.00            |   |
| 26-Supplies and Materials   | \$ 46,000.00           |   |
| 31-Equipment  | \$ 33,500.00           |   |
| <b>Subtotal Tier 1</b>  | <b>\$ 1,423,660.00</b> |   |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'14 Budget</b>                                |                        |   |
| 11-Personnel Compensation   | \$ 20,000.00           | In the spirit of ZBB, we analyzed historical expense patterns and concluded that travel, utilities, other services, and equipment expenses can be reduced for FY'14 and those funds should be reallocated to cover COLA and anticipated increases in printing and supplies. |
| 21-Travel   | \$ (11,000.00)         |   |
| 23-Rent, Communications, Utilities  | \$ (2,500.00)          |   |
| 24-Printing   | \$ 2,800.00            |   |
| 25-Other Services   | \$ (1,800.00)          |   |
| 26-Supplies and Materials   | \$ -                   |   |
| 31-Equipment  | \$ (7,500.00)          |   |
| <b>Subtotal Tiers 1&amp;2</b>   | <b>\$ 1,423,660.00</b> |   |
| <b>Tier 3: Optimal funding above Tiers 1 &amp; 2</b>  |                        |   |
| 11-Personnel Compensation   |                        |   |
| 21-Travel   |                        |   |
| 23-Rent, Communications, Utilities  |                        |   |
| 24-Printing   |                        |   |
| 25-Other Services   |                        |   |
| 26-Supplies and Materials   |                        |   |
| 31-Equipment  |                        |   |
| <b>Subtotal Tiers 1,2,&amp;3</b>  | <b>\$ 1,423,660.00</b> |   |
| <b>FY'14 Request</b>  | <b>\$ 1,423,660.00</b> |   |

**Office of the Parliamentarian**  
**FY'14 Budget Request and Appendix to the Narrative of Schedule C**

**Legislative History**

- A Parliamentarian has been appointed by the Speaker in every Congress since 1927. In the 95th Congress the House formally established an Office of the Parliamentarian to be managed by a nonpartisan Parliamentarian appointed by the Speaker without regard to political affiliation and solely on the basis of fitness to perform the duties of the position. (H. Res. 502, Apr. 20, 1977, made permanent law by sec. 115 of P.L. 95-94; see 2 U.S.C. 287).
- The compilation and preparation of the precedents of the House of Representatives were authorized in the 93rd Congress by the Committee Reform Amendments of 1974 (sec. 208, H. Res. 988, Oct. 8, 1974, made permanent law by P.L. 93-554, 2 U.S.C. 28a). The printing and distribution of the precedents were authorized by Public Law 94-551 (2 U.S.C. 28b-e). See also 2 U.S.C. 28, 29.

**Mission Statement**

- Parliamentary practice and procedure in the House of Representatives is grounded in the Constitution, in the standing rules adopted by the House, in Thomas Jefferson's Manual of Parliamentary Practice, and in provisions of law or concurrent resolution having the effect of rules of the House. On this foundation rests a body of precedent developed by decisions of the various Speakers and other presiding officers of the House and its Committees of the Whole on actual parliamentary questions as they have arisen over 224 years. The overarching role of the Parliamentarian is to strive for consistency in parliamentary analysis by attempting to apply pertinent precedent to each question confronted -- in recognition of the principle of stare decisis that fairness is best guaranteed by predictability, which, in turn, is best guaranteed by fidelity to precedent. The ongoing challenge of this role derives from the fact that determining the most pertinent line of precedent to be applied often depends on precise analysis of the factual circumstances at hand (e.g., under the germaneness rule, a thorough examination of the pending text and its relationship to the proffered amendment).

**Office Functional Components**

- During sittings of the House, the Parliamentarian sits to the right of the Chair and advises the presiding officer on procedural matters.
- Acting for the Speaker, the Parliamentarian refers bills, resolutions, Presidential messages, executive communications, State memorials, and citizen petitions to the committees having jurisdiction over their subject matter.
- The Parliamentarian advises committees on hearing and markup procedure and in the preparation of reports to the House.
- The Parliamentarian assists members and staff of the committees in understanding their powers, responsibilities, and limitations under the rules.

## Office of the Parliamentarian

## FY'14 Budget Request and Appendix to the Narrative of Schedule C

- The Parliamentarian assists the Leaderships in the procedural execution of a program of business, rendering technical advice as to methods to be used under the rules for the consideration of a given matter.
- The Parliamentarian assists in the daily preparation of the Journal -under the Constitution, the official record of the proceedings of the House.
- To ensure a current digest of all decisions made in the House and in the Committee of the Whole during the preceding session, the Parliamentarian prepares the House Rules and Manual for biennial re-publication.
- The Parliamentarian compiles the most salient precedents for formal, scholarly publication. These most important precedents presently fill 28 large printed volumes comprising thousands of decisions over the 224 years of parliamentary practice in the House. To bridge the span between a digest of decisions and formally published precedents, the Parliamentarian also has published House Practice, a condensed compilation of procedures of current application. The Parliamentarian also prepares the brochure entitled How Our Laws Are Made for public distribution.

**Brief Synopsis**

- After analyzing its budget from a zero base, the Office of the Parliamentarian is able to submit a request reflecting no increase in its overall budget. The Office has also encountered a reduction in salary requirements as a result of the retirement of two senior employees during calendar year 2012, with one FTE having been replaced by an entry-level employee. In addition to savings achieved by attrition, the Parliamentarian expects to leave the other FTE vacant until after the first quarter of calendar year 2013.
- The Office projects a reduction in budgetary requirements as a result of recent efficiency initiatives. These include better utilization of contract services (specifically amounts dedicated to a former Parliamentarian), a reevaluation of outside print subscriptions, a reduction in the volume of documents published by the Office, and greater coordination and sharing of resources between the two component offices, especially with regard to equipment.

**FY'14 Budget Request**

- Parliamentarian: \$1,474,972
- Compilation of Precedents: \$597,635

Office of the Parliamentarian  
 FY'14 Budget Request and Appendix to the Narrative of Schedule C

| <b>FY'14 Budget Request Table</b>   |                       |   |
|---|-----------------------|---|
| <b>Description</b>  | <b>Amount</b>         | <b>Narrative</b>  |
| <b>Tier 1: Flat with FY'13 Continuing Appropriations Resolution (annualized) per PL 112-117</b> | <b>Appropriations</b> |   |
| 11-Personnel Compensation   | \$ 1,915,923          | Personnel Compensation consists of \$1,318,288 for the Office of the Parliamentarian and \$597,635 for the Compilation of Precedents. |
| 21-Travel   |                       |   |
| 23-Rent, Communications, Utilities  | \$ 24,000             |   |
| 24-Printing   |                       |   |
| 25-Other Services   | \$ 57,499             |   |
| 26-Supplies and Materials   | \$ 17,685             |   |
| 31-Equipment  | \$ 57,500             |   |
| <b>Subtotal Tier 1</b>  | <b>\$ 2,072,607</b>   |   |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'14 Budget</b>                                |                       |   |
| 11-Personnel Compensation   | \$ 20,000             | The decrease in Other Services reflects a reduction in amounts specifically dedicated to a former Parliamentarian.                    |
| 21-Travel   |                       |   |
| 23-Rent, Communications, Utilities  |                       |   |
| 24-Printing   |                       |   |
| 25-Other Services   | \$ (20,000)           |   |
| 26-Supplies and Materials   |                       |   |
| 31-Equipment  |                       |   |
| <b>Subtotal Tiers 1&amp;2</b>   | <b>\$ 2,072,607</b>   |   |
| <b>Tier 3: Optimal funding above Tiers 1 &amp; 2</b>  |                       |   |
| 11-Personnel Compensation   |                       |   |
| 21-Travel   |                       |   |
| 23-Rent, Communications, Utilities  |                       |   |
| 24-Printing   |                       |   |
| 25-Other Services   |                       |   |
| 26-Supplies and Materials   |                       |   |
| 31-Equipment  |                       |   |
| <b>Subtotal Tiers 1,2,&amp;3</b>  | <b>\$ 2,072,607</b>   |   |
| <b>FY'14 Request</b>  | <b>\$ 2,072,607</b>   |   |

Office of the Law Revision Counsel  
 FY'14 Zero Based Budgeting and Appendix to the Narrative of Schedule C

**Legislative History**

In 1974, the Office of the Law Revision Counsel (OLRC) was "established in the House of Representatives" by section 205 of House Resolution No. 988, Ninety-third Congress, which was enacted into permanent law by Public Law 93-554 (2 U.S.C. 285 et seq.).

**Mission Statement**

The OLRC serves the House of Representatives, Congress as a whole, the legal community, and the general public by producing and maintaining the United States Code, which is the official codification of the general and permanent statutory law of the United States. The mission of the OLRC is to make the United States Code "*the free Code of choice*" for the Hill community and the public by ensuring that the official Code is the most accurate and accessible version available, whose currency rivals the versions produced by the private sector.

**Strategic Plan**

- To carry out its mission, the OLRC makes the United States Code available online and in print. For the online version, the goal is to make the United States Code as current and user-friendly as technologically possible. For the printed version, in accordance with 1 U.S.C. 202, a complete new edition is published every 6 years with annual cumulative supplements printed in each of the 5 intervening years. For the OLRC, there are 4 principle drivers:
- Accuracy – This is a paramount concern. The OLRC is cognizant always that the United States Code is the official codification of Federal statutory law. Every effort is made to ensure that the United States Code is as precise and error-free as is humanly possible.
- Timeliness -- Updating the Code in a timely manner is a daunting task. Significant improvements in timeliness have been made in recent years, and the work continues. The size (nearly 50,000 pages) and complexity of the United States Code necessitate a sustained day-to-day commitment from every member of the staff.
- Accessibility – The Hill community and the general public need the United States Code to be transparent. For the online version, the quality of the user interface experience, the searchability of current and prior versions, and the availability of data in an XML format are ongoing concerns. The beta 2 version of the OLRC's new Internet site went live in November, 2012. The new site takes important strides forward, and additional improvements are due in the near future.
- Positive Law Codification – Ongoing title-by-title positive law codification, as required by 2 U.S.C. 285b, is essential to the improvement of the organizational structure of the United States Code as a whole, and to resolving inconsistencies and errors in existing law.

Office of the Law Revision Counsel  
 FY'14 Zero Based Budgeting and Appendix to the Narrative of Schedule C

**Office Functional Components**

- The primary functions of the OLRC are to maintain an official version of the United States Code and to prepare legislation to enact individual titles of the Code into positive law. To carry out these functions, the OLRC is organized into two functional components: (1) Editorial maintenance of the United States Code; and (2) Positive law codification. Fully staffed, the OLRC has 21 employees. There are 11 attorneys allocated for the editorial maintenance of the Code and 4 attorneys allocated for positive law codification. The remaining 6 employees provide editorial, technical, and clerical assistance to both functional components of the OLRC.
- Editorial maintenance of the Code – This involves two primary tasks: (1) determining where new laws enacted by Congress should be placed in the Code, and (2) updating the actual text of the Code, which includes not only integrating new statutory provisions into existing text, but also preparing extensive editorial material enabling users to find, track, and understand the updates.
- Positive Law Codification – This involves preparing legislation to enact individual titles of the United States Code into positive law. Positive law codification improves the organizational structure of the United States Code, creates a flexible framework to accommodate future legislation, and resolves inconsistencies and errors in existing law.

**Brief Synopsis**

- To execute zero-based budgeting, the OLRC has undertaken a detailed line-by-line review of expenses. We are keenly aware of the fiscal constraints under which the House is operating, and we need to be prepared to use limited resources in a manner that will minimize adverse consequences.
- Two concerns predominate: (1) retention of mid-level staff and (2) completion of the House Modernization Initiative relating to the OLRC. We need to budget for merit increases for our attorney staff both to retain our younger attorneys and to recognize the reality that several of them are undertaking senior-level responsibilities. In addition, we need to budget for the completion of the Modernization Initiative. Failure to do so would leave our modernization efforts in limbo and undermine our efforts to serve the Hill community and the general public.
- The Office concluded that the best way forward was to increase our personnel compensation line and offset that increase by reducing expenses in rent, communication, and utilities, other services, materials and supplies, and equipment. In addition, we are requesting funds to complete in a timely fashion the House Modernization Initiative undertaken at the behest of House leadership.

Office of the Law Revision Counsel  
 FY'14 Zero Based Budgeting and Appendix to the Narrative of Schedule C

**FY'14 Budget Request Table**

| Description   | Amount                 | Narrative  |
|---|------------------------|--|
| <b>Tier 1: Flat with FY'13 Continuing Appropriations Resolution (annualized) per PL 112-175 (H.J. Res. 117)</b> | <b>Appropriations</b>  |  |
| 11-Personnel Compensation   | \$ 2,259,635.00        | Tier 1 represents a flat budget for FY 2014, with no increase in any budget object category.   |
| 21-Travel   | \$ 1,000.00            |  |
| 23-Rent, Communications, Utilities  | \$ 12,000.00           |  |
| 24-Printing   | \$ 1,000.00            |  |
| 25-Other Services   | \$ 775,500.00          |  |
| 26-Supplies and Materials   | \$ 86,804.00           |  |
| 31-Equipment  | \$ 142,000.00          |  |
| <b>Subtotal Tier 1</b>  | <b>\$ 3,277,939.00</b> |  |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'14 Budget</b>  |                        |  |
| 11-Personnel Compensation   | \$ 96,000.00           | We are very concerned about retaining our mid-level attorneys and key support staff. In addition, several of our current mid-level attorneys are performing functions formerly carried out by staffers now retired, and the retired staffers were paid far more. That reality is not lost on them. If we are to retain our best people, we must acknowledge their efforts and preserve their hopes for future salary development.  |
| 21-Travel   |                        |  |
| 23-Rent, Communications, Utilities  | \$ (2,000.00)          |  |
| 24-Printing   |                        |  |
| 25-Other Services   | \$ (50,196.00)         |  |
| 26-Supplies and Materials   | \$ (16,804.00)         |  |
| 31-Equipment  | \$ (27,000.00)         |  |
| <b>Subtotal Tiers 1&amp;2</b>   | <b>\$ 3,277,939.00</b> |  |
| <b>Tier 3: Optimal funding above Tiers 1 &amp; 2</b>  |                        |  |
| 11-Personnel Compensation   |                        | The amount in the Other Services line is not a change but a continuation of the House Modernization initiative. In FY 2012, the OLRC received \$1,084,832 of reprogrammed funds to launch the initiative at the behest of House leadership. The OLRC modernization effort proceeds in three stages. Stage 1 completes the conversion of United States Code data into XML and builds a conversion tool to convert data in plain text and GPO locator codes into XML. Stage 2 builds a tool which allows our Codification attorneys to draft in XML in a way that is compatible with the current efforts of House and Senate Legislative Counsel. Stage 3 builds an editing tool which allows the Office to edit the Code in XML. FY 2012 reprogrammed monies funded approximately 35% of the project total. This line represents the balance of finishing the task. |
| 21-Travel   |                        |  |
| 23-Rent, Communications, Utilities  |                        |  |
| 24-Printing   |                        |  |
| 25-Other Services   | \$ 1,791,104.00        |  |
| 26-Supplies and Materials   |                        |  |
| 31-Equipment  |                        |  |
| <b>Subtotal Tiers 1,2,&amp;3</b>  | <b>\$ 5,069,043.00</b> |  |
| <b>FY'14 Request</b>  | <b>\$ 5,069,043.00</b> |  |

### **Legislative History**

The Office of the Legislative Counsel was established as the Legislative Drafting Service under section 1303 of the Revenue Act of 1918. A formal statutory charter was established for the Office of the Legislative Counsel under title V of the Legislative Reorganization Act of 1970 (2 U.S.C. 281 et seq.).

### **Mission Statement**

The mission of the Office is to provide legislative drafting services to the House of Representatives as stated in its charter (2 U.S.C. 281a): "The purpose of the Office shall be to advise and assist the House of Representatives, and its committees and Members, in the achievement of a clear, faithful, and coherent expression of legislative policies. The Office shall maintain impartiality as to issues of legislative policy to be determined by the House of Representatives, and shall not advocate the adoption or rejection of any legislation except when duly requested by the Speaker or a committee to comment on a proposal directly affecting the functions of the Office. The Office shall maintain the attorney-client relationship with respect to all communications between it and any Member or committee of the House."

### **Strategic Plan**

To carry out our mission, the Office strives to achieve greater timeliness, accuracy, clarity, and transparency of legislation the Office drafts for the House within a limited budget. These goals can best be met through a combination of retaining and recruiting a highly skilled professional staff and providing the staff with electronic and other drafting tools that can promote the maximum productivity in meeting the need for a quality work product in an ever accelerating legislative environment. We believe that retention of our highly trained, skilled, and motivated staff is crucial, particularly in a time of high turnover of Members and staff, in providing institutional knowledge and expertise. Our recent modernization initiatives in information technology, in connection with the Office of the Law Revision Counsel (OLRC), provide support, both internally and externally, for greater efficiency and accuracy in our work and for promoting better Member and public understanding of complex laws and the legislative process.

### **Office Functional Components**

The Office functions like an internal law office within the House of Representatives, with a focus on the House's legislative functions. As such, it has nearly 50 attorneys, who are increasingly

Office of the Legislative Counsel  
 FY'14 Zero Based Budgeting  
 Appendix to the Narrative of Schedule C

working in practice groups or teams to cover all the myriad subject matter and committee jurisdictional areas. They are assisted by support personnel who work in four separate areas or branches: front-office and reception support, clerical and general support, information technology (IT) support, and publications and compilations support.

**Brief Synopsis**

- To execute zero-based budgeting, the Office has undertaken a detailed line-by-line review of expenses. The exercise caused us to carefully analyze our budget, evaluating funding levels across each of our activities. As the Office is involved in drafting virtually all of the legislation of the House, including legislation responding to the so-called "fiscal cliff", we are quite aware of the fiscal constraints under which the House is operating and we are cognizant of the need to use the limited resources of the House wisely.
- Three concerns predominate: (1) retention of highly trained personnel; (2) pursuing in a coordinated manner, with OLRC and other House offices, information technology initiatives that will enhance and modernize the internal operations of our office as well as the transparency of the House's work for Members and the public; and (3) maintaining a flat overall budget. Because of our previous success, we have a number of attorneys who have been with the office for more than 20, 30, and even 40 years. Retention and then ultimate replacement of these attorneys with new attorneys equally dedicated to public service is an increasingly serious concern. The constructive and productive integration of newer technologies is also an on-going concern. And we are seeking to undertake exploring the application of newer technologies, specifically the use by attorneys of portable tablet computers throughout the House wi-fi campus, to make our work more portable and accessible.
- There are three changes in the budget to be highlighted: (1) An overall decrease of \$12,000 in equipment purchases, which takes into account the computer tablet initiative described above beginning in FY 2013; (2) a decrease of \$105,000 in the support contracts to reflect some anticipated savings from the OLRC's efforts (as part of its companion modernization initiative) to provide a timely version of positive law titles of the US Code in XML for our use by sometime in FY 2014, as well as a reduction in contract support for certain computer functions and a reduction in the use of retired former employees; and (3) an increase of \$859,760 to fund the option under the current modernization initiative contract with Xcential to extend, maintain, and expand activities to complete the IT initiative contemplated in that contract.

Office of the Legislative Counsel  
 FY'14 Zero Based Budgeting  
 Appendix to the Narrative of Schedule C

| <b>FY'14 Budget Request Table</b>   |                        |   |
|---|------------------------|---|
| <b>Description</b>  | <b>Amount</b>          | <b>Narrative</b>  |
| <b>Tier 1: Flat with FY'13 Continuing Appropriations Resolution (annualized) per PL 112-117</b> |                        |   |
|   | <b>Appropriations</b>  |   |
| 11-Personnel Compensation   | \$ 7,919,449.00        |   |
| 21-Travel   | \$ 7,000.00            |   |
| 23-Rent, Communications, Utilities  | \$ 50,000.00           |   |
| 24-Printing   | \$ 500.00              |   |
| 25-Other Services   | \$ 607,193.00          |   |
| 26-Supplies and Materials   | \$ 108,800.00          |   |
| 31-Equipment  | \$ 175,000.00          |   |
| <b>Subtotal Tier 1</b>  | <b>\$ 8,867,942.00</b> |   |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'14 Budget</b>                                |                        |   |
| 11-Personnel Compensation   | \$ 117,000.00          | In the spirit of ZBB, we have determined that Other Services can be decreased to reflect the reduction in resources needed due to implementation of the Modernization Initiative as well as a reduction in the need for services of retired former employees. The decrease in Equipment reflects an anticipated reduction in equipment purchases. |
| 21-Travel   |                        |   |
| 23-Rent, Communications, Utilities  |                        |   |
| 24-Printing   |                        |   |
| 25-Other Services   | \$ (105,000.00)        |   |
| 26-Supplies and Materials   |                        |   |
| 31-Equipment  | \$ (12,000.00)         |   |
| <b>Subtotal Tiers 1&amp;2</b>   | <b>\$ 8,867,942.00</b> |   |
| <b>Tier 3: Optimal funding above Tiers 1 &amp; 2</b>  |                        |   |
| 11-Personnel Compensation   |                        | This increase represents funding needed to exercise the option under the current Modernization Initiative contract with Xcential to extend, maintain, and expand activities to complete the IT Initiative contemplated in the contract.   |
| 21-Travel   |                        |   |
| 23-Rent, Communications, Utilities  |                        |   |
| 24-Printing   |                        |   |
| 25-Other Services   | \$ 859,760.00          |   |
| 26-Supplies and Materials   |                        |   |
| 31-Equipment  |                        |   |
| <b>Subtotal Tiers 1,2,&amp;3</b>  | <b>\$ 9,727,702.00</b> |   |
| <b>FY'14 Request</b>  | <b>\$ 9,727,702.00</b> |   |

**Appendix to the Narrative of Schedule C and FY'14 Zero Based Budgeting  
Office of Interparliamentary Affairs**

**Legislative History**

On September 30, 2003 the Office of Interparliamentary Affairs was "established in the House of Representatives" by section 103 of House Resolution No. 2657 Legislative Branch Appropriations Act, 2004, 108<sup>th</sup> Congress, which was enacted into permanent law by Public Law 108-83 (2 U.S.C. 130-2).

**Mission Statement**

The mission of The Office of Interparliamentary Affairs is to provide direct support to the Speaker for Washington meetings with foreign dignitaries and coordinating official visits to the House of Representatives by parliamentarians, officers or employees of foreign legislative bodies as well as providing direct support for overseas travel to the Speaker and Interparliamentary and overseas travel services to Members of the House and support for established parliamentary exchanges.

**Strategic Plan**

To support the Speaker of the House and Members in coordinating and facilitating interparliamentary functions both in Washington and abroad.

**Office Functional Components**

- To provide direct support to the Speaker for Washington meetings with foreign dignitaries.
- To receive and respond to inquiries from foreign parliamentarians and legislative bodies regarding official visits to the House of Representatives.
- To coordinate official visits to the House by foreign dignitaries.
- To provide direct support to the Speaker for overseas travel.
- To coordinate with other House Officers in providing services for delegations of Members on official visits to foreign nations
- Coordinate the activities and responsibilities of the House of Representatives in connection with participation in various interparliamentary exchanges and organizations.
- Enable the House to host meetings with senior government officials and dignitaries in order to discuss matters relevant to the United States relations with other nations.

**Brief Synopsis**

The Office of Interparliamentary Affairs is a demand driven office, i.e. it is difficult to predict with certainty how many interparliamentary functions will be requested by the Speaker or Members but based on past history the FY'14 request should be sufficient to cover the needs of the House.

**Appendix to the Narrative of Schedule C and FY'14 Zero Based Budgeting  
Office of Interparliamentary Affairs**

**FY'14 Budget Request**

- This will be presented in Tiers:
- Tier 1: FY'14 Flat Budget = FY'13 Continuing Appropriations Resolution (annualized) per PL 112-175
- \$864,257.08
- Tier 2: Zero-based budgeting applied FY'14
- \$8,112.48 increase in personnel for mandatory COLAs of .5% (3 mos.) and 1.8% (9 mos.)
- (\$8,112.48) decrease in non-personnel to support FY'14 increase in personnel costs
- Total ( no net increase or decrease in FY'14) \$864,257.08
- Tier 3: Optimal Funding (variance above Tiers 1 & 2)
- No changes to Optimal Funding

| <b>FY'14 Budget Request Table</b>   |                       |  |
|---|-----------------------|--|
| <b>Description</b>  | <b>Amount</b>         | <b>Narrative</b>   |
| <b>Tier 1: Flat with FY'13 Continuing Appropriations Resolution (annualized) per PL 112-175</b> | <b>Appropriations</b> |  |
| 11-Personnel Compensation   | \$ 549,370.00         | Tier 1 represents a flat budget for FY 2014, with no increase in any budget object category.   |
| 21-Travel   | \$ 10,000.00          |  |
| 23-Rent, Communications, Utilities  | \$ 25,000.00          |  |
| 24-Printing   | \$ 10,000.00          |  |
| 25-Other Services   | \$ 25,000.00          |  |
| 26-Supplies and Materials   | \$ 204,887.08         |  |
| 31-Equipment  | \$ 40,000.00          |  |
| <b>Subtotal Tier 1</b>  | <b>\$ 864,257.08</b>  |  |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'14 Budget</b>                                |                       |  |
| 11-Personnel Compensation   | \$ 8,112.48           | The increase in personnel compensation is to cover the mandatory FY'14 COLAs . In order to cover this increase a corresponding decrease in Supplies and Materials was applied. |
| 21-Travel   |                       |  |
| 23-Rent, Communications, Utilities  |                       |  |
| 24-Printing   |                       |  |
| 25-Other Services   |                       |  |
| 26-Supplies and Materials   | \$ (8,112.48)         |  |
| 31-Equipment  |                       |  |
| <b>Subtotal Tiers 1&amp;2</b>   | <b>\$ 864,257.08</b>  |  |

**Appendix to the Narrative of Schedule C and FY'14 Zero Based Budgeting  
Office of Interparliamentary Affairs**

| <b>Tier 3: Optimal funding above Tiers 1 &amp; 2</b> |           |                   |
|--|-----------|-------------------|
| 11-Personnel Compensation                            |           |                   |
| 21-Travel  |           |                   |
| 23-Rent, Communications, Utilities                   |           |                   |
| 24-Printing  |           |                   |
| 25-Other Services                                    |           |                   |
| 26-Supplies and Materials                            |           |                   |
| 31-Equipment   |           |                   |
| <b>Subtotal Tiers 1,2,&amp;3</b>                     | <b>\$</b> | <b>864,257.08</b> |
| <b>FY'14 Request</b>                                 | <b>\$</b> | <b>864,257.08</b> |

**Appendix to the Narrative of Schedule C and FY'14 Zero Based Budgeting  
Office of Congressional Ethics**

**Legislative History**

The Office of Congressional Ethics (OCE) was established by H.Res. 895 in the 110th Congress.

**Mission Statement**

The OCE is an independent, non-partisan entity charged with reviewing allegations of misconduct against Members, officers, and staff of the House and when appropriate, referring matters to the Committee on Ethics (COE).

**Strategic Plan**

The OCE consists of a Board of Directors and Staff, including consultants, contractors, or other personnel retained by the Board. The Board reviews information related to allegations within the jurisdiction of the Board (allegations occurring on or after March 11, 2008).

**Office Functional Components**

*Goals of the Office:*

- Determine Jurisdiction
- Prepare information for Board Consideration
- Solicit Testimony from Witnesses
- Conduct preliminary and second-phase reviews
- Board makes appropriate report to COE

**Brief Synopsis**

The OCE is a demand-driven office, i.e., it is difficult to predict with certainty how much travel and resources will be needed to conduct business. Nevertheless, an increase in staffing will decrease the amount of money spent on hiring consultants.

**FY'14 Budget Request**

Please refer to attached Tier 1, 2, 3 explanations.

**Appendix to the Narrative of Schedule C and FY'14 Zero Based Budgeting  
Office of Congressional Ethics**

| <b>FY'14 Budget Request Table</b>   |                        |  |
|---|------------------------|--|
| <b>Description</b>  | <b>Amount</b>          | <b>Narrative</b>   |
| <b>Tier 1: Flat with FY'13 Continuing Appropriations Resolution (annualized) per PL 112-175</b> | <b>Appropriations</b>  |  |
| 11-Personnel Compensation   | \$ 1,127,812.50        |  |
| 21-Travel   | \$ 85,000.00           |  |
| 22-Transportation of Things   | \$ 500.00              | We have one additional cell, "Transportation of Things" in the amount of \$500.00. Our Chairs have asked that the travel budget be increased from \$85,000.00 to \$115,000.00 in 2014.   |
| 23-Rent, Communications, Utilities  | \$ 40,000.00           |  |
| 24-Printing   | \$ 3,500.00            |  |
| 25-Other Services   | \$ 240,661.26          |  |
| 26-Supplies and Materials   | \$ 30,000.00           |  |
| 31-Equipment  | \$ 30,000.00           |  |
| <b>Subtotal Tier 1</b>  | <b>\$ 1,557,473.76</b> |  |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'14 Budget</b>                                |                        |  |
| 11-Personnel Compensation   | \$ 40,597.27           | The OCE plans to add 2 FTEs (these slots have been vacant for (1) one year and (2), 2 years), increasing the personnel budget by \$40,597.27. Our Chairman has asked for an increase in the travel budget of \$30,000.00. We are predicting an increase in RCU of \$5,000.00; OCE is predicting a DECREASE in Printing of \$500.00; a DECREASE in Other Services of \$70,097.27 due to added staff and a lesser need to hire outside forensic investigators; and a DECREASE of \$5,000 in Office Supplies. |
| 21-Travel   | \$ 30,000.00           |  |
| 22-Transportation of Things   | \$ -                   |  |
| 23-Rent, Communications, Utilities  | \$ 5,000.00            |  |
| 24-Printing   | \$ (500.00)            |  |
| 25-Other Services   | \$ (70,097.27)         |  |
| 26-Supplies and Materials   | \$ (5,000.00)          |  |
| 31-Equipment  | \$ -                   |  |
| <b>Subtotal Tiers 1&amp;2</b>   | <b>\$ 1,557,473.76</b> |  |
| <b>Tier 3: Optimal funding above Tiers 1 &amp; 2</b>  |                        |  |
| 11-Personnel Compensation   |                        |  |
| 21-Travel   |                        |  |
| 23-Rent, Communications, Utilities  |                        |  |
| 24-Printing   |                        |  |
| 25-Other Services   |                        |  |
| 26-Supplies and Materials   |                        |  |
| 31-Equipment  |                        |  |
| <b>Subtotal Tiers 1,2,&amp;3</b>  | <b>\$ 1,557,473.76</b> |  |
| <b>FY'14 Request</b>  | <b>\$ 1,557,473.76</b> |  |

Congress of the United States

JOINT ECONOMIC COMMITTEE  
(CREATED PURSUANT TO SEC 5(a) OF PUBLIC LAW 304, 79TH CONGRESS)

Washington, DC 20510-6602

February 27, 2013

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

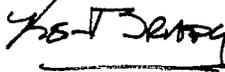
Dear Mr. Chairman:

I am pleased to submit to the Subcommittee on Legislative Branch the budget request of the Joint Economic Committee for Fiscal Year 2014.

This budget request was submitted to the Financial Clerk of the Senate in December 2012 by my predecessor, Chairman Robert P. Casey, Jr. I am forwarding a Fiscal Year 2014 budget request of \$4,279,000.

Thank you for your consideration.

Sincerely,



Kevin Brady  
Chairman

**Joint Economic Committee**

|   | 2012 actual  | 2013 estimate | 2014 estimate |
|---|--------------|---------------|---------------|
| <b>Appropriation or estimate</b>          | \$ 4,203,000 | \$ 4,203,000  | \$ 4,279,000  |
| <b>Personnel compensation:</b>            |              |               |               |
| Payroll                                   | \$ 3,599,654 | \$ 4,003,000  | \$ 4,079,000  |
| Sub-total compensation                    | \$ 3,599,654 | \$ 4,003,000  | \$ 4,079,000  |
| <b>Nonpersonnel expenses:</b>             |              |               |               |
| Metro Subsidy                             | \$ 22,862    | \$ 20,000     | \$ 20,000     |
| Travel and Transportation of Persons      | 1,048        | 5,000         | 5,000         |
| Communications, Utilities & Misc. Charges | 27,259       | 36,000        | 36,000        |
| Printing and Reproduction                 | 478          | 8,000         | 8,000         |
| Advisory & Assistance & Other Services    | 8,140        | 13,000        | 13,000        |
| Equipment/software                        | 8,687        | 10,000        | 10,000        |
| Supplies & Materials                      | 111,808      | 108,000       | 108,000       |
| Sub-total nonpersonnel expenses           | \$ 180,282   | \$200,000     | \$200,000     |
| <b>Total</b>                              | \$ 3,779,936 | \$ 4,203,000  | \$4,279,000   |
| <b>Personnel Summary</b>                  |              |               |               |
|   | 2012 actual  | 2013 estimate | 2014 estimate |
| <b>Number of Positions</b>                | 48           | 48            | 48            |

| <b>113th Congress Joint Economic Committee Members</b> |                                    |
|--|------------------------------------|
| <b>Chairman Kevin Brady (Texas)</b>                    |                                    |
| <b>Vice Chair Amy Klobuchar (Minnesota)</b>            |                                    |
| <b>House of Representatives</b>                        | <b>Senate</b>                      |
| John Campbell, California                              | Robert P. Casey, Jr., Pennsylvania |
| Sean P. Duffy, Wisconsin                               | Mark R. Warner, Virginia           |
| Justin Amash, Michigan                                 | Bernard Sanders, Vermont           |
| Erik Paulsen, Minnesota                                | Christopher Murphy, Connecticut    |
| Richard L. Hanna, New York                             | Martin Heinrich, New Mexico        |
| Carolyn B. Maloney, New York                           | Dan Coats, Indiana                 |
| Loretta Sanchez, California                            | Mike Lee, Utah                     |
| Elijah E. Cummings, Maryland                           | Roger F. Wicker, Mississippi       |
| John Delaney, Maryland                                 | Pat Toomey, Pennsylvania           |

Schedule A  
Fiscal Year 2014

Joint Economic Committee  
Summary by Organization and By Object Class

| Categories   | FY2012 Actual |                     | FY2013 Estimate |                     | FY2014 Estimate |                     | Net Change 2013/2014 |                  |
|--|---------------|---------------------|-----------------|---------------------|-----------------|---------------------|----------------------|------------------|
|  | Staff         | Dollars             | Staff           | Dollars             | Staff           | Dollars             | Staff                | Dollars          |
| <b>1. Breakdown by Organization</b>                            |               |                     |                 |                     |                 |                     |                      |                  |
| Joint Economic Committee                                       | 48            | \$ 3,775,525        | 48              | \$ 4,203,000        | 48              | \$ 4,279,000        | --                   | \$ 76,000        |
| <b>2. Breakdown by Object Class</b>                            |               |                     |                 |                     |                 |                     |                      |                  |
| Personnel Compensation   | 48            | \$ 3,599,654        | 48              | \$ 4,003,000        | 48              | \$ 4,079,000        | --                   |                  |
| Communications & Miscellaneous                                 |               | \$ 27,259           |                 | \$ 36,000           |                 | \$ 36,000           |                      |                  |
| Other Services (Printing, Advisory and Supplies and Materials) |               | \$ 153,023          |                 | \$ 164,000          |                 | \$ 164,000          |                      |                  |
| <b>Total</b>   | <b>48</b>     | <b>\$ 3,779,936</b> | <b>48</b>       | <b>\$ 4,203,000</b> | <b>48</b>       | <b>\$ 4,279,000</b> | <b>--</b>            | <b>\$ 76,000</b> |

Schedule B  
Fiscal Year 2014

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            | \$ 76,000        |                     |         |          |         |               | \$ 76,000        |
| <b>2. Breakdown by Object Class</b>   |               |                  |                     |         |          |         |               |                  |
| Annualization of COLA (FY13)          |               | \$ 6,000         |                     |         |          |         |               |                  |
| Budget Year COLA Est. (FY14)          |               | \$ 70,000        |                     |         |          |         |               |                  |
| Budget Year COLA Locality Est. (FY14) |               |                  |                     |         |          |         |               |                  |
|                                       |               |                  |                     |         |          |         |               |                  |
| <b>Total</b>                          | <b>48</b>     | <b>\$ 76,000</b> |                     |         |          |         |               | <b>\$ 76,000</b> |

Schedule C  
Fiscal Year 2014

Joint Economic Committee  
Detailed Analysis of Change by Organization

|  | Calculation of Base |                     |
|--|---------------------|---------------------|
|  | Staff               | Amount              |
| Appropriation, FY2013                    | 48                  | \$ 4,203,000        |
|  |                     |                     |
|  | FY2014              | Budget Request      |
|  | Staff               | Amount              |
| <b>I Adjustments to Base</b>             |                     |                     |
| A. Mandatory Pay                         |                     |                     |
| 1. Annualization of COLA (FY13)          |                     | \$ 6,000            |
| 2. Budget Year COLA Est. (FY14)          |                     | \$ 70,000           |
| 3. Budget Year COLA Locality Est. (FY14) |                     | \$ -                |
| B. Price Level Changes                   |                     |                     |
| C. Program Type Changes                  |                     |                     |
|  |                     |                     |
| <b>II Net Increase</b>                   |                     | \$ 76,000           |
|  |                     |                     |
| <b>III Total FY2014 Budget Request</b>   | <b>48</b>           | <b>\$ 4,279,000</b> |

**Schedule D**  
**Fiscal Year 2014**

**Joint Economic Committee**  
**Summary of Committee Request**  
**FY2014 Budget Request**

|  | Calculation of Base |                     |
|--|---------------------|---------------------|
|  | Staff               | Amount              |
| <b>Appropriation, FY2013</b>             | <b>48</b>           | <b>\$ 4,203,000</b> |
|  |                     |                     |
|  | FY2014              | Budget Request      |
|  | Staff               | Amount              |
| <b>I Proposed Changes for FY2014</b>     |                     |                     |
| A. Mandatory Pay                         |                     |                     |
| 1. Annualization of COLA (FY13)          |                     | \$ 6,000            |
| 2. Budget Year COLA Est. (FY14)          |                     | \$ 70,000           |
| 3. Budget Year COLA Locality Est. (FY14) |                     | \$ -                |
| B. Price Level Changes                   |                     |                     |
| C. Program Type Changes                  |                     |                     |
|  |                     |                     |
| <b>II Net Increase</b>                   |                     | <b>\$ 76,000</b>    |
|  |                     |                     |
| <b>III Total FY2014 Budget Request</b>   | <b>48</b>           | <b>\$ 4,279,000</b> |

**United States Capitol Police**



**FY 2014 Budget Request  
March 1, 2013**

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## **I. Executive Summary**

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### **A. OVERVIEW**

The United States Capitol Police (USCP) continues its efforts in ensuring the safety and security of the Capitol complex and the personnel it is sworn to protect – a mission that has been well executed for over 184 years. Just as the previous investments in intelligence and law enforcement helped to secure and sustain the safety and security of the Capitol complex, USCP's continuous prioritization of its operations enables us to meet the dynamic and ever-changing security challenges. USCP continues to be vigilant in its mission in the most cost effective manner particularly cognizant of the fiscal constraints facing the country. The FY 2014 budget request reflects judicious stewardship of federal funding centered on this approach.

USCP has relied on our internally developed Force Development (FD) Business Process to perform threat-based planning to align the operations with the existing and emerging priorities. The fundamental rules of this standardized approach are the concepts of consistent planning, budget formulation, budget execution and performance evaluation. This approach has allowed us to maintain operational effectiveness without undue spending increases while remaining an effective law enforcement organization. The FY 2014 budget is formulated with full appreciation for the fiscal constraints facing the Federal government, and includes only the necessary funding for meeting the Department's core mission. Three additional requirements are included in the FY 2014 request, that focus on Capitol security based on existing needs designed to mitigate or address existing risks and threats. These additional requirements were thoroughly scrutinized by multiple layers of management before including them in this request.

For FY 2014, USCP is requesting \$363.296 Million to support 2145 positions (1775 Sworn and 370 Civilians), which is \$21.08 Million more than the FY 2013 Continuing Resolution. This request includes limited salaries increases to support mandatory salaries requirements, and necessary sworn and civilian staffing levels. Also included are minimal increases of our general expenses (GE) request, which is \$65.43 Million.

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

The Department continues to use its Force Development Business Process, a standardized management process which began with the budget request in 2007, in formulating the FY 2014 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.

In developing the FY 2014 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 potentially continued fiscal restraints, the Department's FY 2014 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.

It should be noted that due to the Department's evaluation of national fiscal challenges and reduced budgetary allocations, mitigation strategies for some identified risks were not requested as a part of the Department's FY 2014 budget justification. This includes, but is not limited to, an overarching Congressional garage security program and full funding for the Department's sworn and civilian staffing strength. As always, the Department will deploy resources to help mitigate identified and emerging risks.

The sworn components 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 train, 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 operational 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,

legal, 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 based on available salaries funding. 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 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, emerging threats and risks, 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 2014, 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. For the FY 2014 Budget, the Department has determined that continuation of the "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. 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 along with overtime savings to fund its annual workers' compensation liability, rather than requesting funding for this purpose. Further, this budget submission contains a request for \$30.757<sup>1</sup> Million in overtime funding necessary to meet core mission requirements not covered by onboard sworn personnel availability, to meet unanticipated requirements. In addition, \$2.083 Million is requested for the overtime needed to take staff offline for additional training requirements. Therefore, the total request for overtime is \$32.839 Million.

### **C. REQUEST**

Based on our annual Threat and Risk Analysis and Environmental Scan and Assessment conducted as a part of our Force Development Business Process budget formulation, this request includes additional requirements that are the products of the ever-evolving safety and security

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

concerns for the Capitol. It also includes annual general expense increases to meet the operational demands on USCP, which cannot be addressed by internal offsets resulting from reviews and evaluations of existing programs and projects 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:** Prevent criminal or terrorist activity from disrupting the legislative process and normal business operations.
- **Respond:** Respond promptly and with the right resources to threats, disruptions, or other unlawful activities in order to quickly and safely return Congress to normal operations.
- **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 18).

**Personnel Costs:** The Personnel Costs section provides details of the personnel salaries, benefits, and overtime requirements to support personnel strength of 1,775 sworn and 370 civilians. Additional overtime is also being requested to take sworn personnel offline for them to achieve greater proficiency via training opportunities. In FY 2014, 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.

|              | FY 2013 Authorized Strength (#'s) | FY 2014 Authority Request |
|--------------|-----------------------------------|---------------------------|
| Sworn        | 1,800                             | 1,800                     |
| Civilian     | 443                               | 443                       |
| <b>Total</b> | <b>2,243</b>                      | <b>2,243</b>              |

**General Expenses:** The Department's General Expenses represent all non-personnel expenses - motor vehicles, communications and other equipment, security equipment and installation, uniforms, weapons, ammunition, 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 official representation and reception expenses. This submission provides details on the budget request for each of the Programs and continues critical lifecycle replacement and training activities. Additional details within the Programs are provided in the Budget Details section FY 2014 Differences from FY 2013 Continuing Resolution chart on pages 24-32.

**Additional Requirements:** Additional Requirements 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. For FY 2014, USCP is

requesting funding for three additional requirements for a total of \$0.555 Million of the \$65.433 Million of General Expense funds.

### Overall Budget Request

The budget request for FY 2014 includes \$363.296 and 2,145 (1,775 sworn and 370 civilian) budgetary funded positions. It reflects an increase of \$21.077 Million from the continuing resolution level and includes funding for:

- \$297.863 Million for salaries and benefits for 2,145 positions
- \$65.433 Million for General Expenses
- Of the \$65.433 Million General Expense request, \$0.555 Million is for various additional requirements supporting Capitol Security and new mission requirements.

### FY 2014 Budget Request - Summary Chart

(Dollars in Millions)

| Funding Levels        | FY 2012* | FY 2013 CR | FY 2014 | Increase over FY |       |
|-----------------------|----------|------------|---------|------------------|-------|
|                       | Actual   | Enacted    | Request | 2013 CR          | %     |
| Salaries and benefits | 277.469  | 278.829    | 297.863 | 19.034           | 6.83% |
| General Expenses      | 55.984   | 63.390     | 65.433  | 2.043            | 3.22% |

| Staffing Levels (#s) | FY 2012* | FY 2013 CR | FY 2014 | Increase over FY |       |
|----------------------|----------|------------|---------|------------------|-------|
|                      | Actual   | Enacted    | Request | 2013 CR          | %     |
| Sworn                | 1764     | 1775       | 1775    | 0                | 0.00% |
| Civilian             | 367      | 370        | 370     | 0                | 0.00% |
| Total                | 2131     | 2145       | 2145    | 0                | 0.00% |

\*FY 2012 actuals as of 09/30/2012.

| Authorized Staffing (#'s) | FY 2012 | FY 2013 CR | FY 2014 | Increase over FY |       |
|---------------------------|---------|------------|---------|------------------|-------|
|                           | Actual  | Enacted    | Request | 2013 CR          | %     |
| Sworn                     | 1800    | 1800       | 1800    | 0                | 0.00% |
| Civilian                  | 443     | 443        | 443     | 0                | 0.00% |
| Total                     | 2243    | 2243       | 2243    | 0                | 0.00% |

Tables may contain rounding variances

**Overtime**

(Dollars in Millions/ Hours)

|  | FY 2013<br>CR<br>S | FY 2014<br>Request<br>S | FY 2012<br>Actual<br>Hours | FY 2014<br>Request<br>Hours |
|--|--------------------|-------------------------|----------------------------|-----------------------------|
| Base mission requirements, plus 36,000 hours training (24 hours for 1,500 officers) and LOC Non-reimbursable events. | 35.008             | 32.839                  | 524.639                    | 571,076                     |

**General Expenses**

The FY 2014 request is \$64.878 Million Regular GE and \$0.555 Million for Additional Requirements.

We are also providing for consideration three additional requirements resulting from our review of threats and risks. As we realize the fiscal constraints on the Legislative Branch, the Department has asked for minimum additional requirements.

**Additional Requirements:**

1. Dome Rehabilitation \*
2. FOB8 Security Design
3. Security Fit-out Radio Modernization

\* If this project begins in FY 2013, this initiative can be removed from USCP's FY 2014 request.

## II. The USCP Planning Concept

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The USCP has a critical mission that helps to ensure that the Nation's legislative process is conducted without disruption. To accomplish its mission, the USCP excels at performing its core law enforcement functions day-to-day, during emergencies and during special events.

### USCP 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.*

As the Department continues to strive to meet its mission, we remain committed to finding the most effective, efficient and meaningful strategies for success. The USCP conducts operations based on a hierarchy of strategic, tactical, business and program planning (see figure 1). We plan in order to accomplish core mission needs; assess our performance; and adapt to the changing environment in which we operate.

Strategic planning helps the USCP to define Goals and Objectives necessary to achieve our mission in the future, while adapting to new conditions in our operating environment. Tactical planning defines the operational and administrative processes and initiatives that successfully deliver on the mission on an ongoing basis. Through the Force Development Business Process, the USCP measures and monitors progress to ensure that the Department is effectively adapting to the ever-changing environment in which it operates. By employing effective business and program planning, USCP formulates a budget that is linked to critical threats and risks associated with the mission; and execute the budget to meet those threats and risks appropriately and efficiently.

Every year, since introducing our Strategic Plan in 2004, the USCP has taken steps to integrate our strategic, human capital and budget planning into a cohesive 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.

# The USCP Planning Concept

|                           |  |   |
|---------------------------|--|---|
| <b>Strategic Planning</b> | Mission<br>Vision<br>Goals<br>Objectives<br>Performance Measures                         | Defines our Purpose.<br><br>Outlines what we want to achieve.                                 |
| Environmental Scan        | Impact Statements  | Assesses environmental conditions and predicts impacts to the USCP                            |
| <b>Tactical Planning</b>  | Concept of Operations<br>Concept of Administration                                       | Defines how we approach our mission.  |
| Environmental Assessment  | Risk Statements  | Defines and ranks risks to our capability to accomplish objectives.                           |
| <b>Business Planning</b>  | Business Cases<br>Fleet Plan<br>Facilities Plan<br>Lifecycle Plans<br>Budget Formulation | Helps us to determine what we will need to accomplish our objectives and achieve our mission. |
| <b>Program Planning</b>   | Annual Plans: Execution, Procurements, Projects, Training, etc...                        | Defines the specific activities we plan to complete.  |
| Performance Monitoring    | Measures, Controls, Evaluation   | Assess Effectiveness and Efficiency   |

Figure 1: USCP Planning Concept

## E. STRATEGIC PLANNING

In order to effectively deliver on our mission, the Strategic Plan defines the objectives of the Department and the path we will take to meet our goals. The Strategic Plan distinguishes between what we do (the Mission), the future state we want to achieve (the Vision), and the shared values (the Values) we expect from all USCP Sworn and Civilian employees. In FY 2013, the Department will update and enhance its Strategic Plan in order to continue its focus on efficient and effective execution of its mission.

The Department's operational activities contribute towards three areas of strategic focus: to **Assess, Prevent, and Respond** to threats to the legislative process. In order to effectively accomplish the Operational goals, the USCP **Supports the Mission**; by conducting efficient management of resources and people. Within each of the strategic focus areas, the Department has created objectives that address the scope of its work since the Strategic Plan was introduced in 2004.

### Assess the Threat

The USCP provides 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 threats drives USCP prevention, response efforts, and mission support. Based on threat assessments, the USCP develops risk mitigation strategies and appropriate response plans for incident management.

## Objectives:

- 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**

The USCP prevents 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.

## Objectives:

- 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**

The USCP responds 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.

## Objectives:

- 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**

The USCP maintains a mission support infrastructure to ensure that the USCP is able to achieve its mission. The primary areas of USCP's mission support are focused on supporting mission needs as they relate to people, technology, facilities, financial management, logistics management and continuous improvement.

#### Objectives:

- 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. THE FORCE DEVELOPMENT BUSINESS PROCESS**

In order to continuously assess our ongoing mission capability and the viability of our achievement of strategic objectives, the USCP employs the Force Development Business Process. Force Development ensures that USCP management appropriately defines mission objectives; assesses the current and future operational and administrative environment; defines gaps in mission capability of core operational and administrative business processes; and develops strategies to mitigate these gaps and risks associated with them.

The annual cycle of the Force Development Business Process consists of sequential, distinct, but interrelate, components or "Phases" (see below). While phases 1 – 5 have specific annual timeframes, phases 6 and 7 are ongoing throughout the year.

#### **The Phases of Force Development:**

- Phase 1 - Environmental Scan
- Phase 2 - Bureau/Office Analysis/ConOps and ConAdmin Analysis
- Phase 3 – Alternatives Analysis/Business Planning
- Phase 4 – Budget Formulation
- Phase 5 – Budget Submission

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- Phase 6 – Budget Execution
- Phase 7 – Performance Monitoring and Evaluation

### **C. TACTICAL PLANNING**

The core operational and administrative activities that contribute to the USCP mission are developed and executed at the tactical level of planning. The Concept of Operations (ConOps) establishes the operational model and philosophy by which the Department's core mission activities are defined. The ConOps consists of processes and major categories of existing core mission functions and their established internal controls. The Concept of Administration (ConAdmin) which will be done for the first time in FY 2013 establishes the administrative model and philosophy by which the Department's core administrative activities are defined. The ConAdmin consists of processes and major categories of existing mission support functions that support the success of the ConOps and associated internal controls.

### **D. ALTERNATIVES ANALYSIS AND BUSINESS PLANNING**

As part of Force Development, the Department identifies potential risks and gaps to its capability to accomplish the mission and strategic objectives. These risks are addressed through the analysis of alternative solutions; and business cases are developed to explore how alternatives could mitigate the risks. It is from the consideration of these business cases that the USCP prioritizes new initiatives and existing initiatives that are included in budget submissions.

### **E. FORCE DEVELOPMENT DECISIONS AND OUTCOMES**

The Force Development FY 2014 Cycle began in October, 2011. The Department developed a Threat and Risk Analysis, which was used by all offices and bureaus to conduct an Environmental Scan and Assessments of their capabilities. These assessments produced 91 recommendations that were considered. The USCP considered the viability of the four highest priority recommendations (as business cases) and performed program assessments for six existing programs and processes.

After conducting the Force Development Business Process, USCP leadership determined that conditions warranted the implementation of four strategic priorities for FY 2013. These activities will lead to a better strategic alignment of resources to needs in the FY 2015 budget submission. These activities include:

- Updating the USCP Strategic Plan with a goal to develop a new Strategic Plan that reflects appropriate operational and administrative considerations, meets the current and near future needs, and sets measurable goals and objectives.
- Performing a universal review of all lifecycle issues, processes and controls within the Department, with a goal to develop a USCP Directive and policy on lifecycle consideration.
- Developing a formal documented USCP ConOps and an established hierarchy and process for development and validation of cascading ConOps' across the USCP.
- Developing a formal risk management program that establishes an accepted protocol and definitions for operational and administrative risks to achievement of USCP objectives.

Based on the risks identified through Force Development, the USCP has included a request in the FY 2014 budget for the lifecycle replacement of three full coverage bomb suits which were originally purchased in 2006, and have a projected lifecycle of seven years.

Among other immediate actions, the Force Development Business Process led to the reprogramming of funds in FY 2012 to fund lifecycle replacement for systems and equipment managed by the Security Services Bureau and the Office of Information Systems. In addition, Force Development prompted the development of a formal training curriculum for Sergeants and above (and civilian equivalent), that teaches necessary skills and knowledge to include aspects of strategic planning, performance management, resource management and Force Development.

The USCP has also updated its Standard Operating Procedures for Force Development to utilize lessons learned from prior years and incorporation of the planning components developed by the four strategic priorities for FY 2013 (listed above).

### III. Budget Request Summary

| FY 2014 Capitol Police Budget Request (in Millions) |           |
|---|-----------|
| Personnel Costs                                     | \$297.863 |
| General Expenses                                    | 65.433    |
| Total   | \$363.296 |

The United States Capitol Police FY 2014 budget estimate is \$363.296 Million which includes personnel costs of \$297.863 Million and General Expenses of \$65.433 Million. Compared to the FY 2013 Continuing Resolution level of \$342.219 Million, there is an overall increase of \$21.077 Million (6.16%). This includes an increase of \$19.034 Million (6.83%) for personnel costs and \$2.043 Million (3.22%) for General Expenses

#### Request Compared to Prior Years

(Dollars in Millions)

| Appropriation         | FY 2012<br>Actual | FY 2013<br>CR    | FY 2014<br>Request | Change<br>2013 CR vs.<br>2014 | % Change     |
|-----------------------|-------------------|------------------|--------------------|-------------------------------|--------------|
| Salaries and Benefits | 277.469           | 278.829          | 297.863            | 19.034                        | 6.83%        |
| General Expenses      | 55.984            | 63.390           | 65.433             | 2.043                         | 3.22%        |
| <b>Total</b>          | <b>\$333.453</b>  | <b>\$342.219</b> | <b>\$363.296</b>   | <b>\$21.077</b>               | <b>6.16%</b> |

#### Personnel Costs

The Personnel Costs portion of the request \$297.863 Million supports 1,775 of the current authorized position level of 1,800 sworn and 370 of the 443 authorized civilian positions. Salaries and benefits to support these positions include, but are not limited to, overtime, mandatory cost increases for health benefit and retirement costs, promotions, career ladders and with-in-grade increases.

Public Law 112-96, Section 5001, the "Middle Class Tax Relief and Job Creation Act of 2012" made significant changes to the Federal Employees' Retirement System (FERS). One of the changes directs that new employees beginning in CY 2013 will pay significantly higher employee contributions, an increase of 2.3 percent of salary. Consequently, the Agency share for these new hires is decreased by 2.3 percent. The Department recognizes the lower benefit rates attributable to FERS agency contribution for new employees joining after January 1, 2013 and the potential reduction in the benefit rates. However, in view of restricted hiring practices for new employees, no adjustments have been made to the benefit ratios of the personnel for FY 2014. The benefit rate will undergo a revision as new employee hiring is ramped up in conjunction with any other changes in benefits rates in the future.

**General Expenses**

The General Expense request of \$65.433 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.

|                 |                        |
|-----------------|------------------------|
| FY 2013 CR      | 63.390 Million         |
| FY 2014 Request | <u>65.433 Million</u>  |
| <b>Increase</b> | <b>\$2.043 Million</b> |

The FY 2014 budget of \$65.433 Million supports USCP general expenses for:

- Security Services for physical security operations, technical countermeasures, construction security and access control for the Capitol complex: \$15.9 Million;
- Information Technology to support security and administrative system operations \$19.9 Million;
- Protective Services for dignitary protection, intelligence operations, threat assessments, criminal investigations and convention support: \$8.0 Million;
- Logistical Operations that include property and asset management, vehicle maintenance, facilities, and occupational safety program: \$7.5 Million;
- Training Services which provides for recruit and in-service training, management development and maintenance activities at Cheltenham, MD: \$5.3 Million;
- Human Resources management, which provides for human capital management, time and attendance reporting and payroll: \$4.0 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: \$2.6 Million;
- Operational Services, which provides for K-9, hazardous devices operations, offsite delivery, CERT, HMRT, and patrol operations: \$1.1 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: \$1.1 Million.

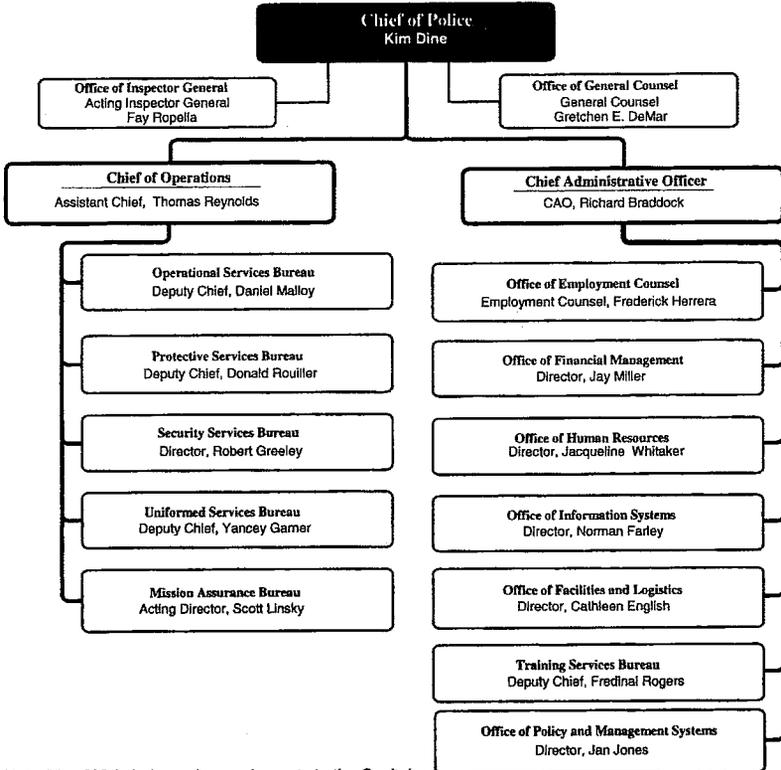
## IV. Organization Charts

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

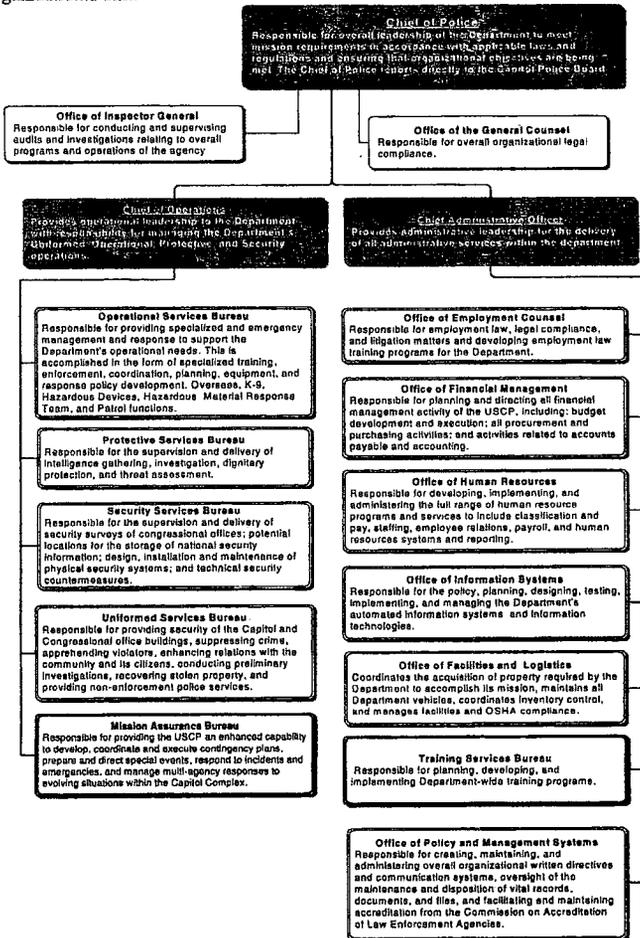
This chart illustrates the three major organizational levels: the Chief of Police, and the Operational and Administrative lines of operation. Each organizational element includes the name of the bureau commander or office director and the position title.



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 2014 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*<br>FY14 | Sworn<br>FY14 | Civilian<br>FY14 | Total USCP<br>FY14 |
|-----------------------------|--------------------|---------------|------------------|--------------------|
| 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          |                    | 1530          |                  | 1530               |
| <b>TOTAL SWORN</b>          | <b>2</b>           | <b>1798</b>   | <b>0</b>         | <b>1800</b>        |
| 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                         | 4                  |               |                  | 4                  |
| <b>TOTAL CIVILIAN</b>       | <b>6</b>           | <b>0</b>      | <b>437</b>       | <b>443</b>         |
| <b>TOTAL</b>                | <b>8</b>           | <b>1798</b>   | <b>437</b>       | <b>2243</b>        |

\* Appointed includes the Chief, the Assistant Chief, the Chief Administrative Officer, General Counsel and OIG positions.

## V. Budget Details

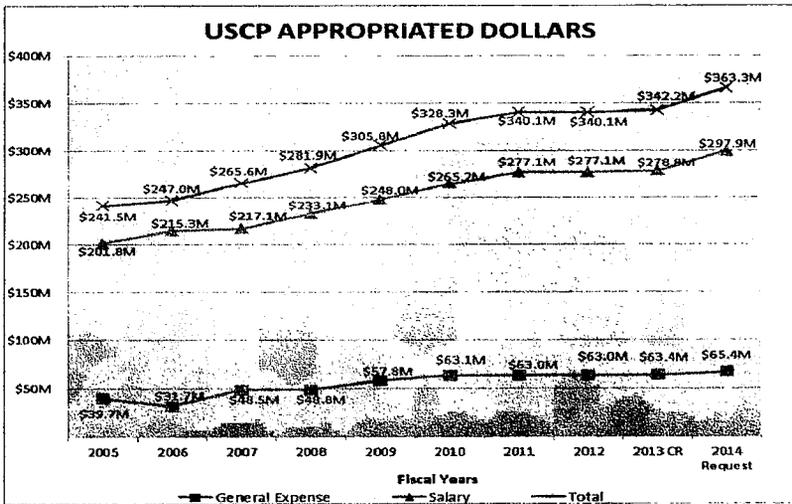
The USCP receives two annual appropriations: Salaries and General Expenses, for personnel and non-personnel expenses, respectively. The changes requested for the operations in FY 2014 are discussed in the relevant sections to follow.

**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 2014.

**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.

**Additional Requirements:** Resources for three additional requirements are requested. The majority of the proposed requirements are in support of Capitol complex safety and security concerns. And 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 2014, 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).

### FY14 Budget Request

|  |   | Dollars in Thousands |                |                    |               |             |
|--|---|----------------------|----------------|--------------------|---------------|-------------|
| Program                                      |   | FY 2012<br>Actual    | FY 2013 CR     | FY 2014<br>Request | Change        | %<br>Change |
|  | Personnel Compensation                    | 210,110              | 212,820        | 226,695            | 13,875        | 7%          |
|  | Benefits                                  | 67,187               | 65,809         | 70,968             | 5,159         | 8%          |
|  | Benefits to former personnel              | 172                  | 200            | 200                | 0             | 0%          |
| <b>United States Capitol Police Salaries</b> |   | <b>277,469</b>       | <b>278,829</b> | <b>297,863</b>     | <b>19,034</b> | <b>7%</b>   |
| <b>Chief Administrative Officer</b>          |   |                      |                |                    |               |             |
|  | CAO Administration                        | 11                   | 12             | 24                 | 13            | 108%        |
| <b>Chief of Operations</b>                   |   |                      |                |                    |               |             |
|  | COO Administration-Command Ops            | 1                    | 1              | 1                  |               |             |
|  | Inauguration                              |                      | 210            |                    | (210)         | (100%)      |
| <b>Chief of Police</b>                       |   |                      |                |                    |               |             |
|  | COP Administration                        | 8                    | 16             | 17                 | 1             | 5%          |
| <b>Mission Assurance Bureau</b>              |   |                      |                |                    |               |             |
|  | MAB Administration                        | 253                  | 9              | 9                  | 1             | 10%         |
|  | MAB Operations                            | 80                   | 86             | 84                 | (3)           | (3%)        |
| <b>Office of Employment Counsel</b>          |   |                      |                |                    |               |             |
|  | OEC Administration                        | 99                   | 112            | 99                 | (13)          | (12%)       |
| <b>Office of Facilities &amp; Logistics</b>  |   |                      |                |                    |               |             |
|  | Administration - OFL                      | 460                  | 460            | 818                | 358           | 78%         |
|  | Administration - VMD                      | 20                   | 35             | 34                 |               | (1%)        |
|  | FMD Administration                        | 272                  | 275            | 496                | 221           | 81%         |
|  | PMD Administration                        | 8                    | 9              | 17                 | 8             | 91%         |
|  | PMD Logistics Support                     | 760                  | 759            | 3,026              | 2,266         | 299%        |
|  | VMD Fleet Management                      | 2,508                | 2,587          | 3,078              | 491           | 19%         |
| <b>Office of Financial Management</b>        |   |                      |                |                    |               |             |
|  | OFM Administration                        | 21                   | 34             | 59                 | 25            | 72%         |
|  | OFM Agency Services                       | 969                  | 1,169          | 1,237              | 68            | 6%          |
|  | OFM Financial Management & Accountability | 1,731                | 959            | 1,267              | 308           | 32%         |
| <b>Office of Financial Management</b>        |   | <b>2,721</b>         | <b>2,192</b>   | <b>2,563</b>       | <b>401</b>    | <b>14%</b>  |

| Program  | FY 2012        |                | FY 2014        |               | %            |
|--|----------------|----------------|----------------|---------------|--------------|
|  | Actual         | FY 2013 CR     | Request        | Change        |              |
| Office of General Counsel                              |                |                |                |               |              |
| OGC Administration                                     | 58             | 126            | 108            | (18)          | (14%)        |
| <b>Office of General Counsel Total</b>                 | <b>58</b>      | <b>126</b>     | <b>108</b>     | <b>(18)</b>   | <b>(14%)</b> |
| Office of Human Resources                              |                |                |                |               |              |
| OHR Administration                                     | 1              | 1              | 2              | 1             | 75%          |
| OHR Operations   | 1,460          | 462            | 414            | (49)          | (11%)        |
| OHR Recruiting and Staffing                            | 2,595          | 2,603          | 3,576          | 973           | 37%          |
| <b>Office of Human Resources Total</b>                 | <b>4,056</b>   | <b>3,067</b>   | <b>3,992</b>   | <b>(54)</b>   | <b>(1%)</b>  |
| Office of Information Systems                          |                |                |                |               |              |
| OIS Administration                                     | 118            | 118            | 886            | 767           | 650%         |
| OIS Enterprise Applications                            | 2,328          | 2,319          | 2,612          | 292           | 13%          |
| OIS Information Security                               | 396            | 381            | 546            | 166           | 43%          |
| OIS Network Communications                             | 6,994          | 9,090          | 11,894         | 2,804         | 31%          |
| OIS Operations   | 4,426          | 2,720          | 3,966          | 1,247         | 46%          |
| <b>Office of Information Systems Total</b>             | <b>14,262</b>  | <b>14,628</b>  | <b>19,903</b>  | <b>5,276</b>  | <b>36%</b>   |
| Office of Inspector General                            |                |                |                |               |              |
| OIG Administration                                     | 737            | 738            | 762            | 24            | 3%           |
| <b>Office of Inspector General Total</b>               | <b>737</b>     | <b>738</b>     | <b>762</b>     | <b>24</b>     | <b>3%</b>    |
| Office of Policy & Management Systems                  |                |                |                |               |              |
| Administration OPOL                                    | 11             | 11             | 28             | 17            | 149%         |
| <b>Office of Policy &amp; Management Systems Total</b> | <b>11</b>      | <b>11</b>      | <b>28</b>      | <b>17</b>     | <b>149%</b>  |
| Office of Professional Responsibility                  |                |                |                |               |              |
| OPR Administration                                     | 14             | 41             | 9              | (32)          | (78%)        |
| <b>Office of Professional Responsibility Total</b>     | <b>14</b>      | <b>41</b>      | <b>9</b>       | <b>(32)</b>   | <b>(78%)</b> |
| Operational Services Bureau                            |                |                |                |               |              |
| OSB Administration                                     | 1              | 1              | 1              |               |              |
| OSB Hazardous Incident Response                        | 452            | 517            | 781            | 264           | 51%          |
| OSB Patrol Mobile Response                             | 187            | 249            | 316            | 68            | 27%          |
| <b>Operational Services Bureau Total</b>               | <b>641</b>     | <b>767</b>     | <b>1,098</b>   | <b>432</b>    | <b>63%</b>   |
| Protective Services Bureau                             |                |                |                |               |              |
| PSB Administration                                     | 108            | 124            | 127            | 3             | 3%           |
| PSB Protective Detail Travel                           | 7,349          | 7,266          | 7,512          | 246           | 3%           |
| PSB Protective Services                                | 2,142          | 370            | 357            | (13)          | (4%)         |
| <b>Protective Services Bureau Total</b>                | <b>9,599</b>   | <b>7,760</b>   | <b>7,996</b>   | <b>(236)</b>  | <b>(3%)</b>  |
| Security Services Bureau                               |                |                |                |               |              |
| SSB Access Control                                     | 3,227          | 3,236          | 3,134          | (102)         | (3%)         |
| SSB Administration                                     | 117            | 148            | 227            | 79            | 54%          |
| SSB Detection and Screening Systems                    | 2,659          | 2,533          | 2,578          | 46            | 2%           |
| SSB Inauguration                                       |                | 440            |                | (440)         | (100%)       |
| SSB Security Systems Maintenance                       | 6,690          | 5,715          | 5,984          | 269           | 5%           |
| SSB Special Projects                                   | 499            |                | 555            | 555           |              |
| SSB Technical Countermeasures                          | 3,594          | 3,467          | 3,467          |               | 0%           |
| <b>Security Services Bureau Total</b>                  | <b>16,786</b>  | <b>16,539</b>  | <b>16,946</b>  | <b>407</b>    | <b>2%</b>    |
| Training Services Bureau                               |                |                |                |               |              |
| TSB Administration                                     | 25             | 65             | 77             | 12            | 18%          |
| TSB Training Services                                  | 2,554          | 2,894          | 5,193          | 2,299         | 79%          |
| <b>Training Services Bureau Total</b>                  | <b>2,579</b>   | <b>2,959</b>   | <b>5,270</b>   | <b>2,310</b>  | <b>78%</b>   |
| Uniformed Services Bureau                              |                |                |                |               |              |
| USB Administration                                     | 59             | 59             | 55             | (5)           | (8%)         |
| <b>Uniformed Services Bureau Total</b>                 | <b>59</b>      | <b>59</b>      | <b>55</b>      | <b>(5)</b>    | <b>(8%)</b>  |
| Salaries Offset *                                      |                |                |                |               | (100%)       |
| Salaries Offset*                                       |                | 10,965         |                | (10,965)      | (100%)       |
| <b>United States Capitol Police General Expenses</b>   | <b>55,984</b>  | <b>63,390</b>  | <b>65,433</b>  | <b>2,043</b>  | <b>3%</b>    |
| <b>GRAND TOTAL</b>                                     | <b>333,454</b> | <b>342,219</b> | <b>363,296</b> | <b>21,077</b> | <b>6%</b>    |

\*\$4 Million was transferred in FY 2012 and is reflected in salary totals above.

Note: \$2.4 Million was also appropriated as multi-year funds in FY 2012 and was unused as of end of FY 2012.

Tables may contain rounding variances.

**A. PERSONNEL COSTS**

The Personnel costs portion of the request of \$297.863 Million supports 1775 of the authorized positions levels of 1,800 sworn and 370 civilians of the authorized positions levels of 443 for a total of 2,145. 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, and Metro Transit Subsidy.

**FY 2014 Authorized Personnel**

|              | FY 2013<br>CR # | Increase<br>(Decrease) # | FY 2014<br>Request # |
|--------------|-----------------|--------------------------|----------------------|
| Sworn        | 1,800           | 0                        | 1,800                |
| Civilian     | 439             | 0                        | 439                  |
| OIG          | 4               | 0                        | 4                    |
| <b>Total</b> | <b>2,243</b>    |                          | <b>2,243</b>         |

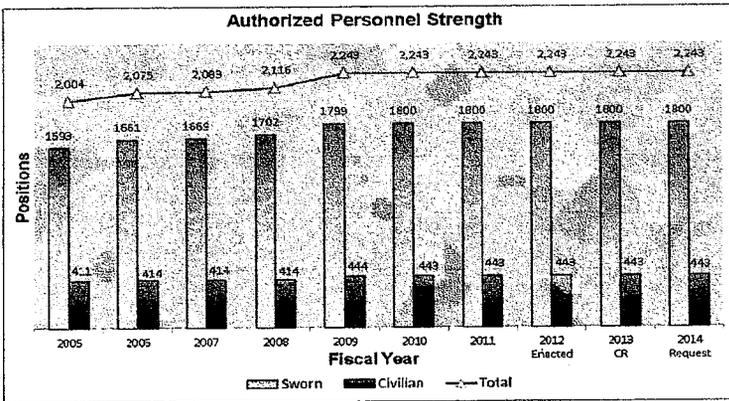
**Personnel Request**

Dollars in Millions

| FY 2013 CR | FY 2014<br>Request | Difference | %    |
|------------|--------------------|------------|------|
| \$278.829  | \$297.863          | \$19.034   | 6.83 |

In line with the Legislative Branch Financial Management Council's guidance, a 1.80% cost-of-living adjustment is included for all salary and overtime computations for calendar year 2014. Schedule B and the Analysis of Change Explanation in the Budget Schedules Section provide a detailed analysis of the

personnel changes of \$19.034 Million (see pages 39-40). An analysis of Positions by Rank and Grade was provided in Section IV Organization Charts (see page 17). 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.

**Overtime (OT)**

This budget submission contains an overtime request for \$32.839 Million based on 571,076 hours in overtime funding necessary to meet core mission requirements not covered by onboard sworn personnel availability, to meet unanticipated requirements, and support security requirements. In addition, \$0.694 Million or 12K hours is requested to be added to the regularly request 24,000 training hours to support critical training requirements that cannot be accomplished through on-line training, roll call, and in-service training; and, therefore, requires sworn officers be backfilled using overtime to accomplish training. These funds are intended to begin to return the Department to its normal training cycles.

NOTE: Beginning in FY 2013, USCP will be reimbursed by the Architect of the Capitol (AOC) requirements in accordance with Memorandum of Understanding (MOU) between USCP and the AOC for projects that may require additional USCP support.

**USCP Projected Overtime FY 2014**

| Average OT rates: (Does NOT include benefits)<br>CY 13 = \$56.60 utilized for 1 <sup>st</sup> quarter FY13, CY 14 = \$57.85 utilized for First 19 Pay Periods in CY 14.<br>USCP calculates its OT requirements, based on total hours required to support its requirements minus available personnel hours.   |                              |                          |
|--|------------------------------|--------------------------|
| <b>FY 14- Projection</b>   | <b>Financial (Estimates)</b> | <b>Hours (Estimates)</b> |
| Base *   | \$29,392,060                 | 511,376                  |
| Unscheduled **   | \$1,150,750                  | 20,000                   |
| Training ***   | \$1,388,400                  | 24,000                   |
| Critical sworn training ****   | \$694,200                    | 12,000                   |
| <b>Additional Operational Requirements</b>   |                              |                          |
| LOC Non-Reimbursable Events *****  | \$214,045                    | 3,700                    |
| <b>Grand Total of Operational Requirements</b>   | <b>\$32,839,455</b>          | <b>571,076</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)  |                              |                          |
| **** 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. (8 hours per officer, 1,500 officers, to bring officers to an average of 24 hours annually) |                              |                          |
| ***** Non-reimbursable events -- 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 FY14 Attrition of 91 sworn and 88 new officers with a sworn staffing target at 1,773 and FY13 Attrition of 80 sworn and 86 new officers with a sworn staffing target of 1,769; provided by OHR.   |                              |                          |

**B. GENERAL EXPENSES**

(Dollars in Millions)

| FY 2013 CR | FY 2014 Request | Change | %     |
|------------|-----------------|--------|-------|
| 63.390     | 65.433          | 2.043  | 3.22% |

General Expenses of \$65.433 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 logistical and administrative support.

This request reflects major increases for the following (for details see FY 2014 Differences from FY 2013 CR pages 24-32)

- \$5,276,000 for Information Systems
- \$3,346,000 for Facilities and Logistics
- \$2,310,000 for Training Services
- \$407,000 for Security Services

**Object Class Comparison**

The table below is an object class comparison of the FY 2013 CR versus the FY 2014 Request. The largest budget category is services, including outside technical and general support, professional services, maintenance and repair costs for outside contractors, etc.

(Dollars in Thousands)

| Object Class                        | FY 2012          |                  | FY 2014          |                 | %         |  |
|-------------------------------------|------------------|------------------|------------------|-----------------|-----------|--|
|                                     | Actual           | FY 2013 CR       | Request          | Change          | Change    |  |
| Travel & Transportation of Persons  | 10,908           | 9,036            | 10,183           | 1,147           | 13%       |  |
| Travel & Transportation of Things   | 11               | 45               | 21               | (24)            | -53%      |  |
| Rent, Communications, and Utilities | 3,293            | 3,347            | 5,591            | 2,244           | 67%       |  |
| Printing & Reproduction             | 25               | 396              | 40               | (356)           | -90%      |  |
| Other Contractual Services*         | 27,298           | 38,729           | 31,697           | (7,032)         | -18%      |  |
| Supplies & Materials                | 3,026            | 3,496            | 6,167            | 2,671           | 76%       |  |
| Equipment                           | 11,382           | 8,228            | 11,621           | 3,393           | 41%       |  |
| Insurance Claims and Indemnities    | 41               | 113              | 113              | -               | 0%        |  |
| <b>Grand Total</b>                  | <b>\$ 55,984</b> | <b>\$ 63,390</b> | <b>\$ 65,433</b> | <b>\$ 2,043</b> | <b>3%</b> |  |

\*Salary offset funds of \$10,964,608 are reflected in the above chart as "Other Contractual Services" until transferred in late FY 2013.

## FY 2014 change from FY 2013

|   | FY 2012<br>Actuals | FY 2013<br>CR    | FY 2014<br>Request | Change             | %<br>Change   |
|---|--------------------|------------------|--------------------|--------------------|---------------|
| <b>Chief Administrative Officer</b>   |                    |                  |                    |                    |               |
| <i>CAO Administration</i>   | \$10,767           | \$11,570         | \$24,080           | \$12,510           | 108%          |
| 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: An increases of \$12,510 related to external training and supplies.  |                    |                  |                    |                    |               |
| <b>Chief Administrative Officer Total</b>   | <b>\$10,767</b>    | <b>\$11,570</b>  | <b>\$24,080</b>    | <b>\$12,510</b>    | <b>108%</b>   |
| <b>Chief of Operations</b>  |                    |                  |                    |                    |               |
| <i>COO Administration-Command Ops</i>   | \$1,398            | \$1,350          | \$1,350            | -                  | 0%            |
| 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>   | -                  | \$210,000        | -                  | (\$210,000)        | (100%)        |
| 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: A decrease of \$210,000 for supplies, rental of equipment, and non-capitalized furniture, equipment and machinery in support of the Inaugural Task Force in FY 2013.   |                    |                  |                    |                    |               |
| <b>Chief of Operations Total</b>  | <b>\$1,398</b>     | <b>\$211,350</b> | <b>\$1,350</b>     | <b>(\$210,000)</b> | <b>(100%)</b> |
| <b>Chief of Police</b>  |                    |                  |                    |                    |               |
| <i>COP Administration</i>   | \$8,161            | \$16,380         | \$17,205           | \$825              | 5%            |
| 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 \$825 primarily for office supplies, membership fees, and subscriptions.  |                    |                  |                    |                    |               |
| <b>Chief of Police Total</b>  | <b>\$8,161</b>     | <b>\$16,380</b>  | <b>\$17,205</b>    | <b>\$825</b>       | <b>5%</b>     |
| <b>Mission Assurance Bureau</b>   |                    |                  |                    |                    |               |
| <i>Administration</i>   | \$253,034          | \$8,550          | \$9,400            | \$850              | 10%           |
| 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 \$850 related to office supplies.   |                    |                  |                    |                    |               |
| <b>Mission Assurance Bureau</b>   |                    |                  |                    |                    |               |
| <i>MAB Operations</i>   | \$59,566           | \$86,330         | \$83,728           | (\$2,602)          | (3%)          |
| Description: This program provides funding for the Command Center Operations, Command Vehicle Operations and Communications Center Operations.  |                    |                  |                    |                    |               |
| Program Changes Include: A decrease of (\$2,602) primarily in office supplies.  |                    |                  |                    |                    |               |
| <b>Mission Assurance Bureau Total</b>   | <b>\$312,600</b>   | <b>\$94,880</b>  | <b>\$93,128</b>    | <b>(\$1,752)</b>   | <b>(2%)</b>   |

|  | FY 2012<br>Actuals | FY 2013<br>CR | FY<br>2014<br>Request | Change | %<br>Change |
|--|--------------------|---------------|-----------------------|--------|-------------|
|--|--------------------|---------------|-----------------------|--------|-------------|

**Office of Employment Counsel**

|                           |          |           |          |            |       |
|---------------------------|----------|-----------|----------|------------|-------|
| <b>OEC Administration</b> | \$99,042 | \$111,780 | \$98,708 | (\$13,072) | (12%) |
|---------------------------|----------|-----------|----------|------------|-------|

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: A decrease of \$13,072 related to subscription and temporary travel.

**Office of Facilities & Logistics**

|                             |           |           |           |           |     |
|-----------------------------|-----------|-----------|-----------|-----------|-----|
| <b>Administration - OFL</b> | \$459,569 | \$459,653 | \$817,730 | \$358,077 | 78% |
|-----------------------------|-----------|-----------|-----------|-----------|-----|

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 \$132,000 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 \$223,000 for the medical monitoring and administrative support contracts.

**Office of Facilities & Logistics**

|                             |          |          |          |         |      |
|-----------------------------|----------|----------|----------|---------|------|
| <b>Administration - VMD</b> | \$19,635 | \$34,560 | \$34,200 | (\$360) | (1%) |
|-----------------------------|----------|----------|----------|---------|------|

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: Decrease in training travel & training.

**Office of Facilities & Logistics**

|                           |           |           |           |           |     |
|---------------------------|-----------|-----------|-----------|-----------|-----|
| <b>FMD Administration</b> | \$271,610 | \$274,640 | \$495,996 | \$221,356 | 81% |
|---------------------------|-----------|-----------|-----------|-----------|-----|

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 \$221,000 for PAC Bldg. Special AV systems, fitness center equipment replacement and the new tactical seating standard for posts.

**Office of Facilities & Logistics**

|                            |         |         |          |         |     |
|----------------------------|---------|---------|----------|---------|-----|
| <b>PAMD Administration</b> | \$7,891 | \$8,987 | \$17,167 | \$8,180 | 91% |
|----------------------------|---------|---------|----------|---------|-----|

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: A \$6,000 increase for training and a \$1,600 increase for supplies and membership fees.

|  | FY 2012<br>Actuals | FY 2013<br>CR*     | FY 2014<br>Request | Change             | %<br>Change |
|--|--------------------|--------------------|--------------------|--------------------|-------------|
| <b>Office of Facilities &amp; Logistics</b>  |                    |                    |                    |                    |             |
| <i>PAMD Logistics Support</i>  | \$760,246          | \$758,559          | \$3,026,188        | \$2,267,629        | 299%        |
| 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: An increase of \$255,000 for contract administrative support and hazmat disposal, \$8,600 for uniform cleaning, \$9,600 for bottled water for officers based on Board declared emergencies, \$1 million for replacement body armor, \$200,000 for tactical helmet replacement, \$35,000 for Civil Disturbance Unit Respiratory Equipment, \$895,000 for sworn uniform replenishment. Increase due primarily to offsets in baseline.   |                    |                    |                    |                    |             |
| <b>Office of Facilities &amp; Logistics</b>  |                    |                    |                    |                    |             |
| <i>VMD Fleet Management</i>  | \$2,508,488        | \$2,586,855        | \$3,077,900        | \$491,045          | 19%         |
| 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 2014 request also includes funding for cyclical replacement of fleet vehicles for 20 mountain bikes, lifecycle replacement of 3 trailers, 1 HMRT quick Response truck, 1 heavy motorcycle, 1 forklift.)   |                    |                    |                    |                    |             |
| <b>Office of Facilities &amp; Logistics Total</b>  | <b>\$2,768,734</b> | <b>\$2,745,414</b> | <b>\$6,104,088</b> | <b>\$3,336,354</b> | <b>81%</b>  |
| <b>Office of Financial Management</b>  |                    |                    |                    |                    |             |
| <i>OFM Administration</i>  | \$21,181           | \$34,200           | \$58,900           | \$24,700           | 72%         |
| 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 training travel, and subscriptions.  |                    |                    |                    |                    |             |
| <b>Office of Financial Management</b>  |                    |                    |                    |                    |             |
| <i>OFM Agency Services</i>   | \$969,346          | \$1,168,650        | \$1,236,800        | \$68,150           | 6%          |
| 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: An increase in external training for agency-wide Appropriations Law and Contracting Officer's Representative training.  |                    |                    |                    |                    |             |
| <b>Office of Financial Management</b>  |                    |                    |                    |                    |             |
| <i>OFM Financial Management &amp; Accountability</i>   | \$1,731,200        | \$959,092          | \$1,267,022        | \$307,930          | 32%         |
| 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: Increases in financial management contractual support for accounting, budget, and financial systems and a decrease in funds needed for the Library of Congress support of the Momentum financial system.  |                    |                    |                    |                    |             |
| <b>Office of Financial Management Total</b>  | <b>\$2,721,728</b> | <b>\$2,161,842</b> | <b>\$2,552,722</b> | <b>\$390,880</b>   | <b>19%</b>  |

|  | FY 2012<br>Actuals | FY 2013<br>CR*     | FY 2014<br>Request | Change            | %<br>Change  |
|--|--------------------|--------------------|--------------------|-------------------|--------------|
| <b>Office of General Counsel</b>   |                    |                    |                    |                   |              |
| <i>OGC Administration</i>  | \$57,631           | \$125,700          | \$107,642          | (\$18,058)        | (14%)        |
| 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: A net decrease of (\$18,058) primarily in advertising and recruiting  |                    |                    |                    |                   |              |
| <b>Office of General Counsel Total</b>   | <b>\$57,631</b>    | <b>\$125,700</b>   | <b>\$107,642</b>   | <b>(\$18,058)</b> | <b>(14%)</b> |
| <b>Office of Human Resources</b>   |                    |                    |                    |                   |              |
| <i>OHR Administration</i>  | \$847              | \$900              | \$1,576            | \$676             | 75%          |
| 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 miscellaneous supplies and materials.  |                    |                    |                    |                   |              |
| <b>Office of Human Resources</b>   |                    |                    |                    |                   |              |
| <i>OHR Operations</i>  | \$1,460,280        | \$462,476          | \$413,768          | (\$48,708)        | (11%)        |
| 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: Decrease for training, training travel, and supplies and materials for orientations.  |                    |                    |                    |                   |              |
| <b>Office of Human Resources</b>   |                    |                    |                    |                   |              |
| <i>OHR Recruiting and Staffing</i>   | \$2,594,809        | \$2,603,455        | \$3,576,167        | \$972,712         | 37%          |
| 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 (\$745,000), applicant testing for 92 new recruits, 40 civilian hires and fitness for duty testing, and an increase for promotional processing.  |                    |                    |                    |                   |              |
| <b>Office of Human Resources Total</b>   | <b>\$4,055,936</b> | <b>\$3,066,831</b> | <b>\$5,991,511</b> | <b>\$924,680</b>  | <b>30%</b>   |
| <b>Office of Information Systems</b>   |                    |                    |                    |                   |              |
| <i>OIS Administration</i>  | \$118,055          | \$118,055          | \$885,529          | \$767,474         | 650%         |
| 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 CMNL.                             |                    |                    |                    |                   |              |
| Program Changes Include: An increase in contract support for the Program Management Office to manage large systems implementation in accordance with best practices. Funds provide support for project scheduling, risk analysis, system development and administrative support. Increase primarily due to offsets in baseline.  |                    |                    |                    |                   |              |
| <b>Office of Information Systems</b>   |                    |                    |                    |                   |              |
| <i>OIS Enterprise Applications</i>   | \$2,328,136        | \$2,319,250        | \$2,611,500        | \$292,250         | 13%          |
| 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 law enforcement information systems and enterprise business application contractor support and a decrease in funds needed for the Library of Congress support of the Maximo asset management system  |                    |                    |                    |                   |              |

|   | FY 2012<br>Actuals  | FY 2013<br>CR*      | FY 2014<br>Request  | Change             | %<br>Change |
|---|---------------------|---------------------|---------------------|--------------------|-------------|
| <b>Office of Information Systems</b>  |                     |                     |                     |                    |             |
| <i>OIS Information Security</i>   | \$396,246           | \$380,700           | \$546,200           | \$165,500          | 43%         |
| 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 and software maintenance agreements.  |                     |                     |                     |                    |             |
| <b>Office of Information Systems</b>  |                     |                     |                     |                    |             |
| <i>OIS Network Communications</i>   | \$6,993,584         | \$9,090,410         | \$11,894,000        | \$2,803,590        | 31%         |
| 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 for the first full year for the operation and maintenance of the new radio systems, including cost to Motorola (\$1.5 Million) and for SONET data ring (\$1.05 Million).   |                     |                     |                     |                    |             |
| <b>Office of Information Systems</b>  |                     |                     |                     |                    |             |
| <i>OIS Operations</i>   | \$4,426,196         | \$2,719,500         | \$3,966,200         | \$1,246,700        | 46%         |
| 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 Information Systems Total</b>  | <b>\$14,262,218</b> | <b>\$14,627,915</b> | <b>\$19,903,429</b> | <b>\$5,275,514</b> | <b>36%</b>  |
| <b>Office of Inspector General</b>  |                     |                     |                     |                    |             |
| <i>OIG Administration</i>   | \$737,172           | \$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 Inspector General Total</b>  | <b>\$737,172</b>    | <b>\$738,000</b>    | <b>\$762,000</b>    | <b>\$24,000</b>    | <b>3%</b>   |
| <b>Office of Policy &amp; Management Systems</b>  |                     |                     |                     |                    |             |
| <i>Administration OPOL</i>  | \$10,750            | \$11,205            | \$27,900            | \$16,965           | 149%        |
| 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 \$16,695 primarily related to external training.  |                     |                     |                     |                    |             |
| <b>Office of Policy &amp; Management Systems Total</b>  | <b>\$10,750</b>     | <b>\$11,205</b>     | <b>\$27,900</b>     | <b>\$16,695</b>    | <b>149%</b> |

|   | FY 2012<br>Actuals | FY 2013<br>CR* | FY 2014<br>Request | Change     | %<br>Change |
|---|--------------------|----------------|--------------------|------------|-------------|
| <b>Office of Professional Responsibility</b>  |                    |                |                    |            |             |
| <i>OPR Administration</i>   | \$14,330           | \$40,794       | \$9,167            | (\$31,627) | (78%)       |
| 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: Decrease is primarily related to training and training travel.   |                    |                |                    |            |             |
|   |                    |                | \$9,167            |            |             |

| <b>Operational Services Bureau</b>  |         |         |         |   |    |
|---|---------|---------|---------|---|----|
| <i>OSB Administration</i>   | \$1,125 | \$1,125 | \$1,125 | - | 0% |
| 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>  | \$452,363 | \$516,944 | \$781,424 | \$264,480 | 51% |
| 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 \$123,000 for training and travel used to attend critical training (i.e. Hazardous Devices recertifications, Advanced Explosive Destruction Techniques, Radiological Emergency Response Operations, etc.); a decrease of (\$20,000) for contractual support services; an increase of \$53,200 for office and miscellaneous supplies (i.e., paper, toner, batteries, pens, gloves, facemasks, coverall suits, junk cars, mock IED devices, and special HDS tools and equipment); an increase of \$65,000 for three bomb suits and helmets. |           |           |           |           |     |

| <b>Operational Services Bureau</b>  |           |           |           |          |     |
|---|-----------|-----------|-----------|----------|-----|
| <i>OSB Patrol Mobile Response Division</i>  | \$187,431 | \$248,571 | \$316,459 | \$67,888 | 27% |
| 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 \$20,000 for training and travel for CERT, PMRD, and K9 units; an increase of \$3,000 for veterinary services an increase of \$4,000 for supplies and materials; an increase of \$22,000 for contractual support; an increase of \$20,000 for K-9 supplies and controlled explosives. |           |           |           |          |     |

| <b>Protective Services Bureau</b>   |           |           |           |         |    |
|---|-----------|-----------|-----------|---------|----|
| <i>PSB Administration</i>   | \$107,669 | \$123,678 | \$127,000 | \$3,322 | 3% |
| 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 supplies and materials for the bureau.  |           |           |           |         |    |

|   | FY 2012<br>Actuals | FY 2013<br>CR* | FY 2014<br>Request | Change    | %<br>Change |
|---|--------------------|----------------|--------------------|-----------|-------------|
| <b>Protective Services Bureau</b>   |                    |                |                    |           |             |
| <i>PSB Protective Detail Travel</i>   | \$7,349,435        | \$7,265,837    | \$7,512,036        | \$246,199 | 3%          |
| 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: Increase of \$182,000 for protective detail travel and \$61,000 increase for charter flights.  |                    |                |                    |           |             |

|   |                    |                    |                    |                  |           |
|---|--------------------|--------------------|--------------------|------------------|-----------|
| <b>Protective Services Bureau</b>   |                    |                    |                    |                  |           |
| <i>PSB Protective Services</i>  | \$2,142,351        | \$369,900          | \$356,800          | (\$13,100)       | (4%)      |
| Description: Investigations support and Protective Intelligence contracts and operating expenses as well as training and travel for intelligence and investigations agents. |                    |                    |                    |                  |           |
| Program Changes Include: A decrease in dignitary services travel training.  |                    |                    |                    |                  |           |
| <b>Protective Services Bureau Total</b>   | <b>\$9,491,786</b> | <b>\$7,635,737</b> | <b>\$7,998,836</b> | <b>\$236,421</b> | <b>3%</b> |

|   |             |             |             |             |      |
|---|-------------|-------------|-------------|-------------|------|
| <b>Security Services Bureau</b>   |             |             |             |             |      |
| <i>SSB Access Control</i>   | \$3,226,912 | \$3,236,400 | \$3,134,246 | (\$102,154) | (3%) |
| 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 \$231,000 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; An increase of \$42,700 in system supplies and materials for the purchase of spare parts for all installed barriers, card access readers, and fire doors. A decrease of \$376,000 in non-capitalized equipment for the planned life cycle replacement of parts. |             |             |             |             |      |

|  |           |           |           |          |     |
|--|-----------|-----------|-----------|----------|-----|
| <b>Security Services Bureau</b>  |           |           |           |          |     |
| <i>SSB Administration</i>  | \$116,688 | \$147,960 | \$227,235 | \$79,275 | 54% |
| 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: An increase of \$79,000 primarily for training and travel needed for out of town training, vendor demonstrations and factory acceptance tastings.             |           |           |           |          |     |

|   |             |             |             |          |    |
|---|-------------|-------------|-------------|----------|----|
| <b>Security Services Bureau</b>   |             |             |             |          |    |
| <i>SSB Detection and Screening Systems</i>  | \$2,658,575 | \$2,532,600 | \$2,578,300 | \$45,700 | 2% |
| 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: A decrease of (\$70,600) for systems supplies and materials; a decrease of (\$17,400) for contractor support services; a decrease of (\$6,400) capitalized equipment and machinery; and, an increase of \$140,156 for non-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 2012<br>Actuals | FY 2013<br>CR* | FY 2014<br>Request | Change    | %<br>Change |
|---|--------------------|----------------|--------------------|-----------|-------------|
| <b>Security Services Bureau</b>   |                    |                |                    |           |             |
| <i>SSB Security Systems Maintenance</i>   | \$6,690,285        | \$5,715,000    | \$5,983,979        | \$268,979 | 5%          |
| 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 \$406,000 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; a decrease of \$132,000 for equipment and machinery for Security Installation Support. |                    |                |                    |           |             |

|   |           |   |           |           |  |
|---|-----------|---|-----------|-----------|--|
| <b>Security Services Bureau</b>   |           |   |           |           |  |
| <i>SSB Special Projects</i>   | \$499,260 | - | \$555,390 | \$555,390 |  |
| 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. |           |   |           |           |  |
| Program Changes Include: An increase of \$100,000 for Federal Office Building (FOB8) Security Design; An increase of \$207,390 for the security fit-out of the Radio Modernization equipment rooms and an increase of \$247,910 for the Dome Rehabilitation Security Equipment.   |           |   |           |           |  |

|   |             |             |             |   |    |
|---|-------------|-------------|-------------|---|----|
| <b>Security Services Bureau</b>   |             |             |             |   |    |
| <i>SSB Technical Countermeasures</i>  | \$3,594,101 | \$3,466,800 | \$3,466,800 | - | 0% |
| 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. |             |             |             |   |    |

|  |                     |                     |                     |                  |           |
|--|---------------------|---------------------|---------------------|------------------|-----------|
| <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: A decrease of \$440,000 in contractor support services for the January 2013 Presidential Inauguration.  |                     |                     |                     |                  |           |
| <b>Security Services Bureau Total</b>  | <b>\$16,785,821</b> | <b>\$15,538,760</b> | <b>\$15,945,950</b> | <b>\$407,190</b> | <b>8%</b> |

|  |          |          |          |          |     |
|--|----------|----------|----------|----------|-----|
| <b>Training Services Bureau</b>  |          |          |          |          |     |
| <i>TSB Administration</i>  | \$25,405 | \$65,250 | \$76,788 | \$11,538 | 18% |
| 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 temporary duty travel; an increase of \$45,000 for government support services; a decrease of (\$24,000) in travel and transportation of goods; a decrease of (\$14,300) for relocation reimbursement and (\$1,800) for potable water and cable service.                       |          |          |          |          |     |

|   | FY 2012<br>Actuals | FY 2013<br>CR*      | FY 2014<br>Request | Change                | %<br>Change   |
|---|--------------------|---------------------|--------------------|-----------------------|---------------|
| <b>Training Services Bureau</b>   |                    |                     |                    |                       |               |
| <i>TSB Training Services</i>  | \$2,553,870        | \$2,893,839         | \$5,192,748        | \$2,298,909           | 79%           |
| 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 \$319,000 for training and travel; an increase of \$29,000 for management development; increase of \$177,200 for FLETC facility and training costs; in an increase of \$518,000 for contractor support services; a decrease of \$41,200 for supplies and materials; an increase of \$744,000 for controlled explosives and ammunition; and an increase of \$553,000 for weapons lifecycle replacement and replacement of weapon parts for the Firearms Training and Training Programs projects. |                    |                     |                    |                       |               |
| <b>Training Services Bureau Total</b>   | <b>\$2,553,870</b> | <b>\$2,893,839</b>  | <b>\$5,192,748</b> | <b>\$2,298,909</b>    | <b>79%</b>    |
| <b>Uniformed Services Bureau</b>  |                    |                     |                    |                       |               |
| <i>USB Administration</i>   | \$59,191           | \$59,472            | \$54,522           | (\$4,950)             | (8%)          |
| Description: This program provides funding for USB administrative costs, which include travel, training, supplies, and office equipment.  |                    |                     |                    |                       |               |
| Program Changes Include: A decrease in equipment and machinery for the Senate Division.   |                    |                     |                    |                       |               |
| <b>Uniformed Services Bureau Total</b>  | <b>\$59,191</b>    | <b>\$59,472</b>     | <b>\$54,522</b>    | <b>(\$4,950)</b>      | <b>(8%)</b>   |
| <b>Salary Offset</b>  |                    |                     |                    |                       |               |
| <i>Salary Offset*</i>   | -                  | \$10,964,608        | -                  | (\$10,964,608)        | (100%)        |
| Description: General Expense funds needed in FY 2014 for transfer for salary cost.  |                    |                     |                    |                       |               |
| Program Changes Include: Based on request for full amount of salary needed in FY 2014, a transfer is not projected at this time for FY 2014.  |                    |                     |                    |                       |               |
| <b>Salary Offset Total</b>  | <b>\$0</b>         | <b>\$10,964,608</b> | <b>\$0</b>         | <b>(\$10,964,608)</b> | <b>(100%)</b> |

\*\$4 Million was transferred in FY 2012 and is reflected in salary totals above.

### C. ADDITIONAL REQUIREMENTS

The following additional requirements are derived from our FY 2014 and prior 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 requirements below mitigate threats and risks.

#### ADDITIONAL REQUIREMENTS

(Dollars in Thousands)

| No. | Requirements   | Details  | Request |
|-----|--|--|---------|
| 1   | Dome Rehabilitation*                                 | Design and install security program for the protection of the U.S. Capitol Building during the Office of the Architect of the Capitol's Dome Skirt Rehabilitation project. | 248     |
| 2   | FOB 8 Security Design                                | Design and install the security management systems for the new FOB 8 at a cost of \$100K.  | 100     |
| 3   | Security Fit-out Radio Modernization Equipment Rooms | Design and installation of physical security equipment at seventeen (17) USCP Police radio equipment rooms.  | 207     |

\* If this project begins in FY 2013, this amount can be removed from USCP's FY 2014 request.

#### 1. DOME REHABILITATION

This project supports strategic objective Congressional Community Protection by providing a means for the Department to secure the Capitol Building by physically securing the construction site, and by screening and monitoring all construction staff. Note: If this project begins in FY 2013, this amount can be removed from USCP's FY 2014 request.

This requirement will consist of establishing a screening facility (trailer) within the construction compound, outfitted with a magnetometer, X-ray machine, explosive detector, ballistic podium, and a physical security system consisting of CCTV cameras and a perimeter alarm system. This will be utilized to physically secure the site as well as to support the USCP operational needs for screening all construction personnel

\$247,910 is requested to design and install a security program for the protection of the U.S. Capitol Building during the Office of the Architect of the Capitol's Dome Skirt Rehabilitation project. One phase of this project will require the development of a large "compound" at the base of the Northwest terrace wall. This will be the primary construction entrance for all staff and materials to access the Capitol work site from this location. This is a special funding request to support the implementation of security measures approved by the Chief of Police that are required to ensure the protection of the Capitol Building during this AOC renovation project.

## **2. FEDERAL OFFICE BUILDING 8**

This requirement supports strategic objectives Congressional Community Protection, Member Protection and Law Enforcement by providing a means for the Department to secure the Congressionally occupied space within the facility to current standards.

\$100,000 is requested for the design and implementation of modifications to the security management systems for the new Federal Office Building 8 (FOB 8). The facility is currently under construction and is slated to be occupied by the House of Representatives starting in CY2013 under a lease agreement through the General Services Administration (GSA). The building's basic physical security systems are funded through the Architect of the Capitol, however as the tenants of the facility have not been identified, the current design is generic in nature. Once a House of Representatives tenant list is determined, a gap analysis will be required to identify and implement solutions to any security vulnerabilities unique to each tenant. The USCP will be responsible for the safety and security of Congressional staff, visitors, and assets on floors three through six comprising approximately 200,000 sq. feet. As such, SSB requires funding to ensure that all security management systems in this space, to include but not limited to, Intrusion Detection, Access Control, CCTV, Public Address, and Duress, are commensurate with the threats and vulnerabilities identified.

## **3. SECURITY FIT-OUT RADIO MODERNIZATION EQUIPMENT ROOMS**

This requirement supports strategic objectives Congressional Community Protection, Event Management, Member Protection, Law Enforcement, Incident Management and Communications, Specialized Response Capabilities, and Continuity of Operations by providing a means to physically secure and monitor the infrastructure of the USCP's police radio system, which is used for all police communications.

\$207,390 is requested for the design and installation of physical security equipment at 17 USCP police radio equipment rooms. Ten of these rooms will be located on Capitol Hill in USCP controlled facilities and will consist of card reader electronic access control; seven rooms will be in AOC leased space in remote, non-USCP controlled facilities. These seven rooms will be secured with card reader electronic access control, an internal motion detector, and an internal close circuit video camera. As the seven remote locations will not have USCP secure network access, additional network encryption equipment will also be installed.

## **VI. Budget Schedules**

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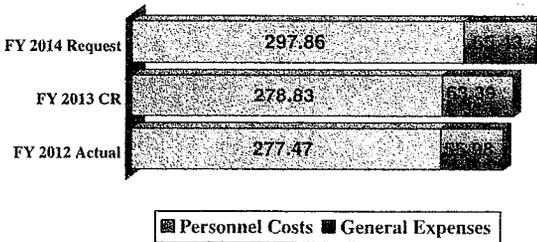
1. FY 2014 Resource Summary
2. Schedule A: Details by Object Class
3. Schedule B: Analysis of Change
4. Analysis of Change Explanation: Personnel
5. Staffing Summary
6. Proposed Appropriations Language

I. FY 2014 RESOURCE SUMMARY

| United States Capitol Police<br>FY 2014 Resource Summary<br>(Dollars in Thousands) |                               |                                    |                   |                     |              |
|--|-------------------------------|------------------------------------|-------------------|---------------------|--------------|
|  | FY2012<br>Budget<br>Authority | FY2013<br>Continuing<br>Resolution | FY2014<br>Request | Change<br>FY13/FY14 | %<br>Change  |
| <b>Personnel</b>   |                               |                                    |                   |                     |              |
| Appropriation  | 277,133                       | 278,829                            | 297,863           | 19,034              | 6.83%        |
| Transfers In   | 4,000                         |                                    |                   |                     |              |
| <b>Total</b>   | <b>\$281,133</b>              | <b>\$278,829</b>                   | <b>\$298,863</b>  | <b>\$19,034</b>     | <b>6.83%</b> |
|  |                               |                                    |                   |                     |              |
|  | FY2012<br>Budget<br>Authority | FY2013<br>Continuing<br>Resolution | FY2014<br>Request | Change<br>FY13/FY14 | %<br>Change  |
| <b>General Expenses</b>  |                               |                                    |                   |                     |              |
| Appropriation  | 63,004                        | 63,390                             | 65,433            | 2,043               | 3.22%        |
| Transfer Out   | (4,000)                       |                                    |                   |                     |              |
| <b>Total</b>   | <b>\$59,004</b>               | <b>\$63,390</b>                    | <b>\$65,433</b>   | <b>\$2,043</b>      | <b>3.22%</b> |
| <b>Total Appropriation</b>   | <b>\$340,137</b>              | <b>\$342,219</b>                   | <b>\$363,296</b>  | <b>\$21,077</b>     | <b>6.16%</b> |

Note: Totals may contain rounding variances

**Comparison of Resources for  
FY 2012, 2013, 2014 Request**  
(Dollars in Millions)



## 2. SCHEDULE A: DETAILS BY OBJECT CLASS

| United States Capitol Police<br>FY 2014 Budget Request<br>SCHEDULE A<br>Dollars in Thousands |                   |                  |                    |                     |
|--|-------------------|------------------|--------------------|---------------------|
| Summary By Object Class<br>(Dollars in Thousands)  |                   |                  |                    |                     |
| Object Class   | FY 2012<br>Actual | FY 2013<br>CR    | FY 2014<br>Request | Change<br>FY13/FY14 |
| 11 Personnel Compensation  | \$210,110         | \$212,820        | \$226,695          | \$13,875            |
| 12 Personnel Benefits  | 67,187            | 65,809           | 70,968             | 5,159               |
| 13 Benefits for Former Personnel   | 172               | 200              | 200                | 0                   |
| 21 Travel  | 10,908            | 9,036            | 10,183             | 1,147               |
| 22 Transportation of Things  | 11                | 45               | 21                 | (24)                |
| 23 Rent, Communications and Utilities  | 3,293             | 3,347            | 5,591              | 2,244               |
| 24 Printing and Reproduction   | 25                | 396              | 40                 | (356)               |
| 25 Other Contractual Services  | 27,298            | 38,729           | 31,697             | (7,032)             |
| 26 Supplies and Materials  | 3,026             | 3,496            | 6,167              | 2,671               |
| 31 Equipment   | 11,382            | 8,228            | 11,621             | 3,393               |
| 42 Insurance Claims and Indemnities  | 41                | 113              | 113                | -                   |
| <b>Total</b>   | <b>\$333,454</b>  | <b>\$342,219</b> | <b>\$363,296</b>   | <b>+/- \$21,077</b> |

## DETAILS BY OBJECT CATEGORY

| Object Category   | FY 2012<br>Actual | FY 2013<br>CR    | FY 2014<br>Final<br>Request | Change          | Change    |
|---|-------------------|------------------|-----------------------------|-----------------|-----------|
| 11.1 Full-time Permanent  | \$177,708         | \$171,917        | \$188,567                   | 16,650          | 10%       |
| 11.5 Other personnel compensation   | 32,402            | 40,903           | 38,128                      | (2,775)         | (7%)      |
| 12.1 Civilian personnel benefits  | 67,187            | 65,809           | 70,968                      | 5,159           | 8%        |
| 13.1 Benefits for former personnel  | 172               | 200              | 200                         |                 | 0%        |
| 21.0 Travel & Transportation of Persons   | 10,908            | 9,036            | 10,183                      | 1,147           | 13%       |
| 22.0 Transportation of Things<br>Rent, Communications, Utilities & Misc.<br>Charges | 11                | 45               | 21                          | (24)            | (53%)     |
| 23.3 Printing & Reproduction  | 3,293             | 3,347            | 5,591                       | 2,244           | 67%       |
| 24.0 Printing & Reproduction  | 25                | 396              | 40                          | (356)           | (90%)     |
| 25.1 Advisory & Assistance Services   | 21,660            | 32,876           | 24,703                      | (8,173)         | (25%)     |
| 25.2 Other Services   | 3,398             | 2,834            | 3,733                       | 899             | 32%       |
| 25.3 Other Purchases of Goods & Svcs from Govt                                      | 1,950             | 2,545            | 2,653                       | 108             | 4%        |
| 25.6 Medical Care   | 86                | 194              | 397                         | 203             | 105%      |
| 25.7 Operations & Maint Equipment   | 204               | 280              | 211                         | (69)            | (25%)     |
| 26.0 Supply & Materials   | 3,026             | 3,496            | 6,167                       | 2,671           | 76%       |
| 31.0 Equipment  | 11,382            | 8,228            | 11,621                      | 3,393           | 41%       |
| 42.0 Insurance Claims & Indemnities   | 41                | 113              | 113                         |                 | 0%        |
| <b>Total USCP</b>   | <b>\$333,454</b>  | <b>\$342,219</b> | <b>\$363,296</b>            | <b>\$21,077</b> | <b>6%</b> |

## 4. SCHEDULE B: ANALYSIS OF CHANGE

## United States Capitol Police

## FY 2014 Analysis of Change

| Dollars in Thousands  |  | FY2014 Agency Request |                |
|---|--|-----------------------|----------------|
|   |  | Positions             | Amount         |
| FY2013 Continuing Resolution  |  | 2,243                 | \$342,219      |
| FY2014 Changes:   |  |                       |                |
| Non-recurring Costs   |  |                       |                |
| Information Systems: Information Security   |  |                       | (36)           |
| Information Systems: Operations   |  |                       | (30)           |
| Inauguration  |  |                       | (650)          |
| Salary Offset   |  |                       | (10,965)       |
| Total, Non-recurring Costs  |  |                       | (11,681)       |
| Pay and Related Costs   |  |                       |                |
| FY2013 Salaries for Authorized FTEs Annualized for FY2014   |  |                       | 14,692         |
| FY2014 Within Grade Increases & Promotions  |  |                       | 448            |
| Overtime - Core Mission   |  |                       | (1,264)        |
| Overtime - (Training, Inauguration, Unscheduled, etc.)  |  |                       | (907)          |
| Annualized Benefits   |  |                       | 5,133          |
| Specialty Pay, Lump Sum & Misc. Payments  |  |                       | 931            |
| Total, Pay and Related Costs  |  |                       | 19,034         |
| Price Level Changes   |  |                       | 3,591          |
| Program Changes (Net)   |  |                       |                |
| Security Services: Access Control (Card Access, Barriers, Fire Doors, Kiosk)                            |  |                       | (201)          |
| Administrative  |  |                       | 1,033          |
| Financial Management: Agency-wide Services (gas, internal training, and equipment)                      |  |                       | 68             |
| Information Systems: Enterprise Applications  |  |                       | (121)          |
| Security Services: Detection/Screening Systems-lifecycle replacement, contractor support, equipment     |  |                       | (18)           |
| Facilities Mgmt.: FFE Refreshment and Contracts   |  |                       | 198            |
| Financial Management & Accountability (Momentum/Maximo systems and contractor support)                  |  |                       | 308            |
| Fleet Management: Vehicles, repairs, rental, supplies   |  |                       | (193)          |
| Operational Services: Hazardous Response- external training, travel for training, ammunition, equipment |  |                       | 265            |
| Human Resources: Operations and Systems   |  |                       | (57)           |
| Human Resources: Recruiting and Employment  |  |                       | 227            |
| Information Systems: Network Communications   |  |                       | 2,212          |
| Information Systems: Operations   |  |                       | 1,098          |
| Mission Assurance Bureau: Operations - contractor support, training, travel for training, equipment     |  |                       | (3)            |
| Operational Services: Patrol Mobile Response - training, travel for training, ammunition, equipment     |  |                       | 67             |
| Facilities Mgmt.: Uniforms, Cleaning and Alterations  |  |                       | 2,259          |
| Protective Services: Protective Detail - Travel and chartered flights                                   |  |                       | 246            |
| Protective Services: Protective service - contractor support, training, travel for training, equipment  |  |                       | (13)           |
| Security services: Security Systems Maintenance - Life cycle replacement, contractor support, equipment |  |                       | (138)          |
| Security Services: Special projects   |  |                       | 555            |
| Training Services: Training Programs  |  |                       | 2,339          |
| Total, Program Changes  |  |                       | 10,133         |
| Net Increase/Decrease   |  |                       | 21,077         |
| <b>Total Appropriation</b>  |  | <b>2,243</b>          | <b>363,296</b> |

## 4. ANALYSIS OF CHANGE EXPLANATION - PERSONNEL

**Analysis of Change Explanation**  
**FY 2014 Change Compared to FY 2013CR**  
**Personnel Expenses**  
(Dollars in Thousands)

| <b>FY 2014 Mandatory Pay and Related Cost Increases</b> |   |         |
|---|---|---------|
| 1   | Annualization of FY 2013 Salaries for FY 2014<br>Adjustment to salary based on authorized strength.   | 14,692  |
| 2   | FY 2014 Within Grade Increases, Promotions<br>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. | 448     |
| 3   | Overtime<br>For FY 2014, the overall estimated overtime will cost approximately \$32.8 million in support of the core mission, unscheduled events, training, and LOC non reimbursable events  | (2,171) |
| 4   | Annualization of FY 2014 Benefits Funding of Department-wide benefits   | 5,133   |
| 5   | Specialty Pay, Lump Sum, and Misc Benefits<br>The total includes: specialty assignment pay, holiday pay, lump sum pay, FTO pay, hazardous duty, specialty pay, and death gratuity.  | 931     |

## 5. STAFFING SUMMARY

**United States Capitol Police  
Authorized Personnel Summary**

| POSITION TYPE               | Positions      |                   |                 | Change<br>(+/-) |
|-----------------------------|----------------|-------------------|-----------------|-----------------|
|                             | FY12<br>Budget | FY13 CR<br>Budget | FY14<br>Request |                 |
| Appointed*                  | 8              | 8                 | 8               | -               |
| Sworn                       |                |                   |                 | -               |
| 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             | 1,530           | -               |
| Civilian                    | 437            | 437               | 437             | -               |
| <b>TOTAL</b>                | <b>2,243</b>   | <b>2,243</b>      | <b>2,243</b>    |                 |

\* Appointed includes the Chief, the Assistant Chief, the Chief Administrative Officer, General Counsel and four OIG 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, [~~\$278,829,000~~] \$297,863,000 to be disbursed by the Chief of the Capitol Police or his designee. (*Legislative Branch Appropriations Act, 2013.*)

## 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, [~~\$63,390,000~~] \$65,433,000, to be disbursed by the Chief of the Capitol Police or his designee: Provided, that, notwithstanding any other provision of law, the cost of basic training for the Capitol Police at the Federal Law Enforcement Training Center for fiscal year [2013] 2014 shall be paid by the Secretary of Homeland Security from funds available to the Department of Homeland Security. (*Legislative Branch Appropriations Act, 2013.*)

## 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  |
| ConAdmin    | Concept of Administration  |
| CONOPS      | Concept of Operations  |
| COO         | Chief of Operations (Assistant Chief)  |
| COOP        | Continuity of Operations   |
| COP         | Chief of Police  |
| CP          | Civilian Pay   |
| DAS         | Distributed Antenna System   |
| DPD         | Dignitary Protective Division  |
| FD          | Force Development  |
| FERS        | Federal Employee Retirement System   |
| 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                           |
| OOCC        | 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                                  |
|             | Transportation Interdiction Group Emergency Response Team |
| TIGER       |   |
| 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            |

USCP FY 2014 Salary Projection

PP18 A 28.9%  
 PPF18B - 69.7%

| PP     | Base Salary FY13 | Adj. Proj. WIG | Base Sal per PP | Night Diff. | Sunday Diff. | Night & Sunday Diff. | Holiday pay | Hazard Pay | Salary Categories |                  |           |               | Lump Sum | FTO misc. | COLA 1.9% | Overtime | Sub-Total | Benefits | TOTAL            |           |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|--------|------------------|----------------|-----------------|-------------|--------------|----------------------|-------------|------------|-------------------|------------------|-----------|---------------|----------|-----------|-----------|----------|-----------|----------|------------------|-----------|---|---------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
|        |                  |                |                 |             |              |                      |             |            | Career Ladder     | Sub-Total Salary | COLA 1.8% | Sel With COLA |          |           |           |          |           |          |                  | Benefit % |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 19     | 2,671            |                | 1,101           | 1,160       | 1,164        | 12                   | 1,180       | 2          | 2,233             | 2,733            | 970       | 15            | 1,183    | 1,198     | 0,018     | 11,770   | 439       | 455      | 35               | 4,183     |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 20     | 6,975            |                | 6,975           | 105         | 31           | 81                   | 6           | 81         | 7,218             | 7,218            | 2,662     | 38            | 3        | 3         |           | 1,124    | 1,165     | 69       | 11,035           | 11,035    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 21     | 6,975            |                | 6,994           | 105         | 20           | 31                   | 6           | 105        | 7,147             | 7,147            | 2,537     | 38            | 3        | 3         | 7,147     | 1,088    | 1,129     | 65       | 10,696           | 10,696    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 22     | 6,994            |                | 6,994           | 105         | 20           | 31                   | 6           | 105        | 7,285             | 7,285            | 2,577     | 38            | 3        | 3         | 7,285     | 1,143    | 1,184     | 91       | 11,110           | 11,110    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 23     | 6,994            |                | 6,994           | 105         | 20           | 31                   | 6           | 95         | 7,253             | 7,253            | 2,575     | 38            | 3        | 3         | 7,253     | 1,094    | 1,135     | 87       | 11,049           | 11,049    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 24     | 6,998            |                | 6,998           | 105         | 20           | 31                   | 6           | 95         | 7,181             | 7,181            | 2,542     | 38            | 3        | 3         | 7,181     | 1,118    | 1,159     | 89       | 10,951           | 10,951    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 25     | 6,998            |                | 6,998           | 105         | 20           | 31                   | 6           | 95         | 7,254             | 7,254            | 2,575     | 38            | 3        | 3         | 7,254     | 1,093    | 1,134     | 90       | 11,057           | 11,057    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 26     | 7,003            |                | 7,003           | 105         | 20           | 31                   | 6           | 98         | 7,272             | 7,272            | 2,582     | 38            | 3        | 3         | 7,272     | 1,122    | 1,164     | 97       | 11,157           | 11,157    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 27     | 7,009            |                | 7,023           | 105         | 20           | 31                   | 6           | 98         | 7,186             | 7,186            | 2,557     | 38            | 3        | 3         | 7,186     | 1,102    | 1,143     | 92       | 11,207           | 11,207    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 28     | 7,032            |                | 7,032           | 105         | 20           | 31                   | 6           | 105        | 7,301             | 7,301            | 2,638     | 38            | 3        | 3         | 7,301     | 1,681    | 1,723     | 132      | 11,925           | 11,925    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 29     | 7,032            |                | 7,040           | 105         | 20           | 31                   | 6           | 105        | 7,203             | 7,203            | 2,603     | 38            | 3        | 3         | 7,203     | 1,348    | 1,390     | 106      | 11,432           | 11,432    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 30     | 7,040            |                | 7,043           | 105         | 20           | 31                   | 6           | 105        | 7,207             | 7,207            | 2,605     | 38            | 3        | 3         | 7,207     | 1,071    | 1,112     | 85       | 11,139           | 11,139    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 31     | 7,043            |                | 7,047           | 105         | 20           | 31                   | 6           | 105        | 7,210             | 7,210            | 2,605     | 38            | 3        | 3         | 7,210     | 1,151    | 1,193     | 91       | 11,229           | 11,229    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 32     | 7,047            |                | 7,053           | 105         | 20           | 31                   | 6           | 105        | 7,217             | 7,217            | 2,609     | 38            | 3        | 3         | 7,217     | 1,311    | 1,352     | 103      | 11,410           | 11,410    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 33     | 7,053            |                | 7,050           | 105         | 20           | 31                   | 6           | 105        | 7,223             | 7,223            | 2,610     | 38            | 3        | 3         | 7,223     | 1,150    | 1,191     | 97       | 11,245           | 11,245    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 34     | 7,050            |                | 7,077           | 105         | 20           | 31                   | 6           | 105        | 7,235             | 7,235            | 2,614     | 38            | 3        | 3         | 7,235     | 1,827    | 1,868     | 116      | 11,762           | 11,762    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 35     | 7,077            |                | 7,073           | 105         | 20           | 31                   | 6           | 95         | 7,237             | 7,237            | 2,612     | 38            | 3        | 3         | 7,237     | 1,121    | 1,162     | 97       | 11,245           | 11,245    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 36     | 7,073            |                | 7,084           | 105         | 20           | 31                   | 6           | 95         | 7,251             | 7,251            | 2,619     | 38            | 3        | 3         | 7,251     | 1,231    | 1,273     | 97       | 11,335           | 11,335    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 37     | 7,084            |                | 7,082           | 105         | 20           | 31                   | 6           | 175        | 7,253             | 7,253            | 2,621     | 38            | 3        | 3         | 7,253     | 1,155    | 1,207     | 82       | 11,302           | 11,302    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 38     | 7,082            |                | 7,082           | 105         | 20           | 31                   | 6           | 175        | 7,433             | 7,433            | 2,666     | 38            | 3        | 3         | 7,433     | 1,630    | 1,671     | 128      | 12,051           | 12,051    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 39     | 7,111            |                | 7,111           | 105         | 20           | 31                   | 6           | 175        | 7,274             | 7,274            | 2,629     | 38            | 3        | 3         | 7,274     | 1,162    | 1,209     | 92       | 11,329           | 11,329    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 40     | 7,111            |                | 7,114           | 105         | 20           | 31                   | 6           | 175        | 7,278             | 7,278            | 2,630     | 38            | 3        | 3         | 7,278     | 1,217    | 1,269     | 98       | 11,394           | 11,394    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 41     | 7,114            |                | 7,119           | 105         | 20           | 31                   | 6           | 175        | 7,492             | 7,492            | 2,632     | 38            | 3        | 3         | 7,492     | 1,302    | 1,344     | 103      | 11,491           | 11,491    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 42     | 7,119            |                | 7,122           | 105         | 20           | 31                   | 6           | 175        | 7,382             | 7,382            | 2,666     | 38            | 3        | 3         | 7,382     | 1,366    | 1,409     | 108      | 11,688           | 11,688    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 43     | 7,122            |                | 7,133           | 105         | 20           | 31                   | 6           | 175        | 7,456             | 7,456            | 2,637     | 38            | 3        | 3         | 7,456     | 1,172    | 1,214     | 93       | 11,570           | 11,570    |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 44     | 4,972            |                | 4,975           | 74          | 14           | 22                   | 6           | 22         | 5,059             | 5,059            | 1,838     | 28            | 2        | 2         | 5,059     | 795      | 824       | 63       | 5,679            | 5,679     |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| TOTALS |                  |                | 183,894         | 2,764       | 622          | 898                  | 1,037       | 105        | 8,185,190         | 2,444            | 197,835   | 68,930        | 991      | 73        | 13        | 82,160   | 33,224    | 2,444    | 28,920           | 289,820   |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|        |                  |                |                 |             |              |                      |             |            |                   |                  |           |               |          |           |           |          |           |          | Non-PPC payments | 6,000     | 6 | 285,004 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|        |                  |                |                 |             |              |                      |             |            |                   |                  |           |               |          |           |           |          |           |          | SUB-TOTAL        |           |   |         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

|  |         |
|--|---------|
| Total Base Salaries, Benefits & OT     | 285,004 |
| Additional Salary Increases            | 285,004 |
| Cost of Career Swam Training           | 757     |
| Specialty Assignment pay               | 1,321   |
| Specialty pay (Firearms, Fitness, K-9) | 111     |
| Sub-total                              | 1,679   |
| GRAND TOTAL                            | 287,683 |

**SWORN AND CIVILIAN SALARY PROJECTION**

Sworn salary  
Base PP 18 FY 2012

|  | Positions    | Salary         |
|--|--------------|----------------|
| Total Salary-Sworn                         | 1,768        | 144,875        |
| Total Salary - Sworn - Appointed           | 2            | 342            |
| Backfill for open positions                | 6            | 278            |
|  | 1,776        | 145,495        |
| FY 2013 COLA .5%                           |              | 546            |
| FY 13 WIGS                                 |              | 2,905          |
| FY11 PP 19-20 Adjustments (WIGS)           |              | 266            |
| <b>Subtotal</b>                            |              | <b>3,716</b>   |
| <b>Total Sworn Salary base for FY 2013</b> | <b>1,775</b> | <b>149,211</b> |

\$,000's

Civilian salary  
Base PP 18 FY 2012

|   | Positions  | Salary        |
|---|------------|---------------|
| Total Salary - Civilian                       | 365        | 31,421        |
| Total Salary Appointed                        | 6          | 955           |
| 9 Civilians to get to 370                     | 9          | 794           |
|   | 374        | 33,170        |
| FY 2013 COLA .5%                              |            | 124           |
| FY 13 WIGS                                    |            | 285           |
| FY 13 Career-Ladder Promotions                |            | 31            |
|   |            | 36            |
| <b>Subtotal</b>                               |            | <b>476</b>    |
| <b>Total Civilian Salary base for FY 2013</b> | <b>370</b> | <b>33,646</b> |

**United States Capitol Police**  
 FY 2014 General Expenses by Program, Project and BOC

| Program  | Project Name       | BOC            | BOC Description    | FY 13GR                                   | FY 14 Request                  | Change FY13<br>CR to FY14 |                    |                                      |              |               |               |
|--|--------------------|----------------|--------------------|---|--------------------------------|---------------------------|--------------------|--------------------------------------|--------------|---------------|---------------|
| Chief Administrative Officer                             | C/O Administration |                | C/O Administration | 2111 Temp Travel Training                 | 1,450                          | -                         |                    |                                      |              |               |               |
|  |                    |                |                    | 2512 External Training                    | 8,350                          | 7,070                     | 20,080             | 13,010                               |              |               |               |
|  |                    |                |                    | 2610 Office & Miscellaneous Supplies      | 957                            | 2,790                     | 3,000              | 210                                  |              |               |               |
|  |                    |                |                    | 2630 Subscriptions and Publications       | -                              | 1,710                     | 1,000              | (710)                                |              |               |               |
|  |                    |                |                    | <b>C/O Administration Total</b>           | <b>10,757</b>                  | <b>11,570</b>             | <b>24,080</b>      | <b>12,510</b>                        |              |               |               |
|  |                    |                |                    | <b>Chief Administrative Officer Total</b> | <b>10,757</b>                  | <b>11,570</b>             | <b>24,080</b>      | <b>12,510</b>                        |              |               |               |
|  |                    |                |                    | Chief of Operations                       | C/O Administration-Command Ops |                           | C/O Administration | 2610 Office & Miscellaneous Supplies | 1,338        | 1,350         | 1,350         |
|  |                    |                |                    |   |                                |                           |                    | <b>C/O Administration Total</b>      | <b>1,338</b> | <b>1,350</b>  | <b>1,350</b>  |
|  |                    |                |                    |   |                                |                           |                    | <b>Chief of Operations Total</b>     | <b>1,338</b> | <b>1,350</b>  | <b>1,350</b>  |
|  |                    |                |                    | Chief of Operations Inv'l                 | COP Administration             |                           | COP Administration | Inauguration                         | -            | 16,000        | (16,000)      |
| 2310 Rental of Equipment                                 | -                  | 24,000         | (24,000)           |   |                                |                           |                    |                                      |              |               |               |
| 2310 Non-Capital Expenditures, Equipments, and Machinery | -                  | 170,000        | (170,000)          |   |                                |                           |                    |                                      |              |               |               |
| <b>Inauguration Total</b>                                | <b>-</b>           | <b>210,000</b> | <b>(210,000)</b>   |   |                                |                           |                    |                                      |              |               |               |
| <b>Chief of Operations Inv'l</b>                         | <b>-</b>           | <b>210,000</b> | <b>(210,000)</b>   |   |                                |                           |                    |                                      |              |               |               |
| Chief of Police  | COP Administration |                | COP Administration |   |                                |                           |                    | 2110 Temporary Duty (TDY) Travel     | 1,403        | 1,800         | 2,000         |
|  |                    |                |                    |   |                                |                           |                    | 2510 Membership Fees                 | 1,805        | 2,160         | 2,175         |
|  |                    |                |                    |   |                                |                           |                    | 2610 Office & Miscellaneous Supplies | 2,376        | 7,830         | 7,830         |
|  |                    |                |                    |   |                                |                           |                    | 2630 Subscriptions and Publications  | 269          | 90            | 260           |
|  |                    |                |                    |   |                                |                           |                    | <b>COP Administration Total</b>      | <b>5,793</b> | <b>11,880</b> | <b>12,205</b> |
|  |                    |                |                    | COP Representation Fund                   | -                              | -                         | 500                |                                      |              |               |               |
|  |                    |                |                    | 3610 Office & Miscellaneous Supplies      | 355                            | 4,300                     | 5,000              |                                      |              |               |               |
|  |                    |                |                    | 2610 Provisions                           | 1,873                          | -                         | -                  |                                      |              |               |               |
|  |                    |                |                    | 2800 Small Purchases                      | -                              | -                         | -                  |                                      |              |               |               |
|  |                    |                |                    | <b>COP Representation Fund Total</b>      | <b>1,873</b>                   | <b>4,300</b>              | <b>5,000</b>       |                                      |              |               |               |
| <b>Chief of Police Total</b>                             | <b>7,666</b>       | <b>16,180</b>  | <b>17,205</b>      |   |                                |                           |                    |                                      |              |               |               |

| Program                        | Project Name   | BC | B/C Description | FY12 Actuals | FY13 Request | Change 1913<br>CR 10 141 |
|--------------------------------|--|----|-----------------|--------------|--------------|--------------------------|
| Mission Assurance Bureau       | MAB Administration                                       |    |                 |              |              |                          |
|                                | MAB Administration                                       |    |                 |              |              |                          |
|                                | 2110 Temporary Duty (TDY) Travel                         |    |                 |              | 450          | 450                      |
|                                | 2111 Temp Travel Training                                |    |                 | 336          | 1,800        | 900 (900)                |
|                                | 2526 Contractor Support Services non-Federal             |    |                 | 246,261      | -            | -                        |
|                                | 2610 Office & Miscellaneous Supplies                     |    |                 | 5,432        | 4,500        | 6,250 1,750              |
|                                | MAB Administration Total                                 |    |                 | 252,030      | 6,750        | 7,600 850                |
|                                | MAB Command Center Operations                            |    |                 |              |              |                          |
|                                | 2610 Office & Miscellaneous Supplies                     |    |                 | 1,004        | 1,800        | 1,800                    |
|                                | MAB Command Center Admin Total                           |    |                 | 1,004        | 1,800        | 1,800                    |
|                                | MAB Operations   |    |                 |              |              |                          |
|                                | MAB Command Center Operations                            |    |                 |              |              |                          |
|                                | 2111 Temp Travel Training                                |    |                 |              | 1,250        | 15,138 13,788            |
|                                | 2512 External Training                                   |    |                 |              | 1,080        | 8,400 5,360              |
|                                | 2526 Contractor Support Services non-Federal             |    |                 | 4,856        | 4,400        | -                        |
|                                | 2610 Office & Miscellaneous Supplies                     |    |                 | 6,036        | 6,750        | 6,750                    |
|                                | MAB Command Center Operations Total                      |    |                 | 10,988       | 16,580       | 33,728 19,148            |
|                                | MAB Communications Center Operations                     |    |                 |              |              |                          |
|                                | 2526 Contractor Support Services non-Federal             |    |                 | 1,503        | 1,800        | 1,800                    |
|                                | 2640 Miscellaneous Merchant & Vendor Services            |    |                 | 15,550       | -            | (15,500)                 |
|                                | 2610 Office & Miscellaneous Supplies                     |    |                 | 891          | 2,700        | 2,700                    |
|                                | 3110 Non-Capitalized Furniture, Equipment, and Machinery |    |                 | 38,901       | 27,900       | 40,500 31,600            |
|                                | 3120 Capitalized Furniture, Equipment, and Machinery     |    |                 |              | 12,600       | (12,600)                 |
|                                | MAB Command Vehicle Operations Total                     |    |                 | 42,794       | 60,500       | 45,000 (15,500)          |
|                                | MAB Communications Center Operations                     |    |                 |              |              |                          |
|                                | 2512 External Training                                   |    |                 | 1,530        | 4,500        | (4,500)                  |
|                                | 2610 Office & Miscellaneous Supplies                     |    |                 | 4,793        | 6,750        | 5,000 (1,750)            |
|                                | MAB Communications Center Operations Total               |    |                 | 6,323        | 11,250       | 5,000 (6,250)            |
|                                | MAB Administration Total                                 |    |                 | 317,600      | 39,400       | 53,128 (1,321)           |
| Mission Assurance Bureau Total |  |    |                 |              |              |                          |
| Office of Employment Counsel   | DEC Administration                                       |    |                 |              |              |                          |
|                                | DEC Administration                                       |    |                 |              |              |                          |
|                                | 2110 Temporary Duty (TDY) Travel                         |    |                 | 10           | 4,140        | 4,140                    |
|                                | 2111 Temp Travel Training                                |    |                 |              | 4,320        | (4,320)                  |
|                                | 2410 Printing and Binding                                |    |                 |              | 9,900        | 9,648 (252)              |
|                                | 2526 Contractor Support Services non-Federal             |    |                 | 85,767       | 67,500       | 67,500                   |
|                                | 2610 Office & Miscellaneous Supplies                     |    |                 | 6,000        | 3,420        | 3,420                    |
|                                | 2630 Subscriptions and Publications                      |    |                 | 7,865        | 22,500       | 14,000 (8,500)           |
|                                | DEC Administration Total                                 |    |                 | 99,942       | 112,780      | 98,708 (13,072)          |
|                                | Office of Employment Counsel Total                       |    |                 | 99,942       | 111,780      | 98,708 (13,072)          |

| Program                          | Project Name         | BOC   | BOC Description  | FY12 Actuals       | FY13 Request       | Change FY12 CR to FY13                                   |         |         |         |         |
|----------------------------------|----------------------|---|--|--------------------|--------------------|--|---------|---------|---------|---------|
| Office of Facilities & Logistics | Administration - OFL | Occupational Safety, Health and Environment | 2510 Temp Training                                       | 85                 | -                  | -  |         |         |         |         |
|                                  |                      |   | 2510 Membership Fees                                     | 165                | -                  | -  |         |         |         |         |
|                                  |                      |   | 2519 Health Services                                     | 77,772             | 185,513            | 388,735  | 203,222 |         |         |         |
|                                  |                      |   | 2536 Contractor Support Services non-Federal             | 349,385            | 266,850            | 396,980  | 132,140 |         |         |         |
|                                  |                      |   | 2535 Government Support Services                         | 5,335              | -                  | -  | -       |         |         |         |
|                                  |                      |   | 2540 Non Government Contract Services                    | 3,503              | -                  | -  | -       |         |         |         |
|                                  |                      |   | 2610 Non Capitalized Furniture, Equipment, and Machinery | 12,090             | -                  | 4,200  | 4,200   |         |         |         |
|                                  |                      |   | 2610 Office & Miscellaneous Supplies                     | 3,733              | 4,590              | 9,700  | 5,110   |         |         |         |
|                                  |                      |   | 2630 Subscriptions and Publications                      | 7,100              | 2,700              | 14,000   | 11,300  |         |         |         |
|                                  |                      |   | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 459,569            | 459,653            | 815,625  | 355,972 |         |         |         |
|                                  |                      |   | 3110 Non-Capitalized Furniture, Equipment, and Machinery | -                  | -                  | -  | -       |         |         |         |
|                                  |                      |   | 2111 Temp Travel Training                                | -                  | -                  | 1,360  | 1,360   |         |         |         |
|                                  |                      |   | 2512 External Training                                   | -                  | -                  | 745  | 745     |         |         |         |
|                                  |                      |   | 2105   | -                  | -                  | 2,105  | 2,105   |         |         |         |
|                                  |                      |   | OF Administration Total                                  | -                  | -                  | 1,360  | 1,360   |         |         |         |
| OF Administration                | -                    | -   | 2,105  | 2,105              |                    |  |         |         |         |         |
| VMD Administration               | VMD Administration   | VMD Administration                          | 2111 Temp Travel Training                                | 185                | 10,350             | 9,000  | (1,350) |         |         |         |
|                                  |                      |   | 2510 Membership Fees                                     | 475                | 900                | 1,000  | 100     |         |         |         |
|                                  |                      |   | 2512 External Training                                   | 192                | 5,310              | 4,200  | (1,110) |         |         |         |
|                                  |                      |   | 2528 Cleaning and Alteration Services                    | 13,212             | 13,500             | 15,000   | 1,500   |         |         |         |
|                                  |                      |   | 2610 Office & Miscellaneous Supplies                     | 4,279              | 4,500              | 5,000  | 500     |         |         |         |
|                                  |                      |   | 2599 Credit Card Disputes                                | 1,251              | -                  | -  | -       |         |         |         |
|                                  |                      |   | VMD Administration Total                                 | 19,004             | 39,560             | 44,700   | 5,140   |         |         |         |
|                                  |                      |   | VMD Administration                                       | -                  | -                  | -  | -       |         |         |         |
|                                  |                      |   | FMD Administration                                       | FMD Administration | FMD Administration | 2220 Transportation of Things                            | 11,285  | 12,100  | 12,000  | (100)   |
|                                  |                      |   |  |                    |                    | 2310 Rental of Equipment                                 | 3,240   | 2,890   | 3,240   | 390     |
|                                  |                      |   |  |                    |                    | 2536 Contractor Support Services non-Federal             | 127,966 | 145,260 | 311,166 | 175,896 |
|                                  |                      |   |  |                    |                    | 2610 Office & Miscellaneous Supplies                     | 7,213   | 4,500   | 26,790  | 22,280  |
|                                  |                      |   |  |                    |                    | 2630 Subscriptions and Publications                      | -       | -       | 360     | 360     |
|                                  |                      |   |  |                    |                    | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 121,564 | 109,000 | 131,500 | 22,500  |
|                                  |                      |   |  |                    |                    | FMD Administration Total                                 | 270,068 | 274,550 | 478,296 | 208,228 |
| FMD Administration               | -                    | -   |  |                    |                    | -  | -       |         |         |         |
| PMD Administration               | PMD Administration   | PMD Administration                          |  |                    |                    | 2510 Membership Fees                                     | -       | -       | 630     | 630     |
|                                  |                      |   |  |                    |                    | 2512 External Training                                   | -       | -       | 6,550   | 6,550   |
|                                  |                      |   |  |                    |                    | 2610 Office & Miscellaneous Supplies                     | 7,891   | 8,987   | 9,987   | 1,000   |
|                                  |                      |   |  |                    |                    | PMD Administration Total                                 | 7,891   | 8,987   | 17,167  | 8,180   |
|                                  |                      |   |  |                    |                    | PMD Administration                                       | -       | -       | -       | -       |

Program: PMD Logistics Support  
 Project Name: BCC BOC Description  
 FY12 Actuals FY13CR FY14 Request CR to FY14  
 Change FY13 CR to FY14

| Program               | Project Name | BOC Description  | FY12 Actuals | FY13CR  | FY14 Request | CR to FY14 |
|-----------------------|--------------|--|--------------|---------|--------------|------------|
| PMD Logistics Support |              |  |              |         |              |            |
|                       |              | PMD Logistics Support                                    |              |         |              |            |
|                       |              | 2528 Contractor Support Services non-Federal             | 34,020       | -       | 255,000      | 255,000    |
|                       |              | 2528 Cleaning and Alteration Services                    | 10,000       | 41,400  | 50,000       | 8,600      |
|                       |              | 2540 Miscellaneous Merchant and Vendor Services          | 323          | -       | -            | -          |
|                       |              | 2545 Office & Miscellaneous Supplies                     | 24,085       | 66,600  | 35,000       | (31,600)   |
|                       |              | 2614 Business Supplies                                   | 37,727       | 33,350  | 43,000       | 9,650      |
|                       |              | 2633 Behavioral Supplies                                 | 6,857        | -       | -            | -          |
|                       |              | 2637 Law Enforcement Uniforms                            | 646          | 617,269 | 2,608,188    | 1,899,079  |
|                       |              | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 1,717        | 35,000  | 35,000       | -          |
|                       |              | PMD Logistics Support Total                              | 765,246      | 759,959 | 3,025,188    | 2,265,628  |

| Program              | Project Name | BOC Description  | FY12 Actuals | FY13CR    | FY14 Request | CR to FY14 |
|----------------------|--------------|--|--------------|-----------|--------------|------------|
| VMD Fleet Management |              |  |              |           |              |            |
|                      |              | VMD - Fleet Management                                   |              |           |              |            |
|                      |              | 2120 Vehicle Rental                                      | 1,804,515    | 1,458,150 | 2,142,400    | 684,240    |
|                      |              | 2310 Rental of Equipment                                 | -            | 4,500     | 7,500        | 3,000      |
|                      |              | 2322 Rentals - Miscellaneous                             | 3,214        | 13,495    | -            | (13,495)   |
|                      |              | 2571 Vehicle Repair Services                             | 198,161      | 270,000   | 200,000      | (70,000)   |
|                      |              | 2621 Vehicle Supplies                                    | 179,357      | 270,000   | 200,000      | (70,000)   |
|                      |              | 2622 Vehicle Fluid Supplies                              | 13,729       | 20,700    | 23,000       | 2,300      |
|                      |              | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 10,000       | 10,000    | 25,000       | 15,000     |
|                      |              | 3120 Capitalized Vehicles                                | 139,561      | 270,000   | 25,000       | (245,000)  |
|                      |              | 3125 Motor Vehicle Accessories                           | 159,870      | 370,000   | 255,000      | 255,000    |
|                      |              | VMD Fleet Management Total                               | 2,605,047    | 2,806,445 | 3,027,900    | (222,453)  |

Office of Facilities & Logistics Total  
 Office of Financial Management

| Program                                | Project Name | BOC Description  | FY12 Actuals | FY13CR    | FY14 Request | CR to FY14 |
|--|--------------|--|--------------|-----------|--------------|------------|
| Office of Facilities & Logistics Total |              |  | 3,077,439    | 4,123,754 | 5,055,188    | 1,931,434  |
| Office of Financial Management         |              |  |              |           |              |            |
|  |              | Office of Financial Management                           |              |           |              |            |
|  |              | OPM Administration                                       |              |           |              |            |
|  |              | OPM Administration                                       |              |           |              |            |
|  |              | 2111 Temp Travel Training                                | -            | -         | 2,000        | 2,000      |
|  |              | 2410 Printing and Binding                                | -            | 300       | 300          | -          |
|  |              | 2512 External Training                                   | -            | -         | 13,700       | 13,700     |
|  |              | 2516 Contractor Support Services non-Federal             | 2,396        | 2,000     | 2,000        | -          |
|  |              | 2610 Office & Miscellaneous Supplies                     | 12,345       | 20,400    | 20,400       | -          |
|  |              | 2630 Subscriptions and Publications                      | 6,440        | 9,000     | 18,000       | 9,000      |
|  |              | 3110 Non-Capitalized Furniture, Equipment, and Machinery | -            | 2,500     | 2,500        | -          |
|  |              | OPM Administration Total                                 | 21,981       | 35,200    | 58,600       | 26,700     |
|  |              | OPM Agency Services                                      |              |           |              |            |
|  |              | OPM Agency Services                                      |              |           |              |            |
|  |              | 2350 Postage and Fees                                    | 15,300       | 15,300    | 15,300       | -          |
|  |              | 2510 Membership Fees                                     | 5,765        | -         | -            | -          |

| Program | Project Name   | DOC | DOC Description | FY12 Activity | FY13 Est. | FY14 Request | Changes FY13 |
|---------|--|-----|-----------------|---------------|-----------|--------------|--------------|
|         | 2512 External Training                                   |     |                 | 54,951        | 49,830    | 50,000       | 68,150       |
|         | 2536 Contractor Support Services non-Federal             |     |                 | 637,074       | 622,000   | 622,000      | -            |
|         | 2541 Emergency Services - COOP                           |     |                 | 3,000         | -         | -            | -            |
|         | 2571 Operations & Maint Equipment                        |     |                 | 6,000         | 10,000    | 10,000       | -            |
|         | 2615 Provisions  |     |                 | -             | -         | 20,000       | 20,000       |
|         | 2622 Vehicle Fluid Supplies                              |     |                 | 204,602       | 251,500   | 251,500      | -            |
|         | 3110 Non-Capitalized Furniture, Equipment, and Machinery |     |                 | 2,700         | 57,500    | 37,500       | [20,000]     |
|         | 4210 Troc. Chms and Awards                               |     |                 | 40,544        | 112,500   | 112,500      | -            |
|         | OPM Agency Services Total                                |     |                 | 969,346       | 1,168,650 | 1,236,600    | 66,950       |

| OPM Financial Management & Accountability | Financial Systems | 2536 Contractor Support Services non-Federal | 2558 Government Support Services | 3110 Non-Capitalized Furniture, Equipment, and Machinery | OPM Contractual Support | OPM Contractual Support Total |
|---|-------------------|--|----------------------------------|--|-------------------------|-------------------------------|
|   |                   | 235,896                                      | 12,896                           | 122,100  | 109,204                 |                               |
|   |                   | 465,696                                      | 518,696                          | 323,520  | (195,176)               |                               |
|   |                   | -  | -                                | 21,402   | 21,402                  |                               |
|   |                   | 691,592                                      | 531,592                          | 467,022  | (94,570)                |                               |
|   |                   | 1,049,608                                    | 472,500                          | 800,000  | 372,609                 |                               |
|   |                   | 1,049,608                                    | 472,500                          | 800,000  | 372,500                 |                               |
|   |                   | 2,721,128                                    | 2,110,832                        | 2,532,732  | 420,933                 |                               |

| Office of Human Management | Office of General Counsel | OCG Administration | OCG Legal Services                           |
|----------------------------|---------------------------|--------------------|--|
|                            |                           |                    | 2110 Temporary Duty (TDY) Travel             |
|                            |                           |                    | 2440 Advertising & Recruiting                |
|                            |                           |                    | 2512 External Training                       |
|                            |                           |                    | 2536 Contractor Support Services non-Federal |
|                            |                           |                    | 2610 Office & Miscellaneous Supplies         |
|                            |                           |                    | 2630 Subscriptions and Publications          |
|                            |                           |                    | OCG Legal Services Total                     |
|                            |                           |                    | 38   |
|                            |                           |                    | 18,000                                       |
|                            |                           |                    | 586  |
|                            |                           |                    | 34,362                                       |
|                            |                           |                    | 58,500                                       |
|                            |                           |                    | 9,000  |
|                            |                           |                    | 6,242  |
|                            |                           |                    | 16,493                                       |
|                            |                           |                    | 40,100                                       |
|                            |                           |                    | 37,831                                       |
|                            |                           |                    | 225,700                                      |
|                            |                           |                    | 107,842                                      |
|                            |                           |                    | 140,658                                      |

| Office of General Counsel | Office of Human Resources | OHR Administration | OHR Operations                       |
|---------------------------|---------------------------|--------------------|--------------------------------------|
|                           |                           |                    | 2610 Office & Miscellaneous Supplies |
|                           |                           |                    | 2699 Credit Card Disputes            |
|                           |                           |                    | OHR Administration Total             |
|                           |                           |                    | OHR Operations                       |
|                           |                           |                    | OHR Operations Administration        |
|                           |                           |                    | 2111 Temp Travel Training            |
|                           |                           |                    | 2510 Membership Fees                 |
|                           |                           |                    | 1,125                                |
|                           |                           |                    | 900                                  |
|                           |                           |                    | (278)                                |
|                           |                           |                    | 847                                  |
|                           |                           |                    | 900                                  |
|                           |                           |                    | 1,576                                |
|                           |                           |                    | 1,576                                |
|                           |                           |                    | 676                                  |
|                           |                           |                    | 676                                  |
|                           |                           |                    | 929                                  |
|                           |                           |                    | 929                                  |
|                           |                           |                    | 1,600                                |
|                           |                           |                    | 750                                  |
|                           |                           |                    | (179)                                |

| Program | Project Name   | BioC | BOC | Classification | FY12 Actuals | FY13 Est. | FY14 Request | Change FY13<br>CF to FY14 |
|---------|--|------|-----|----------------|--------------|-----------|--------------|---------------------------|
|         | 2512 External Training                                   |      |     |                | 240          | 7,107     | 2,300        | 2,300                     |
|         | Office & Miscellaneous Supplies                          |      |     |                | 6,979        | 12,000    | 4,893        | 4,893                     |
|         | 2510 Software Licenses                                   |      |     |                | 2,654        | 250       | 250          | (2,654)                   |
|         | 3110 Non-Capitalized Furniture, Equipment, and Machinery |      |     |                | 554          | 554       |              |                           |
|         | OHR Operations Administration Total                      |      |     |                | 10,586       | 10,800    | 16,800       | 6,000                     |
|         | OHR Operations Services                                  |      |     |                |              |           |              |                           |
|         | 2526 Contractor Support Services non-Federal             |      |     |                | 20,752       | 24,756    | 26,600       | 1,844                     |
|         | OHR Operations Services Total                            |      |     |                | 20,752       | 24,756    | 26,600       | 1,844                     |
|         | OHR Operations Systems                                   |      |     |                |              |           |              |                           |
|         | 2315 Rental of IT Software                               |      |     |                | 71,870       | 4,575     | 11,261       | 6,686                     |
|         | 2526 Contractor Support Services non-Federal             |      |     |                | 1,011,898    | 116,345   | -            | (116,345)                 |
|         | 2535 Government Support Services                         |      |     |                | 341,263      | 306,000   | 359,107      | 53,107                    |
|         | OHR Operations Systems Total                             |      |     |                | 1,425,032    | 406,920   | 370,468      | (155,527)                 |
|         | OHR Recruiting and Staffing                              |      |     |                |              |           |              |                           |
|         | OHR Employee Benefits & Services                         |      |     |                | 3,260        | 15,840    | 15,800       | (40)                      |
|         | 2610 Office & Miscellaneous Supplies                     |      |     |                | 2,586        | 5,846     | 25,980       | 19,648                    |
|         | OHR Recruit Advertisements                               |      |     |                |              |           |              |                           |
|         | 3110 Temporary Duty (TDY) Travel                         |      |     |                | 15,798       | 16,000    | 16,000       | -                         |
|         | 2440 Advertising   |      |     |                | 25,261       | 27,641    | 27,600       | (41)                      |
|         | 2526 Contractor Support Services non-Federal             |      |     |                | 8,920        | 9,000     | 9,000        | -                         |
|         | 2610 Office & Miscellaneous Supplies                     |      |     |                | 6,258        | 5,850     | 5,850        | -                         |
|         | OHR Recruit Advertisements Total                         |      |     |                | 55,237       | 56,491    | 58,450       | (41)                      |
|         | OHR Recruiting Administration                            |      |     |                |              |           |              |                           |
|         | 2110 Temporary Duty (TDY) Travel                         |      |     |                | 4,000        | 4,000     | (4,000)      |                           |
|         | 2111 Temp Travel Training                                |      |     |                | 5,814        | -         | 1,200        | 1,200                     |
|         | 200,300  |      |     |                | 200,300      | -         | -            | -                         |
|         | 2315 Rental of IT Software                               |      |     |                | 308          | 929       | 750          | (178)                     |
|         | 2510 Membership Fees                                     |      |     |                | 5,000        | 2,200     | 4,570        | 2,770                     |
|         | 2512 External Training                                   |      |     |                | 48,000       | 416,619   | -            | (416,619)                 |
|         | 2517 Applicant Testing                                   |      |     |                | 234,834      | 100,000   | 615,000      | 515,000                   |
|         | 2526 Contractor Support Services non-Federal             |      |     |                | 43,534       | 8,071     | 46,080       | 38,009                    |
|         | 2610 Office & Miscellaneous Supplies                     |      |     |                | 58,938       | 631,918   | 688,000      | 136,161                   |
|         | 2630 Subscriptions and Publications                      |      |     |                | 177          | -         | -            | -                         |
|         | OHR Recruiting Administration Total                      |      |     |                | 676,512      | 676,980   | 764,980      | 87,980                    |
|         | OHR Recruiting Advertising                               |      |     |                | 8,000        | 8,000     | 8,000        | -                         |
|         | 2517 Applicant Testing                                   |      |     |                | 278          | -         | -            | -                         |
|         | 2519 Health Services                                     |      |     |                |              |           |              |                           |
|         | 2610 Office & Miscellaneous Supplies                     |      |     |                | 278          | -         | 3,000        | 3,000                     |
|         | 2633 Boardroom Supplies                                  |      |     |                | 684,880      | 684,950   | 775,580      | 90,590                    |
|         | OHR Recruiting Advertisements Total                      |      |     |                | 1,312,315    | 1,312,315 | 2,057,937    | 745,622                   |
|         | OHR Recruiting Systems                                   |      |     |                |              |           |              |                           |
|         | 2315 Rental of IT Software                               |      |     |                | 1,312,315    | 1,312,315 | 2,057,937    | 745,622                   |
|         | OHR Recruiting Systems Total                             |      |     |                | 1,312,315    | 1,312,315 | 2,057,937    | 745,622                   |



| Program                                   | Project Name   | BCC  | BOC Description | FY12 Actuals | FY13 RCR  | FY12 Request | Change FY13 CR to FY13 |
|---|--|--|-----------------|--------------|-----------|--------------|------------------------|
| Data Networks                             | 2334   | Local Telecommunications   |                 | 269,660      | 278,000   | 278,000      | -                      |
|   | 2526   | Contractor Support Services non-Federal                          |                 | 1,000,209    | 966,360   | 1,433,000    | 286,640                |
|   | 2573   | Software and Technical Support Services & Maintenance Agreements |                 | 177,041      | 196,550   | 203,000      | 6,450                  |
|   | 3110   | Non-Capitalized Furniture, Equipment, and Machinery              |                 | 46,800       | 50,000    | 50,000       | -                      |
|   | 3110   | Non-Capitalized Furniture, Equipment, and Machinery              |                 | 1,490,500    | 1,490,500 | 1,795,000    | 295,000                |
|   | 3110   | Non-Capitalized Furniture, Equipment, and Machinery              |                 | 60,140       | 166,000   | 1,644,000    | 1,478,000              |
|   | 2334   | Local Telecommunications   |                 | 33,200       | 33,200    | 43,500       | 10,300                 |
|   | 2335   | Rental of Telecommunications Equipment                           |                 | 447,937      | 430,800   | 374,000      | (56,800)               |
|   | 2526   | Contractor Support Services non-Federal                          |                 | 451,075      | 300,000   | 550,000      | 250,000                |
|   | 2573   | Software and Technical Support Services & Maintenance Agreements |                 | 531,848      | 100,000   | 450,000      | 350,000                |
|   | 3110   | Non-Capitalized Furniture, Equipment, and Machinery              |                 | 1,491,000    | 1,090,000 | 3,061,500    | 2,031,500              |
|   | 3110   | Non-Capitalized Furniture, Equipment, and Machinery              |                 |              |           |              |                        |
|   | Radio Modernization  |  |                 |              |           |              |                        |
|   | 2526   | Contractor Support Services non-Federal                          |                 | 2,741,720    |           |              | (2,741,720)            |
|   | Radio Modernization  |  |                 |              |           |              |                        |
|   | Telephony/VTC  |  |                 |              |           |              |                        |
|   | 2334   | Local Telecommunications   |                 | 251,898      | 376,500   | 409,500      | 31,000                 |
|   | 2526   | Contractor Support Services non-Federal                          |                 | 498,317      | 361,280   | 598,000      | 146,720                |
|   | 2573   | Software and Technical Support Services & Maintenance Agreements |                 | 9,861        | 37,000    | 37,000       | -                      |
|   | 3110   | Non-Capitalized Furniture, Equipment, and Machinery              |                 | 3,852        | 30,000    | 30,000       | -                      |
|   | 3110   | Non-Capitalized Furniture, Equipment, and Machinery              |                 | 2,527,272    | 2,527,272 | 2,527,272    | -                      |
|   | Wireless/FB Comm   |  |                 |              |           |              |                        |
|   | 2334   | Local Telecommunications   |                 | 1,041,948    | 1,101,000 | 1,101,000    | -                      |
| 2526                                      | Contractor Support Services non-Federal                          |  | 495,489         | 430,000      | 500,000   | 70,000       |                        |
| 2573                                      | Software and Technical Support Services & Maintenance Agreements |  | 177,675         | 197,000      | 197,000   | -            |                        |
| 3110                                      | Non-Capitalized Furniture, Equipment, and Machinery              |  | 267,675         | 70,000       | 110,000   | 40,000       |                        |
| 3110                                      | Non-Capitalized Furniture, Equipment, and Machinery              |  | 2,000,000       | 2,000,000    | 2,000,000 | -            |                        |
| Wireless/FB Comm                          |  |  |                 |              |           |              |                        |
| Wiring & Fiber Plant                      |  |  |                 |              |           |              |                        |
| 2526                                      | Contractor Support Services non-Federal                          |  | 689,979         | 456,000      | 1,327,000 | 871,000      |                        |
| 2573                                      | Software and Technical Support Services & Maintenance Agreements |  | 20,000          | 20,000       | 49,000    | 29,000       |                        |
| 3110                                      | Non-Capitalized Furniture, Equipment, and Machinery              |  | 230,701         | 250,000      | 975,000   | 725,000      |                        |
| 3120                                      | Capitalized Furniture, Equipment, and Machinery                  |  | 204,989         | 400,000      | 1,678,000 | 1,278,000    |                        |
| 3120                                      | Capitalized Furniture, Equipment, and Machinery                  |  | 1,157,272       | 1,157,272    | 1,157,272 | -            |                        |
| Wireless/FB Comm                          |  |  |                 |              |           |              |                        |
| OIS Contract Support Services             |  |  |                 |              |           |              |                        |
| 2526                                      | Contractor Support Services non-Federal                          |  | 95,847          | 107,000      | 107,000   | -            |                        |
| OIS Contract Support Services non-Federal |  |  |                 |              |           |              |                        |
| 2526                                      | Contractor Support Services non-Federal                          |  | 3,073,500       | 3,073,500    | 3,073,500 | -            |                        |
| Customer Support                          |  |  |                 |              |           |              |                        |
| 2526                                      | Contractor Support Services non-Federal                          |  | 796,024         | 750,000      | 807,000   | 17,000       |                        |
| 2573                                      | Software and Technical Support Services & Maintenance Agreements |  | 19,976          | 28,000       | 29,000    | 1,000        |                        |
| Customer Support                          |  |  |                 |              |           |              |                        |
| 2526                                      | Contractor Support Services non-Federal                          |  | 410,000         | 300,000      | 436,000   | 36,000       |                        |
| Customer Support                          |  |  |                 |              |           |              |                        |
| Database/Storage                          |  |  |                 |              |           |              |                        |

CS Operations

|      |  |  |         |         |         |        |
|------|--|--|---------|---------|---------|--------|
| 2526 | Contractor Support Services non-Federal                          |  | 796,024 | 750,000 | 807,000 | 17,000 |
| 2573 | Software and Technical Support Services & Maintenance Agreements |  | 19,976  | 28,000  | 29,000  | 1,000  |
| 2526 | Contractor Support Services non-Federal                          |  | 410,000 | 300,000 | 436,000 | 36,000 |

| Program | Project Name  | BOC | BOC Description | FY12 Actuals | FY13 Request | Change FY13 C/O FY12 |
|---------|---|-----|-----------------|--------------|--------------|----------------------|
|         | 2178 Software and Technical Support Services & Maintenance Agreements |     |                 | 275,000      | 275,000      | 20,000               |
|         | 2179 Furniture, Equipment, and Machinery                              |     |                 | 214,000      | 214,000      | 24,000               |
|         | Databases/Storage Total   |     |                 | 275,000      | 275,000      | 238,000              |
|         | E-Mail, Operating Systems & Office Productivity Software              |     |                 | 1,901        | 430,000      | 9,700                |
|         | 2526 Contractor Support Services non-Federal                          |     |                 | 446,089      | 430,000      | 439,200              |
|         | 2527 Software and Technical Support Services & Maintenance Agreements |     |                 | 450,000      | 430,000      | 32,000               |
|         | 3194 Non-Capitalized Software   |     |                 |              | 471,200      | 41,200               |
|         | F/Mail, Operating Systems & Office Productivity Software Total        |     |                 | 886,548      | 897,000      | 85,000               |
|         | 2526 Contractor Support Services non-Federal                          |     |                 | 607,551      | 1,765,000    | 191,000              |
|         | 2527 Software and Technical Support Services & Maintenance Agreements |     |                 | 1,257,550    | 93,000       | 977,000              |
|         | 3194 Non-Capitalized Software   |     |                 | 44,547       |              | 884,000              |
|         | OS/IT Hardware Support & Administration (Server/PC/Laptop/etc.) Total |     |                 | 2,796,197    | 1,166,500    | 2,450,000            |
|         | OS Operations Modernization   |     |                 | 61,251       |              | 985,500              |
|         | 2526 Contractor Support Services non-Federal                          |     |                 | 15,709       | 30,000       | (30,000)             |
|         | 3194 Non-Capitalized Software   |     |                 | 7,000        | 30,000       | (30,000)             |
|         | OS Operations Modernization Total                                     |     |                 | 13,709       | 60,000       | 37,700               |
|         | Office of Information Systems Total                                   |     |                 | 13,709       | 60,000       | 37,700               |
|         | Office of Inspector General   |     |                 |              |              |                      |
|         | OG Administration   |     |                 |              |              |                      |
|         | OG Administration   |     |                 |              |              |                      |
|         | 2110 Temporary Duty (TDY) Travel                                      |     |                 | 205          | 8,000        | 8,000                |
|         | 2111 Temp Travel Training   |     |                 | 98           |              |                      |
|         | 2350 Postage and Fees   |     |                 | 100          | 100          |                      |
|         | 2410 Printing and Binding   |     |                 | 100          | 100          |                      |
|         | 2512 External Training  |     |                 | 7,836        | 33,000       | 33,000               |
|         | 2526 Contractor Support Services non-Federal                          |     |                 | 706,311      | 677,000      | 701,000              |
|         | 2535 Government Support Services                                      |     |                 | 6,947        | 9,800        | 9,800                |
|         | 2540 Non Government Contract Services                                 |     |                 | 8,400        |              |                      |
|         | 2574 Software and Technical Support Services & Maintenance Agreements |     |                 | 607          | 10,000       | 10,000               |
|         | 2578 Software and Miscellaneous Supplies                              |     |                 | 1,751        |              |                      |
|         | 2890 Subscriptions and Publications                                   |     |                 | 4,463        |              |                      |
|         | 3194 Non-Capitalized Furniture, Equipment, and Machinery              |     |                 |              |              |                      |
|         | OG Administration Total   |     |                 | 237,172      | 238,000      | 762,000              |
|         | OG Administration Total   |     |                 | 13,717       | 238,000      | 246,500              |
|         | Office of Policy & Management Systems                                 |     |                 |              |              |                      |
|         | Administration OPOL   |     |                 |              |              |                      |
|         | OPOL Administration   |     |                 |              |              |                      |
|         | 2110 Temporary Duty (TDY) Travel                                      |     |                 | 5,562        | 5,400        | 5,400                |
|         | 2111 Temp Travel Training   |     |                 | 54           |              |                      |

| Program | Project Name | BGC | BGC Description  | FY12 Actuals  | FY13R         | FY14 Request  | Change FY13 CR to FY14 |
|---------|--------------|-----|--|---------------|---------------|---------------|------------------------|
|         |              |     | 2112 Local Travel  | 35            | 6,060         | 8,000         | 1,940                  |
|         |              |     | 2510 Membership Fees                                     |               |               | 4,400         | 4,400                  |
|         |              |     | 2512 External Training                                   | 1,580         | 1,580         | 4,500         | 2,920                  |
|         |              |     | 2510 Office & Miscellaneous Supplies                     | 1,929         | 2,885         | 4,500         | 1,615                  |
|         |              |     | 2630 Subscriptions and Publications                      | 1,600         | 1,600         | 1,800         | 200                    |
|         |              |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery |               | 400           | 3,500         | 3,100                  |
|         |              |     | <b>OPOL Administration Total</b>                         | <b>10,739</b> | <b>12,025</b> | <b>27,900</b> | <b>16,865</b>          |
|         |              |     | <b>Total</b>   | <b>10,739</b> | <b>11,935</b> | <b>27,900</b> | <b>16,965</b>          |

Office of Policy & Management Systems, Trial  
Office of Professional Responsibility

OPR Administration

|  |                    |  |  |               |               |              |                 |
|--|--------------------|--|--|---------------|---------------|--------------|-----------------|
|  | OPR Administration |  | 2111 Temp Travel Training                                |               | 1,874         | -            | (1,874)         |
|  |                    |  | 2512 External Training                                   |               | 1,062         | -            | (1,062)         |
|  |                    |  | 2526 Contractor Support Services non-Federal             | 2,013         | 540           | 3,000        | 2,460           |
|  |                    |  | 2520 Office & Miscellaneous Supplies                     | 4,205         | 5,400         | 6,000        | 600             |
|  |                    |  | 2526 Subscriptions and Publications                      | 298           |               | 168          | 168             |
|  |                    |  | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 1,600         | 3,000         |              | (1,400)         |
|  |                    |  | <b>OPR Administration Total</b>                          | <b>10,126</b> | <b>11,876</b> | <b>9,168</b> | <b>(2,058)</b>  |
|  |                    |  | <b>OPR Inspections</b>                                   |               | <b>2,538</b>  |              | <b>(2,538)</b>  |
|  |                    |  | 2510 Membership Fees                                     |               | 27            |              | (27)            |
|  |                    |  | 2512 External Training                                   |               | 2,503         | (1)          | (2,503)         |
|  |                    |  | 2610 Office & Miscellaneous Supplies                     | 863           |               |              | (863)           |
|  |                    |  | <b>OPR Inspections Total</b>                             | <b>863</b>    | <b>5,468</b>  | <b>(1)</b>   | <b>(5,468)</b>  |
|  |                    |  | <b>OPR Internal Affairs</b>                              |               |               |              |                 |
|  |                    |  | 2111 Temp Travel Training                                |               |               |              |                 |
|  |                    |  | 2510 Membership Fees                                     |               |               |              |                 |
|  |                    |  | 2512 External Training                                   |               |               |              |                 |
|  |                    |  | 2526 Contractor Support Services non-Federal             | 3,585         | 12,238        | -            | (12,538)        |
|  |                    |  | 2520 Office & Miscellaneous Supplies                     | 2,280         | 10,213        | (1)          | (10,913)        |
|  |                    |  | 2526 Subscriptions and Publications                      | 436           |               |              | (436)           |
|  |                    |  | <b>OPR Internal Affairs Total</b>                        | <b>6,301</b>  | <b>22,451</b> | <b>(1)</b>   | <b>(23,451)</b> |
|  |                    |  | <b>Total</b>   | <b>11,339</b> | <b>40,386</b> | <b>3,167</b> | <b>(31,823)</b> |

Office of Professional Responsibility  
Operational Services Bureau

OSB Administration

|  |                    |  |   |              |              |              |          |
|--|--------------------|--|---|--------------|--------------|--------------|----------|
|  | OSB Administration |  | 2610 Office & Miscellaneous Supplies          | 1,125        | 1,125        | 1,125        | -        |
|  |                    |  | <b>OSB Administration Total</b>               | <b>1,125</b> | <b>1,125</b> | <b>1,125</b> | <b>-</b> |
|  |                    |  | <b>OSB Hazardous Incident Response</b>        |              |              |              |          |
|  |                    |  | OSB Hazardous Devices                         |              |              |              |          |
|  |                    |  | 2111 Temp Travel Training                     | 14,721       | 31,500       | 54,920       | 23,420   |
|  |                    |  | 2512 External Training                        | 41,186       | 45,540       | 109,294      | 63,754   |
|  |                    |  | 2526 Contractor Support Services non-Federal  | 143          |              |              | (143)    |
|  |                    |  | 2540 Miscellaneous Merchant & Vendor Services | 1,899        | 4,140        | 3,649        | (491)    |

| Program | Project Name | DOC | EOC Description  | FY12 Actuals   | FY13 CRT       | FY14 Request   | Change FY13<br>CR to FY14 |
|---------|--------------|-----|--|----------------|----------------|----------------|---------------------------|
|         |              |     | 2510 Office & Miscellaneous Supplies                     | 44,496         | 29,340         | 43,863         | 14,523                    |
|         |              |     | 2610 System Supplies and Materials                       | 107            | -              | -              | -                         |
|         |              |     | 2614 Controlled Explosives & Ammunition                  | 5,059          | 11,700         | 10,000         | (1,700)                   |
|         |              |     | 2637 Law Enforcement Uniforms                            | 351            | -              | -              | -                         |
|         |              |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 4,418          | 6,400          | 64,703         | 58,303                    |
|         |              |     | <b>OS8 Hazardous Materials</b>                           | <b>112,377</b> | <b>138,440</b> | <b>188,563</b> | <b>147,854</b>            |
|         |              |     | 2111 Temp Travel Training                                | -              | -              | 57,420         | 57,420                    |
|         |              |     | 2510 Membership Fees                                     | -              | -              | 400            | 400                       |
|         |              |     | 2512 External Training                                   | 370            | -              | 59,246         | 59,246                    |
|         |              |     | 2514 Internal Training                                   | 10,395         | 10,395         | -              | (10,395)                  |
|         |              |     | 2528 Contractor Support Services Non-Federal             | 16,550         | 10,000         | -              | (10,000)                  |
|         |              |     | 2540 Miscellaneous Merchant & Vendor Services            | 35,577         | 89,888         | 91,925         | 2,037                     |
|         |              |     | 2510 Office & Miscellaneous Supplies                     | 64,584         | 33,500         | 52,159         | 36,659                    |
|         |              |     | 2520 System Supplies and Materials                       | 500            | -              | -              | -                         |
|         |              |     | 2610 System Supplies and Materials                       | 5,510          | -              | 5,000          | 5,000                     |
|         |              |     | 2630 Subscriptions and Publications                      | 1,350          | 1,350          | 1,500          | 150                       |
|         |              |     | 2633 Biohazard Supplies                                  | 16,856         | 72,000         | 52,000         | (20,000)                  |
|         |              |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 206,637        | 108,708        | 140,300        | 31,592                    |
|         |              |     | 3120 Capitalized Furniture, Equipment, and Machinery     | -              | 87,483         | 35,000         | (47,483)                  |
|         |              |     | <b>OS8 Hazardous Materials</b>                           | <b>359,945</b> | <b>189,742</b> | <b>696,997</b> | <b>106,656</b>            |
|         |              |     | <b>OS8 Patrol Mobile Response</b>                        |                |                |                |                           |
|         |              |     | OS8 CERT   |                |                |                |                           |
|         |              |     | 2111 Temp Travel Training                                | 48             | 10,000         | 23,854         | 13,854                    |
|         |              |     | 2510 Membership Fees                                     | 250            | -              | 14,700         | 14,700                    |
|         |              |     | 2512 External Training                                   | 3,747          | 26,000         | 14,243         | (13,758)                  |
|         |              |     | 2510 Office & Miscellaneous Supplies                     | 10,642         | 10,000         | 12,923         | 2,923                     |
|         |              |     | 2520 Subscriptions and Publications                      | -              | -              | 40             | 40                        |
|         |              |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 43,259         | 51,604         | 75,277         | 23,673                    |
|         |              |     | <b>OS8 CERT Total</b>                                    | <b>61,715</b>  | <b>99,604</b>  | <b>127,736</b> | <b>26,132</b>             |
|         |              |     | <b>OS8 K9 Unit</b>                                       |                |                |                |                           |
|         |              |     | 3111 Temp Travel Training                                | 1,350          | -              | -              | -                         |
|         |              |     | 2510 Membership Fees                                     | 2,090          | 1,800          | 3,250          | 1,450                     |
|         |              |     | 2528 Contractor Support Services Non-Federal             | 748            | 540            | 573            | 33                        |
|         |              |     | 2527 Veterinary Services                                 | 26,849         | 19,013         | 22,000         | 2,987                     |
|         |              |     | 2610 Office & Miscellaneous Supplies                     | 277            | -              | 1,000          | 1,000                     |
|         |              |     | 2632 K-9 Supplies  | 38,826         | 31,000         | 49,973         | 18,823                    |
|         |              |     | 2634 Controlled Explosives & Ammunition                  | 1,591          | 1,710          | 3,000          | 1,290                     |
|         |              |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | -              | 35,500         | 20,000         | (15,500)                  |
|         |              |     | <b>OS8 K9 Unit Total</b>                                 | <b>7,660</b>   | <b>99,663</b>  | <b>197,747</b> | <b>100,883</b>            |
|         |              |     | <b>OS8 Offsite Delivery</b>                              |                |                |                |                           |
|         |              |     | 2526 Contractor Support Services Non-Federal             | 143            | 11,169         | 11,301         | 132                       |
|         |              |     | 2540 Miscellaneous Merchant & Vendor Services            | 7,345          | -              | -              | -                         |

| Program | Project Name | BCC | BCC Description  | FY12 Actuals     | FY13 CR          | FY14 Request     | Change FY13 C/A to FY14 |
|---------|--------------|-----|--|------------------|------------------|------------------|-------------------------|
|         |              |     | 2510 Office & Miscellaneous Supplies                     | 5,312            | 7,770            | 7,881            | (1,169)                 |
|         |              |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 6,085            | 1,835            | 1,835            | (4,250)                 |
|         |              |     | OSB Office/Dispatch                                      | 15,985           | 20,288           | 20,288           | (4,303)                 |
|         |              |     | OSB Patrol Mobile  |                  |                  |                  |                         |
|         |              |     | 2511 Temp Travel Training                                | 2,058            | 5,000            | 21,170           | 16,170                  |
|         |              |     | 2512 External Training                                   | 5,869            | 7,000            | 10,450           | 3,450                   |
|         |              |     | 2526 Contractor Support Services non-Federal             | 10,000           | 5,515            | 27,200           | 16,685                  |
|         |              |     | 2535 Government Support Services                         | -                | 4,500            | -                | (4,500)                 |
|         |              |     | 2610 Office & Miscellaneous Supplies                     | 12,287           | 10,000           | 9,867            | (133)                   |
|         |              |     | 2634 Controlled Explosives & Ammunition                  | 1,721            | -                | -                | -                       |
|         |              |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 6,756            | 7,000            | -                | (7,000)                 |
|         |              |     | OSB Patrol Mobile  | 38,991           | 39,015           | 69,899           | 29,907                  |
|         |              |     | <b>Operational Services Bureau Total</b>                 | <b>640,320</b>   | <b>701,150</b>   | <b>1,104,636</b> | <b>463,316</b>          |
|         |              |     | PSB Administration                                       |                  |                  |                  |                         |
|         |              |     | 2334 Local Telecommunications                            | 934              | 1,178            | 0                | (1,178)                 |
|         |              |     | 2516 Contractor Support Services non-Federal             | 96,320           | 100,000          | 103,000          | 3,000                   |
|         |              |     | 2610 Office & Miscellaneous Supplies                     | 11,426           | 22,000           | 24,000           | 1,500                   |
|         |              |     | <b>PSB Administration Total</b>                          | <b>108,680</b>   | <b>123,178</b>   | <b>127,000</b>   | <b>3,322</b>            |
|         |              |     | PSB Protective Detail Travel                             |                  |                  |                  |                         |
|         |              |     | PSB Protective Detail Travel                             |                  |                  |                  |                         |
|         |              |     | 2115 Protective Detail TDY Travel                        | 7,027,005        | 7,236,507        | 7,409,136        | 182,629                 |
|         |              |     | 2120 Vehicle Rental                                      | 59,457           | 2,610            | 3,000            | 390                     |
|         |              |     | 2125 Charter Flights                                     | 263,826          | 27,180           | 89,000           | 61,820                  |
|         |              |     | 2198 Disputes  | 197              | -                | -                | -                       |
|         |              |     | 2322 Rentals - Miscellaneous                             | 7,950            | 9,540            | 9,900            | 360                     |
|         |              |     | 2571 Vehicle Repair Services                             | -                | -                | 2,000            | 2,000                   |
|         |              |     | <b>PSB Protective Detail Travel Total</b>                | <b>7,347,435</b> | <b>7,265,337</b> | <b>7,501,036</b> | <b>253,601</b>          |
|         |              |     | PSB Protective Services                                  |                  |                  |                  |                         |
|         |              |     | PSB Convention Support                                   |                  |                  |                  |                         |
|         |              |     | 2110 Temporary Duty (TDY) Travel                         | 1,541,089        | -                | -                | -                       |
|         |              |     | 2335 Rental of Telecommunications Equipment              | 44,638           | -                | -                | -                       |
|         |              |     | 2336 Contractor Support Services non-Federal             | 500              | -                | -                | -                       |
|         |              |     | 2516 Contractor Support Services                         | 40,726           | -                | -                | -                       |
|         |              |     | 2610 Office & Miscellaneous Supplies                     | 16,540           | -                | -                | -                       |
|         |              |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 16,894           | -                | -                | -                       |
|         |              |     | <b>PSB Convention Support Total</b>                      | <b>1,640,457</b> |                  |                  |                         |
|         |              |     | PSB Dignitary Services                                   |                  |                  |                  |                         |
|         |              |     | 2111 Temp Travel Training                                | 14,191           | 25,000           | 1,100            | (15,000)                |
|         |              |     | 2334 Local Telecommunications                            | -                | -                | 1,100            | 1,100                   |

| Program                          | Project Name | BDC | BDC Description  | FY13      | FY14      | FY15      | FY16 | FY17 | FY18 | FY19 | Change FY13 CR to FY18 |
|----------------------------------|--------------|-----|--|-----------|-----------|-----------|------|------|------|------|------------------------|
|                                  |              |     | 2512 External Training                                   | 9,096     | 23,500    | 1,400     |      |      |      |      | (23,500)               |
|                                  |              |     | PSI Primary Services Total                               | 9,096     | 23,500    | 1,400     |      |      |      |      | (23,500)               |
|                                  |              |     | PS Protective Intelligence                               |           |           |           |      |      |      |      |                        |
|                                  |              |     | 210 Temporary Duty (TDY) Travel                          | 70,109    | 75,000    | 65,000    |      |      |      |      | 10,000                 |
|                                  |              |     | 2111 Travel Training                                     | 18,028    | 5,000     | 28,300    |      |      |      |      | 23,300                 |
|                                  |              |     | 2510 Membership Fees                                     | -         | -         | 500       |      |      |      |      | 500                    |
|                                  |              |     | 2512 External Training                                   | 3,957     | 10,800    | 7,200     |      |      |      |      | (4,600)                |
|                                  |              |     | 2516 Contractor Support Services non-Federal             | 99,839    | 80,000    | 73,000    |      |      |      |      | (7,000)                |
|                                  |              |     | 2535 Government Support Services                         | -         | 140,000   | 171,000   |      |      |      |      | 31,000                 |
|                                  |              |     | 2540 Miscellaneous Merchant & Vendor Services            | 104       | 3,500     | 2,500     |      |      |      |      | (1,000)                |
|                                  |              |     | 2610 Office & Miscellaneous Supplies                     | 11,313    | -         | -         |      |      |      |      | -                      |
|                                  |              |     | 2690 Small Purchases                                     | 2,238     | 1,800     | 2,000     |      |      |      |      | 200                    |
|                                  |              |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 253,024   | 28,800    | 7,200     |      |      |      |      | (21,600)               |
|                                  |              |     | PS Protective Intelligence Total                         | 458,618   | 344,900   | 357,000   |      |      |      |      | 10,900                 |
|                                  |              |     | PS Protective Intelligence Total                         | 9,554,936 | 7,759,415 | 7,195,385 |      |      |      |      | 236,471                |
| Protective Services Bureau Total |              |     |  |           |           |           |      |      |      |      |                        |
| Security Services Bureau         |              |     |  |           |           |           |      |      |      |      |                        |
|                                  |              |     | SS Access Control  |           |           |           |      |      |      |      |                        |
|                                  |              |     | SS Alternate Computer Facility                           |           |           |           |      |      |      |      |                        |
|                                  |              |     | 2526 Contractor Support Services non-Federal             | 935,844   | 1,048,100 | 1,072,000 |      |      |      |      | (71,100)               |
|                                  |              |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | -         | 248,600   | -         |      |      |      |      | (248,600)              |
|                                  |              |     | SS Alternate Computer Facility Total                     | 935,844   | 1,296,700 | 1,072,000 |      |      |      |      | (26,500)               |
|                                  |              |     | SS Barriers  |           |           |           |      |      |      |      |                        |
|                                  |              |     | 2526 Contractor Support Services non-Federal             | 918,600   | 918,600   | 1,093,600 |      |      |      |      | 175,000                |
|                                  |              |     | 2600 System Supplies and Materials                       | 120,000   | 120,000   | 105,000   |      |      |      |      | (15,000)               |
|                                  |              |     | SS Barriers Total  | 1,038,600 | 1,038,600 | 1,198,600 |      |      |      |      | 160,000                |
|                                  |              |     | SS Card Access   |           |           |           |      |      |      |      |                        |
|                                  |              |     | 2526 Contractor Support Services non-Federal             | 81,591    | 86,400    | 171,800   |      |      |      |      | 85,400                 |
|                                  |              |     | 2620 System Supplies and Materials                       | 31,846    | 45,000    | 96,300    |      |      |      |      | 51,900                 |
|                                  |              |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 620,420   | 388,200   | 227,256   |      |      |      |      | (430,944)              |
|                                  |              |     | SS Card Access Total                                     | 28,739    | 131,400   | 295,356   |      |      |      |      | 135,616                |
|                                  |              |     | SS Call of Access Total                                  | 782,596   | 489,000   | 495,356   |      |      |      |      | 6,356                  |
|                                  |              |     | SS Command Center  |           |           |           |      |      |      |      |                        |
|                                  |              |     | 2526 Contractor Support Services non-Federal             | 228,283   | 25,500    | 18,870    |      |      |      |      | (8,630)                |
|                                  |              |     | 2620 System Supplies and Materials                       | 70,988    | 13,500    | 117,800   |      |      |      |      | 48,300                 |
|                                  |              |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 118,667   | 112,600   | 112,600   |      |      |      |      | -                      |
|                                  |              |     | SS Command Center Total                                  | 327,775   | 348,500   | 348,500   |      |      |      |      | 2,725                  |
|                                  |              |     | SS Fire Doors  |           |           |           |      |      |      |      |                        |
|                                  |              |     | 2516 Contractor Support Services non-Federal             | 8,989     | 9,000     | 10,200    |      |      |      |      | 1,200                  |
|                                  |              |     | 2620 System Supplies and Materials                       | 32,811    | 36,000    | 40,000    |      |      |      |      | 4,000                  |
|                                  |              |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 13,038    | 65,700    | 62,714    |      |      |      |      | (2,986)                |
|                                  |              |     | SS Fire Doors Total                                      | 54,838    | 110,700   | 112,914   |      |      |      |      | 2,214                  |
|                                  |              |     | SS Podiums   |           |           |           |      |      |      |      |                        |
|                                  |              |     | 2526 Contractor Support Services non-Federal             | 23,400    | 23,400    | 23,868    |      |      |      |      | 468                    |



| Program | Project Name                                   | EOC | BDC Description  | FY12 Actuals | FY13CR    | FY14 Request | Change FY13<br>C to FY14 |
|---------|--|-----|--|--------------|-----------|--------------|--------------------------|
|         | SB Initial Detection                           |     |  |              |           |              |                          |
|         |  |     | 2670 System Supplies and Materials                       | 4,582        | 6,500     | 7,140        | 840                      |
|         |  |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 103,118      | 128,700   | 130,500      | 1,850                    |
|         | SSB Weapon Detection                           |     |  | 107,795      | 135,000   | 137,700      | 2,700                    |
|         | SSB SCF Alarms                                 |     |  |              |           |              |                          |
|         |  |     | 2670 System Supplies and Materials                       | 4,150        | 4,500     | 4,590        | 90                       |
|         |  |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 16,250       | 27,900    | 28,458       | 558                      |
|         | SSB SCF Alarms Total                           |     |  | 20,400       | 32,400    | 33,048       | 648                      |
|         | SSB X-Rays                                     |     |  |              |           |              |                          |
|         |  |     | 2526 Contractor Support Services non-Federal             | 216          | 22,500    | 5,100        | (17,400)                 |
|         |  |     | 2620 System Supplies and Materials                       | 160,787      | 59,500    | 113,220      | 54,720                   |
|         |  |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 471,984      | -         | -            | -                        |
|         |  |     | 3120 Capitalized Furniture, Equipment, and Machinery     | 50,997       | 737,100   | 715,142      | (20,958)                 |
|         | SSB X-Rays Total                               |     |  | 683,984      | 319,100   | 854,662      | 165,678                  |
|         | SSB Inauguration                               |     |  |              |           |              |                          |
|         |  |     | 2410 Printing and Binding                                | -            | 340,000   | -            | (340,000)                |
|         |  |     | 2526 Contractor Support Services non-Federal             | -            | 30,000    | -            | (30,000)                 |
|         |  |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | -            | 85,000    | -            | (85,000)                 |
|         |  |     | 3120 Capitalized Furniture, Equipment, and Machinery     | -            | 5,000     | -            | (5,000)                  |
|         | SSB Inauguration Total                         |     |  | -            | 460,000   | -            | (460,000)                |
|         | SSB Security Systems Maintenance               |     |  |              |           |              |                          |
|         |  |     | 2526 Contractor Support Services non-Federal             | 3,475,311    | 3,549,600 | 3,549,600    | -                        |
|         |  |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 879,324      | 918,000   | 918,000      | -                        |
|         |  |     | 3120 Capitalized Furniture, Equipment, and Machinery     | 928,863      | 918,000   | 924,211      | 16,213                   |
|         | SSB Security Systems Maintenance Support Total |     |  | 5,283,498    | 5,375,600 | 5,391,811    | 16,213                   |
|         | SSB Security Network                           |     |  |              |           |              |                          |
|         |  |     | 2526 Contractor Support Services non-Federal             | 205,922      | 138,600   | 288,300      | 144,700                  |
|         |  |     | 2620 System Supplies and Materials                       | 12,722       | 13,500    | 13,770       | 270                      |
|         |  |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | 1,107,182    | 348,500   | 219,045      | (119,455)                |
|         |  |     | 3120 Capitalized Furniture, Equipment, and Machinery     | 151,352      | -         | -            | -                        |
|         |  |     | 3194 Non-Capitalized Software                            | 123,927      | 25,000    | 20,000       | (5,000)                  |



| Program | Project Name | BOC | BOC Description  | FY12 Actuals     | FY13CR           | FY14 Request     | Change FY13 CR to FY14 |
|---------|--------------|-----|--|------------------|------------------|------------------|------------------------|
|         |              |     | 2502 External Training   | 250              |                  |                  |                        |
|         |              |     | 2512 Contractor Support Services non-Federal                             | 3,000            |                  |                  |                        |
|         |              |     | 2513 Contractor Support Services   |                  |                  | 45,034           | 45,034                 |
|         |              |     | 2610 Office & Miscellaneous Supplies                                     | 4,711            | 4,500            | 5,092            | 592                    |
|         |              |     | 2699 Credit Card Disburses   | 120              |                  |                  |                        |
|         |              |     | <b>T58 Administration Total</b>  | <b>7,851</b>     | <b>65,750</b>    | <b>76,788</b>    | <b>11,037</b>          |
|         |              |     | <b>T58 Training Services</b>   |                  |                  |                  |                        |
|         |              |     | <b>T58 Firearms Training Qualification</b>                               |                  |                  |                  |                        |
|         |              |     | 2111 Temp Travel Training  |                  |                  | 72,540           | 72,540                 |
|         |              |     | 2512 External Training   |                  | 6,750            | 50,575           | 50,575                 |
|         |              |     | 2536 Contractor Support Services non-Federal                             |                  |                  | 7,635            | 885                    |
|         |              |     | 2535 Government Support Services   | 81,936           | 81,991           | 112,480          | 30,689                 |
|         |              |     | 2610 Office & Miscellaneous Supplies                                     | 81,206           | 106,087          | 65,329           | (40,758)               |
|         |              |     | 2634 Controlled Explosives & Ammunition                                  | 610,857          | 796,801          | 1,540,344        | 743,743                |
|         |              |     | 3180 Weapons and Replacement Parts                                       | 128,875          |                  | 552,355          | 552,355                |
|         |              |     | <b>T58 Firearms Training Qualification Total</b>                         | <b>901,684</b>   | <b>991,628</b>   | <b>2,401,637</b> | <b>1,410,099</b>       |
|         |              |     | <b>T58 Training Programs</b>   |                  |                  |                  |                        |
|         |              |     | 2110 Temporary Duty (TDY) Travel   | 25,684           |                  |                  |                        |
|         |              |     | 2111 Temp Travel Training  | 5,360            | 38,880           | 95,571           | 56,691                 |
|         |              |     | 2512 External Training   | 3,985            | 19,213           | 156,385          | 139,882                |
|         |              |     | 2513 Management Development  | 46,520           | 63,000           | 91,875           | 28,875                 |
|         |              |     | 2514 Internal Training Contractual Agreements                            | 10,450           |                  |                  |                        |
|         |              |     | 2526 Contractor Support Services non-Federal                             | 538,713          | 270,000          | 787,003          | 547,003                |
|         |              |     | 2535 Government Support Services/TRNG                                    | 1,017,857        | 1,472,706        | 1,119,500        | (343,206)              |
|         |              |     | 2536 Government Support Services/Supplies                                | 8,291            | 38,412           | 500,224          | 500,224                |
|         |              |     | 2610 Office & Miscellaneous Supplies                                     | 1,537            |                  | 37,932           | (480)                  |
|         |              |     | <b>T58 Training Programs Total</b>                                       | <b>1,577,166</b> | <b>1,877,211</b> | <b>2,796,500</b> | <b>899,289</b>         |
|         |              |     | <b>T58 Practical Application Center (PAC Building 131) T58-102</b>       |                  |                  |                  |                        |
|         |              |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery                 |                  |                  | 611              | 611                    |
|         |              |     | <b>T58 Practical Application Center (PAC Building 220) T58-103 Total</b> |                  |                  | <b>611</b>       | <b>611</b>             |
|         |              |     | <b>T58 Administration</b>  |                  |                  |                  |                        |
|         |              |     | 2610 Office & Miscellaneous Supplies                                     | 4,664            | 5,472            | 5,472            |                        |
|         |              |     | 2699 Credit Card Disburses   | 735              |                  |                  |                        |
|         |              |     | <b>T58 Administration Total</b>  | <b>5,399</b>     | <b>5,472</b>     | <b>5,472</b>     |                        |
|         |              |     | <b>T58 Capital Division</b>  |                  |                  |                  |                        |
|         |              |     | 2610 Office & Miscellaneous Supplies                                     | 13,460           | 13,500           | 13,500           |                        |
|         |              |     | <b>T58 Capital Division Total</b>  | <b>13,460</b>    | <b>13,500</b>    | <b>13,500</b>    |                        |
|         |              |     | <b>T58 House Division</b>  |                  |                  |                  |                        |
|         |              |     | <b>Training Services Bureau Total</b>                                    | <b>2,574,850</b> | <b>2,974,061</b> | <b>3,203,417</b> | <b>228,566</b>         |
|         |              |     | <b>Uniform Services Bureau</b>   |                  |                  |                  |                        |

| Project Name  | BOC Description  | FY12 Actuals | FY13   | FY14   |
|---|--|--------------|--------|--------|
| US House Division   | 2510 Office & Miscellaneous Supplies                     | 17,976       | 18,000 | 18,000 |
| US House Division Total   |  | 17,976       | 18,000 | 18,000 |
| US Library Of Congress  | 2510 Office & Miscellaneous Supplies                     | 8,857        | 9,000  | 9,000  |
| US Library Of Congress Total  |  | 8,857        | 9,000  | 9,000  |
| US Senate Division  | 2510 Office & Miscellaneous Supplies                     | 5,499        | 9,550  | 8,550  |
| US Senate Division Total  |  | 5,499        | 9,550  | 8,550  |
| US Senate Division  | 2110 Non-Capitalized Furniture, Equipment, and Machinery | 2,000        | 13,500 | 18,500 |
| US Senate Division Total  |  | 2,000        | 13,500 | 18,500 |
| <b>Salaries Offset</b><br>2510 Office & Miscellaneous Supplies<br>2110 Non-Capitalized Furniture, Equipment, and Machinery<br>Total Salaries Offset: 17,476      27,050      34,550 |  |              |        |        |
| <b>Salaries Offset</b><br>2576 Contractor Support Services non-Federal<br>Total Salaries Offset: 10,964,608      10,964,608      10,964,608   |  |              |        |        |
| <b>Salaries Offset Total</b><br>Total Salaries Offset: 28,440,608      38,014,608      45,519,150   |  |              |        |        |
| <b>Grand Total</b><br>Total Salaries Offset: 28,440,608      38,014,608      45,519,150   |  |              |        |        |

**FY 2014  
OFFICE OF INSPECTOR GENERAL (OIG)  
RESOURCE REQUIREMENTS**

**General Expense Budget**

| Program        | FY 2013<br>CR | FY 2014<br>Request | Increase | % Increase |
|----------------|---------------|--------------------|----------|------------|
| Administration | \$738,000     | \$762,000          | \$24,000 | 3.3%       |

When established in 2006, the Office of Inspector General (OIG) was authorized four positions; an Inspector General (IG), an auditor, an investigator, and one administrative staff. That authorization has not increased. The OIG has continued to operate at this staffing level since that time. However, the workload required to support the OIG Mission has grown and exceeds the capacity of the current staffing levels.

As a part of its mission, the OIG conducts and supervises audits and investigations of the programs and operations of the United States Capitol Police (USCP) so as to promote economy and efficiency. Further, the IG is required by statute to keep the Chief and Congress currently and fully informed of serious problems, abuses, and deficiencies within the Department.

An external staffing assessment of OIG determined that between 9 and 12 FTEs are required to carry out the OIG mission. According to the assessment report, the ratio of OIG staff to agency staff should be 1:100. The USCP OIG is at about 1:500. Further, from FYs 2007 to 2012, 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 FTEs) and general expenses have increased only by the inflationary increase for the annual financial statement audit (23 percent).

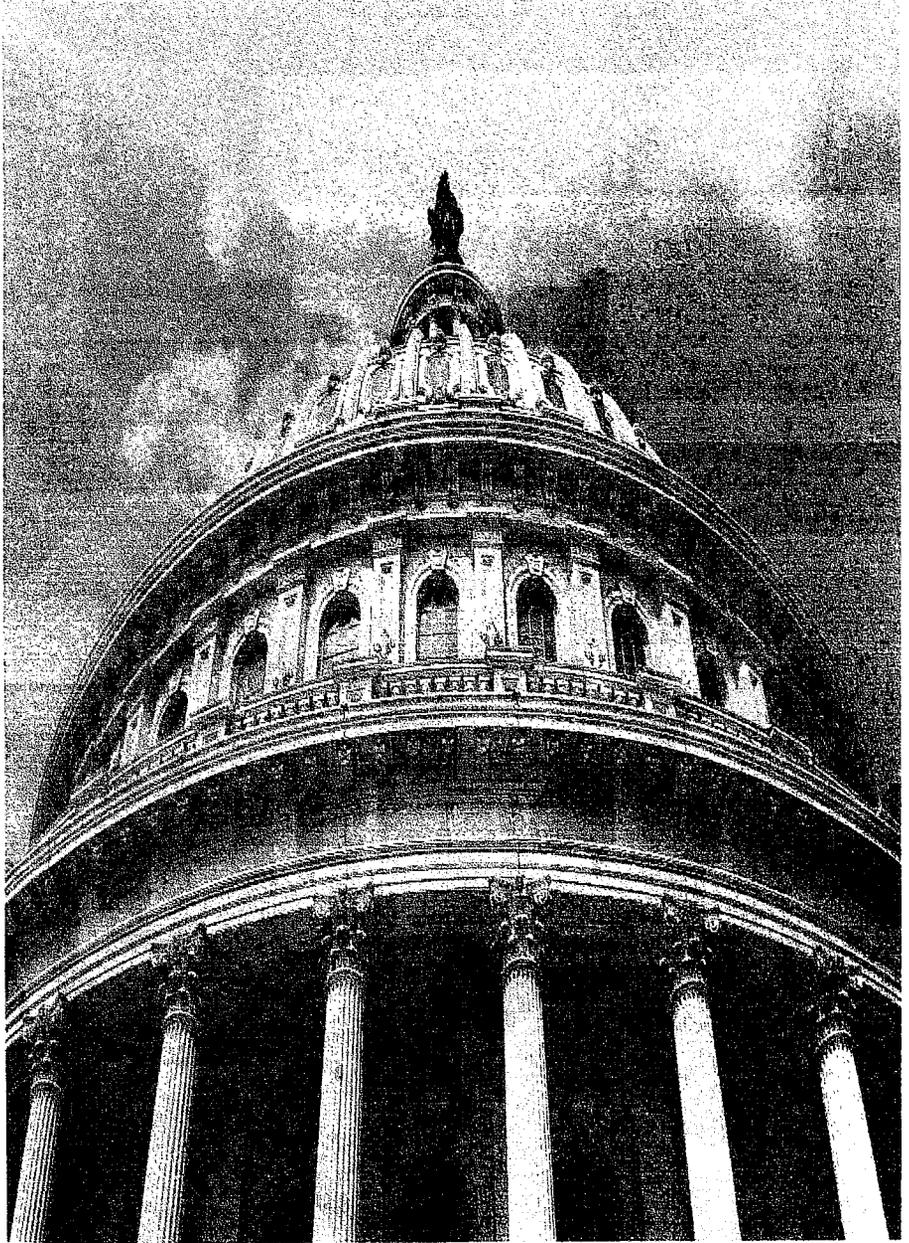
OIG has reported management challenges (Protection/Security, Information Security, Financial Management, Human Capital, Acquisition, and Resolution of Recommendations) for the Department for each of the past six years. These challenges represent OIG's view of the most serious risks/vulnerabilities facing 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 a lack of sufficient resources.

The OIG understands fully the fiscal challenges facing the government, as well as its responsibility to maximize resources to achieve goals and objectives. Therefore, the OIG is not requesting in FY 2014 that new positions be added to the Department's staffing levels to meet existing resource requirements. Consistent with House Report 112-511, Legislative Branch Appropriations Bill, 2013, (June 1, 2012), and the resulting discussions with the Department, OIG anticipates its staffing level to be increased by two FTEs by the end of FY 2013 from within the Department's funded civilian staffing levels. Although these two positions will assist the OIG in better meeting many of its staffing requirements, the full staffing level needed by the Office relative to its workload will require future consideration to maximize the benefits that the Department and the Congress could gain from such an investment.



**Budget Justification Request  
for the  
Committee on Appropriations**

**Fiscal Year 2014**



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## STATEMENT OF THE EXECUTIVE DIRECTOR

On behalf of the Office of Compliance, I am submitting the FY 2014 budget request and justification for your consideration. As described below, while the Office of Compliance continues its services in the mandated areas of dispute resolution, safety and health compliance, public access for people with disabilities, and education and outreach to the regulated community, given the continuing budget cut backs in recent years it has had to reduce substantially the level of services it is able to provide from that of prior years.

This year, the Office of Compliance is requesting an additional \$641,640, or 16.71% over the FY 2013 continuing resolution amount, and \$276,000, or 6.5% more than was requested in FY 2013. This year's request reflects the current needs of the Office in light of recent cuts that have required us to limit services for the 30,000 employees of the Legislative Branch. The OOC's funding has been reduced by approximately \$537,000 since FY2010 – a cut of over 12.26%. For an agency of our small size and funding, this presents a critical shortage of resources. During FY 2012, because of the cuts in our funding, we had to lay off staff, cut safety and health inspector hours, limit inspections designed to ensure access for people with disabilities, reduce the pay of independent hearing officers, bring some mediation in-house, and eliminate technical assistance and educational outreach. We perform the functions of several large agencies, yet, there is no overlap between the duties of the 21 staff positions, so critical work remains undone when we are short-staffed; inefficient computer systems are not updated without sufficient funding, which consequently slows and compromises the processing of critical data and outcomes.

Unless the Office is funded at an appropriate level, we will remain understaffed and under-resourced in all critical areas. With this budget request, the Office of Compliance is asking for sufficient money to: restore safety and health inspections to appropriate levels, thus identifying serious workplace hazards for Members and staff before injury occurs; ensure that the dispute resolution program is able to provide confidential and reliable counseling, mediation and hearing services; perform inspections designed to ensure that members of the public with disabilities can access Legislative Branch facilities; secure necessary updates for case processing and data collection systems; and provide the training and technical assistance requested and needed by employees and employing offices on the Hill.

### THE CONGRESSIONAL MANDATE

The Congressional Accountability Act ("CAA") was passed in 1995, establishing the Office of Compliance ("OOC") which opened 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:

- ❖ Title VII of the Civil Rights Act of 1964;
- ❖ The Age Discrimination in Employment Act of 1967;
- ❖ The Rehabilitation Act of 1970
- ❖ Title I of the Americans with Disabilities Act of 1990;
- ❖ The Family and Medical Leave Act of 1993;
- ❖ The Fair Labor Standards Act of 1938;
- ❖ The Employee Polygraph Protection Act of 1988;
- ❖ The Worker Adjustment and Retraining Notification Act;
- ❖ The Uniformed Services Employment and Reemployment Rights Act

- ❖ The Veterans Employment Opportunities Act ;
- ❖ Public services and accommodations portions of the Americans with Disabilities Act;
- ❖ The Occupational Safety and Health Act of 1970;
- ❖ The Federal Service Labor Management Relations Act; and
- ❖ The Genetic Information Nondiscrimination Act.

The OOC is responsible for enforcing the CAA for the covered community of employing offices and approximately 30,000 employees by administering and ensuring the integrity of the dispute resolution system established to resolve disputes that arise under the CAA; carrying out an education and training program for Congressional Members, employing offices, and Congressional employees to assist them in understanding their rights and responsibilities under the CAA; advising Congress on needed changes and amendments to the CAA; and investigating and enforcing the CAA's occupational safety and health, public access, and unfair labor practice provisions.

In addition to exercising overall agency supervision and managing personnel functions, the Executive Director administers the dispute resolution program and carries out the education and training program. The General Counsel has independent investigatory and enforcement authority with respect to the occupational safety and health laws, the public access provisions of the Americans with Disabilities Act, and the unfair labor practice provisions of the CAA. The General Counsel also represents the OOC and its Board of Directors in all judicial proceedings under the CAA.

The OOC 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. Under the CAA, the Board is required to advise Congress on needed changes and amendments to the CAA and promulgate regulations to implement the laws covered under the CAA. The OOC currently has 22 full-time equivalent positions and pays the part-time Board members (counted as one FTE) on a "when-actually-employed" basis. This employee complement performs a multiplicity of functions on a variety of subject matters, including: dispute resolution--counseling and mediation; developing anti-discrimination and diversity initiatives; enforcing anti-discrimination, occupational safety and health, disability access, and labor relations laws; offering education and training to the covered community; providing professional support for the Board of Directors; and performing general administrative, information technology and fiscal functions. The OOC also regularly contracts for the part-time services of other individuals as mediators, hearing officers, and safety and health inspectors.

#### **THE CURRENT OPERATION OF THE OFFICE OF COMPLIANCE**

Since the passage of the CAA, significant progress has been made by the OOC in improving the safety of the Legislative Branch; recognizing and implementing the rights of employees; assuring access to people with disabilities; and educating our constituency on the mandates of the CAA.

Benefits stemming from the passage of the CAA include ongoing improvements in health and safety conditions on the Capitol Hill campus since 1995 and swift resolution of employee-employer disputes.

With 21 FTE positions and a part-time Board of Directors, the OOC serves the same functions as multiple agencies in the Executive Branch, including 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 eighteenth year, the OOC continues to implement more collaborative enforcement strategies for carrying out its statutory functions without compromising the regulatory mandates of the CAA. The focus is on achieving continuous improvement of existing efforts while enhancing initiatives that will better serve the regulated community.

However, fiscal belt tightening has required the OOC to cut into its major programs. Since FY 2010, the OOC's funding has been reduced by approximately \$537,000, just over 12%. As a small agency with no redundant staff, budget cuts have forced the OOC to reduce staff and cut back services. In order to continue to meet its mission with limited resources, in FY 2012 alone, the Office of Compliance took the following steps to limit spending:

- ❖ Laid off an attorney, which left a gap in our case handling resources;
- ❖ Reduced safety and health inspector hours by approximately 47% compared to FY 2010 - leaving Member, Committee, and nearly all office spaces uninspected;
- ❖ Lacked the funding to fill the vacancy left by the employee responsible for scheduling inspections, maintaining the hazard-finding data base, and issuing hazard-finding reports for employing offices;
- ❖ Eliminated the technical assistance and educational outreach on safety and health issues provided by online *Fast Facts* and OSH/ADA Quarterly Meetings, as those hours were needed to inspect high hazard areas and operations;
- ❖ Reduced the rates paid to the independent hearing officers, established a flat per-case rate for mediators, and brought some mediations in-house to be handled by senior staff trained in mediation;
- ❖ Reduced travel for our Board Members (all but one of whom lives outside the Washington, DC metropolitan area);
- ❖ Eliminated travel for non-Board Members;
- ❖ Reduced necessary maintenance on a case management system that is inadequate for current needs and underdeveloped due to lack of funding;
- ❖ Eliminated funding for training for all employees; and
- ❖ Cut back on the purchase of supplies and information technology equipment, and reduced certain basic custodial services.

#### **FY 2014 BUDGET REQUEST**

The Office of Compliance's FY 2014 budget request was formulated through zero based structured review of the OOC's mission, strategic plan and agency goals. We are continually analyzing our resource posture, present and future, in relation to the mission and functions the OOC is required to perform. With that analysis, we continue to refine how we use appropriated funds to achieve the highest value for each dollar expended.

The Office of Compliance is requesting \$4,482,000 for FY 2014 operations, a 16.71% increase from the FY 2013 continuing resolution level. The FY2014 budget request focuses on supporting the most important statutory functions of the Office of Compliance.

A critical budgetary issue for the Office of Compliance in FY 2014 is funding for the dispute resolution program. By its very nature, the program is unpredictable in the number of constituents served and complexity of hearings. Accordingly, costs can fluctuate greatly over the course of the year. Budget cuts

have been exacerbated by an increase in the complexity and length of hearings, threatening OOC's capacity to meet the demands for dispute resolution services. In some cases, where we have run out of money for court reporters, hearings have been delayed. In addition, the program has had to bring mediations in-house. This requires those senior employees who are skilled and trained in mediation to focus on that service, leaving many of their other responsibilities to be handled by staff, who are themselves overloaded. Accordingly, the OOC is seeking an increase in funding for this program to ensure that the statutorily required level of response to customer requested services/assistance is guaranteed.

Since FY 2010, funding cuts have also forced us to reduce significantly Occupational Safety and Health ('OSH') inspector hours. The limited funding prevents us from completing all statutorily required inspections especially now that the inspection process has become significantly more complex. Starting in FY 2012, the OOC developed and instituted a risk-based approach to biennial inspections. Because inspections in high-risk areas such as machine shops and high voltage areas require both specialized expertise and more time to conduct, the drop in inspector resources resulted in a reduction in our ability to inspect other areas where we have repeatedly found dangerous hazards during previous inspections. Budget cuts also required us to cut back our reviews of OSHA-mandated safety programs to two such programs: hazard communication and personal protective equipment. OOC lacked the resources to evaluate other mandated programs, even in those workplaces where OSHA standards would require their implementation (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 facility roofs, among others). Among private sector workers, landscaping employees report some of the highest rates 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 OOC to significantly reduce planned landscaping inspections. Further, in FY2012, budget cuts forced us to dramatically reduce the technical assistance provided to Congress and prolong our investigations of requestor-initiated inspections. Also, the lack of resources continues to limit the scope of our ADA public access inspection and enforcement. Without the restoration of funds, we anticipate continued delays and further reductions in these critical activities, as well as in processing requests from employees and employing offices for OGC inspection of suspected workplace safety and health hazards. In light of this, the OOC proposes increases in funding for FY2014 to be used directly for biennial risk-based inspections, requester-initiated cases, fire and life safety matters, and ADA public access inspections and analyses.

In addition, due to increased demands for information on the use of OOC's services and the severe limitations in the performance of the current internal case management system, the OOC is requesting additional funds to be used to evaluate the current system and propose strategies for developing a dependable, confidential and responsive system. The FY 2014 IT budget request also reflects the program's focus on upgrading IT security to meet current threat levels, and saving money by consolidating IT functions. This includes moving the responsibility and expenses for licenses, maintenance, and software improvements from other programs to the IT budget.

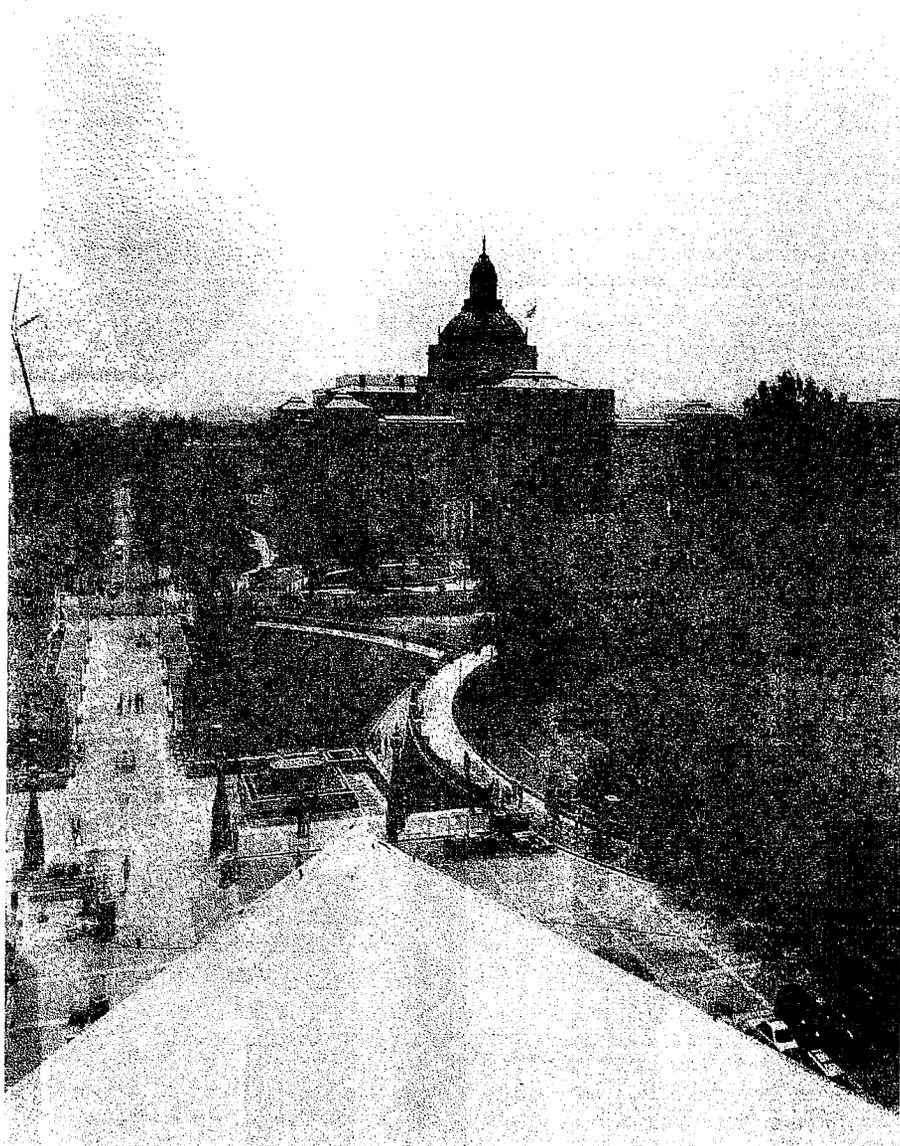
Over the years, the OOC has become increasingly aware of the critical need for training for legislative branch employees and employing offices. Providing additional training and outreach can save time and money by alerting employees to their rights and employing offices to their responsibilities under the CAA much earlier in the process. In the past, Congress has benefited from educational materials posted on OOC's website, [www.compliance.gov](http://www.compliance.gov). In FY2012, budget cuts forced the OOC to eliminate some online publications, such as *Fast Facts* and restrict the reordering of regularly distributed brochures on

the OOC and CAA. In FY 2014 we intend to expand our training program to include on-line training tools, one of the most cost effective means to provide training. This plan is reflected in our request for additional funding for FY 2014.

The balance of the 16.71 % increase requested is for staff safety equipment, contract services increases [cross servicing providers – Library of Congress, National Finance Center], and other services, equipment and supplies needed to operate the Office of Compliance. Also, this funding level will allow OOC to retain the highly skilled and experienced employees needed to successfully implement the Congressional Accountability Act.

The Office of Compliance and its Board of Directors are proud of the level of services that we continue to provide during these challenging times. As the Executive Director, I am equally proud of the work that our highly professional and talented staff members perform every day. 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.

Barbara Sapin  
Executive Director



**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), \$4,482,000, of which \$780,000 shall remain available until September 30, 2015: *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.

**Office of Compliance**  
**Personnel summary (FTE)**

|                       | FY 2012<br>Actual* | FY 2013<br>Actual* | Change  | FY 2014<br>request |
|-----------------------|--------------------|--------------------|---------|--------------------|
| Average ES salary     | \$169,050          | \$169,050          | \$0     | \$169,050          |
| Average GS/GM salary  | \$81,015           | \$81,353           | \$5,832 | \$87,185           |
| Executive level**     | 6                  | 6                  |         | 6                  |
| GS/GM-15              | 3                  | 3                  |         | 3                  |
| GS/GM-14              | 4                  | 3                  |         | 4                  |
| GS/GM-13              | 3                  | 3                  |         | 3                  |
| GS-12                 | 1                  | 1                  |         | 0                  |
| GS-9-11               | 4                  | 4                  |         | 4                  |
| GS-3-8                | 2                  | 2                  |         | 2                  |
| 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 2014 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<br>(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    | 3,840 <sup>10</sup>            |
| 2014  | 4,482    |                                |

<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

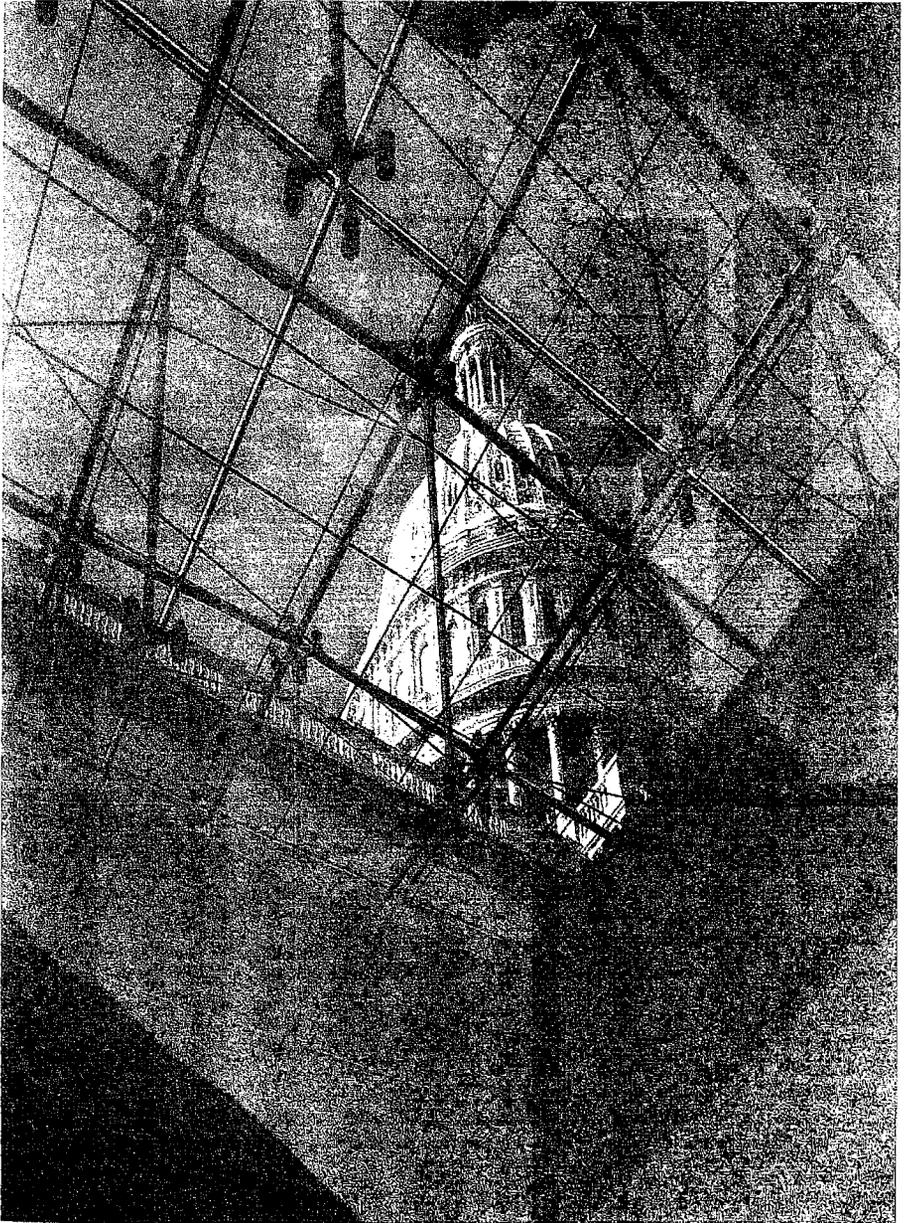
<sup>6</sup>FY 2004 amount reflects reductions pursuant to PL 108-99

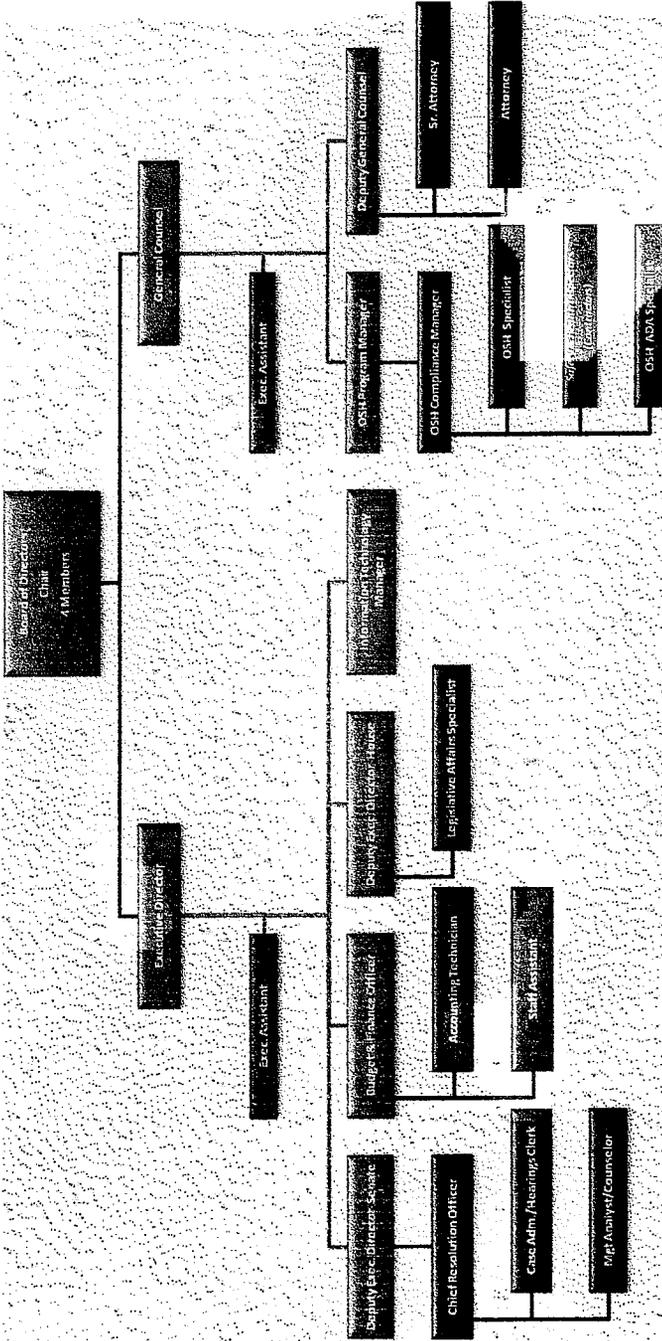
<sup>7</sup>FY 2005 amount reflects reductions pursuant to PL 108-447

<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

<sup>10</sup>FY 2013 amount reflects CR PL 112-175





Office of Compliance FY 2014 ORG

## STRATEGIC PLAN and MEASURING SUCCESS

### Introduction

The Strategic Plan was established to guide the operations of the Office of Compliance from Fiscal Year 2013 through Fiscal Year 2015. During this time period, the OOC 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 OOC and its resources. To support 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 OOC's third triennial Strategic Plan, and sets out four strategic goals for fulfilling its mission under the Congressional Accountability Act. OOC's previous strategic plans were structured along programmatic lines. Thus, there were separate goals dedicated to safety and health, dispute resolution, education and outreach, and Board rule-making. We found, however, that the previous structure also created "mission silos" which led to a "tunnel view" among staff and limited staff involvement in other program areas. The current strategic plan affords staff the opportunity to work more collectively with staff whose focus is in other programmatic areas. This new structure reflects the interdependence between programs. For example, through the education and outreach program the Congressional community receives information not only about the safety and health protections of the CAA but the rights of employees to be free from discrimination in the workplace, as well. OOC's education and outreach mandate spans all programs. The same is true for the mandates and goals of our other programs.

Goal I focuses on educating and communicating to the Congressional community the rights and responsibilities under the CAA, and the services and technical expertise provided by the Office of Compliance; Goal II outlines the agency's commitment to facilitate the identification and resolution of workplace disputes and issues involving claims arising under the CAA; Goal III requires the OOC to build relationships and expand support among the covered community and the public; and Goal IV discusses the OOC's plan to provide opportunities for the professional development of the agency's workforce.

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.

Adequate funding is vital to support the goals and initiatives in this strategic plan. Certain initiatives would take minimal resources to implement, but others require additional resources to come to fruition. As we are unable to predict the level of funding we will receive in the fiscal years spanning this strategic plan, we may need to revisit and adjust the specific initiatives within each Goal. Where sufficient funding exists to meet our mission and accomplish these goals, we anticipate success as outlined within the plan.

**BUDGET REQUEST SUMMARY**

|                   | FY 2012<br>Actual<br>Appropriation | FY 2013 CR<br>Level<br>Appropriation | FY 2014<br>Request<br>Appropriation | Change: 12<br>Enacted to 13 CR<br>Level | Change: 13 CR<br>Level to 14<br>Request |
|-------------------|------------------------------------|--------------------------------------|-------------------------------------|---|---|
| Salary & Benefits | \$2,720,786                        | \$2,820,300                          | \$3,070,100                         | \$99,514                                | \$249,800                               |
| General Expenses  | \$331,964                          | \$320,060                            | \$631,900                           | -\$11,904                               | \$311,848                               |
| Two Year (MH, SH) | \$699,835                          | \$700,000                            | \$780,000                           | \$165                                   | \$80,000                                |
| Grand Total       | \$3,752,585                        | \$3,840,360                          | \$4,482,000                         | \$87,775                                | \$641,640                               |
| FTE's             | 22                                 | 22                                   | 22                                  | 0                                       | 0                                       |

**OVERVIEW OF FISCAL YEAR 2014 BUDGET REQUEST**

The Office of Compliance is requesting \$4,482,000 for fiscal year 2014 operations, reflecting:

- ❖ an increase of \$641,640 or 16.71% from the Agency's fiscal year 2013 CR Level budget of \$3,840,360.

The requested funding is necessary for the Agency's:

- ❖ mandated operations, including hearings, mediations, inspections under the Occupational Safety Health, Americans with Disabilities Act portions of the CAA, and educational activities;
- ❖ funding for 22 full-time equivalent positions ("FTEs")(Which includes one FTE for the five member Board of Directors;

The OOC is requesting that a total of \$780,000 remain available until September 30, 2015 for the services of essential contractors, including hearing officers, mediators, and safety and health inspectors.

**Summary of FY 2014 funding - \$4,482,000**

**11: Personnel - \$2,412,214**

**12: Benefits and Other Personnel Compensation - \$657,885**

**13: Benefits for Former Personnel - \$0**

**21: Travel - \$41,350**

**23: Space Rental/Communications/Misc Charges - \$45,600**

**24: Printing and Reproduction - \$23,000**

**25: Contractual Services - \$1,211,100**

**26: Supplies, Materials and Publications - \$22,000**

**31: Equipment - \$68,850**

**FUNDING REQUESTS (FY 2014)****OBJECT CLASS 11: Personnel**

For FY 2014, OOC requests a budget of **\$2,412,214** for salary expenses associated with full-time employees. This is an increase of **\$280,114** over FY 2013(CR level). 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 1.8% annual salary increase, and inclusive of step increases/merit/promotions (.5% assumption), and performance awards (.44% of budget).

**OBJECT CLASS 12: Benefits and Other Personnel Compensation**

A total of **\$657,885** is budgeted for other personnel compensation and benefits during FY 2014, an increase of **\$77,384** above FY 2013 (CR). 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 **\$0** is budgeted for FY2014. This category covers unemployment benefits, and any other appropriate benefits costs.

**OBJECT CLASS 21: Travel**

The five-member Board of Directors of the OOC includes several out-of-town practitioners who must travel in order to meet at face-to-face Board meetings. As required under the CAA, the five Board members receive 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 **\$38,000** is budgeted for travel by OOC Board members in FY 2014. The balance for staff travel, local and long distance is budgeted at **\$3,350** for a total of **\$41,350** for FY 2014. 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. This is an increase of **\$8,850** from FY 2013 (CR).

**OBJECT CLASS 23: Communications/Misc Charges**

OOC's budget includes an estimated **\$34,000** for telephone service during FY 2014. 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 **\$11,600** for this purpose in FY 2014. This represents a total of **\$45,600**, an increase of **\$4,600** from FY 2013(CR).

**OBJECT CLASS 24: Printing and Reproduction**

OOC has budgeted **\$23,000** in FY 2014 for printing costs. These costs will include: a) printing the newsletter sent to 30,000+ stakeholders; 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 using technology for more efficient and cost effective 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. This budget item reflects an increase of \$11,000 from FY 2013 (CR).

## **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 OOC incurs costs from:

- ❖ Library of Congress (Financial, custodial, information technology, \$120,000);
- ❖ National Finance Center (Payroll/Personnel services, \$5,000);
- ❖ Software Licenses/Website support (\$29,500);
- ❖ Database Services (WebTA, FMA, WestLaw, Pacer, \$41,000);
- ❖ Staff Training (\$4,000);
- ❖ Incidentals (Temporary services, etc., \$45,100).

Fixed costs continue to rise. These support services in total will cost OOC **\$244,600** in FY 2014.

### **B. MISSION DIRECT SERVICES**

OOC has budgeted **\$966,500 (\$186,500-1yr, \$780,000-2yr)** 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 OOC is requesting **\$186,500** for FY 2014, for the following:

- ❖ Web Site; Annual Report; Newsletter; 102B Report (Design/Production, \$71,500)
- ❖ Stenographic services (for hearings, \$30,000);
- ❖ Ongoing training internal/external; Mission related training of covered community and expansion of best practices to increase awareness of rights and OOC services (\$10,000);
- ❖ Funds are requested for contracted services with a part-time inspector. This contractor would enable OGC to conduct design review and pre-inspection of new or renovated Legislative Branch facilities in order to ensure full compliance with OSH and ADA public access provisions are built into the design and construction of such facilities from the start. (\$75,000)

The OOC is requesting that a total of **\$780,000** remain available until **September 30, 2015** 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 Occupational Safety and Health 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 \$22,000 for the purchase of supplies, materials and publications for FY 2014. This amount represents an increase of \$14,500 from FY 2013 (CR). 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 from the rising cost of items purchased.

**OBJECT CLASS 31: Equipment**

OOC is requesting \$68,850 for equipment in FY 2014. There is an increase of \$54,350 from FY 2013 (CR). The bulk of the additional/new funding (\$28,000) will go toward starting a project to replace at the earliest date the Dispute Resolution Case management system. Updating this system is vital and a new system (if funding is available) will require a multiyear commitment to develop and implement.

- ❖ OOC will continue its modernization plan, from our information technology manager, to upgrade the IT capabilities of the OOC 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, 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 OOC 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<br>FY 2014 Annual General Expenses<br>Budget Request Summary by Program<br>(*Inclusive of 2 Yr Funds) |                   |                 |                    |                    |                    |                      |                      |
|--|-------------------|-----------------|--------------------|--------------------|--------------------|----------------------|----------------------|
|  | FY 2012<br>Actual | FY 2013<br>(CR) | FY 2014<br>Request | 12 to 14<br>Change | 13 to 14<br>Change | 12 to 14 %<br>Change | 13 to 14<br>% Change |
| OOO<br>Salaries &<br>Benefits  | \$2,720,786       | \$2,820,300     | \$3,070,100        | \$349,314          | \$249,800          | 12.84%               | 8.86%                |
| OCBD   | \$38,176          | \$33,000        | \$39,000           | \$824              | \$6,000            | 2.16%                | 18.18%               |
| OCEA   | \$38,367          | \$73,060        | \$63,600           | \$25,233           | (\$9,460)          | 65.77%               | -12.95%              |
| OCEI   | \$27,109          | \$17,500        | \$59,000           | \$31,891           | \$41,500           | 117.64%              | 237.14%              |
| OCMH*  | \$132,391         | \$127,000       | \$181,000          | \$48,609           | \$54,000           | 36.72%               | 42.52%               |
| OCGC   | \$45,238          | \$2,500         | \$11,350           | (\$33,888)         | \$8,850            | -74.91%              | 354.00%              |
| OCSH*  | \$599,208         | \$587,500       | \$712,600          | \$113,392          | \$125,100          | 18.92%               | 21.29%               |
| OCSY   | \$151,310         | \$179,500       | \$345,350          | \$194,040          | \$165,850          | 128.24%              | 93.40%               |
| Grand<br>Total   | \$3,752,585       | \$3,840,360     | \$4,482,000        | \$729,415          | \$641,640          | 19.44%               | 16.71%               |

Personnel Costs

| Personnel Request<br>(in millions) |                 |                    |                        |                        |            |            |
|------------------------------------|-----------------|--------------------|------------------------|------------------------|------------|------------|
| FY 2012<br>Actual                  | FY 2013<br>(CR) | FY 2014<br>Request | 12 to 14<br>Difference | 13 to 14<br>Difference | 12 to 14 % | 13 to 14 % |
| \$2,720,786                        | \$2,820,300     | \$3,070,100        | \$349,314              | \$249,800              | 12.84      | 8.86       |

Non-Personnel Costs

| Non-Personnel Request<br>(in millions) |                 |                    |                        |                        |            |            |
|--|-----------------|--------------------|------------------------|------------------------|------------|------------|
| FY 2012<br>Actual                      | FY 2013<br>(CR) | FY 2014<br>Request | 12 to 14<br>Difference | 13 to 14<br>Difference | 12 to 14 % | 13 to 14 % |
| \$1,031,799                            | \$1,020,060     | \$1,411,900        | \$380,101              | \$391,840              | 36.84      | 38.41      |

Non-Personnel services increase/decrease by major Object Class.

| Object Class                                    | FY 2012<br>Actual | FY 2013<br>(CR) | FY 2014<br>Budget<br>Request | 12 to 14<br>CHG | 13 to 14<br>CHG | 12 to<br>14 %<br>CHG | 13 to<br>14 %<br>CHG |
|---|-------------------|-----------------|------------------------------|-----------------|-----------------|----------------------|----------------------|
| (21) Travel                                     | \$ 38,627         | \$32,200        | \$41,350                     | \$2,723         | \$9,150         | 07.05                | 28.42                |
| (23)Space<br>Rental/Communica<br>tions/Misc     | \$ 35,643         | \$41,000        | \$45,600                     | \$9,957         | \$4,600         | 27.93                | 11.22                |
| (24) Printing and<br>Reproduction               | \$ 6,393          | \$12,000        | \$23,000                     | \$16,607        | \$11,000        | 259.77               | 91.66                |
| (25) Contractual<br>Services                    | \$917,072         | \$912,860       | \$1,211,100                  | \$294,028       | \$298,240       | 32.06                | 32.67                |
| (26) Supplies,<br>Materials and<br>Publications | \$ 14,027         | \$7,500         | \$22,000                     | \$7,973         | \$14,500        | 56.84                | 193.33               |
| (31) Equipment                                  | \$ 20,037         | \$14,500        | \$68,850                     | \$48,813        | \$54,350        | 243.61               | 374.83               |
| Grand Total                                     | \$1,031,799       | \$1,020,060     | \$1,411,900                  | \$380,101       | \$391,840       | 36.84                | 38.41                |

## BUDGET REQUESTS BY PROGRAM

### OC Mediation and Hearings - OCMH

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**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.**

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#### **Overview**

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 CAA, the OOC provides information on the 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. 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.

*Requests for Information, Counseling, and Mediation:* An employee or employer covered by the CAA may, at any time, seek information and clarification from the OOC on its procedures, and on the protections, rights, and responsibilities provided by the CAA. Under the CAA, 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 OOC 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 OOC, or to file suit in U.S. District Court. An employee who elects adjudicative procedures of the OOC 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.

#### **Accomplishments in FY 2012**

*Dispute Resolution Process:* The OOC's administrative hearing process provides employees a confidential forum in which to pursue their claims, while offering the same remedies that a court can provide. In FY

2012, more employees raising increasingly complex issues opted to utilize the OOC's confidential administrative hearing process to resolve their claims. This surge in demand for comprehensive services significantly increased the agency's costs.

In FY 2012, the OOC provided advice and information to over 260 covered employees, 83 requests for counseling claiming violations of the Congressional Accountability Act (CAA) were filed, 66 requests for mediation were received, and 20 cases were resolved through negotiated settlements (both monetary and non-monetary).

In FY 2012, 14 administrative complaints were filed - an increase of 16% over FY 2011, and more than 50% over FY 2010. OOC's Board of Directors received 5 petitions for review of hearing officer decisions in FY 2012, and 3 cases were pending on appeal from FY 2011. After thorough and extensive deliberation, 7 decisions were issued by the Board. Final decisions of the Board of Directors are published on our web site at ([www.compliance.gov/directives/board-decisions](http://www.compliance.gov/directives/board-decisions)).

As an active member of the Legislative Branch Dispute Resolution Council (LBEDRC) throughout FY 2012, the OOC offered training customized to the needs of the covered community, and encouraged the agency members of the council to work collaboratively to implement educational initiatives to promote compliance with the CAA.

**Labor Representation:** Pursuant to a petition filed by the National Association of Broadcast Employees and Technicians seeking to represent a unit of employees in the Office of House Photography for purposes of collective bargaining, the OOC conducted a secret ballot election, tallied the ballots, and certified the union as the exclusive representative of the employees in the unit.

**Improvements in Efficiency:** At the beginning of FY 2012, the OOC revised the terms of service contracts with independent mediators in order to reduce expenditures. With the cooperation and dedication of its service providers, the OOC implemented a flat rate for mediation services, and reduced the hourly rate paid to its hearing officers – resulting in the same high level of professional services while achieving a reduction in overall costs. In addition, during FY 2012, OOC was fortunate to work with several talented law students, who, as part of OOC's summer legal internship program, performed crucial legal research and provided support to the work of the Board of Directors.

To improve utility and access to the dispute resolution program – the OOC updated, implemented and published on the website new ADR forms. The work to further refine our forms and agreements is continuing. To further ensure that claims are processed efficiently and effectively, the Board of Directors continued to review its procedural rules, and draft substantive regulations to implement the amended Family and Medical Leave Act. Additional efficiencies included streamlining operations - expanding document storage, revising case management tools, and engaging in a 3 year strategic planning process.

## FY 1997 - FY 2012 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                               |
| FY2011  | 299                   | 142                     | 116                    | 12                              |
| FY 2012 | 263                   | 83                      | 66                     | 14                              |

\* The OOC experienced group filings on each of two controversies.

## Fiscal Year 2014 Budget Request

The Office of Compliance is requesting a total of \$181,000 for non-personnel services for FY 2014 for the OC Mediation and Hearings Program. This total reflects an analysis of the requirements to perform basic functions, and changes in requirements.

## FY 2014 Object Class Schedule A

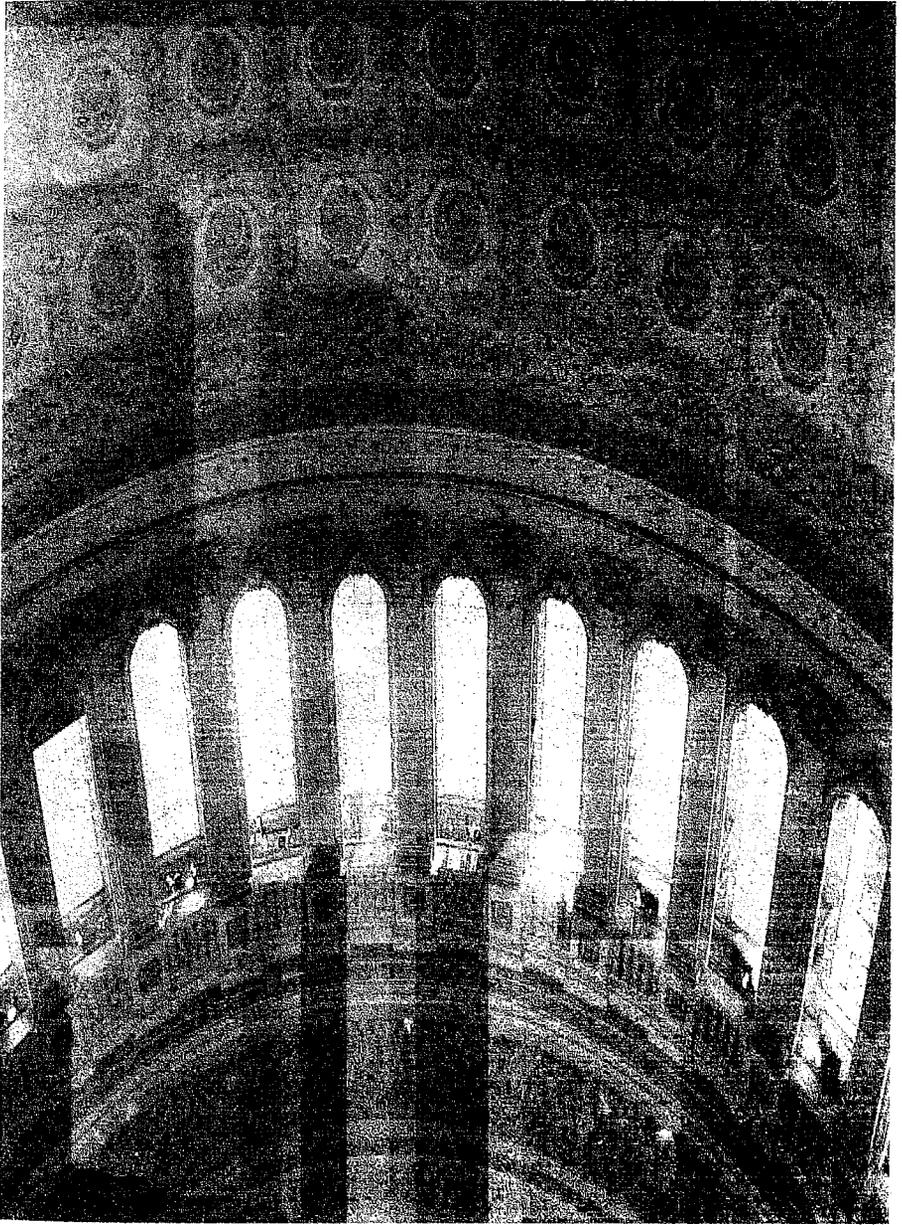
| PROG       | Object Class | OC Description       |           | FY 2013 (CR) |           | Change FY12/FY14 | Change FY13/FY14 |
|------------|--------------|----------------------|-----------|--------------|-----------|------------------|------------------|
| OCMH       |              |                      |           |              |           |                  |                  |
| 1 yr       | 25           | Contractual Services | \$19,804  | \$14,000     | \$31,000  | \$11,196         | \$17,000         |
| 2 yr       | 25           | Contractual Services | \$112,587 | \$113,000    | \$150,000 | \$37,413         | \$37,000         |
| OCMH Total |              |                      | \$132,391 | \$127,000    | \$181,000 | \$48,609         | \$54,000         |

## Analysis of Change

|                               | Mediation and Hearings |
|-------------------------------|------------------------|
| FY 2012 Actual Appropriation  | \$132,391              |
| Legislative Increases         | \$0                    |
| Inflationary Adjustments      | \$0                    |
| Program Increases/Decreases   | \$48,609               |
| FY 2014 New Initiatives       | \$0                    |
| Non-recurring FY 2012 Expense | \$0                    |
| FY 2014 Request               | \$181,000              |

## Analysis of Change

|                               | Mediation and Hearings |
|-------------------------------|------------------------|
| FY 2013 (CR) Appropriation    | \$127,000              |
| Legislative Increases         | \$0                    |
| Inflationary Adjustments      | \$0                    |
| Program Increases/Decreases   | \$54,000               |
| FY 2014 New Initiatives       | \$0                    |
| Non-recurring FY 2013 Expense | \$0                    |
| FY 2014 Request               | \$181,000              |



## 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 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 protected by the CAA's 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 ("OGC") 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 needed to remedy the violation. 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 public 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.

### **Accomplishments in FY 2012**

During FY 2012, the General Counsel completed its first-ever risk-based safety and health inspection program. Typically risk-based inspection are especially time consuming. Inspecting high-hazard areas, such as machine shops and electrical transformer rooms 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. Nonetheless, conducting such inspections is essential to reducing the risk of incurring injuries in what are potentially dangerous employee operations.

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 six of these citations remain unabated due in large part to fiscal constraints. Accordingly, the OOC remains focused on fire prevention efforts in these facilities. The OOC continues 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.

Legislative Branch work space is projected to continue to increase. Despite funding limitations, during the 112<sup>th</sup> Congress we were able to inspect the two new book modules that came online at Ft. Meade. We believe that it is essential that there be sufficient resources necessary to conduct pre-inspections of new facilities before they open. In the past, our pre-inspections of the CVC resulted in significant cost savings. Because safety 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.

During FY2012 our ADA inspections continued to increase the ability of individuals with disabilities to gain access to Legislative Branch facilities. The OOC continued to work with the AOC to develop cost-effective plans to address the most serious barriers to access uncovered by our inspections and by complaints made by members of the public. Our biennial inspections focused on identifying and removing access barriers on pathways to building entrances, and beginning to identify barriers in public restrooms. Using new inspection software, we were able to provide more comprehensive and precise measurements of ADA deficiencies that will help employing offices design appropriate and less costly ways of eliminating barriers.

### **Fiscal Year 2014 Budget Request**

The Office of Compliance is requesting a total of \$712,600 for non-personnel services for FY 2014 for the OC Safety and Health Program. The OOC has noted its need for additional safety and health inspector resources since at least FY 2011. OOC attempted to meet the need during FY 2011 and FY 2012 by obtaining a detailee from the Department of Labor or other Executive Branch agency. Those efforts proved unsuccessful and we were 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, as described above, the risk-based approach supported by Congress requires more time and expertise than

the wall-to-wall inspections of the past, and the additional square footage to inspect further increases OOC's workload.

This total reflects an analysis of the requirements to perform basic functions, and changes in requirements.

**FY 2014 Object Class Schedule A**

| PROG              | Object Class | OC Description         | FY 2012 Actual | FY 2013 (CR) | FY 2014 Requested | Change FY12/FY14 | Change FY13/FY14 |
|-------------------|--------------|------------------------|----------------|--------------|-------------------|------------------|------------------|
| <b>OCSH</b>       |              |                        |                |              |                   |                  |                  |
|                   | 21           | Travel                 | \$419          | \$0          | \$2,500           | \$2,081          | \$2,500          |
| 1 yr              | 25           | Contractual Services   | \$8,302        | \$0          | \$77,600          | \$69,298         | \$77,600         |
| 2 yr              | 25           | Contractual Services   | \$587,248      | \$587,000    | \$630,000         | \$42,752         | \$43,000         |
|                   | 26           | Supplies, Publications | \$0            | \$0          | \$0               | \$0              | \$0              |
|                   | 31           | Equipment              | \$3,238        | \$500        | \$2,500           | (\$738)          | \$2,000          |
| <b>OCSH Total</b> |              |                        | \$599,207      | \$587,500    | \$712,600         | \$113,393        | \$125,100        |

**Analysis of Change**

|                               |  | <b>Safety and Health</b> |
|-------------------------------|--|--------------------------|
| FY 2012 Actual Appropriation  |  | \$599,207                |
| Legislative Increases         |  | \$0                      |
| Inflationary Adjustments      |  | \$0                      |
| Program Increases/Decreases   |  | \$113,393                |
| FY 2014 New Initiatives       |  | \$0                      |
| Non-recurring FY 2012 Expense |  | \$0                      |
| FY 2014 Request               |  | \$712,600                |

**Analysis of Change**

|                               |  | <b>Safety and Health</b> |
|-------------------------------|--|--------------------------|
| FY 2013 (CR) Appropriation    |  | \$587,500                |
| Legislative Increases         |  | \$0                      |
| Inflationary Adjustments      |  | \$0                      |
| Program Increases/Decreases   |  | \$125,100                |
| FY 2014 New Initiatives       |  | \$0                      |
| Non-recurring FY 2013 Expense |  | \$0                      |
| FY 2014 Request               |  | \$712,600                |



## 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 Office in any judicial proceeding. @ 2 U.S.C. 1382(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 Board in federal court.

### General Counsel Funding

All employee salary/benefits, funding for labor relations investigation and enforcement, Occupational Safety and Health/Americans with Disabilities Act investigation and enforcement, and routine General Counsel, activities, are a cost within the OCGC program.

### Accomplishments in FY 2012

At the beginning of FY 2012, four open unfair labor practice charges were on file with the OCGC. During the fiscal year, nine new unfair labor practice charges were filed. 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 six unfair labor practice charges during FY 2012. Only seven charges remained open at the beginning of FY 2013.

The CAA provides an administrative process to resolve complaints filed by employees, unions or employing offices under certain provisions of the Act. The final administrative step in the process involves an appeal to the Board of Directors, which issues a written decision. Under certain circumstances, a party may appeal this decision to the U.S. Court of Appeals for the Federal Circuit. The General Counsel represents the Board of Directors in such appeals. During FY 2012, only one such case was appealed to the Federal Circuit. In that case, the General Counsel obtained a ruling that summarily affirmed the Board's decision. Because the Court's ruling resolved the case before we were required to prepare briefs or present oral argument, our efforts saved a substantial quantity of OCGC resources.

### Fiscal Year 2014 Budget Request

The Office of Compliance is requesting a total of \$11,350 for non-personnel services for FY 2014 for the OC General Counsel Program. This total reflects an analysis of the requirements to perform basic functions, and changes in requirements.

## FY 2014 Object Class Schedule A

| PRO<br>G          | Object<br>Class | OC<br>Description            | FY 2012<br>Actual | FY 2013<br>(CR) | FY 2014<br>Requested | Change<br>FY12/FY14 | Change<br>FY13/FY14 |
|-------------------|-----------------|------------------------------|-------------------|-----------------|----------------------|---------------------|---------------------|
| <b>OCGC</b>       |                 |                              |                   |                 |                      |                     |                     |
|                   | 21              | Travel                       | \$171             | \$0             | \$350                | \$179               | \$350               |
|                   | 24              | Printing and<br>Reproduction | \$0               | \$0             | \$0                  | \$0                 | \$0                 |
|                   | 25              | Contractual<br>Services      | \$35,917          | \$0             | \$1,000              | (\$34,917)          | \$1,000             |
|                   | 26              | Supplies,<br>Publications    | \$9,150           | \$2,500         | \$10,000             | \$850               | \$7,500             |
| <b>OCGC Total</b> |                 |                              | <b>\$45,238</b>   | <b>\$2,500</b>  | <b>\$11,350</b>      | <b>(\$33,888)</b>   | <b>\$8,850</b>      |

## Analysis of Change

|                               | <b>General Counsel</b> |
|-------------------------------|------------------------|
| FY 2012 Actual Appropriation  | \$45,238               |
| Legislative Increases         | \$0                    |
| Inflationary Adjustments      | \$0                    |
| Program Increases/Decreases   | (\$33,888)             |
| FY 2014 New Initiatives       | \$0                    |
| Non-recurring FY 2012 Expense | \$0                    |
| FY 2014 Request               | \$11,350               |

## Analysis of Change

|                               | <b>General Counsel</b> |
|-------------------------------|------------------------|
| FY 2013 (CR) Appropriation    | \$2,500                |
| Legislative Increases         | \$0                    |
| Inflationary Adjustments      | \$0                    |
| Program Increases/Decreases   | \$8,850                |
| FY 2014 New Initiatives       | \$0                    |
| Non-recurring FY 2013 Expense | \$0                    |
| FY 2014 Request               | \$11,350               |

## OC Education and Information (Outreach) - OCEI

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### Mandate: Congressional Accountability Act, Section 301(h)

**...The Office shall...carry out a program of education for Members of Congress and other employing authorities of the Legislative Branch of the Federal Government respecting the laws made applicable to them and a program to inform individuals of their rights under laws made applicable to the Legislative Branch...@ 2 U.S.C. 1381.**

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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 outreach 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. This program crosses programmatic lines to provide support to other OOC programs, such as OCMH and OCSH.

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. Over FY 2012 and FY 2013 the response to the OOC's newly formatted mailer has been overwhelmingly positive. Several employing offices continue to request that the OOC provide additional training and resources about the Family Medical Leave Act, mediation strategies, and harassment prevention. In addition, several employing offices displayed OOC workplace rights posters in their Capitol Hill and district offices.

In FY 2012, the OOC gained access to the House email system and sent brief educational materials to all House employees and employing offices and expects to continue to do so, on a quarterly basis.

### Accomplishments in FY 2012

To encourage voluntary compliance with the CAA, the OOC offers education and outreach activities to the covered community. In FY2012, OOC provided education to congressional staff, agencies, unions, and visiting dignitaries on the CAA and the OOC's regulations by conducting briefings and training seminars, distributing notices of CAA rights to the homes of covered employees, and publishing educational materials on its website – including the CAA, procedural rules, statutorily mandated studies and reports, newsletters, bulletins on OSHA and ADA compliance, and brochures on workplace rights.

During FY 2012, the OOC sent its first publication via e-mail to employees of the House of Representatives. In collaboration with the Committee on House Administration (CHA), the OOC was able to use a cost-efficient method of direct e-mail distribution to House employees. This was a huge accomplishment for OOC and the CHA, responding to the preference voiced by employees in OOC's 2009 survey that they would prefer to receive information by e-mail. Importantly, this method also provided significant cost savings in printing and distribution.

In FY2012, the demands for OOC's educational resources continued to increase. To keep up with demand, the OOC revamped and reproduced several of the educational brochures. These materials are used in office visits, counseling and mediation sessions, Congressional Research Service ("CRS")

presentations, and as well as other training workshops. Several agencies and Member offices have contacted the OOC for additional materials to keep in their workplaces as well.

OOC continued to provide updated and timely educational materials to employing offices. We distributed materials for new Senate hires, sending out 2122 notifications in FY 2012 and prepared a presentation as part of orientation for newly elected Members of the House of Representatives.

Under the CAA, the OOC is required to send information about workplace rights and dispute resolution to the homes of Congressional employees. After sending out an annual multi-page newsletter for years, we moved to a one page "Notification of Rights" flyer, which was sent to the home of each Congressional employee, including Members of Congress. We found the one page notice to be a much more cost effective educational resource that can also be used throughout the year for meetings with Members and new staff.

The OOC continues 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. Additionally, our involvement in new Member orientation, at the start of each new Congress, helps to inform incoming Members of the House of Representatives of their responsibilities under the CAA and introduces them to the services offered by the OOC. In addition, OOC makes a point of visiting the office of each new Member of the House and Senate to introduce ourselves to Members of Congress and their staff.

#### Fiscal Year 2014 Budget Request

The Office of Compliance is requesting a total of \$59,000 for non-personnel services for FY 2014 for the OC Education & Information (Outreach) Program. This total reflects an analysis of the requirements to perform basic functions, and changes in requirements.

#### FY 2014 Object Class Schedule A

| PROG              | Object Class | OC Description            | FY 2012 Actual  | FY 2013 (CR)    | FY 2014 Requested | Change FY12/FY14 | Change FY13/FY14 |
|-------------------|--------------|---------------------------|-----------------|-----------------|-------------------|------------------|------------------|
| <b>OCEI</b>       |              |                           |                 |                 |                   |                  |                  |
|                   | 23           | Communications/Misc       | \$1,625         | \$1,500         | \$5,000           | \$3,375          | \$3,500          |
|                   | 24           | Printing and Reproduction | \$428           | \$2,000         | \$12,000          | \$11,572         | \$8,000          |
|                   | 25           | Contractual Services      | \$25,055        | \$14,000        | \$42,000          | \$16,495         | \$28,000         |
| <b>OCEI Total</b> |              |                           | <b>\$27,108</b> | <b>\$17,500</b> | <b>\$59,000</b>   | <b>\$31,892</b>  | <b>\$41,500</b>  |

#### Analysis of Change

|                               | Education and Information |
|-------------------------------|---------------------------|
| FY 2012 Actual Appropriation  | \$27,108                  |
| Legislative Increases         | \$0                       |
| Inflationary Adjustments      | \$0                       |
| Program Increases/Decreases   | \$31,892                  |
| FY 2014 New Initiatives       | \$0                       |
| Non-recurring FY 2012 Expense | \$0                       |
| FY 2014 Request               | \$59,000                  |

#### Analysis of Change

| <b>Education and Information</b>     |          |
|--------------------------------------|----------|
| <b>FY 2013 (CR) Appropriation</b>    | \$17,500 |
| <b>Legislative Increases</b>         | \$0      |
| <b>Inflationary Adjustments</b>      | \$0      |
| <b>Program Increases/Decreases</b>   | \$41,500 |
| <b>FY 2014 New Initiatives</b>       | \$0      |
| <b>Non-recurring FY 2013 Expense</b> | \$0      |
| <b>FY 2014 Request</b>               | \$59,000 |



## OC Board of Directors - OCBD

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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 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.

The Board of Directors acts as a reviewing body for claims that are appealed from hearing officers. Board Members provide direction and guidance to the appointed staff of the OOC and they lend their legal expertise to the labor and employment issues that are presented to the OOC from the Congressional community. In addition the Board is responsible for issuing regulations on the laws covered under the CAA.

The current Board of Directors has been a valuable asset in serving Congress, demonstrating extraordinary productivity through the issuance of multiple decisions and promulgation of a number of substantive regulations. 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. Their deliberations are conducted in an extremely collegial manner, which has been the key to their productivity. The 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 2012

Since the Board of Directors' adoption of regulations implementing the Veterans' Employment Opportunities Act ("VEOA"), which became effective on March 28, 2011, the Board has been drafting amendments to the Agency's Procedural Rules and substantive regulations for the application of the amended Family and Medical Leave Act.

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. During FY2013, at the conclusion of the 112<sup>th</sup> Congress (2011-2012), the Board published its biennial report, *Recommendations for Improvements to the Congressional Accountability Act* for consideration by the 113<sup>th</sup> Congress (2013-2014). 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. Among some of the most critical recommendations to Congress for legislative change are: protections against retaliation for whistleblowers who disclose violations of laws, or regulations, gross mismanagement, gross waste of funds, abuses of authority, or substantial and specific dangers to public health; posting of rights under the CAA; mandatory training of the rights under the CAA; more effective protection against retaliation for employees who report safety violations; the authority of the General Counsel of the OOC to issue investigatory subpoenas related to safety and health investigations; and the approval of the Uniformed Services Employment and Reemployment Rights Act of 1994 ("USERRA") regulations, submitted to the 111<sup>th</sup> Congress for approval on January 26, 2009.

The Board issued decisions in 7 cases in 2012. These cases covered such issues as age and race discrimination, disability discrimination, confidentiality, hostile work environment, and retaliation under the CAA. The Board also ruled on an interlocutory appeal.

#### Fiscal Year 2014 Budget Request

The Office of Compliance is requesting a total of \$39,000 for non-personnel services for FY 2014 for the OC Board of Directors Program. This total reflects an analysis of the requirements to perform basic functions, and changes in requirements.

#### FY 2014 Object Class Schedule A

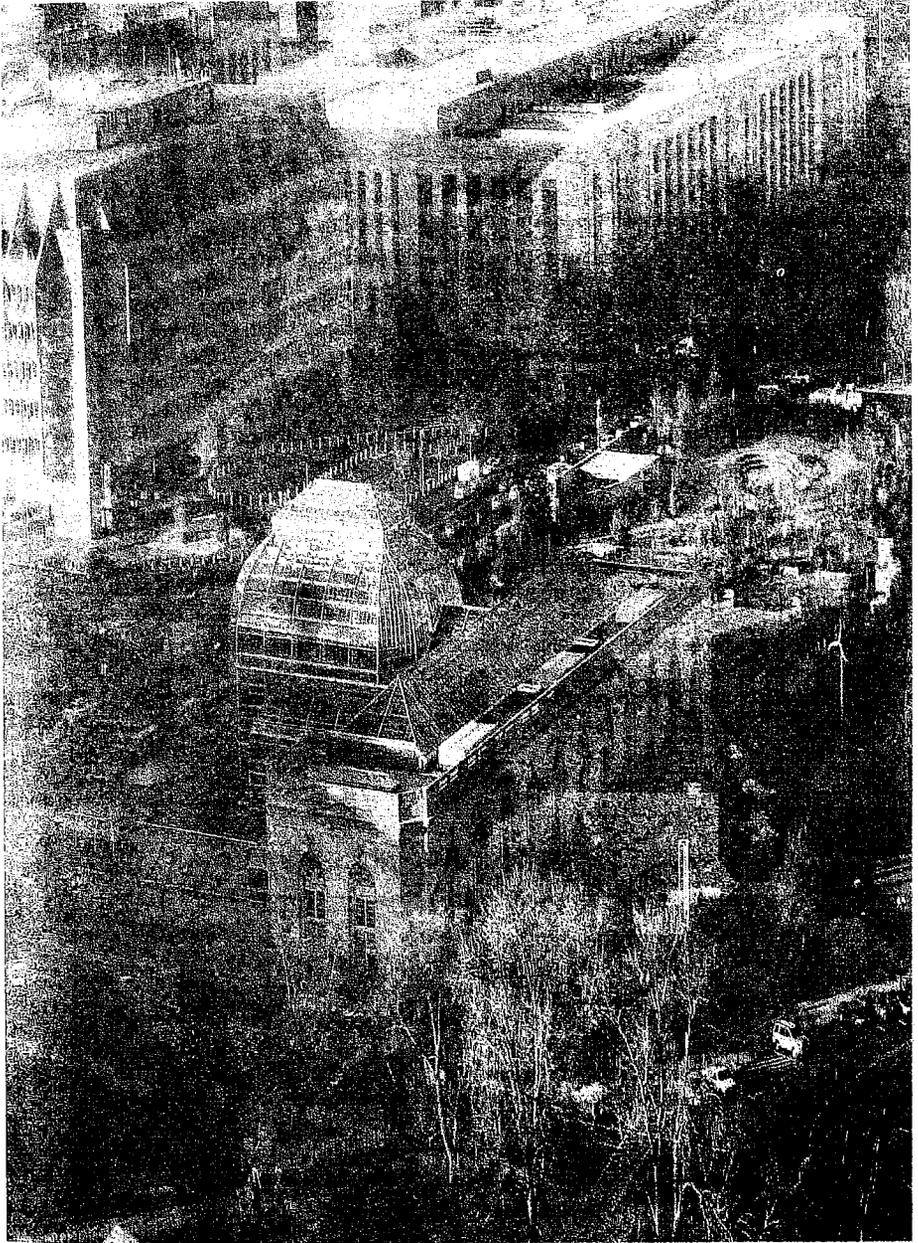
| PRO<br>G          | Object<br>Class | OC<br>Description       | FY 2012<br>Actual | FY 2013<br>(CR) | FY 2014<br>Requested | Change<br>FY12/FY14 | Change<br>FY13/FY14 |
|-------------------|-----------------|-------------------------|-------------------|-----------------|----------------------|---------------------|---------------------|
| <b>OCBD</b>       |                 |                         |                   |                 |                      |                     |                     |
|                   | 21              | Travel                  | \$38,005          | \$32,000        | \$38,000             | (\$5)               | \$6,000             |
|                   | 23              | Communicati<br>ons/Misc | \$171             | \$1,000         | \$1,000              | \$829               | \$0                 |
|                   | 31              | Equipment               | \$0               | \$0             | \$0                  | \$0                 | \$0                 |
| <b>OCBD Total</b> |                 |                         | \$38,176          | \$33,000        | \$39,000             | \$824               | \$6,000             |

#### Analysis of Change

|                                      | <b>Board of Directors</b> |
|--------------------------------------|---------------------------|
| <b>FY 2012 Actual Appropriation</b>  | \$38,176                  |
| <b>Legislative Increases</b>         | \$0                       |
| <b>Inflationary Adjustments</b>      | \$0                       |
| <b>Program Increases/Decreases</b>   | \$824                     |
| <b>FY 2014 New Initiatives</b>       | \$0                       |
| <b>Non-recurring FY 2012 Expense</b> | \$0                       |
| <b>FY 2014 Request</b>               | \$39,000                  |

**Analysis of Change**

|                                      | <b>Board of Directors</b> |
|--------------------------------------|---------------------------|
| <b>FY 2013 Enacted Appropriation</b> | \$33,000                  |
| <b>Legislative Increases</b>         | \$0                       |
| <b>Inflationary Adjustments</b>      | \$0                       |
| <b>Program Increases/Decreases</b>   | \$6,000                   |
| <b>FY 2014 New Initiatives</b>       | \$0                       |
| <b>Non-recurring FY 2013 Expense</b> | \$0                       |
| <b>FY 2014 Request</b>               | \$39,000                  |



## OC Systems (Operations) - OCSY

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### Mandate: Supports Office of Compliance core functions

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#### Overview

The OOC delivers comprehensive financial services, in compliance with all applicable Federal appropriations laws, and maintains adequate spending controls.

#### Accomplishments in FY 2012

*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), 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 \$9,000 on FY 2012 settlements.

*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.

The OOC 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 OOC as a whole. These efforts result in benefits to 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 OOC 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.

The OOC 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 2012

The OOC continues to work with LOC in enhancing workstation security and updating OOC desktop computer systems with advanced operating system software and anti-virus updates. OOC continues to work towards its goal of reducing travel-related expenses by utilizing video-conferencing equipment in order to conduct meetings with participants throughout the country.

The OOC successfully utilized an application created specifically for OOC by the Web Systems unit in the House of Representatives to send the OOC annual mailer to all House employees electronically.

### Fiscal Year 2014 Budget Request

The Office of Compliance is requesting a total of \$345,350 for non-personnel services for FY 2014 for the OC Systems Program. This total reflects an analysis of the requirements to perform basic functions, and changes in requirements.

### FY 2014 Object Class Schedule A

| PROG       | Object Class | OC Description         | FY 2012 Actual | FY 2013 (CR) | FY 2014 Requested | Change FY12/FY14 | Change FY13/FY14 |
|------------|--------------|------------------------|----------------|--------------|-------------------|------------------|------------------|
| OCSY       |              |                        |                |              |                   |                  |                  |
|            | 23           | Communications /Misc   | \$31,101       | \$32,500     | \$34,000          | \$2,899          | \$1,500          |
|            | 25           | Contractual Services   | \$103,411      | \$133,000    | \$242,000         | \$138,589        | \$109,000        |
|            | 26           | Supplies, Publications | \$0            | \$0          | \$3,000           | \$3,000          | \$3,000          |
|            | 31           | Equipment              | \$16,798       | \$14,000     | \$66,350          | \$49,552         | \$52,350         |
| OCSY Total |              |                        | \$151,310      | \$179,500    | \$345,350         | \$194,040        | \$165,850        |

### Analysis of Change

|                               | Systems   |
|-------------------------------|-----------|
| FY 2012 Actual Appropriation  | \$151,319 |
| Legislative Increases         | \$0       |
| Inflationary Adjustments      | \$0       |
| Program Increases/Decreases   | \$194,040 |
| FY 2014 New Initiatives       | \$0       |
| Non-recurring FY 2012 Expense | \$0       |
| FY 2014 Request               | \$345,350 |

### Analysis of Change

|                               | Systems   |
|-------------------------------|-----------|
| FY 2013 (CR) Appropriation    | \$179,500 |
| Legislative Increases         | \$0       |
| Inflationary Adjustments      | \$0       |
| Program Increases/Decreases   | \$165,850 |
| FY 2014 New Initiatives       | \$0       |
| Non-recurring FY 2013 Expense | \$0       |
| FY 2014 Request               | \$345,350 |

**OC Executive Director - OCED**

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**Mandate: Supports Office of Compliance core functions**

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**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).

Meeting the internal initiatives and goals set out in the strategic plan allows the OOC to develop a workplace for its employees that is envisioned by the CAA. 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 2012**

During FY 2012, the OOC maintained its internal initiatives of enriching the workplace environment and supporting mission directives.

It is only with the dedication of the OOC's workforce, their talents and creative solutions that we continue to meet our mission. Our managers recognize that the success of our programs depends on the diversity of thoughts, ideas, and staff expertise. The OOC continued to promote non-discrimination and workplace diversity in accordance with its Affirmative Action Policy at all staffing levels, including among interns and contract service providers.

The OOC workplace is one that encourages open and respectful dialogue between managers and staff, a willingness to share and accept ideas, self-awareness, and a personal commitment to these values.

These values are reflected in the OOC's updated personnel policies. The OOC continues to update and keep current its Pandemic Planning procedures, as well as its COOP procedures.

The OOC continued to promote a healthy workplace and reduce its carbon footprint by increasing email as a form of correspondence with stakeholders, promoting recycling, and reducing paper waste by requiring double-sided copying. Specifically, during FY 2012, the OOC utilized its newly-acquired email access to House employees to submit certain educational materials, thereby eliminating the need to print such material, which reduced agency costs and its carbon footprint.

**Fiscal 2014 Budget Request**

The Office of Compliance is requesting a total of \$63,600 for non-personnel services for FY 2014 for the OC Executive Director Program. This total reflects an analysis of the requirements to perform basic functions, and changes in requirements.

## FY 2014 Object Class Schedule A

| PROG              | Object Class | OC Description            | FY 2012 Actual  | FY 2013 (CR)    | FY 2014 Requested | Change FY12/FY14 | Change FY13/FY14 |
|-------------------|--------------|---------------------------|-----------------|-----------------|-------------------|------------------|------------------|
| <b>OCED</b>       |              |                           |                 |                 |                   |                  |                  |
|                   | 21           | Travel                    | \$33            | \$200           | \$500             | \$467            | \$300            |
|                   | 23           | Communications/Misc       | \$2,746         | \$6,000         | \$5,600           | \$2,854          | (\$400)          |
|                   | 24           | Printing and Reproduction | \$5,964         | \$10,000        | \$11,000          | \$5,036          | \$1,000          |
|                   | 25           | Contractual Services      | \$24,747        | \$51,860        | \$37,500          | \$12,753         | (\$14,360)       |
|                   | 26           | Supplies, Publications    | \$4,877         | \$5,000         | \$9,000           | \$4,123          | \$4,000          |
| <b>OCED Total</b> |              |                           | <b>\$38,367</b> | <b>\$73,060</b> | <b>\$63,600</b>   | <b>\$25,233</b>  | <b>(\$9,460)</b> |

## Analysis of Change

|                                      | <b>Executive Director</b> |
|--------------------------------------|---------------------------|
| <b>FY 2012 Enacted Appropriation</b> | \$38,367                  |
| <b>Legislative Increases</b>         | \$0                       |
| <b>Inflationary Adjustments</b>      | \$0                       |
| <b>Program Increases/Decreases</b>   | \$25,233                  |
| <b>FY 2014 New Initiatives</b>       | \$0                       |
| <b>Non-recurring FY 2012 Expense</b> | \$0                       |
| <b>FY 2014 Request</b>               | \$63,600                  |

## Analysis of Change

|                                      | <b>Executive Director</b> |
|--------------------------------------|---------------------------|
| <b>FY 2013 (CR) Appropriation</b>    | \$73,060                  |
| <b>Legislative Increases</b>         | \$0                       |
| <b>Inflationary Adjustments</b>      | \$0                       |
| <b>Program Increases/Decreases</b>   | -\$9,460                  |
| <b>FY 2014 New Initiatives</b>       | \$0                       |
| <b>Non-recurring FY 2013 Expense</b> | \$0                       |
| <b>FY 2014 Request</b>               | \$63,600                  |

## Budget Schedules

| Office of Compliance<br>FISCAL YEAR 2014 Resource Summary<br>(Budget Authority Dollars in Thousands) |  |                 |                    |                     |                     |                      |                   |
|--|--|-----------------|--------------------|---------------------|---------------------|----------------------|-------------------|
| Personnel  | FY 2012<br>Budget<br>Authority<br>(actual) | FY 2013<br>(CR) | FY 2014<br>Request | Change<br>FY12/FY14 | Change<br>FY13/FY14 | 12/14<br>%<br>Change | 13/14 %<br>Change |
| Appropriation  | \$2,721                                    | \$2,820         | \$3,070            | \$349               | \$250               | 12.82                | 8.86              |
| Supplemental<br>Appropriation  |  |                 |                    |                     |                     |                      |                   |
| Transfers  |  |                 |                    |                     |                     |                      |                   |
| Rescission   |  |                 |                    |                     |                     |                      |                   |
| Total  | \$2,721                                    | \$2,820         | \$3,070            | \$349               | \$250               | 12.82                | 8.86              |
|  |  |                 |                    |                     |                     |                      |                   |
| Non-Personnel  | FY 2012<br>Actual                          | FY 2013<br>(CR) | FY 2014<br>Request | Change<br>FY12/FY14 | Change<br>FY13/FY14 | 12/14<br>%<br>Change | 13/14 %<br>Change |
| Appropriation  | \$1,032                                    | \$1,020         | \$1,412            | \$380               | \$392               | 36.82                | 38.43             |
| Supplemental<br>Appropriation  |  |                 |                    |                     |                     |                      |                   |
| Transfers  |  |                 |                    |                     |                     |                      |                   |
| Rescission   |  |                 |                    |                     |                     |                      |                   |
| Total  | \$1,032                                    | \$1,020         | \$1,412            | \$380               | \$392               | 36.82                | 38.43             |
| Total<br>Appropriations  | \$3,753                                    | \$3,840         | \$4,482            | \$729               | \$642               | 19.42                | 16.72             |

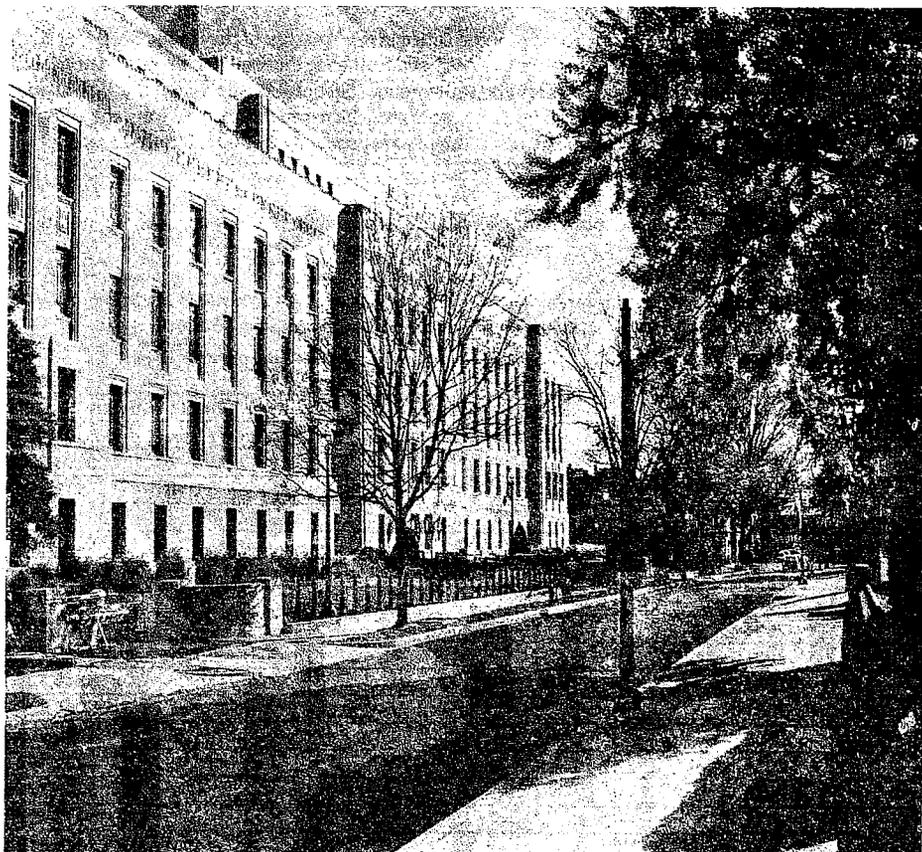
| Office of Compliance<br>FY 2014 Expense Request<br>SCHEDULE A<br>(Dollars in Thousands) - (*Inclusive of 2 yr)<br>Summary by Object Class |                   |                 |                    |                               |                               |
|---|-------------------|-----------------|--------------------|-------------------------------|-------------------------------|
| Object Class  | FY 2012<br>Actual | FY 2013<br>(CR) | FY 2014<br>Request | 12/14 Change<br>Appropriation | 13/14 Change<br>Appropriation |
| 11 Personnel<br>Compensation  | \$2,131,409       | \$2,205,000     | \$2,412,214        | \$280,805                     | \$207,214                     |
| 12 Personnel Benefits   | \$573,463         | \$606,300       | \$657,886          | \$84,423                      | \$51,586                      |
| 13 Benefits for Former<br>Personnel   | \$12,924          | \$9,000         | \$0                | (\$12,924)                    | (\$9,000)                     |
| 21 Travel   | \$38,628          | \$32,200        | \$41,350           | \$2,722                       | \$9,150                       |
| 23 Rent,<br>Communications and<br>Utilities   | \$35,643          | \$41,000        | \$45,600           | \$9,957                       | \$4,600                       |
| 24 Printing and<br>Reproduction   | \$6,393           | \$12,000        | \$23,000           | \$16,607                      | \$11,000                      |
| 25 Contractual<br>Services*   | \$917,072         | \$912,860       | \$1,211,100        | \$294,028                     | \$298,240                     |
| 26 Supplies and<br>Materials  | \$14,027          | \$7,500         | \$22,000           | \$7,973                       | \$14,500                      |
| 31 Equipment  | \$20,037          | \$14,500        | \$68,850           | \$48,813                      | \$54,350                      |
| Total Budget  | \$3,752,585       | \$3,840,360     | \$4,482,000        | \$732,404                     | \$641,640                     |

\*Inclusive of 2-yr funds

| <b>FY 2014 Expense Request</b><br><b>SCHEDULE B – Analysis of Change</b><br>(Dollars in Thousands) |                |         |
|--|----------------|---------|
| FY 12 to FY 14   | FY 2012 Actual |         |
|  | FTEs           | Amount  |
| <b>FY 2012 Actual</b>  |                |         |
| Personnel  | 22             | \$2,720 |
| Non-Personnel  |                | \$1,032 |
| Total FY 2012 Available  |                | \$3,752 |
| FY 2012 Non-recurring Costs:   |                | \$0     |
| <b>FY 2014 Mandatory Pay and Related Costs:</b>  |                |         |
| 1 FY 2014 Annualization of COLA  |                | \$0     |
| 2 FY 2014 Within Grade Increases & Promotions  |                | \$267   |
| 3 Annualization of FY 2013 Benefits  |                | \$95    |
| 4 Benefits to Former Employees   |                | -\$12   |
| <b>Total FY 2014 Mandatory Pay and Related Costs</b>   |                | \$350   |
|  |                |         |
| FY 2014 Price Level Changes:   |                |         |
| Various Expenses   |                | \$0     |
|  |                |         |
| FY 2014 Program Changes:   |                |         |
| OCBD   |                | \$1     |
| OCED   |                | \$25    |
| OCEI   |                | \$32    |
| OCMH*  |                | \$49    |
| OCGC   |                | -\$34   |
| OCSH*  |                | \$113   |
| OCSY   |                | \$194   |
| Total FY 2014 program Increases/decreases  |                | \$380   |
|  |                |         |
| Net Increase/Decrease  |                | \$730   |
|  |                |         |
| Total Appropriation FY 2014  | 22             | \$4,482 |

| <b>FY 2014 Expense Request</b><br><b>SCHEDULE B – Analysis of Change</b><br>(Dollars in Thousands) |              |         |
|--|--------------|---------|
| FY 13 to FY 14   | FY 2013 (CR) |         |
|  | FTEs         | Amount  |
| <b>FY 2013 (CR)</b>  |              |         |
| Personnel  | 22           | \$2,820 |
| Non-Personnel  |              | \$1,020 |
| Total FY 2013 Available  |              | \$3,840 |
| FY 2013 Non-recurring Costs:   |              | \$0     |
| <b>FY 2014 Mandatory Pay and Related Costs:</b>  |              |         |

|  |    |              |
|--|----|--------------|
| 1 FY 2014 Annualization of COLA                      |    | \$0          |
| 2 FY 2014 Within Grade Increases & Promotions        |    | \$189        |
| 3 Annualization of FY 2013 Benefits                  |    | \$61         |
| 4 Benefits to Former Employees                       |    | \$0          |
| <b>Total FY 2014 Mandatory Pay and Related Costs</b> |    | <b>\$250</b> |
|  |    |              |
| FY 2014 Price Level Changes:                         |    |              |
| Various Expenses                                     |    | \$0          |
|  |    |              |
| FY 2014 Program Changes:                             |    |              |
| OCBD   |    | \$6          |
| OCED   |    | -\$9         |
| OCEI   |    | \$41         |
| OCMH*  |    | \$54         |
| OCGC   |    | \$9          |
| OCSH*  |    | \$125        |
| OCSY   |    | \$166        |
| Total FY 2014 program Increases/decreases            |    | \$392        |
|  |    |              |
| Net Increase/Decrease                                |    | \$642        |
|  |    |              |
| Total Appropriation FY 2014                          | 22 | \$4,482      |



### 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 2012 have appropriated funds for awards and settlements under the Act.

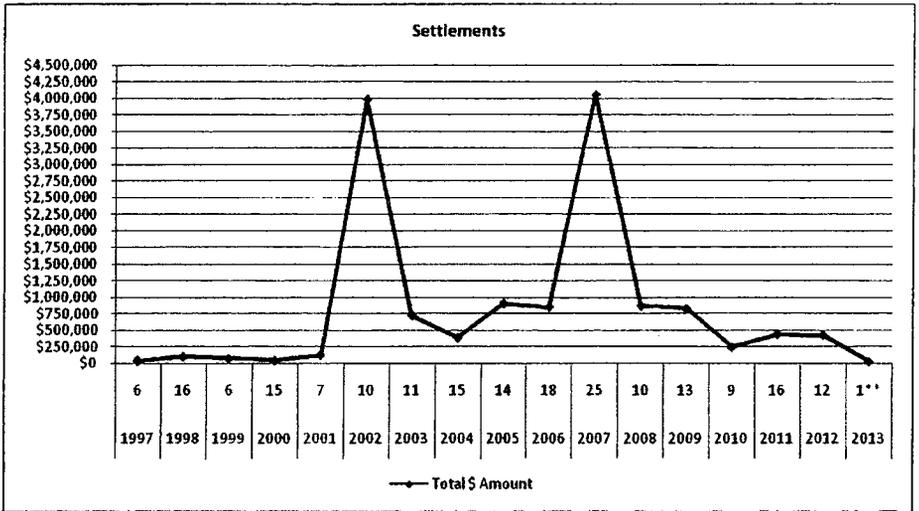
In FY 2012, a total of \$426,539 was awarded and disbursed under twelve settlements made under section 415 of the CAA. To date in FY 2013, one settlement has been awarded totaling \$30,000.

### 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        | 12                     | \$426,539       |
| 2013        | 1**                    | \$30,000        |

Monetary settlements could resolve multiple claims\*

As of 03/01/2013\*\*



**Congressional Budget Office**



**The Congressional Budget Office's  
Request for Appropriations for  
Fiscal Year 2014**

March 1, 2013



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## The Congressional Budget Office's Request for Appropriations for Fiscal Year 2014

### Overview of CBO's Budget Request for 2014

The Congressional Budget Office (CBO) requests appropriations of \$45.7 million for fiscal year 2014. That amount represents an increase of \$1.6 million, or 3.7 percent, from the \$44.1 million (on an annualized basis) provided to CBO under the continuing resolution for fiscal year 2013.

The increase would enable CBO to support 235 full-time-equivalent positions (FTEs), which would be roughly 7 percent less than the 254 FTEs funded in 2010 and in line with the FTEs funded between 2004 and 2008. The increase also would enable the agency to catch up on critical purchases of information technology (IT) and other items that are being deferred this year.

The proposed budget represents the amount that CBO believes will be necessary to avoid a further reduction in the information and analysis that the agency provides to the Congress. If CBO received a smaller amount of funding for 2014, the agency would need to reduce its number of FTEs further. For example, an appropriation of \$44.1 million would support only about 225 FTEs, on average, for the year, requiring the agency to shrink to about 220 FTEs by the end of the year. Those numbers are smaller than the number of FTEs being supported by the same funding this year because costs per FTE are increasing and purchases of IT and other items cannot continue to be deferred. Although CBO would continue to make every effort to serve the Congress as effectively as possible, cuts in staffing of that sort would unavoidably diminish the number and extent of estimates and other analyses that the agency could produce.

### CBO's Funding History and Its Effects on Staffing and Output

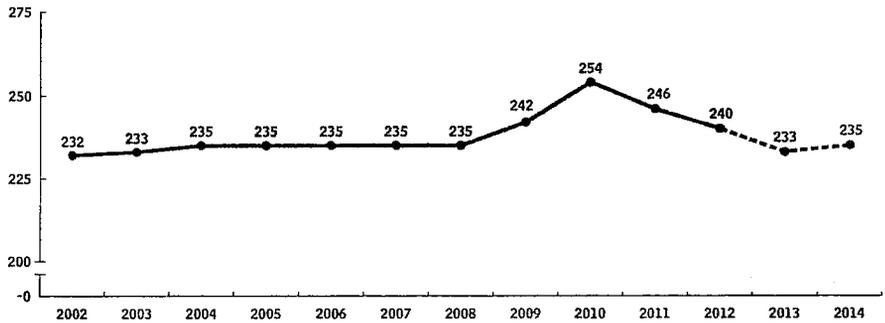
In a typical year, about 91 percent of CBO's budget represents compensation; another 6 percent is for IT equipment and services; and the remaining 3 percent goes to purchases of data, training, office supplies, and other items. As a result, the contours of CBO's budget and the staffing levels of the agency have been and will continue to be closely linked.

Between fiscal years 2002 and 2008, the number of authorized FTEs at CBO held between 232 and 235 (see Figure 1). During that period, CBO's budget generally rose slowly, as federal employees received salary increases and the cost of federal benefits increased.

For fiscal years 2009 and 2010, the Congress approved larger increases in CBO's budget to support a step-up in staffing. That step-up was intended primarily to increase the agency's ability to analyze potential changes in federal health care policy while maintaining its capacity to provide cost estimates and reports on other topics. In addition, some Members of Congress proposed a two-year supplemental appropriation for CBO in 2009, which the Congress approved. All told, CBO had sufficient funding for 254 FTEs in 2010.

However, constraints on CBO's funding (and on discretionary appropriations as a whole) caused the agency's staffing to shrink in fiscal years 2011 through 2013. The agency's appropriation for 2011 was roughly in line with the total amount available to the agency for 2010, and the appropriation for 2012 represented a 6 percent cut from the 2011 amount (see Figure 2). The agency's appropriation for 2013 under the

**Figure 1.**  
**FTEs Authorized for Fiscal Years 2002 Through 2014**



Notes: The 2013 figure represents CBO's estimate under the continuing resolution funding; the 2014 figure reflects CBO's request for funding.

FTE = full-time-equivalent position.

continuing resolution represents a 0.6 percent increase (on an annualized basis) relative to the funding in 2012.

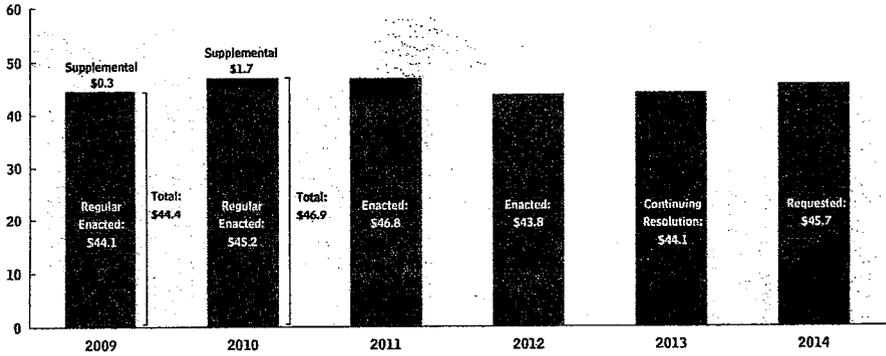
Thus, CBO's funding in 2013 under the continuing resolution—\$44.1 million—is nearly 6 percent below CBO's total funding in 2010—\$46.9 million. That cut, combined with small increases in average pay and rising costs of benefits and other items during the past three years, has required a drop in the number of FTEs to roughly the level seen before the step-up in 2009 and the deferral of critical purchases of IT equipment and services and other things.

CBO's temporarily higher staffing in 2009 through 2012 enabled the agency to engage in analyses of particularly complex issues and to provide substantially more estimates and other analyses to the Congress. Among the accomplishments that were facilitated by the increase in staffing were the following:

- Significant expansion of health care analysis, including greatly enhancing the agency's cutting-edge model of the nation's health insurance system and estimating the effects of dozens of proposals to fundamentally change that system;
- Substantial enhancement of financial analysis, including making estimates of the budgetary effects of the Troubled Asset Relief Program, the activities of Fannie Mae and Freddie Mac, and (on a fair-value basis) all major federal credit programs;
- Considerable improvement in modeling the economic effects of fiscal policy, including reviewing key parameters of the agency's models with outside experts and producing numerous estimates of the effects of proposed policy changes;
- Issuance of several reports with options for changing transfer programs—including Disability Insurance, Supplemental Security Income, the Supplemental Nutrition Assistance Program, and unemployment insurance—and analysis of the effects of taxes and transfers on people's incentives to work;
- Significant gains in the transparency of CBO's analysis, including reports on the agency's estimates regarding oil and gas leasing, the compensation of federal workers, the impact of tax rates on the labor supply, and the effects of health care subsidies; and
- Continued high quality of the agency's analysis of numerous other topics, including economic and budget projections, hundreds of formal cost estimates, and thousands of informal cost estimates.

**Figure 2.****Funding for Fiscal Years 2009 Through 2014**

(Millions of dollars)

**CBO's Funding Request and Its Consequences for Staffing and Output**

In fiscal year 2014, CBO will continue its mission of providing objective, insightful, timely, and clearly presented budgetary and economic information to the Congress. To fulfill that mission, CBO requests \$45.7 million in funding—an increase of \$1.6 million (3.7 percent) from the \$44.1 million (on an annualized basis) provided under the continuing resolution for fiscal year 2013. That amount would allow CBO to return to the number of FTEs authorized between 2004 and 2008, which is still 7 percent below the peak in the authorized number reached in 2010. That amount of funding would also allow the agency to catch up on purchases of IT and other items that are being deferred this year, although spending on nonpay items would still be 15 percent less than the agency spent, on average, from 2008 through 2012.

The requested funds would be used as follows:

- \$31.3 million for pay of personnel—an increase of \$0.7 million (2.2 percent) relative to the amount provided under the continuing resolution in fiscal year 2013, to support two additional FTEs devoted to analyzing health care issues and to cover the cost of limited performance-based pay increases;<sup>1</sup>

- \$10.4 million for benefits of personnel—an increase of \$0.2 million (2.1 percent) relative to the amount in 2013, to fund an increase in the cost of federal benefits; and
- \$4.0 million for other purposes—an increase of \$0.8 million (23 percent) above the amount available in 2013, to fund purchases of IT, data, training, and other items. (The 2013 amount was kept unusually low—about 30 percent below the agency's average spending for such purposes during the preceding five years; updates of IT equipment and services and of data cannot be deferred again without significantly hampering the agency's ability to fulfill its mission.)

The requested amount of funding would allow CBO to provide the following estimates and other analyses to the Congress:

1. 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 earlier years, CBO also provided an across-the-board increase (equal to that provided to executive branch employees in the Washington area) to employees earning less than \$100,000, but CBO did not provide such an increase in 2011, 2012, or 2013 and does not plan to provide one in 2014.

- Reports on the economic and budget outlook, analyses of the President's budget, long-term budget projections, and options for reducing budget deficits;
- Roughly 500 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 very high as committees seek to have a clearer picture of the budgetary impact of proposals and variants of proposals before they formally consider legislation;
- About 150 scorekeeping tabulations, including account-level detail for individual appropriation acts at all stages of the legislative process and summary tables showing the status of discretionary appropriations (by appropriations subcommittee) and running totals on a year-to-date basis; and
- Roughly 80 analytical reports and other publications—generally required by law or prepared in response to requests from the Chairmen and Ranking Members of key committees—on a broad range of topics, including health care, policies for increasing economic growth and employment, energy policy, changes in benefit programs, infrastructure, defense policy, and the government's role in the financial system.<sup>2</sup>

CBO expects that this anticipated volume of estimates and other analyses will fall considerably short of the number of Congressional requests. The increase in CBO's staffing set in motion several years ago has now been completely reversed, and it would not be reinstated under this budget request. Meanwhile, the demands on CBO have not declined: The enactment of major health care legislation in 2010 has been followed by a large number of other proposals for changes in federal health care programs, and it has made the agency's analysis of many such proposals more complex. In addition, the duration of the economic downturn has generated great interest in the agency's economic forecasts and in policies that might boost economic growth and employment in the near term and the longer term. Moreover, the surge in

federal debt and the high level of projected deficits have led to ongoing Congressional efforts to enact fundamental changes in spending and tax policies, which have strained the agency's resources in many areas.

As a result, even if the requested amount of funding is provided for fiscal year 2014, CBO expects that it will continue to be unable to analyze many legislative proposals that are sent to it by Members of Congress, to promptly complete all of the in-depth analyses of issues that are requested by committees, and to improve its modeling as much as would be desirable to capture the many channels through which legislative proposals can affect the federal budget and the economy. CBO regularly consults with committees and Congressional leadership to ensure that its limited resources are focused on the work that is of highest priority to the Congress.

If the funding provided to CBO for 2014 fell short of the requested amount, then the agency's ability to satisfy Congressional demands would be weakened further. For example, if CBO's appropriation equaled the (annualized) amount provided by the continuing resolution for 2013, the agency would need to reduce its FTEs to about 225, on average, for the year. That number is smaller than what can be supported by that same funding this year because costs per FTE are increasing and purchases of IT and other items cannot continue to be deferred in the coming year. Moreover, because the agency would begin the fiscal year with a larger number of FTEs, averaging 225 FTEs for the year would require cutting FTEs to about 220 by year-end. By comparison, the agency has had more than 225 FTEs in nearly every year since the mid-1990s. Thus, if the funding provided to CBO for 2014 was significantly less than the requested amount, the agency would become smaller than it has been for any sustained period in more than 15 years.

Although CBO would do its best to minimize the impact on the Congress of a drop in staffing, a further decline from the current level would inevitably lead to a reduction in the number and extent of estimates and other analyses that CBO could provide. Depending on future staffing levels, CBO, in consultation with the Congress, might need to make some or all of the following changes:

2. In each of the past few years, CBO has produced nearly 100 analytical reports and other publications. However, the cutback in staffing that has occurred since 2010 means that the agency expects to publish fewer reports in the future.

- Scale back some regular products—by, for instance, producing the long-term budget outlook less often than annually (and thereby returning to the less

frequent cycle that had been in place before the past few years);

- Limit further the number of alternative legislative proposals for which estimates can be provided to committee staff on a timely basis;
- Limit the number of estimates of the long-term effects of policies, especially the effects of changes in health care programs on the budget and on beneficiaries;
- Delay estimates of alternative approaches to controlling federal health care spending, including the effects of restructuring payments to providers in the fee-for-service portion of Medicare and of converting Medicare to a defined-contribution system;
- Defer indefinitely analysis that the agency has just begun of the effects of changes in payments to health care providers—under current law and legislative proposals—on the amount and nature of health care that is received;
- Delay or limit estimates of the cost of federal credit programs on a fair-value basis;
- Limit analysis of the macroeconomic effects of changes in fiscal policy, including tax reform and alternative ways of reducing projected federal debt;
- Delay improvements in the agency's estimates of the effects of tax and transfer programs on people's participation in the labor force and on earnings;
- Defer indefinitely analysis of some key international economic issues, such as the implications that globalization and expanding foreign economies have for U.S. policy;
- Limit analysis of the implications of cuts in the defense budget for the capabilities of the armed forces;
- Delay analysis of policies to promote long-term economic growth and income mobility; and
- Limit opportunities for training and other professional development for CBO staff, which would hinder the agency's ability to attract and retain a highly skilled workforce.

Moreover, if CBO continued to be forced to reduce its staffing quickly, then the agency might have some noticeable weak spots in its basic capabilities during the next few years. Some key positions are already going unfilled, and additional losses through attrition would undoubtedly not line up well with the places where the agency could most afford diminished resources.

### **CBO's Role in Support of the Congress**

CBO was established under the Congressional Budget Act of 1974 to provide information that would support the Congressional budget process and help the Congress make effective budget and economic policy. CBO provides 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:

- Prepares reports on the outlook for the economy;

- Analyzes trends and current developments related to federal spending and revenues, and constructs budget projections for the next 10 years and the longer term;
- 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;
- Conducts policy studies of governmental activities that have significant budgetary and economic impacts—which involves analyses of Social Security, Medicare, Medicaid, other benefit 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 2012

In 2012, 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 more than 90 analytic reports 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 staff, and to provide the tools necessary to maximize its staff's productivity. CBO's success in those efforts was recognized by the Partnership for Public Service, which uses data from surveys of federal employees to rate government agencies and ranked CBO as one of the best places to work among small federal agencies.

### Formal Cost Estimates and Mandate Statements

CBO completed 485 formal cost estimates in 2012. Those estimates generally included detailed explanations of the components of the estimates and the estimating methodology used by CBO. The vast majority of the estimates also included mandate statements. Such statements assess whether legislation contains intergovernmental or private-sector mandates as defined in the Unfunded Mandates Reform Act and, if so, assess the magnitude of the mandates' effects on the private sector and on state, local, and tribal governments.

That count of formal estimates greatly understates CBO's total cost-estimating workload because most of the agency's estimates 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 provided thousands of informal cost estimates in 2012.

In addition, CBO provided numerous estimates pursuant to the Statutory Pay-As-You-Go Act of 2010. Such estimates are requested by the House or 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 2012, CBO provided spending estimates with account-level detail for individual appropriation acts at all stages of the legislative process. The agency also provided periodic summary tables showing the status of discretionary appropriations (by appropriations subcommittee) and running totals on a year-to-date basis.

### Budget and Economic Projections and Related Analyses

CBO provided two 10-year economic projections in 2012 (an initial one in January and an update in August) and three 10-year budget projections (in January, March, and August). Those projections were presented in *The Budget and Economic Outlook: Fiscal Years 2012 to 2022* (January), *Updated Budget Projections: Fiscal Years 2012 to 2022* (March), and *An Update to the Budget and Economic Outlook: Fiscal Years 2012 to 2022* (August). CBO also released extensive amounts of additional data related to those projections.

**Table 1.****Products by the Congressional Budget Office, Calendar Years 2012 to 2014**

| Type of Product   | 2012,<br>Actual | 2013,<br>Estimate | 2014,<br>Estimate |
|---|-----------------|-------------------|-------------------|
| Formal Cost Estimates and Mandate Statements <sup>a</sup> | 485             | 525               | 525               |
| Scorekeeping Tabulations                                  | 150             | 150               | 150               |
| Budget and Economic Projections and Related Analyses      | 18              | 18                | 18                |
| Analytic Reports <sup>b</sup>                             | 79              | 70                | 70                |
| Working Papers  | 16              | 10                | 10                |

a. In addition to these formal estimates, CBO produces thousands of informal estimates at various points in the legislative process each year to assist committees in the development of legislation.

b. Besides traditional reports, analytic reports include testimonies, letters, and infographics (visual presentations of estimates and analyses).

CBO also produced analyses of the budgetary and economic impact of the President's budgetary proposals in *An Analysis of the President's 2013 Budget* (March) and *The Economic Impact of the President's 2013 Budget* (April).

In addition, CBO produced a comprehensive analysis of the federal budget over a 25-year horizon in *The 2012 Long-Term Budget Outlook* (June). That report also included substantial analysis of the economic outcomes under different budgetary paths and supplemental projections extending to 75 years.

CBO published its *Monthly Budget Review* at the beginning of each month in 2012. That report provides a timely analysis of the previous month's outlays and revenues and a review of budgetary developments for the fiscal year to date.

**Analytic Reports**

In addition to the budget and economic projections and related reports (discussed above), CBO published almost 80 analyses of budget and economic issues in 2012. Some of those analyses took the form of formal reports; others were conveyed through testimonies before Congressional committees, letters to Members of Congress, and infographics (visual presentations of estimates and analyses). Those analyses, arranged by topic, were the following:

**ANALYSES OF BROAD BUDGETARY ISSUES**

*Federal Debt and the Statutory Limit* (November)

*Choices for Deficit Reduction* (November)

*The 2012 Long-Term Projections for Social Security: Additional Information* (October)

*Sequestration Update Report: August 2012*

*Changes in CBO's Baseline Projections Since January 2001* (June)

*The 2012 Long-Term Budget Outlook* (Testimony before the House Committee on the Budget, June)

*The 2012 Long-Term Budget Outlook* (Infographic, June)

*List of CBO Publications That Analyze the Budgetary Impact of the Budget Control Act of 2011 (P.L. 112-25)* (April)

*The U.S. Federal Budget: A Closer Look at Discretionary Spending* (Infographic, April)

*The U.S. Federal Budget: A Closer Look at Mandatory Spending* (Infographic, April)

*The U.S. Federal Budget: A Closer Look at Revenues* (Infographic, April)

*A Review of CBO's Activities in 2011 Under the Unfunded Mandates Reform Act* (March)

*Revenues and Spending Under CBO's Extended Baseline Scenario and Two Alternatives Specified by Chairman Ryan* (Letter, March)

*The Long-Term Budgetary Impact of Paths for Federal Revenues and Spending Specified by Chairman Ryan* (March)

- The Budget and Economic Outlook: Fiscal Years 2012 to 2022* (Testimony before the Senate Committee on the Budget, February)
- The Budget and Economic Outlook: Fiscal Years 2012 to 2022* (Testimony before the House Committee on the Budget, February)
- Unauthorized Appropriations and Expiring Authorizations* (Three versions, January)
- Final Sequestration Report for Fiscal Year 2012* (January)
- ANALYSES OF ENERGY AND ENVIRONMENTAL ISSUES
- Effects of Federal Tax Credits for the Purchase of Electric Vehicles* (September)
- Potential Budgetary Effects of Immediately Opening Most Federal Lands to Oil and Gas Leasing* (August)
- Federal Efforts to Reduce the Cost of Capturing and Storing Carbon Dioxide* (June)
- Energy Security in the United States* (May)
- Energy Security in the United States* (Infographic, May)
- How Would Proposed Fuel Economy Standards Affect the Highway Trust Fund?* (May)
- Deforestation and Greenhouse Gases* (January)
- Deforestation and Greenhouse Gases* (Infographic, January)
- ANALYSES OF FINANCIAL MARKETS AND CREDIT PROGRAMS
- Report on the Troubled Asset Relief Program—October 2012*
- Fair-Value Estimates of the Cost of Federal Credit Programs in 2013* (June)
- Fair-Value Accounting for Federal Credit Programs* (March)
- Report on the Troubled Asset Relief Program—March 2012*
- Report on the Troubled Asset Relief Program* (Infographic, March)
- ANALYSES OF HEALTH CARE ISSUES
- Letter to the Honorable Darrell E. Issa providing additional information about CBO's cost estimate for H.R. 4872 (December)
- Offsetting Effects of Prescription Drug Use on Medicare's Spending for Medical Services* (November)
- Payments of Penalties for Being Uninsured Under the Affordable Care Act* (September)
- Letter to the Honorable John Boehner providing an estimate for H.R. 6079, the Repeal of Obamacare Act (July)
- Estimates for the Insurance Coverage Provisions of the Affordable Care Act Updated for the Recent Supreme Court Decision* (July)
- Raising the Excise Tax on Cigarettes: Effects on Health and the Federal Budget* (June)
- CBO and JCT's Estimates of the Effects of the Affordable Care Act on the Number of People Obtaining Employment-Based Health Insurance* (March)
- Updated Estimates for the Insurance Coverage Provisions of the Affordable Care Act* (March)
- Lessons from Medicare's Demonstration Projects on Disease Management, Care Coordination, and Value-Based Payment* (January)
- Raising the Ages of Eligibility for Medicare and Social Security* (January)
- ANALYSES OF ISSUES RELATED TO INCOME SECURITY AND EMPLOYMENT
- Supplemental Security Income: An Overview* (December)
- Unemployment Insurance in the Wake of the Recent Recession* (November)
- Policy Options for the Social Security Disability Insurance Program* (July)
- The Social Security Disability Insurance Program* (Infographic, July)
- The Supplemental Nutrition Assistance Program* (April)

*The Supplemental Nutrition Assistance Program*  
(Infographic, April)

*Small Firms, Employment, and Federal Policy* (March)

*Understanding and Responding to Persistently High Unemployment* (February)

*Comparing the Compensation of Federal and Private-Sector Employees* (January)

#### ANALYSES OF MACROECONOMIC ISSUES

*Estimated Impact of the American Recovery and Reinvestment Act on Employment and Economic Output from July 2012 Through September 2012* (November)

*What Accounts for the Slow Growth of the Economy After the Recession?* (November)

*What Accounts for the Slow Growth of the Economy After the Recession?* (Infographic, November)

*Economic Effects of Policies Contributing to Fiscal Tightening in 2013* (November)

*How the Supply of Labor Responds to Changes in Fiscal Policy* (October)

*Estimated Impact of the American Recovery and Reinvestment Act on Employment and Economic Output from April 2012 Through June 2012* (August)

*Fiscal Tightening in 2013 and Its Economic Consequences* (Infographic, August)

*Economic Effects of Reducing the Fiscal Restraint That Is Scheduled to Occur in 2013* (May)

*Estimated Impact of the American Recovery and Reinvestment Act on Employment and Economic Output from January 2012 Through March 2012* (May)

*CBO's Projections of Federal Receipts and Expenditures in the Framework of the National Income and Product Accounts* (May)

*Estimated Impact of the American Recovery and Reinvestment Act on Employment and Economic Output from October 2011 Through December 2011* (February)

#### ANALYSES OF TAX ISSUES

*Taxing Businesses Through the Individual Income Tax* (December)

*Effective Marginal Tax Rates for Low- and Moderate-Income Workers* (November)

*The Taxation of Capital and Labor Through the Self-Employment Tax* (September)

*The Distribution of Household Income and Federal Taxes, 2008 and 2009* (July)

*Federal Support for State and Local Governments Through the Tax Code* (Testimony before the Senate Committee on Finance, April)

Letter to the Honorable Orrin G. Hatch responding to questions about the effects of a tax on financial transactions that would be imposed by the Wall Street Trading and Speculators Tax Act (January)

#### ANALYSES OF NATIONAL SECURITY ISSUES

*Costs of Military Pay and Benefits in the Defense Budget* (November)

*The Proposed Homeland Security Budget for 2013* (September)

*An Analysis of the Navy's Fiscal Year 2013 Shipbuilding Plan* (July)

*Long-Term Implications of the 2013 Future Years Defense Program* (July)

Letter to the Honorable Lindsey O. Graham about regulations limiting incentives to employees to use TRICARE (February)

*Models Used by the Military Services to Develop Budgets for Activities Associated with Operational Readiness* (February)

*The Veterans Health Administration's Treatment of PTSD and Traumatic Brain Injury Among Recent Combat Veterans* (February)

#### OTHER ANALYSES

*An Introduction to the Congressional Budget Office* (November)

*Infrastructure Banks and Surface Transportation* (July)

*Using Public-Private Partnerships to Carry Out Highway Projects* (January)

#### **Working Papers**

To enhance the transparency of CBO's work and to encourage external review of that work, the agency's working papers provide technical descriptions of official CBO analyses or present independent research by CBO analysts. In 2012, CBO posted 16 working papers:

*Offsetting a Carbon Tax's Costs on Low-Income Households* (November)

*Taxation of Owner-Occupied and Rental Housing* (November)

*Technical Challenges of the U.S. Army's Ground Combat Vehicle Program* (November)

*Review of Estimates of the Frisch Elasticity of Labor Supply* (October)

*Review of Recent Research on Labor Supply Elasticities* (October)

*Options for Modernizing Military Weather Satellites* (September)

*Addressing Market Barriers to Energy Efficiency in Buildings* (August)

*New Evidence on the Tax Elasticity of Capital Gains* (June)

*Assessing the Short-Term Effects on Output of Changes in Federal Fiscal Policies* (May)

*Food Insufficiency and Income Volatility in U.S. Households: The Effects of Imputed Earnings in the Survey of Income and Program Participation* (March)

*The Earned Income Tax Credit and Expected Social Security Retirement Benefits Among Low-Income Women* (March)

*Revisiting the Excise Tax Effects of the Property Tax* (February)

*Comparing Wages in the Federal Government and the Private Sector* (January)

*Comparing Benefits and Total Compensation in the Federal Government and the Private Sector* (January)

*Lessons from Medicare's Demonstration Projects on Disease Management and Care Coordination* (January)

*Lessons from Medicare's Demonstration Projects on Value-Based Payment* (January)

#### **Improvements in Internal Management**

In 2012, CBO continued its efforts to enhance staff development and internal communication. To ensure that staff members stay current on topics of importance to CBO's work for the Congress, the agency hosted presentations by a broad range of outside researchers and other experts, and staff members participated in numerous seminars to share information on their analyses, data, and estimating techniques. CBO also conducted an employee satisfaction survey to determine ways to improve its operations. The Director and Deputy Director held periodic town hall meetings for the agency as a whole and separate meetings with staff in each of the agency's divisions.

CBO procured and implemented numerous improvements to its IT infrastructure. The agency established a second physically isolated network for handling data used for analyses of health care in a secure manner. The agency also greatly expanded its network storage capacity and replaced aging backup systems with more-modern technology that significantly increases backup speed while reducing storage requirements for backups. In addition, the agency improved its ability to support remote work and telecommuting, and it implemented a more capable platform to manage mobile devices. The agency continued to improve its IT security by adding further protections, including better scans of workstations to detect malware. To systematically collect the technology experiences and requirements of CBO staff, the agency conducted another IT survey.

CBO also continued its project to substantially redesign and expand its Web site. Because the Web site has replaced conventional printing as CBO's principal means of distributing its estimates and other analyses, the agency has vigorously modernized its Web site in an effort to make it more user-friendly and more reliable.

CBO continued 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. As a result of those efforts, CBO awarded 260 contracts and purchase orders to small businesses in fiscal year 2012. Of those contracts and purchase orders, 12 went to minority-owned businesses, 74 to women-owned businesses, and 5 to businesses owned by minority women.

### **CBO's Goals for 2013 and 2014**

In carrying out its mission of serving the Congress during 2013 and 2014, 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 2013 and 2014, 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; moreover, 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 products 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.

The analyses requested by the Congress often involve new and complex issues, and the context for recurring issues is also constantly changing. CBO expends substantial resources to understand those issues and estimate the impact of policy proposals. Many of CBO's analyses involve assembling evidence from numerous sources, synthesizing the implications from that evidence, and building models to quantify effects of specific proposals and their variations. To be ready to provide timely responses to requests, the agency makes ongoing investments in that process.

CBO's products in 2013 and 2014 will fall into the same broad categories as in 2012:

#### **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 estimates at other stages of the legislative process—primarily 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 RELATED 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 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. CBO also plans to release in 2013 a new volume of policy options for reducing future budget deficits, including estimates and brief descriptions of the advantages and disadvantages of each option. (It last issued such a report in 2011.)

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 the aging of the population, expansions of federal programs, and continued growth in the cost of health care per person. The agency will continue to expand its analysis of the economic implications of long-term budgetary imbalances and of alternative ways of addressing those imbalances.

#### ANALYTIC REPORTS

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 (generally in the form of reports but sometimes in the form of testimonies and infographics) will span broad budget issues and an array of other topics, including health care, energy and the environment, financial markets and credit programs, macroeconomic conditions and problems, income security and employment, taxes, and national security.

#### WORKING PAPERS

CBO will publish working papers on a variety of topics in order to enhance the transparency of CBO's analysis and to encourage external review of that analysis.

#### 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 be as transparent as possible, CBO 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 will make that analysis available immediately to all Members of Congress, their staff, and the public.
  - Formal cost estimates will 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 estimates.
  - The agency will document and explain the revisions to its budget projections in each successive baseline, and it will report regularly on the accuracy of its economic forecasts.
  - Many macroeconomic analyses—including the annual analysis of the economic effects of the President's budget, the required 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—will include substantial discussions of the relevant research literature and CBO's modeling approaches.
  - Some of CBO's reports and working papers will be devoted to providing background information on the agency's methods.
  - CBO analysts will 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. In particular, CBO will continue to do the following:
- CBO reports will be reviewed by outside experts before publication. Those reviewers will include professors, analysts at think tanks, private-sector experts, and employees at other government agencies. CBO will select reviewers that it expects to have diverse views about the topics being analyzed.
  - CBO cost estimates will often draw on consultation with outside experts as well.
  - CBO analysts will present their work in working papers and at professional conferences.
  - The agency's Panel of Economic Advisers will meet twice a year to provide input on the agency's latest economic forecast and other issues, and the agency's Panel of Health Advisers will meet 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 will also consult with those

distinguished experts and other experts on an ongoing basis for guidance on the agency'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 those people, and providing the support services and other infrastructure needed to make those people 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 gap between the compensation that CBO can provide and the compensation that people with such backgrounds can receive elsewhere is increasing. For example, in the past 15 years, the average inflation-adjusted annual salary paid to professors of economics has risen by about 40 percent, while the highest inflation-adjusted annual salary paid at CBO has fallen slightly. In addition, most of CBO's staff who are not economists and budget analysts work in other fields with competitive private labor markets; that group includes IT professionals, lawyers, and others.

To attract and retain talented employees, CBO relies heavily on the nonmonetary rewards of working at the agency. 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>3</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 have forced 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. Doing so is critical to CBO's ability to serve the Congress effectively. Within its 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. The agency will continue efforts to develop skills using internal resources and those of sister agencies to the extent possible. In addition, given the importance of clearly communicating the results of CBO's analyses, the agency will continue training on writing and making effective presentations. The agency is also working to improve staff members' skills in using 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 remote access capabilities;
- Complete the replacement of storage technology while reducing the overall number of storage vendors, improving reliability and redundancy;
- Shift toward a more centralized computing environment, in order to take full advantage of advances in technology virtualization and provide greater access to high-powered computational devices to support econometric modeling; and
- Use its collaboration software (such as Microsoft SharePoint) more effectively to improve productivity.

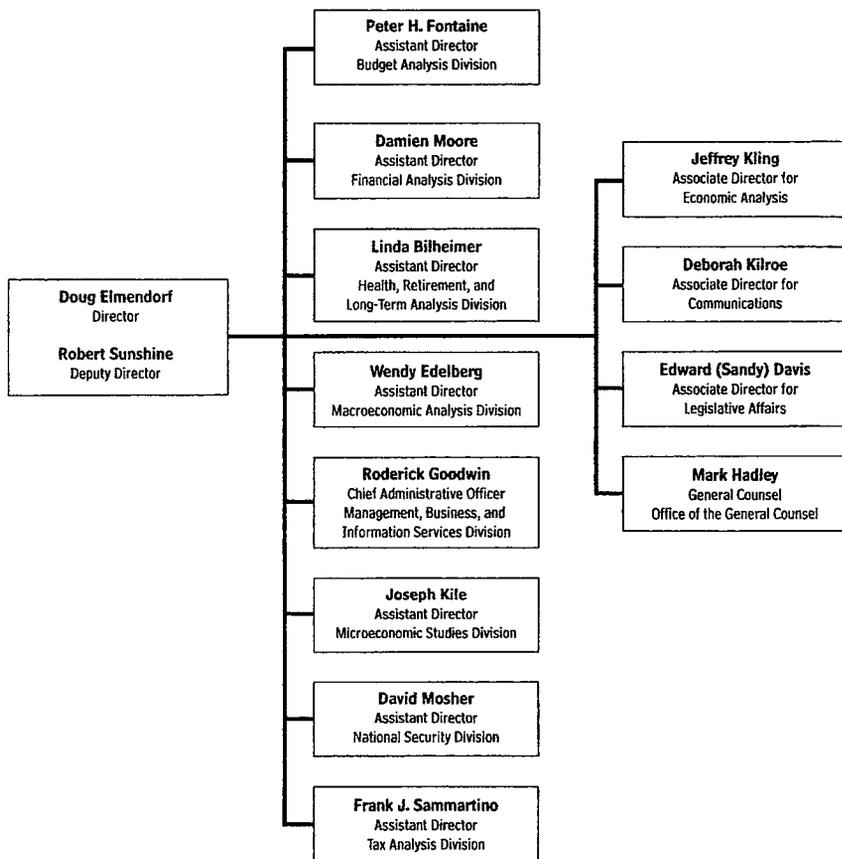
3. See *The Best Places to Work* rankings for 2009, 2010, and 2012, compiled by the Partnership for Public Service and the American University Institute for the Study of Public Policy Implementation. CBO did not participate in the 2011 survey.

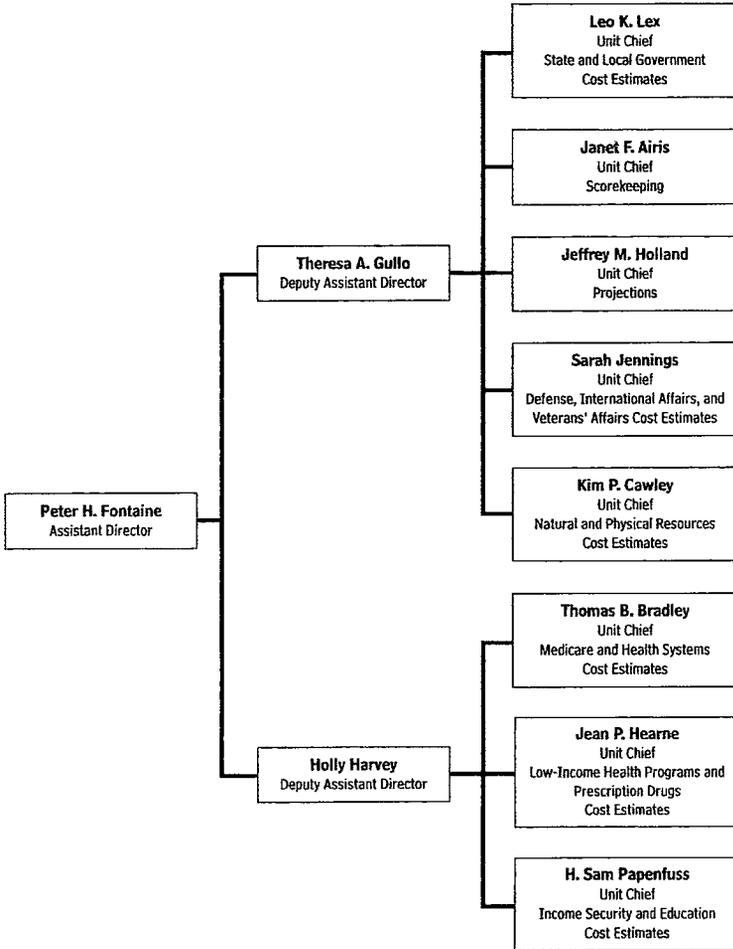
## Organization Charts

Figures 3 through 11 show CBO's organizational structure.

**Figure 3.**

### Organization Chart—Entire Agency



**Figure 4.****Organization Chart—Budget Analysis Division**

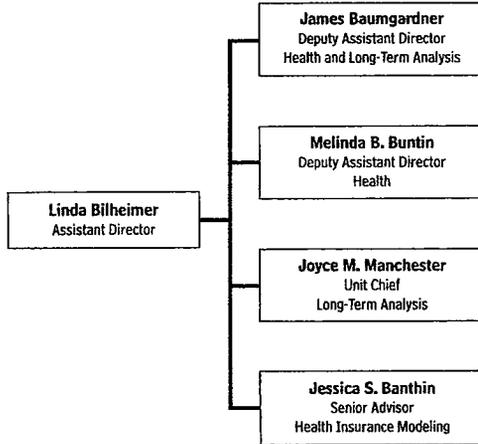
**Figure 5.**

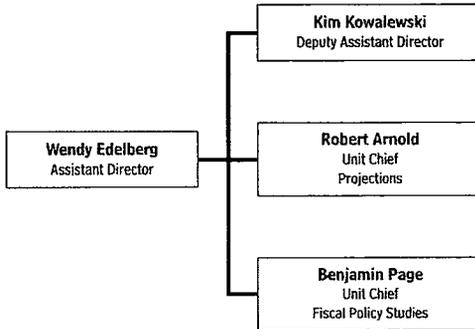
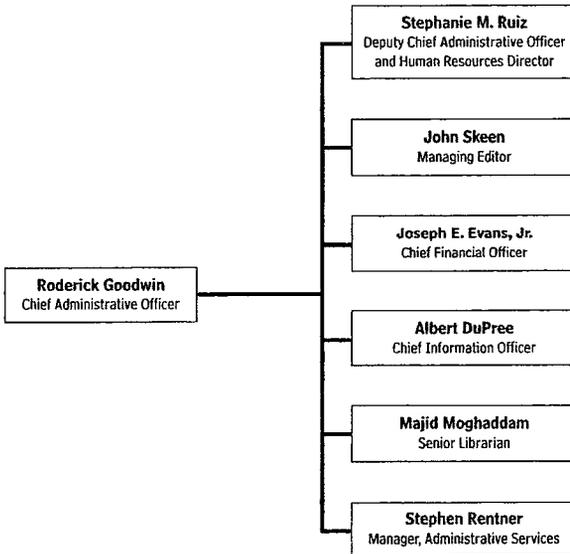
**Organization Chart—Financial Analysis Division**



**Figure 6.**

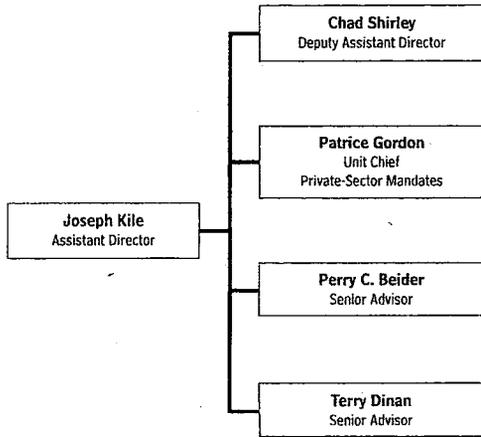
**Organization Chart—Health, Retirement, and Long-Term Analysis Division**



**Figure 7.****Organization Chart—Macroeconomic Analysis Division****Figure 8.****Organization Chart—Management, Business, and Information Services Division**

**Figure 9.**

**Organization Chart—Microeconomic Studies Division**



**Figure 10.**

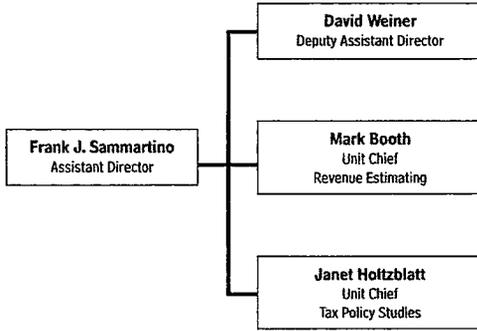
**Organization Chart—National Security Division**



**Figure 11.**

**Organization Chart—Tax Analysis Division**

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## Detailed Tables

Tables 2 through 8 provide the detailed breakdown of CBO's budget.

**Table 2.**

### Salaries and Expenses Appropriation Summary, by Organizational Unit

(Thousands of dollars)

| Organizational Unit                               | Fiscal Year 2012,<br>Actual |               | Fiscal Year 2013,<br>CR Funding |               | Fiscal Year 2014,<br>Request |               | Change from FY 2013 to FY 2014 |              |            |
|---|-----------------------------|---------------|---------------------------------|---------------|------------------------------|---------------|--------------------------------|--------------|------------|
|   | FTEs                        | Funding       | FTEs                            | Funding       | FTEs                         | Funding       | FTEs                           | Funding      |            |
|   |                             |               |                                 |               |                              |               |                                | Amount       | Percentage |
| Office of the Director                            | 15                          | 2,725         | 15                              | 2,725         | 15                           | 2,760         | 0                              | 35           | 1.3        |
| Budget Analysis                                   | 80                          | 13,772        | 80                              | 14,033        | 80                           | 14,216        | 0                              | 183          | 1.3        |
| Macroeconomic Analysis                            | 19                          | 3,297         | 20                              | 3,636         | 20                           | 3,684         | 0                              | 48           | 1.3        |
| Financial Analysis                                | 6                           | 1,009         | 7                               | 1,431         | 7                            | 1,450         | 0                              | 19           | 1.3        |
| Tax Analysis                                      | 19                          | 3,164         | 18                              | 3,162         | 18                           | 3,203         | 0                              | 41           | 1.3        |
| Health, Retirement, and<br>Long-Term Analysis     | 27                          | 4,656         | 28                              | 5,024         | 30                           | 5,443         | 2                              | 419          | 8.3        |
| Microeconomic Studies                             | 20                          | 3,436         | 18                              | 3,164         | 18                           | 3,205         | 0                              | 41           | 1.3        |
| National Security                                 | 15                          | 2,626         | 15                              | 2,635         | 15                           | 2,670         | 0                              | 35           | 1.3        |
| Management, Business,<br>and Information Services | 36                          | 9,044         | 32                              | 8,245         | 32                           | 9,069         | 0                              | 824          | 10.0       |
| <b>Total</b>                                      | <b>237</b>                  | <b>43,729</b> | <b>233</b>                      | <b>44,055</b> | <b>235</b>                   | <b>45,700</b> | <b>2</b>                       | <b>1,645</b> | <b>3.7</b> |

Note: CR = continuing resolution; FY = fiscal year; FTE = full-time-equivalent position.

**Table 3.****Summary by Object Class**

(Thousands of dollars)

| Object Class | CBO Activities  | Fiscal Year 2012,     | Fiscal Year 2013,                   | Fiscal Year 2014,<br>Request | Fiscal Years<br>2013 and 2014 |                      |
|--------------|---|-----------------------|-------------------------------------|------------------------------|-------------------------------|----------------------|
|              |   | Actual<br>Obligations | Continuing<br>Resolution<br>Funding |                              | Change                        | Percentage<br>Change |
| 11.1         | Full-Time Permanent Positions                           | 29,488                | 29,565                              | 30,249                       | 684                           | 2.3                  |
| 11.3         | Other Than Full-Time Permanent                          | 543                   | 413                                 | 411                          | -2                            | -0.5                 |
| 11.5         | Other Personnel Compensation<br>(Bonuses)               | 556                   | 600                                 | 600                          | 0                             | 0                    |
| 11.5         | Other Personnel Compensation<br>(Overtime)              | 11                    | 12                                  | 12                           | 0                             | 0                    |
| 12.1         | Personnel Benefits                                      | 9,939                 | 10,185                              | 10,394                       | 209                           | 2.1                  |
|              | Total, Pay  | 40,537                | 40,775                              | 41,666                       | 891                           | 2.2                  |
| 21.0         | Travel and Transportation of Persons                    | 128                   | 169                                 | 169                          | 0                             | 0                    |
| 23.3         | Communications, Utilities, and<br>Miscellaneous Charges | 160                   | 228                                 | 228                          | 0                             | 0                    |
| 24.0         | Printing and Reproduction                               | 26                    | 41                                  | 41                           | 0                             | 0                    |
| 25.0         | Other Services  | 1,439                 | 1,687                               | 1,855                        | 168                           | 10.0                 |
| 26.0         | Supplies and Materials                                  | 454                   | 429                                 | 427                          | -2                            | -0.5                 |
| 31.0         | Equipment   | 985                   | 726                                 | 1,314                        | 588                           | 81.0                 |
|              | Total, Nonpay   | 3,192                 | 3,280                               | 4,034                        | 754                           | 23.0                 |
|              | <b>Total</b>  | <b>43,729</b>         | <b>44,055</b>                       | <b>45,700</b>                | <b>1,645</b>                  | <b>3.7</b>           |

**Table 4.****Salaries and Expenses Appropriation: Analysis of Change**

(Thousands of dollars)

|   | FTEs       | Requested<br>Amount<br>(Thousands<br>of dollars) |
|---|------------|--|
| Fiscal Year 2013 Continuing Resolution (CR) Funding   | 233        | 44,055   |
| <b>Mandatory Pay and Related Costs</b>  |            |  |
| Annualization of prior fiscal year personnel actions (Pay only)   |            | 381  |
| Restoration of FTEs reduced to operate under the fiscal year 2013 CR (Pay only)                               | 2          | 265  |
| Fiscal year 2014 across-the-board pay adjustment (Pay only)   |            | 0  |
| Fiscal year 2014 performance increases for all staff (Pay only)   |            | 316  |
| Change in leave buyout costs (Pay only)   |            | 3  |
| • Performance awards (Pay only)   |            | 0  |
| Savings from delay in backfilling vacated positions (Pay only)  |            | -283   |
| Personnel benefit changes under current law   |            | 250  |
| Restoration of benefits for FTEs reduced to operate under the fiscal year 2013 CR                             |            | 89   |
| Savings from delay in backfilling vacated positions (Benefits)  |            | -94  |
| Savings associated with new employees under the Federal Employees Retirement System                           |            | -36  |
| Total, Mandatory Pay and Related Costs  |            | <u>891</u>                                       |
| <b>Price-Level Changes</b>  |            |  |
| Price increases   |            | <u>13</u>  |
| Total, Price-Level Changes  |            | <u>13</u>  |
| <b>Program Changes</b>  |            |  |
| Change in commercial data requirements to support analyses  |            | -16  |
| Funds vital hardware replacement, greater storage capacity, advanced servers, and centralized computing model |            | 579  |
| Funds mandatory financial system upgrade (Momentum)   |            | 77   |
| Funds new National Finance Center (NFC) mandatory time and attendance system requirements                     |            | 15   |
| Funds increase in equipment repair based on known requirements  |            | 29   |
| Change in library subscription service requirements   |            | -2   |
| Restores IT software development funding to accommodate major software installation, upgrades, and support    |            | <u>59</u>  |
| Total, Program Changes  |            | <u>741</u>                                       |
| Net Increase or Decrease  | <u>2</u>   | <u>1,645</u>                                     |
| <b>Fiscal Year 2014 Request</b>   | <b>235</b> | <b>45,700</b>                                    |

Note: FTE = full-time-equivalent position.

**Table 5.****Staffing Summary**

| Organizational Unit                               | Fiscal Year 2012                 |                | Fiscal Year 2013,                           | Fiscal Year 2014,   | Fiscal Years                        |
|---|----------------------------------|----------------|---|---------------------|-------------------------------------|
|   | Actual<br>Number of<br>Employees | Actual<br>FTEs | Continuing<br>Resolution<br>Funding<br>FTEs | Request for<br>FTEs | 2013 and 2014,<br>Change in<br>FTEs |
| Office of the Director                            | 14                               | 15             | 15  | 15                  | 0                                   |
| Budget Analysis                                   | 80                               | 80             | 80  | 80                  | 0                                   |
| Macroeconomic Analysis                            | 17                               | 19             | 20  | 20                  | 0                                   |
| Financial Analysis                                | 6                                | 6              | 7   | 7                   | 0                                   |
| Tax Analysis                                      | 17                               | 19             | 18  | 18                  | 0                                   |
| Health, Retirement, and Long-Term Analysis        | 26                               | 27             | 28  | 30                  | 2                                   |
| Microeconomic Studies                             | 22                               | 20             | 18  | 18                  | 0                                   |
| National Security                                 | 16                               | 15             | 15  | 15                  | 0                                   |
| Management, Business, and<br>Information Services | 36                               | 36             | 32  | 32                  | 0                                   |
| <b>Total</b>                                      | <b>234</b>                       | <b>237</b>     | <b>233</b>                                  | <b>235</b>          | <b>2</b>                            |

Note: FTE = full-time-equivalent position.

**Table 6.****Fiscal Year 2014 Supplemental Data on Mandatory Pay Increases**

(Thousands of dollars)

| Category  | Amount     | Explanation of Calculation  |
|---|------------|---|
| Annualization of Prior Fiscal Year Personnel Actions (Pay only)                     | 381        | CBO annualized fiscal year 2013 actions to include promotions and performance-based increases for staff.  |
| Restoration of FTEs Reduced to Operate Under the Fiscal Year 2013 CR (Pay only)     | 265        | CBO restored pay for FTEs reduced to operate under the FY 2013 CR funding level.  |
| Fiscal Year 2014 Across-the-Board Pay Adjustment (Pay only)                         | 0          | As in the past three years, CBO will not provide an across-the-board pay increase.  |
| Fiscal Year 2014 Performance Increases for All Staff (Pay only)                     | 316        | CBO uses a performance-based system to reward its employees. Such performance-based 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. |
| Change in Leave Buyout Costs (Pay only)   | 3          | On the basis of fiscal year 2013 data, CBO budgeted for a slight increase in leave buyout costs for projected attrition. For leave buyout costs above that amount, CBO would delay filling vacated positions to cover any additional costs.   |
| Performance Awards (Pay only)   | 0          | CBO did not budget for an increase in performance bonuses for fiscal year 2014.   |
| Savings from Delay in Backfilling Vacated Positions (Pay only)                      | -283       | On the basis of historical data, CBO budgeted for pay savings to be realized because of the normal delay in backfilling vacated positions.  |
| Personnel Benefit Changes Under Current Law   | 250        | This line item represents the estimated cost of the change in benefits associated with the salary increases listed above, benefit program price increases, the growing rate of employees' participation in the Federal Employees Retirement System, and an increase in the Transit Subsidy Program.   |
| Restoration of Benefits for FTEs Reduced to Operate Under the Fiscal Year 2013 CR   | 89         | CBO restored benefits for FTEs reduced to operate under the FY 2013 CR funding level.   |
| Savings from Delay in Backfilling Vacated Positions (Benefits)                      | -94        | On the basis of historical data, CBO budgeted for benefit savings to be realized because of the normal delay in backfilling vacated positions.  |
| Savings Associated with New Employees Under the Federal Employees Retirement System | -36        | As a result of changes in law, \$36,000 in savings will be achieved when hiring new employees, by CBO's estimate.   |
| <b>Total, Mandatory Pay Increases</b>   | <b>891</b> |   |

Note: FTE = full-time equivalent position; CR = continuing resolution.

**Table 7.****Fiscal Year 2014 Supplemental Data on Price-Level Increases**

(Thousands of dollars)

| Category                           | Amount    |
|------------------------------------|-----------|
| General Inflationary Increase      | 13        |
| <b>Total, Price-Level Increase</b> | <b>13</b> |

Note: General inflationary increase is calculated using a rate of 1.5 percent of the nonpay base for selected line items.

**Table 8.****Salaries and Expenses Obligations: 10-Year Historical Data**

(Thousands of dollars, not adjusted for inflation, fiscal years)

| Item  | 2005   | 2006   | 2007   | 2008   | 2009   | 2010   | 2011   | 2012   | 2013, Estimate | 2014, Request |
|---|--------|--------|--------|--------|--------|--------|--------|--------|----------------|---------------|
| 11.1 Full-Time Permanent Positions                | 21,720 | 22,390 | 23,244 | 25,149 | 26,864 | 28,564 | 29,724 | 29,488 | 29,565         | 30,249        |
| 11.3 Other Than Full-Time Permanent               | 1,165  | 1,199  | 1,185  | 876    | 901    | 991    | 838    | 543    | 413            | 411           |
| 11.5 Other Personnel Compensation                 | 315    | 253    | 110    | 91     | 454    | 994    | 885    | 567    | 612            | 612           |
| Total, Personnel Compensation                     | 23,200 | 23,842 | 24,539 | 26,116 | 28,219 | 30,549 | 31,447 | 30,598 | 30,590         | 31,272        |
| 12.1 Personnel Benefits                           | 7,090  | 7,546  | 7,764  | 8,348  | 8,921  | 9,633  | 10,048 | 9,939  | 10,185         | 10,394        |
| 13.0 Benefits for Former Personnel                | 5      | 0      | 0      | 0      | 0      | 0      | 8      | 0      | 0              | 0             |
| 21.0 Travel and Transportation of Persons         | 117    | 134    | 108    | 137    | 119    | 123    | 168    | 128    | 169            | 169           |
| 22.0 Transportation of Things                     | 1      | 0      | 0      | 0      | 0      | 0      | 0      | 0      | 0              | 0             |
| 23.3 Communications, Utilities, and Miscellaneous | 218    | 240    | 175    | 169    | 197    | 220    | 264    | 160    | 228            | 228           |
| 24.0 Printing and Reproduction                    | 34     | 47     | 58     | 23     | 68     | 39     | 61     | 26     | 41             | 41            |
| 25.0 Other Services                               | 2,242  | 1,870  | 1,647  | 1,527  | 3,873  | 3,300  | 2,616  | 1,439  | 1,687          | 1,855         |
| 26.0 Supplies and Materials                       | 346    | 378    | 149    | 404    | 746    | 465    | 458    | 454    | 429            | 427           |
| 31.0 Equipment                                    | 1,124  | 913    | 721    | 477    | 2,103  | 2,355  | 1,597  | 985    | 726            | 1,314         |
| Total, Obligations                                | 34,377 | 34,970 | 35,161 | 37,201 | 44,246 | 46,684 | 46,667 | 43,729 | 44,055         | 45,700        |
| Full-Time-Equivalent Positions                    | 231    | 231    | 231    | 235    | 242    | 250    | 246    | 237    | 233            | 235           |

**Detailed Object Classification Analysis****Basis for CBO's Budget Estimates—Personnel Costs**

Payroll projections are derived using CBO's internally developed software for tracking current payroll costs and projecting future year costs. Estimates are based on employee-level payroll data at the object classification level. In prior years, payroll budget projections derived from this database have proved to be more than

99 percent accurate for developing and tracking payroll costs.

**OBJECT CLASSIFICATION 11—FULL-TIME AND PART-TIME EMPLOYEES**

■ **\$30,545,800 for Base Pay**—funds an average of 235 FTEs for the fiscal year. The amount constitutes an overall increase of \$679,100. That increase is the net of these amounts:

- \$381,000 is for prior year actions for performance-based increases and promotions.
- \$316,000 is for performance-based increases. It is important to note that CBO uses a performance-based system to reward its employees. 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. (As in the past three years, no across-the-board increases have been budgeted for fiscal year 2014.)
- \$265,100 is for a base pay increase for 2 FTEs.
- Savings of \$283,000 arise from normal delays in filling vacated positions.
- **\$114,900 for Leave Buyout Costs**—funds mandatory leave buyout costs for employees who leave. Based on current data, this amount is \$3,300 higher than that projected for fiscal year 2013. For leave buyout costs above this amount, CBO would delay filling vacated positions to cover the costs.
- **\$600,000 for Performance Bonuses**—funds performance bonuses for CBO's top performers. At the same level as that projected for fiscal year 2013, such bonuses enable CBO to better control long-term compensation costs while helping to retain its outstanding performers in a competitive job market.
- **\$11,500 for Overtime Pay**—funds overtime pay for exempt employees at the same level as in fiscal year 2013. Overtime pay is limited to positions classified as administrative. Currently, CBO has 12 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 below this level was provided, CBO would have to

redirect tasks to nonexempt employees, which would not be an efficient use of their time given the agency's workload and the already reduced FTE level.

#### OBJECT CLASSIFICATION 12—PERSONNEL BENEFITS

- **\$4,914,000 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 \$59,800. Fiscal year 2014 costs are 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, 9.6 percent for newly hired people under the revised annuity employees (RAE) law, and a reduction for anticipated attrition.
- **\$1,635,400 for Health Insurance**—funds mandatory health benefit costs. The amount constitutes an increase of \$43,600. Based on historical costs, fiscal year 2014 health insurance costs are inflated by 2.7 percent, with a reduction for anticipated attrition.
- **\$1,627,800 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 \$42,300. Fiscal year 2014 costs are projected using a maximum taxable benefit of \$113,700 for each employee along with a reduction for anticipated attrition.
- **\$1,109,700 for FERS Thrift Savings Plan (TSP) Government Matching Contributions**—funds mandatory government matching contributions. The amount is an increase of \$29,100. Fiscal year 2014 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.
- **\$450,400 for Medicare Payroll Taxes**—funds mandatory Medicare benefit costs for CBO employees. The amount is \$9,300 more than the amount in fiscal year 2013. Fiscal year 2014 costs are projected using 1.45 percent of base pay, along with an associated adjustment for anticipated attrition.

- **\$292,600 for FERS TSP Government Basic Contribution**—funds the mandatory FERS TSP 1 percent matching benefit. The amount is an increase of \$7,100 over the amount in fiscal year 2013. Fiscal year 2014 costs are based on the benefits paid to current employees using their current annualized salary, along with a reduction for anticipated attrition.
- **\$225,000 for the Transit Subsidy Program**—funds mandatory employee benefits that are associated with CBO's Transit Subsidy Program. The amount is an increase of \$15,000 over the amount in fiscal year 2013 due to the annualization of the change in law that raised the monthly benefit ceiling from \$125.00 to \$245.00.
- **\$40,800 for Life Insurance**—funds mandatory life insurance benefits for employees. The amount constitutes an increase of \$1,900. Fiscal year 2014 costs are calculated on the basis of historical data, which equate to roughly 0.1 percent of base pay.
- **\$72,000 for Recruitment Bonuses**—funds a valuable recruiting tool for the agency. The amount is the same as that in fiscal year 2013.
- **\$12,000 for the Federal Flexible Spending Account Program (FSAFEDS)**—funds mandatory costs for participation in FSAFEDS by CBO's workforce. The amount is \$500 more than what CBO spent in fiscal year 2013. Fiscal year 2014 costs are based on employees' historical use of the program.
- **\$1,950 for a Health Club Benefit**—funds CBO's share of the use of the House of Representatives' health club contract. The amount is \$100 more than what CBO spent in fiscal year 2013. This nominal cost is based on historical data.
- **\$12,000 for the Student Loan Repayment Program**—provides a valuable recruiting tool. The amount is the same as in fiscal year 2013. There is currently one commitment of \$6,000 made to an employee.

#### Basis for CBO's Budget Estimates—Nonpay Costs

##### OBJECT CLASSIFICATION 21—TRAVEL

- **\$168,500 for Travel**—funds two meetings of the agency's Panel of Economic Advisers and one of the agency's Panel of Health Advisers to support the development and review of CBO analyses; funds

employees' attendance at the annual Allied Social Science Associations conference, which is used for recruiting; and funds travel for employees to attend various conferences and training courses, including management and leadership training. The amount is the same as that in fiscal year 2013.

##### OBJECT CLASSIFICATION 23.3—COMMUNICATIONS, UTILITIES, AND MISCELLANEOUS

- **\$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. The amount is the same as that in fiscal year 2013.
- **\$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 that in fiscal year 2013.

##### OBJECT CLASSIFICATION 24—PRINTING AND REPRODUCTION

- **\$40,700 for Publications**—funds publications printed through the Government Printing Office and other miscellaneous printing requirements for CBO products for the Congress. The amount is the same as that in fiscal year 2013.

##### OBJECT CLASSIFICATION 25—OTHER SERVICES

- **\$481,700 for Commercial Data**—funds purchases of data on health care, domestic and international banking and finances, and other topics in support of CBO analyses. On the basis of known requirements, CBO reduced these resources by \$16,200 from the amount in fiscal year 2013—still ensuring that essential data are available for analyses.
- **\$328,300 for Equipment Maintenance and Repair**—funds a broad array of IT functions needed for operations. The amount represents an increase of \$28,600 to fund known requirements. 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 maintenance, repairs, and updates of tape backup equipment; Cisco network equipment; copiers and a high-capacity printer; storage area network; network security appliances; and data backup software and other software. 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.

- **\$267,200 for IT System Development and Support**—funds software for various functions and projects. The amount represents an increase of \$60,000, principally to accommodate major software installations, upgrades, and support. Such support includes advisory services to ensure that the agency obtains the best value for major procurements. It also includes professional services as necessary to implement major upgrades for such systems as Microsoft Exchange (for e-mail), VMWare (for virtual computing), NetApps (for network management), and the agency's Web site; to augment the agency's own staff to quickly resolve complex outages; and to provide mandatory annual risk assessments.
- **\$104,100 for Expert Consultants**—funds access to outside experts, particularly in health care and finance, to assist in cost estimates and analyses; outside reviews of drafts of analyses; and legal support for human resources and litigation actions regarding former and current employees. The amount, which is based on historical information, is the same as that in fiscal year 2013.
- **\$175,000 for the Financial Management System (Momentum)**—funds annual costs of CBO's maintenance support for Momentum. CBO increased this line item by \$78,000 to cover mandatory system upgrades for 2014.
- **\$106,700 for Financial Management Support**—funds the interagency agreement with the Library of Congress (LOC). The amount is the same as that in fiscal year 2013. 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 LOC, CBO is able to avoid costly expenses that it would otherwise incur on its own for financial management services and systems.
- **\$38,000 for the Financial Audit**—funds the annual independent audit of CBO's financial statements. The amount includes a fixed-cost increase of \$1,500. 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, which is from LOC's financial management system, Momentum. This is a fixed-cost contract, so funding cannot be adjusted.
- **\$50,500 for Payroll Processing Support**—funds comprehensive payroll (and related benefits) processing for the agency. CBO increased this line item by \$15,000 because of the mandatory implementation of the National Finance Center's (NFC's) new payroll system. NFC 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 2013. 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.
- **\$175,600 for Technical and Skill Development Training**—funds CBO analysts' participation in conferences and technical training in IT systems and software, data analysis, writing, and economic modeling. The amount is the same as that in fiscal year 2013. To constrain expenses in this area, CBO takes advantage of House-sponsored training courses as well as those offered by other agencies.
- **\$29,600 for Management and Development Training**—funds training for high-performing analysts and managers. The amount is the same as that in fiscal year 2013.

- **\$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. The amount is the same as that in fiscal year 2013.
- **\$12,700 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 as that in fiscal year 2013.
- **\$6,000 for Official Representation**—funds events such as meetings of the Panel of Economic Advisers, Panel of Health Advisers, and other outside analysts; and minority recruitment events. This amount of funding is the same as in previous years.

OBJECT CLASSIFICATION 26.0—SUPPLIES AND MATERIALS

- **\$298,800 for Library Subscriptions**—funds library subscription services, primarily online subscriptions. 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). The amount is \$1,400 less than that in fiscal year 2013. To decrease price growth in this area, which is normally higher than overall inflation rates, CBO negotiates with various vendors to obtain discounts and price reductions, where feasible.
- **\$128,500 for Office Supplies**—funds expenses for office supplies, reasonable accommodations for employees' requirements under the Americans with Disabilities Act, paper, envelopes, emergency response kits required for evacuation drills, award supplies, and other items. The amount is the same as that in fiscal year 2013.

OBJECT CLASSIFICATION 31.0—EQUIPMENT

- **\$929,400 for Hardware**—funds CBO's computer purchases. CBO increased this line item by \$588,000. The increase is vital in order to allow the agency to

keep pace with the analytical needs of the Congress. The funding would be used to meet the need for greater storage capacity and advanced servers designed to provide for sophisticated statistical analysis and modeling undertaken by an increasingly wide swath of the agency. The funding would also be used to restore a normal cycle for replacing computers and other hardware as they age and to continue to extend sophisticated remote access capabilities, made necessary by increasingly compressed legislative action. Finally, the funding would support a transition to more centralized computing (making use of fewer physical PCs and more virtual PCs), which requires an initial spike in infrastructure investment. That more centralized configuration provides many benefits, including enabling CBO to greatly enhance the disaster recovery capabilities for the critical custom software used in the Budget Analysis Division.

- **\$333,600 for Software**—funds various requirements for software. The amount is the same as that in fiscal year 2013. The funds would 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.
- **\$20,000 for Office Furniture**—funds the replacement of office furniture. The amount is the same as that in fiscal year 2013. 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 that in fiscal year 2013. This modest amount of funds covers the bare minimum of books required to support analytical requirements.
- **\$11,800 for Office Equipment**—funds requirements for such things as audio/video equipment and shredders. The amount is the same as that in fiscal year 2013. 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.

## Requested Changes in Administrative Provisions

CBO requests that the following two changes to administrative provisions be made in the fiscal year 2014 appropriation act for the legislative branch.

### Funds Available for Employees with Non-Immigrant Visas

SEC. 1. During fiscal year 2014, appropriations available to the Congressional Budget Office may be used to pay the compensation of employees in specialty occupations with non-immigrant visas.

This provision would authorize CBO to hire foreign nationals who have special skills and hold non-immigrant visas into positions that are difficult to fill.

### Acceptance of Voluntary Student Services

SEC. 1201. (a) Section 3111(e) of title 5, United States Code, is amended—

- (1) by striking “e” and inserting “(e)(1)” and
- (2) by adding at the end the following new paragraph:

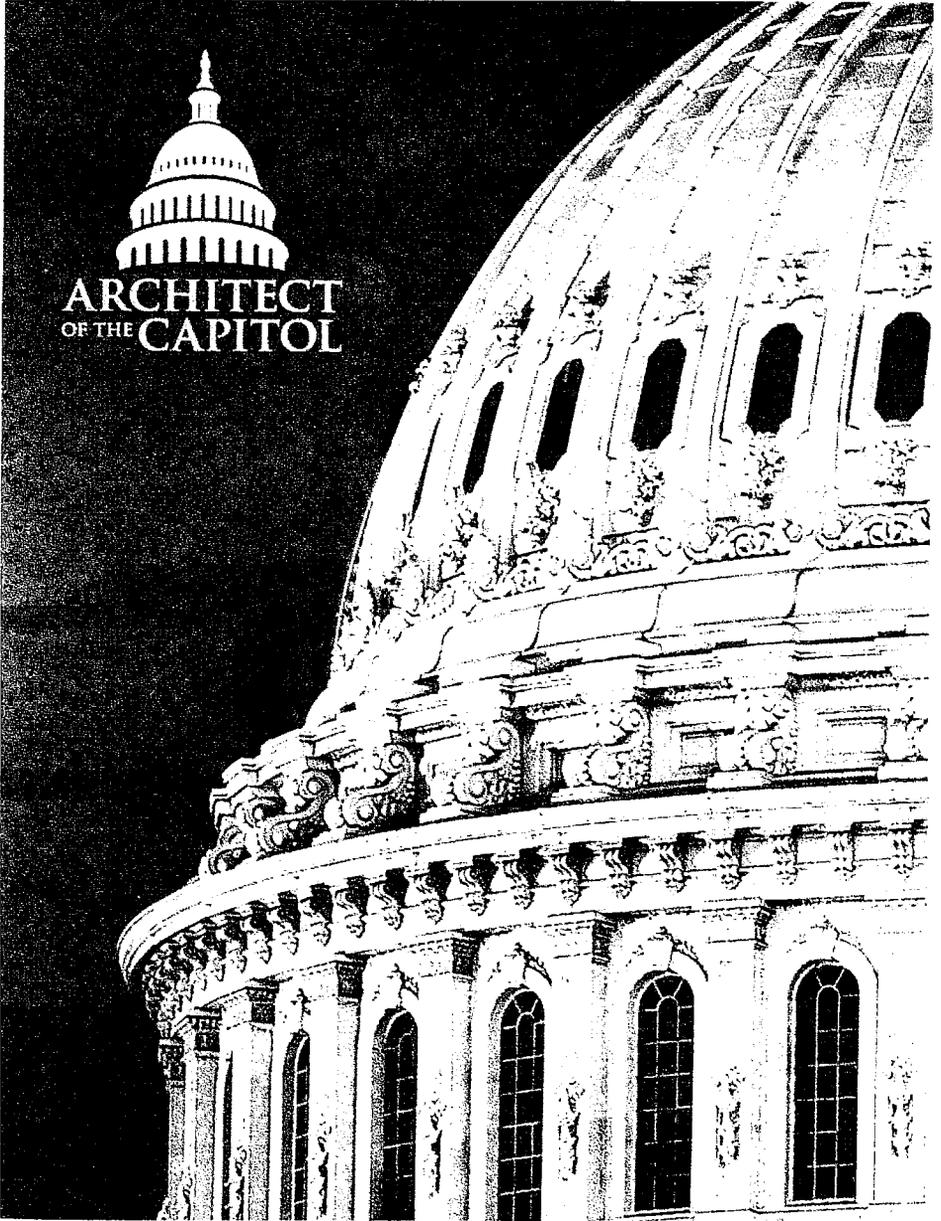
“(2) In this section, the term ‘agency’ includes the Congressional Budget Office, except that in the case of the Congressional Budget Office—

(A) any student who provides voluntary service in accordance with this section shall be considered an employee of the Congressional Budget Office for purposes of section 203 of the Congressional Budget Act of 1974 (related to the level of confidentiality of budget data); and

(B) the authority granted to the Office of Personnel Management under this section shall be exercised by the Director of the Congressional Budget Office.

(b) The amendment made by subsection (a) shall apply with respect to fiscal year 2014 and each succeeding fiscal year.”

This provision would authorize CBO to accept the services of student volunteers on the same basis as executive branch agencies. It is similar in effect to the authority granted to the Architect of the Capitol by section 1303 of the Legislative Branch Appropriation Act, 2010. Although CBO currently has the ability to accept volunteer services, this provision would authorize the agency to accept the services of student volunteers on the same basis as executive branch agencies and most other legislative branch agencies. With this provision, CBO could provide its interns with transit subsidy benefits and provide workers' compensation to interns in the (very unlikely) event that they suffer an injury at work.



*"We shape our buildings; thereafter, our buildings shape us." -- Winston Churchill*

As the structure of our young government was beginning to shape the new country in 1793, the structure that would come to symbolize our government was also beginning to take shape. Later, as the country was struggling through the Civil War, a new dome was rising above the Capitol, symbolizing, as President Lincoln would note that, "If people see the Capitol going on, it is a sign we intend the Union shall go on."

As stewards of the historic United States Capitol, the employees of the Architect of the Capitol have dedicated themselves to preserving the iconic Congressional buildings entrusted to their care for future generations. In Fiscal Year 2012, amid the nation's commemoration of the Sesquicentennial of the American Civil War, this included completely restoring the Capitol Dome Skirt – the foundation of the iconic Dome.

In the coming months of Fiscal Year 2013, upon receipt of funding, we plan to continue with the restoration of the exterior of the Dome to include repairing damaged ironwork, resealing and repainting the surface, restoring columns and decorative ornaments, and installing a new fall protection system – none of our work is more important. Our Fiscal Year 2014 request includes funding to continue repairs on the Dome's interior (Interstitial) spaces, to ensure that the Capitol will continue to shine as a symbol of our nation and our government.

We continue to invest our labor and resources in maintaining and preserving the buildings and grounds that are the foundations of the Capitol campus. This is our fundamental mission – a mission to which we are completely committed.

However, we realize that the fiscal climate continues to challenge the country and the Congress as there are more needs than means to address them. With those challenges in mind, we have again crafted our annual operating budget request so that it remains essentially flat. We also continued to work to become more efficient and effective with the investments Congress has provided to address our highest priorities with regard to capital projects.

By reducing costs, reducing energy consumption, working safer, and improving efficiencies, the Architect of the Capitol realized numerous cost avoidances and savings, which in turn, freed up resources that could be applied to Deferred Maintenance and Capital Renewal projects across the Capitol campus.

Based on our assessments and efforts to keep our request flat, for Fiscal Year 2014, we are requesting \$681.7 million. Our request to address critical Deferred Maintenance issues is \$63.9 million. In the Executive Summary that follows, we present an analysis of the need to address the worst cases of deterioration and needed efforts for historic preservation versus the risks of continuing to defer these projects.

Therefore, we are requesting \$154.7 million in capital projects to continue our efforts to try and prevent or delay building and system malfunctions or failures. Chief among these efforts are new projects to address an emerging issue with which we are dealing – the serious deterioration and failure of the exterior stone on Congressional buildings. Restoring the exterior stone on these historic buildings will take significant time and resources, and we realize these projects will be competing with many other priorities for limited Federal dollars.

The Architect of the Capitol is honored to serve as the trustees of these historic buildings and grounds on behalf of the Congress and the American people.

Sincerely,



Stephen T. Ayers, FALA, LEED AP  
Architect of the Capitol



## AOC Executive Summary Fiscal Year 2014 Budget

The Architect of the Capitol's Fiscal Year 2014 budget request focuses on investing limited resources and prioritizing projects and programs to address our most pressing obligations. We have continued to refine a zero-based budget philosophy, strategy, and process in the development of this budget request.

### Doing More With Less

In addition to judiciously requesting those projects that are most urgent, the Architect of the Capitol (AOC) continues to capitalize on cost avoidance measures we have implemented in recent years.

The initiatives adopted to help manage the agency's resources have made the AOC work smarter and leaner. The following list highlights just a few examples of how conscious efforts – both large and small – have added up to significant cost avoidances and have contributed in the AOC's efforts to reduce costs and become more efficient.

For example, the AOC continued to reduce its overtime costs by improving its project planning, restructuring work shifts, and establishing overtime budgets. As a result, the AOC cut nearly 72,000 overtime hours from Fiscal Year 2011 to Fiscal Year 2012.

Across the AOC, in organizations such as the Library Buildings and Grounds jurisdictions, they were achieved by implementing Alternative Work Schedules in several of its shops to manage workloads and reduce overtime. Not only has this resulted in cost avoidances, it has provided a consistent rather than rotating staff on weekends, which improved continuity of operations, maintenance activities, and emergency response capabilities.

In the Capitol Visitor Center, we are cross-training visitor assistants and visitor guides to facilitate a more efficient, effective, and visitor-focused operation.



In the House and Capitol jurisdictions, we are modifying and reducing their contractual services and performing more maintenance and construction activities in-house without any increases in manpower or payroll. The Capitol Police Buildings, Grounds, and Security Division established and consolidated a reliability-based facilities management contract for the Alternate Computer Facility and its own operations that reduced the number of facilities and custodial contracts from four to one; resulting in more than \$700,000 in cost savings.

In addition, the AOC has continued with its targeted hiring freezes, has delayed filling some vacant positions, and has eliminated or reduced some positions. At the close of Fiscal Year 2012, the AOC had reduced its Full Time Equivalents (FTEs) to 2,186; down from 2,231 in Fiscal Year 2011.

The AOC continued to reduce its inventory on hand, such as drywall, carpet, and repair parts, from \$8.3 million in Fiscal Year 2007 to \$7.5 million in Fiscal Year 2012; a 9.6 percent decline.



## AOC Executive Summary Fiscal Year 2014 Budget

The AOC's jurisdictions also are saving taxpayer dollars by saving energy and resources. In Fiscal Year 2012, the AOC exceeded our energy reduction goal by achieving a 21.8 percent reduction, which represents approximately \$13.6 million in avoided annual utility costs. In addition, the AOC realized significant cost savings by refinancing the interest rates and terms of the Capitol and Senate Energy Savings Performance Contracts. Under the new terms, it will save AOC \$23 million in future payments.

We've continued to make improvements to building automation systems by upgrading controls; reduced water usage; installed more efficient lighting systems, and further implemented Green and Gold Days to reduce energy use across the Capitol campus. These efficiencies are discussed further in the *Sustainability, Safety, and Accessibility* section.

In taking these various actions, the AOC has been able to reinvest its resources in Deferred Maintenance and Capital Renewal projects throughout the Capitol campus. As a result, the AOC was able to **reduce its budget request for capital projects in Fiscal Year 2014 to \$154.7 million, which is a \$6.3 million, or 4 percent decrease from our Fiscal Year 2013 capital projects request.**

In the most challenging of economic times, we must continue to correct deficiencies and prevent facility or system failures. The key is to prioritize projects to ensure resources go toward the most important work.

### Investing in the Capitol Campus

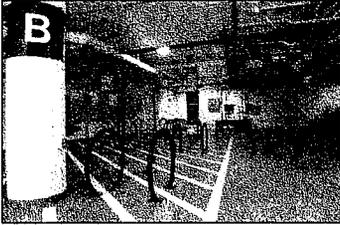


*The East House Underground Garage prior to renovation.*

*"It is better to preserve than to repair, better to repair than to restore, better to restore than to reconstruct." – A.N. Didron, archaeologist, Bulletin Archeologique, Vol. 1, 1839*

The Architect of the Capitol specializes in repairing and restoring the historic assets entrusted to our care. In many instances, the craftsmanship of the dedicated men and women who work at the AOC has successfully disguised the serious conditions or fragile states that the facilities are in or has temporarily stemmed any further deterioration. However, these temporary patches are just that – temporary.

## AOC Executive Summary Fiscal Year 2014 Budget



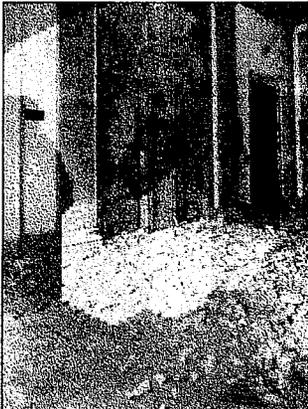
*The East House Underground Garage (above) was prioritized as a Deferred Maintenance project. In 2011, the garage was renovated and now is rated as Excellent on the Facility Condition Index.*

The AOC employs its Project Prioritization Process to rank every necessary project using the conditions of the facilities and the urgency in which any deficiencies need to be addressed as the primary drivers. This has effectively allowed the AOC to identify and recommend to Congress the levels of investment and maintenance required to ensure that all the facilities on the Capitol campus remain safe, functional, and protected.

The draft Capitol Complex Master Plan, which provides a 20-year strategy that will help guide the AOC in prioritizing necessary work and how best to utilize fiscal resources to ensure safety, historic preservation, sustainability, accessibility, and security throughout the Congressional facilities.

While the Capitol Complex Master Plan will be considered the master blueprint for prioritizing projects in contention for future investments, the AOC also implements additional tools to assess

the condition of the facilities. They include the Facility Condition Assessments, 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.



*Part of a plaster ceiling in the Cannon House Office Building lay on the floor near an elevator bank. It fell without warning due to its advanced age.*

Webster's Dictionary defines Deferred Maintenance as *an amount needed but not yet expended for repairs, restoration, or rehabilitation of an asset*. For Fiscal Year 2014, we are recommending that \$171.9 million in necessary project work be further deferred to a later fiscal year due to the austere budget environment. This is not without serious risks. The AOC continues to carefully monitor and maintain the facilities and systems to minimize the risk of catastrophic failure. We also continue to monitor a large number of Capital Renewal projects that remain unaddressed.

The AOC recognizes that the fiscal environment will continue to pose serious challenges for the country and the Congress; therefore we are evaluating what has been our "traditional" approach the past several years to target component improvements to sustain operational functionality versus undertaking large system replacements. This is a deliberate and calculated risk.

By continuing to "patch" systems that should be replaced, we could experience a catastrophic system or building failure. However, this approach does address immediate Deferred Maintenance issues until the necessary funding for full building renovations is received. Operational risks will increase as these systems continue to age, and this approach is not sustainable over the long term.



## AOC Executive Summary Fiscal Year 2014 Budget

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The Congress has been very supportive of the AOC's efforts to address critical Deferred Maintenance projects. As demonstrated in the accompanying Facility Condition Index (FCI) charts (*on the following two pages*) comparing Fiscal Year 2011 and Fiscal Year 2012, Congress has provided significant funding over the past several fiscal years, which has been directed to help repair the infrastructure of several facilities.

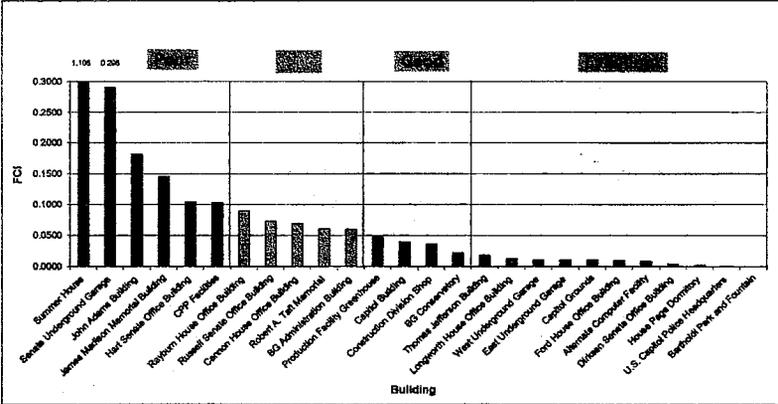
However, while several facilities are still trending beyond a "good" condition, we are finding recently assessed facilities rated "fair" and "poor" are getting worse. Due to the austere budget environment, the larger and more costly system replacements are being deferred to a future fiscal year and replaced by component improvements on mission critical equipment. These more focused projects may help stabilize a system and avoid an immediate failure, but they do not eliminate the need for the larger system renewals. These system renewal projects become more costly the longer they are deferred, and as such, facility conditions will continue to deteriorate.

This trend is more evident in the projected FCI information provided in the accompanying Capitol campus illustrations (*on page 6*), 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 2017 illustration shows the facility condition changes with no additional investments made after Fiscal Year 2012.)

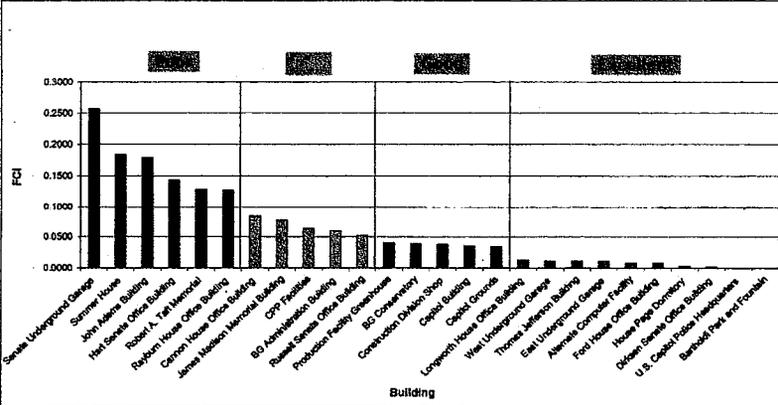


# AOC Executive Summary Fiscal Year 2014 Budget

Fiscal Year 2011 Facility Condition Index



Fiscal Year 2012 Facility Condition Index



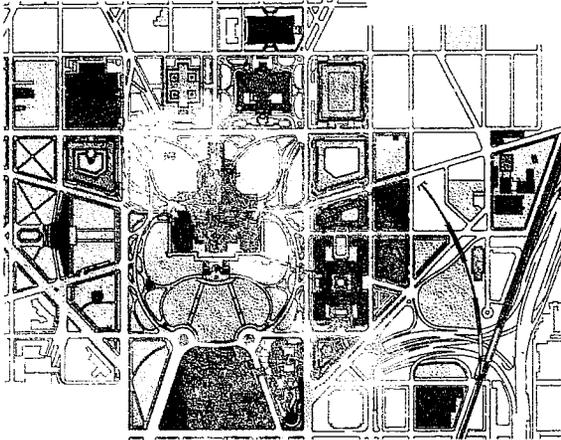
| FCI Legend     |             |
|----------------|-------------|
| Over 0.10      | = Poor      |
| 0.05 - 0.10    | = Fair      |
| 0.02 - 0.05    | = Good      |
| Less than 0.02 | = Excellent |



# AOC Executive Summary Fiscal Year 2014 Budget

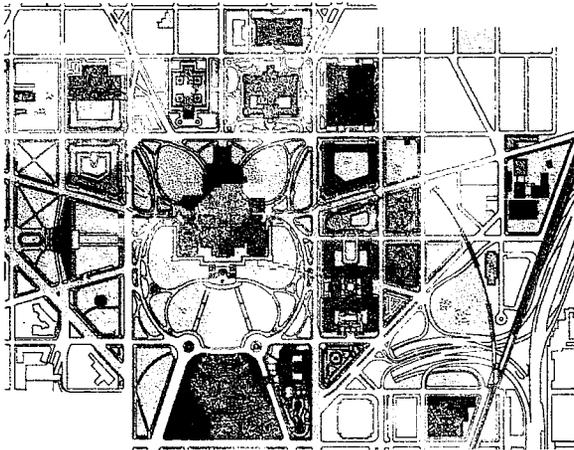
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## Fiscal Year 2012 Facility Condition Index (FCI) by Facility

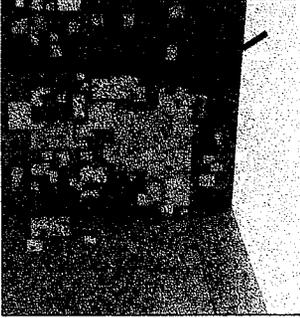


*Projected*

## Fiscal Year 2017 Facility Condition Index (FCI) by Facility



## AOC Executive Summary Fiscal Year 2014 Budget

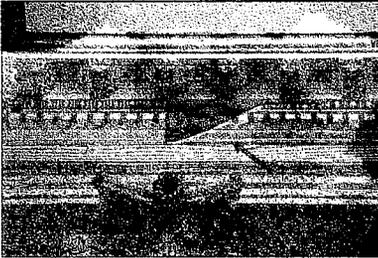


*In January 2012, the AOC identified a piece of stone on the Hart Senate Office Building that had become dislodged. The stone was safely removed.*

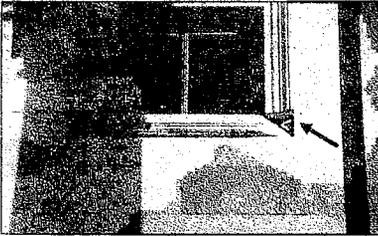
One area of particular concern, which is an emerging priority for the AOC, is the serious deterioration of the stone that comprises the exterior façades of most Congressional facilities. Weather and environmental factors take a concerted toll on the condition of the sandstone, marble, and other stone that make up the buildings' exteriors as well as other masonry features located across the Capitol campus, such as the Olmsted walls.

Water, in particular, is very destructive to stone structures. The AOC has recorded evidence of water entry into the interior of several buildings as a result of exterior stone failures as well as wall separation dislodgement, and stone movement or misalignment.

To further assess the severity of the condition of the stone of several Congressional facilities, the AOC recently completed evaluations of the exteriors of the Russell Senate Office Building, Cannon House Office Building, U.S. Capitol Building, and the Taft Memorial. The Hart Senate Office Building is currently under review.



The results of the evaluations confirmed that the conditions of exterior stone on Congressional buildings across the Capitol campus are severely deteriorating and need to be addressed quickly in order to preserve as much original material as possible. For example, a survey of the Capitol Building's Olmsted Terrace indicated that the stone is in fair to poor condition. Some of the specific conditions noted in the assessment are large settlement cracks, spalling, cracking, sugaring, and moisture related damage. This project is outside of the scope of work of the requested project, Exterior Stone and Metal Preservation, U.S. Capitol, Phase I, described on page 10.



*Large sections of exterior stone are missing from the U.S. Capitol Building.*

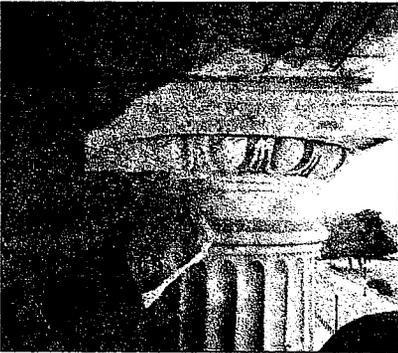
Unfortunately, examples of stone failures are becoming more and more frequent as AOC staff collects pieces of stone and rubble that have fallen from buildings. In recent years, Members of Congress have commented during Congressional hearings that they have witnessed pieces of stone falling from the Capitol Building while standing on the balconies. Fortunately, no injuries have accompanied these stone failures to date.



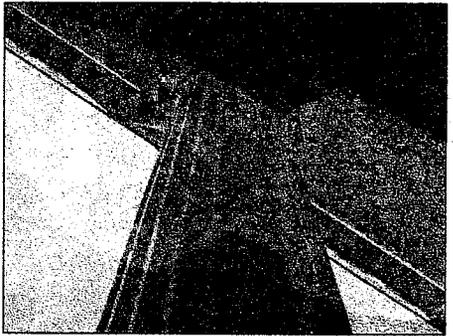
## AOC Executive Summary Fiscal Year 2014 Budget

Restoring the exterior stone on these historic buildings will take significant time and resources. In fact, many projects to address deteriorating stone remain on the deferred projects list, including work on the U.S. Botanic Garden Conservatory. The Cannon House Office Building façade will be repaired as part of the planned comprehensive renewal project.

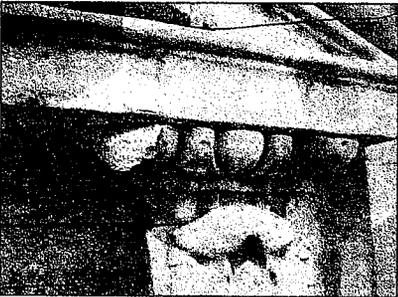
Repairing these issues will take more than a coat of paint. Materials to match the original sandstone and marble, such as Aquia Creek Sandstone and White Vermont Marble, used to construct the buildings will need to be acquired, and stone masons and other craftsmen skilled and experienced in the cleaning and restoring of historic stone will need to be hired or contracted. To preserve the exterior building stone and metals for as long as possible and to protect the building occupants and visitors from harm, the AOC will need to implement a long-term exterior stone restoration program that will prevent water infiltration; slow deterioration of the stone and corrosion of decorative metals; repair existing damage and deterioration, and remove disfiguring and damaging soil and stains.



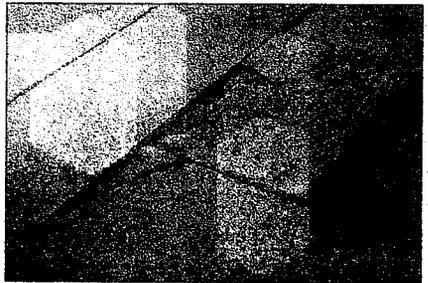
*The AOC removed loose exterior stone from the Cannon Building to prevent it from falling.*



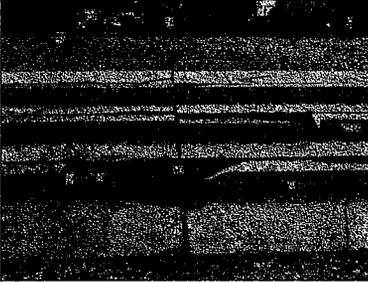
*Columns on the Capitol Building are "sugaring."*



*At left, an example of damaged and missing exterior stone on the Russell Building. Above, damage on the Olmsted Terrace.*



## AOC Executive Summary Fiscal Year 2014 Budget



*A "before" photo of the severely deteriorated limestone steps at Union Square.*

The AOC recently completed its first Facility Condition Assessment of Union Square as the 12-acre parcel was added to its portfolio in January 2012. For the past year, sections of severely deteriorated limestone steps were removed and replaced with temporary concrete colored to match the limestone to make the area safer. Usable sections of limestone were saved, re-cut, and reinstalled. In addition, sidewalks were patched or replaced, and the reflecting pool drained and cleaned.

However, despite the best efforts of the AOC's Construction Division staff to stabilize the area, the condition of the reflecting pool and the surrounding steps and sidewalks is poor and will require significant future investment.

Therefore, the AOC's Fiscal Year 2014 budget request has included projects to begin addressing this serious, emergent issue, starting with the U.S. Capitol Building and Russell Senate Office Building, and will continue to include these types of projects in future budget requests to ensure that we preserve the unique and historic architectural, masonry features of the buildings that serve the Congress and the American people.

As demonstrated in the examples cited above, the longer Deferred Maintenance and Capital Renewal projects are delayed, the conditions of 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 Deferred Maintenance and Capital Renewal projects are the continued crumbling of facilities' infrastructures; a loss of historic artwork and architectural features; continued system and building failures, and security threats.

Funding the following capital projects in Fiscal Year 2014 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 Capitol Hill. In addition, investing in the projects will continue to preserve national treasures for future generations, and several are designed to allow the Congress to realize greater energy efficiencies and savings.

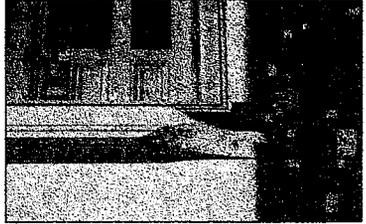
- **Dome Restoration – Phase IIB (Interstitial space)** – This next phase of the Dome Restoration is designed to repair the interstitial space by upgrading mechanical, electrical, lighting, and communications systems, repairing roofing and catwalks, and improving fire protection systems as well as making repairs and repainting cast iron elements. *(At right: Photo of Interstitial space in Capitol Dome.)*
- **West Refrigeration Plant Expansion Cooling Tower Addition, Refrigeration Plant Revitalization, Phase IIB** – The next phase of the Refrigeration Plant Revitalization project will include the construction of three-field erected cooling towers within the West



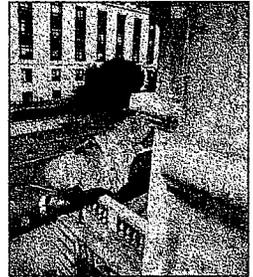
## AOC Executive Summary Fiscal Year 2014 Budget

Refrigeration Plant Expansion (WRPE), and completing the associated mechanical, plumbing, and electrical system improvements to operate the towers in unison with the existing cooling towers. This work will enhance the WRPE's capacity to meet the system load demands when the original West Refrigeration Plant is shut down for renovation. These upgrades will enhance the Capitol Power Plant's capability to provide and maintain reliable chilled water for cooling Congressional facilities.

- Exterior Stone and Metal Preservation, U.S. Capitol, Phase I** – This is the first of three phases to rehabilitate the exterior stone, metals, and lighting on the U.S. Capitol Building to preserve this iconic facility's historic, architectural features for the next century. The first phase includes the North Extension, Senate Carriage Entrance, West Terrace balustrades, the North Pediment Sculpture, painted ornamental ironwork, bronze lamp posts, and bronze chandeliers. As noted earlier, the exterior stone and metalwork continues to deteriorate due to water infiltration and other factors causing a loss of the historic fabric that comprises the Capitol Building façade. *(At right: Photo of missing stone around Capitol Building window.)*



- Exterior Envelope Repair and Restoration, Russell Senate Office Building, Phase I** – Phase I of this multi-phased project will address the north (C Street) side and the corresponding interior courtyard façade of the 104-year-old office building. The work will include making repairs to the façade, repairing windows and doors, repointing masonry, restoring and refinishing exterior metals, and making seismic upgrades to the balustrades. The work is being divided into five phases that correspond to the five sides of the building. *(At right: AOC staffer removes weak stone from the Russell Building façade.)*



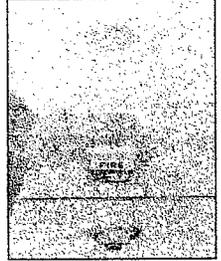
- Garage Rehabilitation, Rayburn House Office Building, Phase I** – This project would rehabilitate the structural framing of the Rayburn garage to include architectural improvements for life-safety, accessibility, lighting, electrical, mechanical, plumbing, fire protection, and physical security. Engineering studies have identified severe corrosion of the reinforcing steel as well as spalling and delaminating concrete in the ceiling and support columns. The garage project will be divided into four phases. This first phase would address the southeast quadrant with subsequent quadrants to follow contingent upon funding. *(At right: Spalling concrete has fallen from the Rayburn Garage ceiling exposing rusting rebar.)*



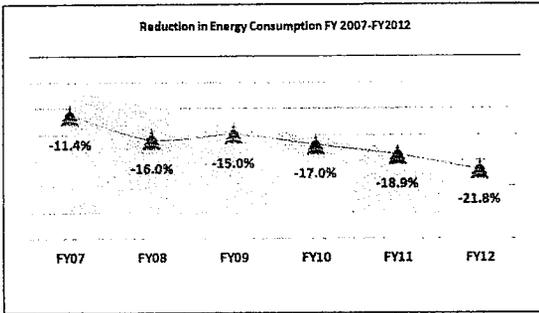


## AOC Executive Summary Fiscal Year 2014 Budget

- Life-Safety Improvements** – Safety is the top priority for the AOC, and a number of safety-related projects are included in the Fiscal Year 2014 budget request including a project to replace the exhaust system serving the main kitchen areas in the Dirksen Senate Office Building. In addition, funding for several projects in the Library of Congress buildings is being requested, including making improvements to fire doors in the Thomas Jefferson Building; designing upgrades to the fire alarm and voice evacuation system in the James Madison Building, and constructing a new egress stairwell and exits in the Thomas Jefferson Building.



### Sustainability, Safety, and Accessibility



As noted earlier, while the AOC has been reducing energy consumption across the Capitol campus, with the completion of the House Office Buildings Energy Savings Performance Contracts (ESPCs) in Fiscal Year 2013, meeting the mandated energy reduction goals will be more difficult because the projects that yielded quick results have been completed.

In Fiscal Year 2012, the AOC exceeded the Energy Independence and Security Act of 2007 (EISA 2007) energy reduction goal of 21 percent by achieving a 21.8 percent reduction. This marks our seventh consecutive year of meeting energy reduction goals outlined in EISA 2007, and represents approximately \$13.6 million in avoided annual utility costs. Meeting future energy reduction goals will be very challenging. We will be required to achieve further operational energy savings to complement our pipeline of larger scale energy savings performance projects currently in progress.

The AOC is working on or has completed a number of projects that have contributed to these savings including:

- Replacing the air handling units and associated support systems in the Dirksen Senate Office Building. The unit controls are being upgraded to direct digital controls that will contribute toward significant energy reduction efforts.
- Nearly one year since adopting the process of using “waste-to-energy” as an alternative method to dispose of solid waste from Capitol Hill, an estimated 5,000 tons of trash has been diverted from area



## AOC Executive Summary Fiscal Year 2014 Budget

landfills. Waste-to-energy refers to the burning of solid waste to generate heat and, in turn, produce steam and electricity. Processing the solid waste from Congressional facilities during the first year of the program at a waste-to-energy facility, according to the Environmental Protection Agency, resulted in a reduction in emissions that is the equivalent of removing 890 cars from the road.

- The U.S. Botanic Garden is upgrading the lighting in the Conservatory with energy-saving fixtures and installing photovoltaic solar panels on a Production Facility storage building, which will reduce energy consumption needs.
- The AOC installed an additional 95 new utility meters across the Capitol campus in Fiscal Year 2012, bringing the total number of meters to 199. These meters assist the AOC in monitoring and analyzing utility consumption to help in finding ways to save energy in the future.
- The Library Buildings and Grounds Superintendent's staff completed re-lamping efforts in the Adams and Madison Buildings to lower wattage bulbs. These bulbs provide similar light output but use less energy. The projected annual savings in energy costs is more than \$85,000.
- The AOC also realized significant cost savings by refinancing the interest rates and terms of the Capitol and Senate ESPCs. Under the new terms, it will save AOC \$23 million in future payments.

The Capitol Power Plant (CPP) continues to play an essential role in the AOC's long-term energy conservation efforts, particularly with the implementation of cogeneration at the CPP. Cogeneration is an energy efficient and cost effective means to meet future energy requirements by generating on-site power at the CPP. The planned cogeneration project involves installing two cogeneration units to generate both steam and electricity. Specifically, the system would consist of two combustion turbines rated at 7.5 megawatts each and two heat recovery steam generation units rated at approximately 71.9 million British thermal units per hour.

The AOC has applied to the District Department of the Environment (DDOE) for Plantwide Applicability Limit (PAL) permits and Chapter 2 construction permits. In addition, the AOC submitted an application for a PAL permit from the Environmental Protection Agency (EPA). It is anticipated that the EPA will be issuing a final PAL permit in early 2013. Following a public hearing in December 2012, it is anticipated that the DDOE permits could be awarded in spring 2013.

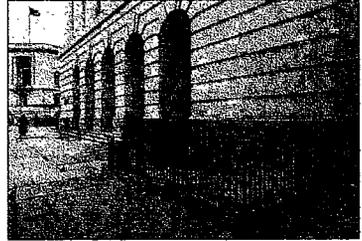
The new permits required with the installation of cogeneration units would impose much more stringent emissions requirements at the CPP. In addition, installing a cogeneration plant would increase system reliability, improve efficiency, and help save taxpayer money. It also would allow for a reduction in coal use at the CPP because it would no longer have to rely on 60-year-old, less energy efficient boilers, thereby significantly reducing greenhouse gas emissions. This would help to improve the air quality in the District of Columbia.

Reducing energy consumption and saving natural resources saves money, as does preventing injuries and accidents within the AOC's workforce.



## AOC Executive Summary Fiscal Year 2014 Budget

The AOC's philosophy of *People First, Safety Always* leaves no question about the agency's commitment to providing a safe environment for all who work at or visit the Capitol campus. This was coupled with the rollout of an agency-wide, zero-injury safety culture enhancement program to promote individual ownership and peer engagement in safe work practices. Due to these efforts, the levels of safety and accessibility on the Capitol campus have never been higher, and the AOC continues to improve the safety and Americans with Disabilities Act (ADA) accessibility of the historic buildings on Capitol Hill.



The most significant safety achievement in Fiscal Year 2012 was the successful closing of the Utility Tunnel Settlement Agreement and seven associated citations. Not only were the terms of the Settlement Agreement met ahead of schedule, the associated project work in the utility tunnels was completed under budget. The AOC is committed to continuing the inspection, maintenance, and repair programs that have been put in place to further ensure the health and safety of the employees who work in the utility tunnels.

The AOC's campus-wide efforts have yielded great results. During the 111<sup>th</sup> Congress, the AOC's safety initiatives resulted in the number of hazards decreasing from over 13,000 in the 109<sup>th</sup> Congress to 5,400 in the 111<sup>th</sup> Congress. In addition, since Fiscal Year 2007, Congress has invested more than \$210 million in safety-related projects executed by the AOC.

At the same time, the AOC has successfully removed accessibility barriers while preserving the unique historic and architectural features of these buildings and the grounds. As the AOC makes these enhancements, we work to ensure that the measures installed provide the greatest level of accessibility on the Capitol campus while at the same time preserving the national treasures entrusted to our care.

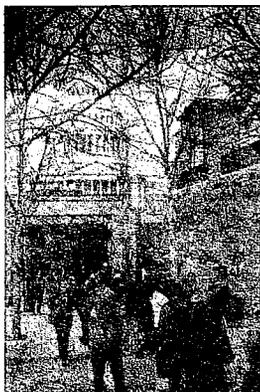
Congress has been very supportive of the AOC's efforts to not only increase accessibility campus-wide but to do so in an efficient and cost-effective manner. As part of our project prioritization process, we work to minimize the budgetary impacts of these improvements by including ADA improvements as part of larger projects when appropriate. This helps to save taxpayer dollars and to reduce the amount of construction occurring across the campus at one time. Other ADA projects are made as part of the AOC's routine repair and maintenance efforts.

When building new facilities, the AOC has worked to ensure they meet all ADA requirements. For example, the Capitol Visitor Center (CVC) is fully ADA compliant and has greatly enhanced visitors' experiences at the Capitol Building. A visitor to the CVC wrote in September 2012, *"I'm handicapped to the extent that I normally use a rollator. The assistance that I received throughout the tour was nothing short of amazing – from the first moment when a wheelchair was ready and waiting, to the very end of the tour not an opportunity to help was overlooked. You certainly have the issue under control."*



## AOC Executive Summary Fiscal Year 2014 Budget

### Enhancing Visitor Experiences



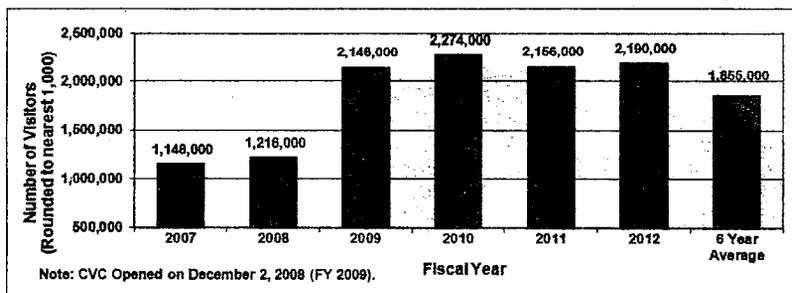
The primary goal of the Capitol Visitor Center team is to inform, involve, and inspire those who come to visit the seat of American government. Based on the comments of patrons such as the one above and the record number of guests who have made the Capitol a priority while visiting Washington, D.C., it is clear that the AOC is accomplishing its goal of providing extraordinary services and inspiring experiences. On June 8, 2012, the CVC experienced its highest single visitation day since January 2009, when it welcomed 17,563 visitors.

The CVC reached another milestone on June 23, 2012, when it welcomed its eight-millionth visitor since its opening. Overall, the CVC continues to welcome more than two million visitors annually.

A new exhibit was added to the collection when the Congressional Gold Medal honoring Constantino Brumidi was placed on display in July 2012 alongside to the model of the Capitol Dome. A new interpretive panel adjacent to the medal celebrates Brumidi's incomparable contribution in decorating the Capitol.

CVC staff also created a new Visitor Guide brochure to highlight many of the "must-see" treasures throughout the CVC, including the statue collection and important artifacts and documents in Exhibition Hall.

### Number of Visitors to the Capitol (FY 2008 – 2012)

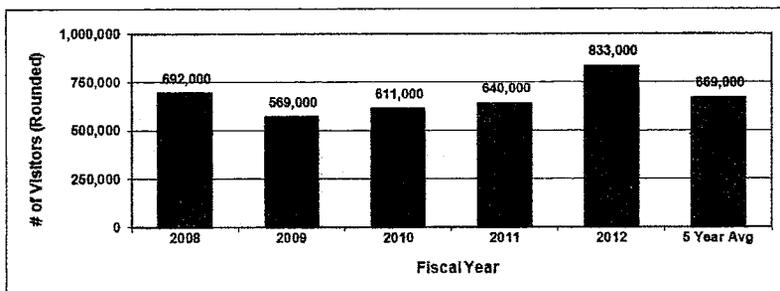




## AOC Executive Summary Fiscal Year 2014 Budget

Staff at the U.S. Botanic Garden also expanded its offerings to visitors by developing new cell phone and audio tours. The cell phone tours feature Quick Reference (QR) codes on signage and the audio tour allows visitors to wear a listening device that minimizes external distractions.

### Number of Visitors to the Botanic Garden (FY 2008 - FY 2012)



### Awards and Accomplishments

While Fiscal Year 2012 presented a number of challenges, the AOC also was recognized for stellar operational practices and the agency chalked up a number of notable achievements.

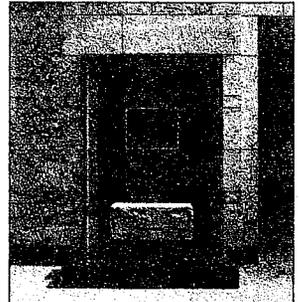
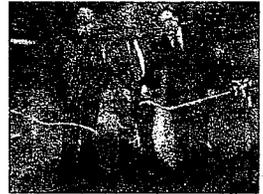
- Recognizing the highest standards of federal accountability reporting, the Association of Government Accountants (AGA) presented its prestigious **Certificate of Excellence in Accountability Reporting (CEAR) Award** to the Architect of the Capitol for its Fiscal Year 2011 Performance and Accountability Report. The annual CEAR award recognizes high-quality Performance and Accountability Reports and Annual Financial Reports that effectively illustrate and assess financial and program performance, accomplishments and challenges, cost and accountability. The AGA also honored agencies that demonstrated specific points of excellence within their fiscal year 2011 Performance and Accountability Reports. Known as 'Best in Class' awards, the AOC was among the recipients for having the "Most Effective Management Discussion and Analysis."
- The AOC's Office of Security Programs (OSP) was recognized by *Building Operating Management* magazine with its **FMXcellence Award for customer service excellence**. The FMXcellence awards recognize facilities management teams that "spearhead and execute stand-out projects and programs." To improve its customer service concerning the issuing, tracking, and responding to customer work orders, the OSP staff implemented a new and improved work order system in conjunction with the U.S. Capitol Police. The new work order process eliminated the use of redundant systems across the two



## AOC Executive Summary Fiscal Year 2014 Budget

agencies by consolidating all work orders into one system; created a new customer service center as the central point of contact for all customer requests and to ensure timely response and close-out of work orders, and implemented a “Pulse Survey” that provided immediate feedback from the customers as to the quality of the service they received. The improvements were dramatic. Before the work order system was changed, there was, on average, a backlog of 380 work orders and it would take an average of 55 days to complete a work order request. After the new process was put in place, there were fewer than 20 outstanding work orders and it would take only three days to complete a customer request.

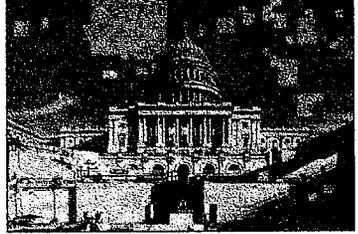
- **East House Underground Garage Renovation Completed** – The renovation of the deteriorating 1968 facility concluded on time and under budget. The repair and improvement project received the GSA Sustainability Award and received a Leadership in Energy and Environmental Design (LEED) for New Construction certification at the Gold level.
- **West House Underground Garage (West HUG) Renovation Completed** – Using lessons learned from East House Underground Garage Renovation project, the West HUG project finished ahead of schedule and under budget. The improvements made will extend the useful life of the garage, provide a safer structure for those who park there, and make it more energy efficient.
- **Completion of Radio Upgrade Project** – Completed the AOC’s portion of the USCP Radio Upgrade project to include all radio infrastructure located on the Capitol grounds. The completed multi-year project will improve the interoperability, coverage, reliability, and security of the USCP’s radio system.
- **Slave Labor Commemorative Marker** (*pictured*) was installed in Emancipation Hall in February 2012.
- The AOC received its **eighth consecutive Clean Audit Opinion** from independent auditors on its financial statements.
- We exceeded **all of our small business goals**; specifically beating our goals for women-owned, veteran-owned, and HUBZone small businesses. We awarded nearly \$23 million to small businesses in Fiscal Year 2012.





## AOC Executive Summary Fiscal Year 2014 Budget

- The AOC's **IT governance** process passed a House Office of the Inspector General audit with No Findings.
- Successfully completed all planning activities and contract awards in support of the **2013 Presidential Inauguration**. Construction of the Inaugural platform began in September 2012, and is on schedule and within budget.
- AOC also completed maintenance on the **Statue of Freedom** atop the Capitol Dome in FY 2012. Conservators washed the Statue and pedestal, replaced caulk, renewed the protective coating, and sharpened its lightning points. To minimize the work's impact on Congressional operations, the Statue restoration was performed at the same time as the Capitol Dome skirt restoration project.



### Conclusion

*"We shape our buildings; thereafter, our buildings shape us." – Winston Churchill*

In our efforts to anticipate future funding challenges, the AOC has significantly changed how it prioritizes its spending requirements, and has developed payroll tools, analyzed efficiencies, and developed strategies to prepare for impending budget impacts such as sequestration or a year-long continuing resolution.

Our basic mission is to care for and preserve the iconic facilities under our care for generations to come. New and emerging issues, such as the deteriorating condition of the Congressional buildings' exterior stone, will pose additional challenges in an austere budget environment.

As Mr. Churchill stated, we do shape our buildings, but here in our Nation's Capital, our buildings really shape us. They preserve our history. They serve as our nation's stage for grand events such as Presidential Inaugurals or funerals, as well as provide a gathering place for our citizens to express their views. And, most importantly, they hold the promise of our nation's future.

We appreciate the Congress's support of and investment in our efforts and look forward to our continued collaboration to serve the Congress and the American people, preserve the historic facilities entrusted to our care, and inspire and educate those who visit the People's House – our U.S. Capitol.



# AOC Overall FY 2014 Budget

## SUMMARY OF TOTAL REQUEST

The below table identifies the Architect of the Capitol (AOC)'s total budget request by appropriation and funding type (Annual, Multi-Year or No-Year). The FY 2014 request reflects a budget based on the AOC's assessment of the requirements to perform its missions in support of Congress. The \$681.7 million budget request reflects a 2.0% increase from the FY 2013 request of \$668.2 million.

| Appropriation Summary (\$000)                             |                 |                     |                 |                                     |              |
|---|-----------------|---------------------|-----------------|-------------------------------------|--------------|
| AOC Appropriations  | FY 2012 Enacted | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference (\$000) (%) |              |
| <b>General Administration</b>                             |                 |                     |                 |                                     |              |
| Operating Budget  | 97,591          | 98,188              | 99,500          | 1,312                               | 1.3%         |
| Multi-Year Projects                                       | 3,749           | 3,772               | 599             | (3,173)                             | -84.1%       |
| <b>Total Appropriation</b>                                | <b>101,340</b>  | <b>101,960</b>      | <b>100,099</b>  | <b>(1,861)</b>                      | <b>-1.8%</b> |
| <b>Capitol Building</b>                                   |                 |                     |                 |                                     |              |
| Operating Budget  | 25,091          | 25,245              | 25,535          | 290                                 | 1.1%         |
| Multi-Year Projects                                       | 11,063          | 11,130              | 36,040          | 24,910                              | 223.8%       |
| <b>Total Appropriation</b>                                | <b>36,154</b>   | <b>36,375</b>       | <b>61,575</b>   | <b>25,200</b>                       | <b>69.3%</b> |
| <b>Capitol Grounds</b>                                    |                 |                     |                 |                                     |              |
| Operating Budget  | 9,852           | 9,912               | 11,186          | 1,274                               | 12.9%        |
| Multi-Year Projects                                       | -               | -                   | 2,266           | 2,266                               | -            |
| <b>Total Appropriation</b>                                | <b>9,852</b>    | <b>9,912</b>        | <b>13,452</b>   | <b>3,540</b>                        | <b>35.7%</b> |
| <b>Senate Office Buildings</b>                            |                 |                     |                 |                                     |              |
| Operating Budget  | 58,000          | 58,355              | 58,865          | 510                                 | 0.9%         |
| Multi-Year Projects                                       | 13,128          | 13,208              | 17,539          | 4,331                               | 32.8%        |
| <b>Total Appropriation</b>                                | <b>71,128</b>   | <b>71,563</b>       | <b>76,404</b>   | <b>4,841</b>                        | <b>6.8%</b>  |
| <b>House Office Buildings</b>                             |                 |                     |                 |                                     |              |
| Operating Budget  | 48,523          | 48,820              | 65,927          | 17,107                              | 35.0%        |
| Multi-Year Projects                                       | 45,631          | 45,910              | 43,162          | (2,748)                             | -6.0%        |
| <b>Total Appropriation</b>                                | <b>94,154</b>   | <b>94,730</b>       | <b>109,089</b>  | <b>14,359</b>                       | <b>15.2%</b> |
| <b>Capitol Power Plant</b>                                |                 |                     |                 |                                     |              |
| Operating Budget  | 85,612          | 86,136              | 86,759          | 623                                 | 0.7%         |
| Multi-Year Projects                                       | 37,617          | 37,847              | 26,500          | (11,347)                            | -30.0%       |
| <b>Total Appropriation</b>                                | <b>123,229</b>  | <b>123,983</b>      | <b>113,259</b>  | <b>(10,724)</b>                     | <b>-8.6%</b> |
| <b>Library Buildings and Grounds</b>                      |                 |                     |                 |                                     |              |
| Operating Budget  | 25,769          | 25,918              | 26,155          | 237                                 | 0.9%         |
| Multi-Year Projects                                       | 21,116          | 21,245              | 50,861          | 29,616                              | 139.4%       |
| <b>Total Appropriation</b>                                | <b>46,876</b>   | <b>47,163</b>       | <b>77,016</b>   | <b>29,853</b>                       | <b>63.3%</b> |
| <b>Capitol Police Buildings, Grounds, &amp; Security</b>  |                 |                     |                 |                                     |              |
| Operating Budget  | 18,027          | 18,136              | 19,101          | 965                                 | 5.3%         |
| Multi-Year Projects                                       | 3,473           | 3,494               | 7,834           | 4,340                               | 124.2%       |
| <b>Total Appropriation</b>                                | <b>21,500</b>   | <b>21,630</b>       | <b>26,935</b>   | <b>5,305</b>                        | <b>24.5%</b> |
| <b>Botanic Garden</b>                                     |                 |                     |                 |                                     |              |
| Operating Budget  | 12,000          | 12,074              | 12,136          | 61                                  | 0.5%         |
| Multi-Year Projects                                       | -               | -                   | -               | -                                   | -            |
| <b>Total Appropriation</b>                                | <b>12,000</b>   | <b>12,074</b>       | <b>12,136</b>   | <b>61</b>                           | <b>0.5%</b>  |
| <b>Capitol Visitor Center</b>                             |                 |                     |                 |                                     |              |
| Operating Budget  | 21,276          | 21,406              | 21,702          | 296                                 | 1.4%         |
| Multi-Year Projects                                       | -               | -                   | -               | -                                   | -            |
| <b>Total Appropriation</b>                                | <b>21,276</b>   | <b>21,406</b>       | <b>21,702</b>   | <b>296</b>                          | <b>1.4%</b>  |
| <b>House Historic Buildings Revitalization Trust Fund</b> |                 |                     |                 |                                     |              |
| No-Year Projects  | 30,000          | 30,184              | 70,000          | 39,816                              | 131.9%       |
| <b>Total All Appropriations</b>                           | <b>567,509</b>  | <b>570,980</b>      | <b>681,666</b>  | <b>110,687</b>                      | <b>19.4%</b> |



# AOC Overall FY 2014 Budget

## AOC-WIDE ANALYSIS OF CHANGE

The below table identifies Architect of the Capitol (AOC)-wide changes from the FY 2013 request to account for the AOC FY 2014 budget request of \$681.7 million. Recognizing the current fiscal environment, this table identifies a 2.0% increase from the AOC's FY 2013 request. The AOC's funding requirements to fully meet the needs of Congress are greater than the request as submitted; however, the AOC is committed to providing the most effective, economical and exceptional service with funds that Congress makes available.

|  | FY 2014 Agency Request |                  |
|--|------------------------|------------------|
|  | FTE                    | Amount (\$000)   |
| <b>FY 2013 CR Baseline (FTE reflects Payroll Funded only)</b>      | <b>2,263</b>           | <b>570,980</b>   |
| <b>Non-Recurring Costs</b>   |                        |                  |
| Multi-Year Projects (FY 2012 Enacted plus 0.612% increase).....    |                        | (136,606)        |
| No-Year Projects (HHBRT).....                                      |                        | (30,184)         |
| <b>Total Non-Recurring Costs</b>                                   |                        | <b>(166,790)</b> |
| <b>Other Decreases</b>   |                        |                  |
| Lapse Rate Adjustment.....   |                        | (2,900)          |
| <b>Total Other Decreases</b>                                       |                        | <b>(2,900)</b>   |
| <b>Mandatory Pay Related Costs:</b>                                |                        |                  |
| FY 2012 FERs Adjustment from 11.7% to 11.9%.....                   |                        | 324              |
| FY 2012 FEHB Employer Contribution Increase of 4%.....             |                        | 555              |
| FY 2014 Within Grade Increase.....                                 |                        | 1,613            |
| FY 2013 FICA Adjustment of 2%.....                                 |                        | 777              |
| FY 2013 FEHB Employer Contribution Increase of 3.3%.....           |                        | 463              |
| FY 2014 Cost-of-Living Adjustment of 1.8%.....                     |                        | 2,408            |
| FY 2014 Within Grade Increases.....                                |                        | 1,506            |
| FY 2014 Zero-based Payroll Adjustment.....                         |                        | (877)            |
| <b>Total Mandatory Pay Related Costs</b>                           |                        | <b>6,769</b>     |
| <b>Price Level Changes:</b>  |                        |                  |
| Operations (exclude Mandatory Pay and Utilities).....              |                        | 63               |
| Utilities.....   |                        | 915              |
| <b>Total Price Level Changes</b>                                   |                        | <b>978</b>       |
| <b>Program Increases:</b>  |                        |                  |
| FTE Correction (Capitol Bldg from project funded utilization)..... | 2                      |                  |
| FTE Increase (Union Square Operations and Maintenance).....        | 4                      | 338              |
| Operating Budget (excluding Payroll).....                          |                        | 17,490           |
| Capital (Multi-Year) Projects.....                                 |                        | 184,801          |
| Capital (No-Year) Projects.....                                    |                        | 70,000           |
| <b>Total Program Increases</b>                                     | <b>6</b>               | <b>272,629</b>   |
| <b>Net Increase/Decrease</b>                                       | <b>6</b>               | <b>110,687</b>   |
| <b>Total Appropriation</b>   | <b>2,269</b>           | <b>681,666</b>   |

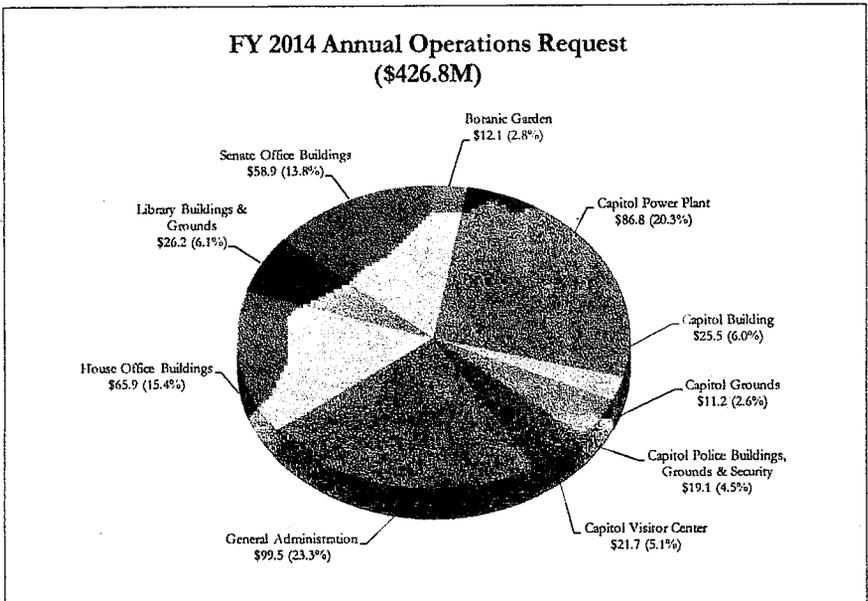


## AOC Overall FY 2014 Budget

### *OPERATING BUDGET (ANNUAL) REQUEST*

The Architect of the Capitol (AOC) is requesting \$426.8 million in operating funds for FY 2014. This annual funding includes: payroll; facilities maintenance; information technology software and hardware; uniforms and 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 and utilities; safety, fire and environmental operations; architectural and engineering services, and construction services; electronic systems such as the Legislative Clocks and audio systems; high voltage maintenance; grounds maintenance; Botanic Garden and Capitol Visitor Center exhibits; and Capitol Visitor Center visitor services and operations.

This chart identifies the AOC's FY 2014 Operating Budget request by appropriation. The table on the following page identifies the request by Program Group.





# AOC Overall FY 2014 Budget

## OPERATING BUDGET (ANNUAL) REQUEST (continued)

| Operating Budget (\$000)               |                 |                            |                    |                 |                         |
|--|-----------------|----------------------------|--------------------|-----------------|-------------------------|
| Program Groups                         | FY 2012 Enacted | FY 2012 Actual Obligations | FY 2013 CR Request | FY 2014 Request | FY 2013/2014 Difference |
| Administrative                         | 5,258           | 4,258                      | 5,290              | 5,258           | (32)                    |
| Architecture and Engineering Services  | 3,417           | 3,530                      | 3,438              | 3,417           | (21)                    |
| Curator                                | 225             | 200                        | 226                | 225             | (1)                     |
| Construction Services                  | 170             | 153                        | 171                | 170             | (1)                     |
| Electronic Systems                     | 839             | 839                        | 844                | 839             | (5)                     |
| Exhibits                               | 603             | 615                        | 607                | 603             | (4)                     |
| Facilities Maintenance                 | 36,788          | 42,655                     | 37,014             | 39,887          | 2,873                   |
| Furniture Repair                       | 1,775           | 1,703                      | 1,785              | 1,775           | (10)                    |
| Grounds Maintenance                    | 4,397           | 3,105                      | 4,423              | 3,722           | (702)                   |
| Information Resource Management        | 25,072          | 25,035                     | 25,225             | 25,071          | (154)                   |
| Inspector General                      | 668             | 521                        | 672                | 799             | 127                     |
| Jurisdiction Centralized Activities    | 22,919          | 22,165                     | 23,060             | 40,042          | 16,982                  |
| Miscellaneous Improvements             | 1,082           | 1,085                      | 1,089              | -               | (1,089)                 |
| Payroll                                | 218,580         | 210,268                    | 219,916            | 224,123         | 4,207                   |
| Power Plant Operations and Maintenance | 9,463           | 9,659                      | 9,521              | 9,463           | (58)                    |
| Safety Eng. Ops and Maintenance        | 2,717           | 2,739                      | 2,734              | 2,797           | 63                      |
| Visitor Services                       | 1,744           | 1,906                      | 1,755              | 1,744           | (11)                    |
| Utilities                              | 66,015          | 73,719                     | 66,419             | 66,930          | 511                     |
| <b>Total</b>                           | <b>401,732</b>  | <b>404,154</b>             | <b>404,190</b>     | <b>426,865</b>  | <b>22,675</b>           |

The major changes are in the Capitol Grounds consolidation of Grounds Maintenance and Miscellaneous Improvements Program Groups to the Facilities Maintenance Program Group; the Capitol Power Plant Utilities Program Group for water and sewage rate increases; the House Office Buildings Jurisdiction Centralized Activities Program Group for the Thomas P. O'Neill, Jr. Federal Building (formerly known as the Federal Office Building 8) lease adjustments; and AOC-wide Payroll Program Group adjustments for FY 2013 and FY 2014 estimated Cost-of-Living Adjustments (COLA) changes, FY 2013 Federal Employee Health Benefit adjustments, and Within Grade Increases. Utilities actual obligations include reimbursable.



# AOC Overall FY 2014 Budget

## PAYROLL SUMMARY

| Appropriation                                   | FY 2013 CR Baseline | FY 2012 FERS 0.2% Increase | FY 2012 FEHB 4% Increase | FY 2013 Within Grade Increase | FY 2013 FICA 2% Increase | FY 2013 FEHB 3.3% Increase | FY 2014 COLA 1.8% Increase <sup>1</sup> | FY 2014 Within Grade Increase | Total Mandatory Increases |
|---|---------------------|----------------------------|--------------------------|-------------------------------|--------------------------|----------------------------|---|-------------------------------|---------------------------|
| General Administration <sup>2</sup>             | 57,029              | 79                         | 99                       | 397                           | 168                      | 90                         | 565                                     | 400                           | 1,798                     |
| Capitol Building                                | 20,548              | 31                         | 58                       | 153                           | 76                       | 53                         | 234                                     | 136                           | 741                       |
| Capitol Grounds                                 | 6,401               | 10                         | 18                       | 48                            | 26                       | 11                         | 73                                      | 42                            | 231                       |
| Senate Office Buildings                         | 40,952              | 62                         | 130                      | 309                           | 154                      | 94                         | 491                                     | 284                           | 1,523                     |
| House Office Buildings                          | 41,452              | 63                         | 120                      | 313                           | 168                      | 91                         | 478                                     | 275                           | 1,508                     |
| Capitol Power Plant                             | 9,759               | 15                         | 22                       | 75                            | 31                       | 22                         | 111                                     | 67                            | 346                       |
| Library Buildings & Grounds                     | 17,104              | 26                         | 46                       | 131                           | 59                       | 38                         | 193                                     | 114                           | 607                       |
| Capitol Police Buildings, Grounds, and Security | 2,185               | 3                          | 4                        | 15                            | 6                        | 5                          | 21                                      | 16                            | 70                        |
| Botanic Garden <sup>3</sup>                     | 6,415               | 9                          | 18                       | 47                            | 24                       | 14                         | 71                                      | 44                            | 227                       |
| Capitol Visitor Center                          | 17,172              | 25                         | 40                       | 126                           | 62                       | 42                         | 172                                     | 127                           | 594                       |
| <b>Total</b>                                    | <b>219,917</b>      | <b>323</b>                 | <b>555</b>               | <b>1,614</b>                  | <b>777</b>               | <b>463</b>                 | <b>2,409</b>                            | <b>1,505</b>                  | <b>7,645</b>              |

| Appropriation                                   | FY 2014 Zero-based Adjustment <sup>4</sup> | FY 2014 Lapse Rate Estimated <sup>5</sup> | FY 2014 FTE Increase <sup>6</sup> | FY 2014 Payroll Request |
|---|--|---|-----------------------------------|-------------------------|
| General Administration <sup>2</sup>             | (6)  | (513)                                     | -                                 | 59,274                  |
| Capitol Building                                | (136)                                      | (286)                                     | -                                 | 20,867                  |
| Capitol Grounds                                 | (45)                                       | (89)                                      | 338                               | 6,836                   |
| Senate Office Buildings                         | (269)                                      | (641)                                     | -                                 | 41,568                  |
| House Office Buildings                          | (288)                                      | (648)                                     | -                                 | 42,024                  |
| Capitol Power Plant                             | (63)                                       | (111)                                     | -                                 | 9,931                   |
| Library Buildings & Grounds                     | (109)                                      | (206)                                     | -                                 | 17,396                  |
| Capitol Police Buildings, Grounds, and Security | (13)                                       | (21)                                      | -                                 | 2,221                   |
| Botanic Garden <sup>3</sup>                     | (43)                                       | (87)                                      | -                                 | 6,512                   |
| Capitol Visitor Center                          | 26   | (298)                                     | -                                 | 17,494                  |
| <b>Total</b>                                    | <b>(877)</b>                               | <b>(2,900)</b>                            | <b>338</b>                        | <b>224,123</b>          |

<sup>1</sup> General Administration includes Workers' Compensation (\$3.6M) and Death & Survivor Benefits (\$2M)

<sup>2</sup> Botanic Garden includes Workers' Compensation (\$165K)

<sup>3</sup> Congressional Budget Office FY 2014 COLA estimate of 1.8% (WG 12 months and 9 months for GS)

<sup>4</sup> FY 2014 Zero-based Adjustment reflects baseline adjustment to meet FY 2013 authorized FTE requirements

<sup>5</sup> Lapse Rate Adjustment based on FY 2014 AOC-wide under-utilized FTE forecast of 1.4%

<sup>6</sup> Reflects unison program increase of four (4) FTEs for Union Square operation and maintenance (requested in FY 2013 Budget)

| Appropriation                                   | Payroll Funded <sup>1</sup> |                     |                  |                 | Project Funded <sup>2</sup> |                  |                  |
|---|-----------------------------|---------------------|------------------|-----------------|-----------------------------|------------------|------------------|
|   | FY 2012 Actual              | FY 2013 CR Baseline | FY 2014 Increase | FY 2014 Request | FY 2012 Actual              | FY 2013 Estimate | FY 2014 Estimate |
| General Administration                          | 388                         | 400                 | -                | 400             | 3                           | 3                | 3                |
| Capitol Building                                | 221                         | 220                 | 2                | 222             | 20                          | 20               | 20               |
| Capitol Grounds                                 | 65                          | 69                  | 4                | 73              | 5                           | 5                | 5                |
| Senate Office Buildings                         | 500                         | 498                 | -                | 498             | 50                          | 50               | 50               |
| House Office Buildings                          | 495                         | 503                 | -                | 503             | 38                          | 38               | 38               |
| Capitol Power Plant                             | 77                          | 85                  | -                | 85              | 16                          | 16               | 16               |
| Library Buildings & Grounds                     | 151                         | 160                 | -                | 160             | 92                          | 92               | 92               |
| Capitol Police Buildings, Grounds, and Security | 14                          | 16                  | -                | 16              | 32                          | 32               | 32               |
| Botanic Garden                                  | 64                          | 68                  | -                | 68              | 2                           | 2                | 2                |
| Capitol Visitor Center                          | 211                         | 244                 | -                | 244             | -                           | -                | -                |
| <b>Total</b>                                    | <b>2,186</b>                | <b>2,263</b>        | <b>6</b>         | <b>2,269</b>    | <b>258</b>                  | <b>258</b>       | <b>258</b>       |

<sup>1</sup> FY 2014 Request includes four (4) FTEs for Union Square operation and maintenance. FY 2014 Capitol Building increase of two (2) FTEs reflect administrative correction from the project funded FTE utilization (no additional funding for CB is required).

<sup>2</sup> FY 2013 and FY 2014 project funded FTEs are estimated figures and dependent on the numbers of projects funded.



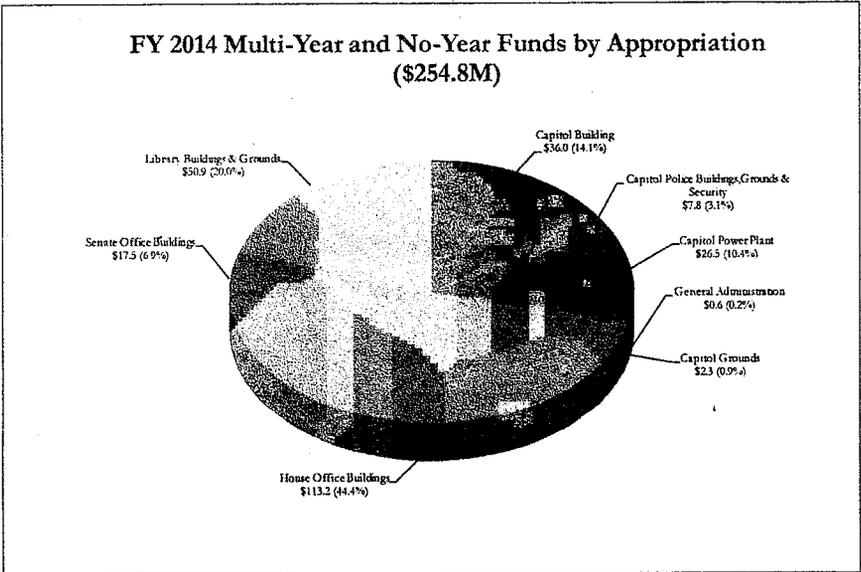
## AOC Overall FY 2014 Budget

### *MULTI-YEAR AND NO-YEAR FUNDING REQUEST*

The Architect of the Capitol (AOC)'s Multi-Year and No-Year request is \$254.8 million. The Multi-Year/No-Year budget includes \$154.7 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 (\$70 million);
- Minor Construction (\$23 million);
- House Chief Administrative Officer Projects (\$4.162 million);
- Cogeneration Construction and Contract Management, CPP (\$2.3 million); and
- Conservation of Fine Art and Architecture (\$0.599 million).

The chart below identifies the AOC Multi-Year and No-Year request by appropriation.

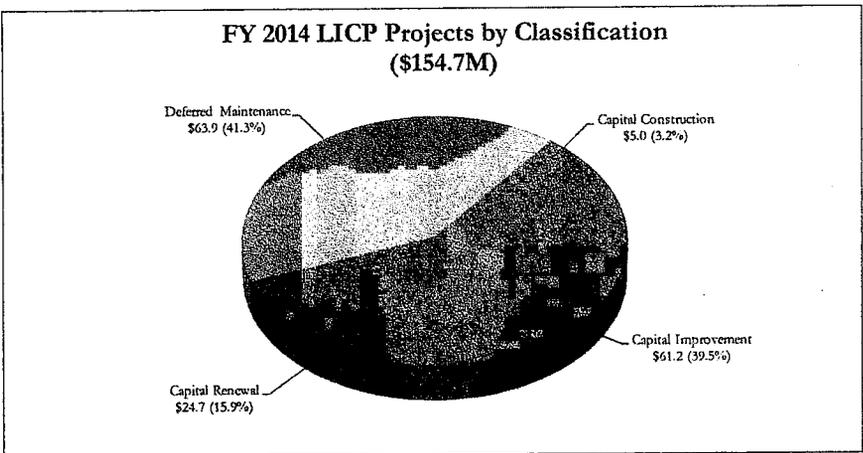




## AOC Overall FY 2014 Budget

### **MULTI-YEAR AND NO-YEAR FUNDING REQUEST BY LINE ITEM CONSTRUCTION PROGRAM CLASSIFICATION**

The Architect of the Capitol (AOC) categorizes major projects, or Line Item Construction Program (LICP) projects in four classifications: Deferred Maintenance; Capital Renewal (replacing in kind); Capital Improvement (making improvements that provide greater capability than existing systems); and Capital Construction (new construction). The following pie chart breaks the AOC's FY 2014 budget request into these categories.



Using the draft Five-Year Capital Improvements Plan, Facility Condition Assessments, and the Capitol Complex Master Planning processes, the AOC identified the highest priority requirements to meet the needs of Congress and other clients. Funding of these projects will enable the AOC to continue to maintain and increase the life span of facilities and improve services ranging from preserving priceless artwork to replacing roofs to installing emergency generators to improving campus security. There is a balance in addressing 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 AOC clients.

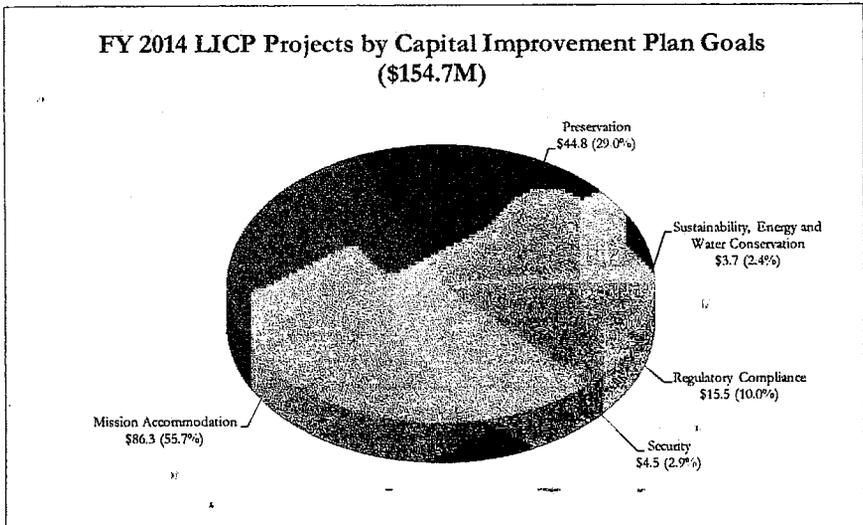
The AOC is requesting \$154.7 million for LICP projects which is a \$6.3 million or a 4% decrease from our FY 2013 capital projects request. The AOC's Deferred Maintenance request is \$63.9 million. It is critical to continue to fund Deferred Maintenance to ensure that congressional operations are not significantly impacted by failing facilities or systems.



## AOC Overall FY 2014 Budget

### **MULTI-YEAR AND NO-YEAR FUNDING REQUEST BY LINE ITEM CONSTRUCTION PROGRAM CAPITAL IMPROVEMENTS PLAN GOALS**

The Architect of the Capitol (AOC) also categorizes Line Item Construction Program (LICP) projects into various capital improvements plan goals: Regulatory Compliance; Security; Mission Accommodation; Preservation; and Sustainability, Energy and Water Conservation.



This chart does not depict life safety projects separately; however, many projects have elements of life safety (Elevator Modernization, JMMB MC-1; JAB 13-14; Dome Restoration, Phase IIB, Interstitial Space, USC, CB; Exterior Stone & Metal Preservation, North Extension, Exterior Lighting, Phase I, USC, CB; and West Main Pavilion Egress Stair G & Freight Elevator, TJB, LB&G; Fire Door Improvements, Phase II, LB&G; and Garage Rehabilitation, Phase I, RHOB).



# AOC Overall FY 2014 Budget

## RECOMMENDED LINE ITEM CONSTRUCTION PROJECTS

The Architect of the Capitol (AOC)'s capital budget request is focused on immediate urgency projects. The table below identifies the \$154.7 million of Line Item Construction projects that the AOC recommends for FY 2014 funding.

| Priority     | Title   | Appropriation | Project Cost (\$000) | Project Urgency | Project Classification |
|--------------|---|---------------|----------------------|-----------------|------------------------|
| 1            | West Main Pavilion Egress Stair G & Freight Elevator, TJB                             | LB&G          | 11,000               | I               | CI                     |
| 2            | Fire Door Improvements, Phase II, LOC   | LB&G          | 3,781                | I               | CI                     |
| 3            | Chiller Replacement and Chilled Water System Expansion, ACF                           | CPBG&S        | 814                  | I               | CR                     |
| 4            | Direct Digital Controls Upgrade, Phase II, JMMB                                       | LB&G          | 3,676                | I               | CR                     |
| 5            | Small Arms Firing Range, RHOB Garage, CPBG&S  | CPBG&S        | 4,520                | I               | CI                     |
| 6            | Elevator Modernization, JMMB MC1 - 4; JAB 13-14                                       | LB&G          | 3,053                | I               | DM                     |
| 7            | Collection Storage Module 5, LOC  | LB&G          | 5,000                | I               | CC                     |
| 8            | WRPE Cooling Towerz Addition, RPR, Phase IIB, CPP                                     | CPP           | 20,200               | I               | CI                     |
| 9            | Infrastructure UPS Upgrades, Main Data Center, JMMB                                   | LB&G          | 16,528               | I               | CI                     |
| 10           | Dome Restoration, Phase IIB, Interstitial Space, USC                                  | CB            | 15,940               | I               | CR                     |
| 11           | Exterior Stone & Metal Preservation, North Extension, Exterior Lighting, Phase I, USC | CB            | 16,600               | I               | DM                     |
| 12           | Exterior Envelope Repair & Restoration, Phase I, RSOB                                 | SOB           | 10,000               | I               | DM                     |
| 13           | Garage Rehabilitation, Phase I, RHOB  | HOB           | 32,000               | I               | DM                     |
| 14           | Fire Alarm and Audibility Upgrade, JMMB   | LB&G          | 693                  | I               | CR                     |
| 16           | HVAC Installation, Main Data Center, JMMB   | LB&G          | 5,130                | I               | CI                     |
| 15           | Summerhouse Restoration, CG   | CG            | 2,266                | H               | DM                     |
| 17           | Kirchen Exhaust System Upgrade, Phase I, DSOB   | SOB           | 3,539                | H               | CR                     |
| <b>Total</b> |   |               | <b>154,740</b>       |                 |                        |

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 FY 2014 Budget

### DEFERRED LINE ITEM CONSTRUCTION PROJECTS

The following projects are necessary to maintain and preserve the Capitol campus; however, in recognition of the austere fiscal environment, the Architect of the Capitol (AOC) is recommending that the \$171.9 million in Line Item Construction Program projects be deferred to 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 |
|---|---------------|----------------------|-----------------|------------------------|
| Book Conveyor Removal & Infrastructure Repairs, JAB                   |               |                      |                 |                        |
| Pneumatic Messenger System Removal Infrastructure, JAB                | LB&G          | 3,000                | I               | CI                     |
| Emergency Lighting System Upgrade, JAB                                | LB&G          | 3,207                | I               | CI                     |
| Garage Security Infrastructure, Phase IB, SOB & HOB                   | CPBG&S        | 2,777                | I               | CI                     |
| Offsite Delivery Screening Center, Phases I & II, CPBG&S              | CPBG&S        | 1,154                | I               | CI                     |
| Production Facility Renewal, BGDC                                     | BG            | 757                  | I               | CR                     |
| Fuel Tank Replacement, CPP  | CPP           | 5,500                | I               | CI                     |
| Emergency Generator Replacement, JMMB                                 | LB&G          | 40,000               | I               | CI                     |
| Sustainable Site Demonstration Garden, Bartholdi Park, BG             | BG            | 2,000                | I               | CI                     |
| Stained Glass Window Repairs, South & Southwest Windows, Phase I, TJB | LB&G          | 3,000                | I               | DM                     |
| Exterior Stone Repair and Roof Replacement, BGC                       | BG            | 3,570                | I               | DM                     |
| Exterior Envelope Rehabilitation, HSOB                                | SOB           | 962                  | I               | DM                     |
| Garage Structural Repairs & Entry Improvements, West, Phase I, JAB    | LB&G          | 7,900                | I               | DM                     |
| Taft Memorial Renewal, SOB  | SOB           | 3,500                | I               | DM                     |
| Kitchen Renovation, Senate, USC, Kitchen Exhaust, USC                 | CB            | 14,000               | I               | DM                     |
| Renewal Study, LOC  | LB&G          | 500                  | I               | DM                     |
| Air Handling Unit & Fan Replacements, Phase I, USC                    | CB            | 10,000               | I               | DM                     |
| Freight Elevator Modernization, DSOB & HSOB                           | SOB           | 3,000                | I               | CR                     |
| Domestic Water, Storm, Sanitary and Vent Piping Replacement, USC      | CB            | 3,521                | I               | DM                     |
| Building Infrastructure Rehabilitation, RSOB                          | SOB           | 2,000                | H               | CR                     |
| Building Performance Improvements, JMMB                               | LB&G          | 1,335                | H               | CR                     |
| Building Performance Improvements, TJB                                | LB&G          | 771                  | H               | CR                     |
| Building Performance Improvements, JAB                                | LB&G          | 688                  | H               | CR                     |
| Laylight Conservation, House & Senate Extensions, USC                 | CB            | 3,727                | H               | CR                     |
| Fire Alarm System Replacement, LHOB                                   | HOB           | 10,500               | H               | CR                     |
| Prescriptive Egress Improvements, HSOB                                | SOB           | 960                  | H               | 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



# AOC Overall FY 2014 Budget

## *DEFERRED LINE ITEM CONSTRUCTION PROJECTS (continued)*

| Title  | Appropriation | Project Cost<br>(\$000) | Project<br>Urgency | Project<br>Classification |
|--|---------------|-------------------------|--------------------|---------------------------|
| ACF Land Purchase  | CPBG&S        | 5,512                   | H                  | CC                        |
| Egress Improvements, JMMB  | LB&G          | 800                     | H                  | CI                        |
| West Stair Handrails, TJB  | LB&G          | 690                     | H                  | CI                        |
| UPS and Power Systems for Electronic Sensitive Equipment, Phase I, PCAVC | LB&G          | 11,000                  | H                  | CI                        |
| Kitchen Upgrade, LHOB  | HOB           | 11,483                  | H                  | CI                        |
| Structural Fireproofing and Integrity, PPGA                              | CPP           | 203                     | H                  | CI                        |
| Center for Sustainability Study, BG                                      | BG            | 175                     | H                  | CC                        |
| Exterior Way Finding, LOC  | LB&G          | 100                     | H                  | CI                        |
| ABA Tenant Fit Out, JMMB   | LB&G          | 500                     | H                  | CI                        |
| Air Intake Tunnels Replacement, USC                                      | CB            | 1,100                   | H                  | DM                        |
| Reheat System Upgrade, 2nd & 3rd Floors, West Front, USC                 | CB            | 270                     | H                  | CR                        |
| Fire Alarm System Replacement, FHOB                                      | HOB           | 350                     | H                  | CR                        |
| Subway Car Replacement, Phase I, RSOB                                    | SOB           | 2,000                   | H                  | CR                        |
| Cafeteria Renovation, FHOB   | HOB           | 640                     | H                  | CI                        |
| Escalators Removal and Infill, 1-4, JMMB                                 | LB&G          | 1,232                   | H                  | CI                        |
| Emergency Power Upgrade, USC   | CB            | 1,000                   | H                  | CI                        |
| Campus Utility Metering (Off-Campus Facilities), CPP                     | CPP           | 2,000                   | H                  | CI                        |
| Interior Way Finding, LOC  | LB&G          | 770                     | H                  | CI                        |
| Stair Handrails Upgrades, JMMB   | LB&G          | 668                     | H                  | CI                        |
| Fire Fighter Telephones, TJB   | LB&G          | 1,120                   | H                  | CI                        |
| Reprographics Area Upgrade, DSOB   | SOB           | 1,989                   | M                  | CI                        |
| <b>Total</b>   |               | <b>171,931</b>          |                    |                           |

Urgency Classification: I = Immediate; II = High; M = Medium; L = Low

Project Classification: DM = Deferred Maintenance; CR = Capital Renewal; CI = Capital Improvement; CC = Capital Construction

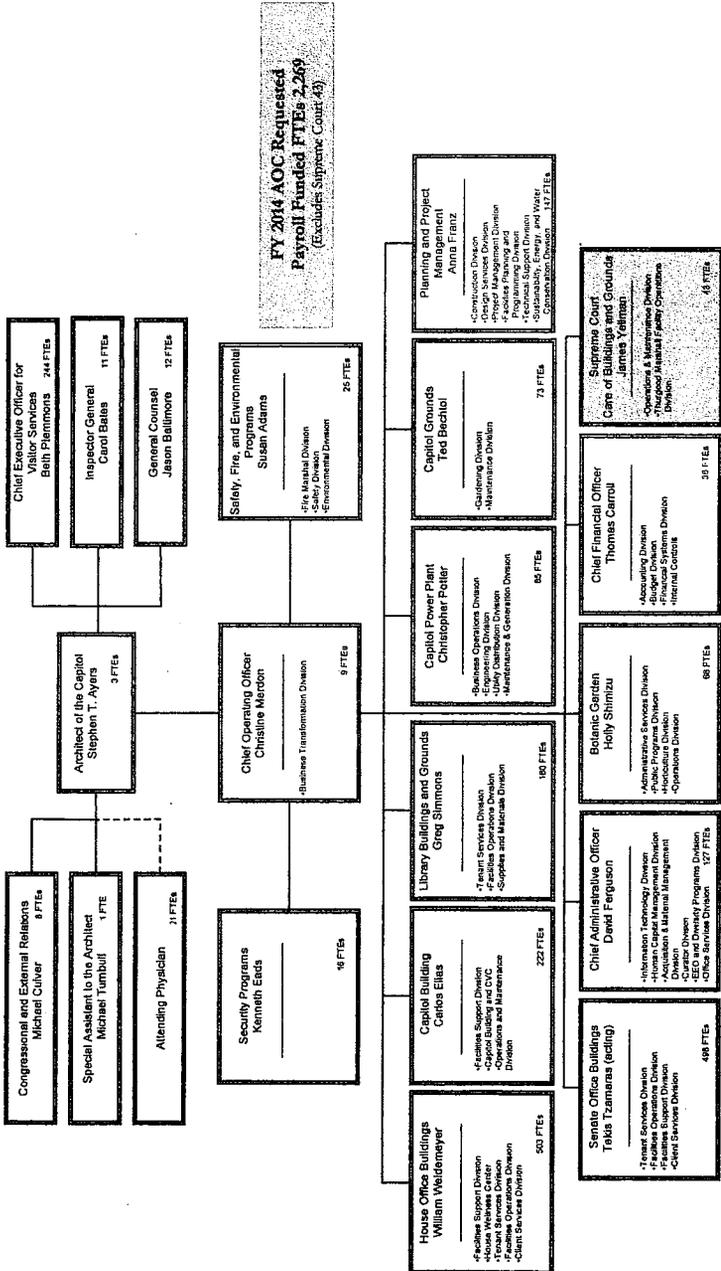


## Legislative Language

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The Architect of the Capitol is not submitting language for consideration in the Fiscal Year 2014 budget process.

# Architect of the Capitol





## 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 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 Capitol complex-wide architectural and engineering design; project management and construction management; property management; Architect of the Capitol (AOC) planning and development; congressional election year move 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, financial systems, and inventory management systems; legal services; human capital management; communications; congressional relations; procurement, including major construction contracts, service contracts, small purchases, and leases; management of historic preservation, sustainability, energy and water conservation programs; high voltage operations; 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 GA jurisdiction also includes the Office of Inspector General which is responsible to promote economy and efficiency and prevent and detect fraud, waste and abuse in AOC operations.



## General Administration

The General Administration (GA) appropriation includes the following offices:

**Chief Administrative Officer (CAO)** - provides Architect of the Capitol (AOC) wide services that include: legal counsel; information technology; human capital management; Equal Employment Opportunity and diversity programs; acquisition, material management, and procurement; external media and congressional relations; preservation of heritage assets, and curator expertise; and office supplies/services.

**Chief Financial Officer (CFO)** - provides management oversight and direction for AOC 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 reviews existing/proposed regulations, orders, and policies for compliance.

**Planning and Project Management (PPM)** - provides long-range facility planning, design and construction services, project management and other technical services in support of projects; conducts building performance audits, retro commissioning and Facility Condition Assessments; manages a sustainability, energy and water conservation program to develop and implement energy savings initiatives; maintains campus-wide electrical, emergency power, cable television, legislative clocks and electronic systems; and provides special event support to the Congress.

**Safety, Fire and Environmental Programs (SFE)** - manages the AOC's safety, fire, environmental and emergency preparedness programs and activities; provides policy, technical expertise and guidance, and program planning; and serves as the AOC point of contact with external safety and environmental regulatory agencies.

### ***FACILITY SUMMARY:***

| Facility Name/Type          | Location       | Year Built or Acquired & Age | Area (square feet) | Deferred Maintenance | Capital Renewal | Backlog   |
|-----------------------------|----------------|------------------------------|--------------------|----------------------|-----------------|-----------|
| Construction Division Shops | Washington, DC | 1982 30                      | 15,225             | \$102,000            | \$309,000       | \$411,000 |

**Notes:**

*Deferred Maintenance* is defined as maintenance, repair or replacement work on existing facilities and infrastructure that is past due causing failure or partial failure.

*Capital Renewal* is defined as making replacements in kind to correct unacceptable conditions caused by aged building components prior to failure.

*Backlog* equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance within a five year window.

| Lease                           | Location       | Area (square feet) | Contract Award Date | Contract End Date | Total Cost |
|---------------------------------|----------------|--------------------|---------------------|-------------------|------------|
| Construction Division Warehouse | Alexandria, VA | 36,150             | Feb 2006            | Dec 2016          | \$596,290  |

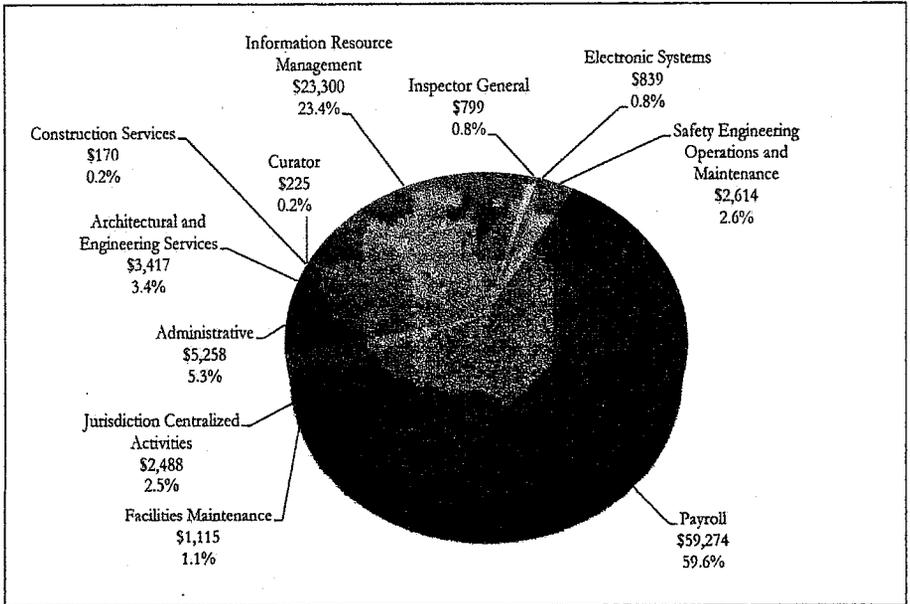


## General Administration

### OPERATING BUDGET SUMMARY:

#### FY 2014 BUDGET REQUEST ALLOCATION (\$99,500)

The Operating Budget of the General Administration (GA) appropriation funds all costs associated with Architect of the Capitol (AOC) central office salaries, operations, activities, and programs. The budget is divided into functional area Program Groups: Administrative; Architectural and Engineering Services; Construction Services; Curator; Electronic Systems; Facility Maintenance; Inspector General; Information Resource Management; Information Resource Management; Jurisdiction Centralized Activities; Payroll; and Safety Engineering Operations and Maintenance.



The **Payroll** Program Group accounts for 59.6% of the GA budget and funds salaries and benefits for employees specifically supporting the appropriation. Of the Payroll funding requested: approximately 54% is for Project Delivery; 25% is for Facility Maintenance; 12% is for Client Services (direct support to Congress and staff); 6% is for Jurisdictional Support Services (labor integral to AOC operations such as human capital management, information technology systems and tools, financial management, legal support, campus-wide safety and environmental staff, and investigations and audits); and 3% is for the AOC Curator heritage asset program (preservation and restoration of priceless art and architectural features).



## General Administration

### *OPERATING BUDGET SUMMARY (continued)*

The **Information Resource Management** Program Group accounts for 23.4% of the General Administration (GA) budget and funds the procurement, operations and maintenance of information technology for computer hardware, software and license support including a human capital management system. It provides contractor technical support services for data centers, user helpdesk support, project management, information security, Architect of the Capitol (AOC) communication equipment and services, and funds business modernization projects. Of the requested funds of this program approximately:

Sixty percent (60%) is for contractual operations support (i.e. general help desk and financial management software) such as: network security certification and accreditation; security awareness training; hardware and software maintenance agreements for equipment and licenses; replacement for equipment at its end of life, such as servers; and information technology consumables, such as printer cartridges.

Seventeen percent (17%) is for human capital management software system, including pre-negotiated AOC enterprise-wide human capital management software.

Eleven percent (11%) supports Information Resource Management business modernization efforts.

Eight percent (8%) is for Information Resource Management communication efforts to provide circuits for connectivity between the buildings on the Capitol complex and the Alternate Computer Center; and funding enterprise desk and mobile phones, data services, and emergency response coordination.

Four percent (4%) is for the Computer-Aided Facility Management (CAFM) system licenses used for relational databases and electronic representations of facilities to manage, analyze, and control facility data as well as planning, oversight, deployment and support of Facility Management tools and business processes including Geographic Information Systems and the Emergency Operations Center requirements account to maintain the AOC's enterprise-wide emergency response system.

The **Administrative** Program Group accounts for 5.3% of the GA budget. The largest item is AOC-wide Transit Benefit Subsidies at 30%. It funds printing and reproduction; office equipment and supplies; postage and metered mail; graphic design; centralized vehicle leases, operations and maintenance; and payroll processing support from the National Financial Center. It includes consultant services and ongoing agency-wide strategic planning, performance improvement, and best practices research.

The **Architectural and Engineering Services** Program Group is 3.4% of the GA budget. This provides the capability to supplement in-house planning, design and construction organizations with contracted services for Line Item Construction Projects, Facility Condition Assessments, Accessibility Programs, Historic Preservation Program, Building Performance Audits, Retro commissioning, and the Capitol Complex Master Plan.

The **Safety Engineering Operations and Maintenance** Program Group is 2.6% of the GA budget. This provides sampling and analysis (air, water, waste, storage tanks, etc.); hazardous waste disposal; education and communication materials; subscriptions and regulatory updates; consultant support for assessments, analysis, inspections, testing, technical reviews and program planning. It also includes funds for the operations and maintenance of AOC-wide automatic defibrillators to replace units at the end of their service life.



## General Administration

### *OPERATING BUDGET SUMMARY (continued)*

The **Jurisdiction Centralized Activities** Program Group accounts for 2.5% of the General Administration (GA) budget. This provides for Architect of the Capitol (AOC)-required training for GA staff, such as: Construction and Facility Management Industry training; mandatory trade-specific safety training; professional training; and technical core competency training. It also provides funds for emergency preparedness: planning for and responding to fires, spills, pandemic flu, appropriations lapse, earthquakes, tornados, and other weather emergencies; coordinating with the United States Capitol Police; and supporting the Congress and Supreme Court during emergencies. Funds are included for systems and equipment for the AOC's primary and backup emergency operations centers, as well as emergency preparedness and response capabilities at off-site locations managed by the AOC.

The **Facilities Maintenance** Program Group accounts for 1.1% of the GA budget. This funds the maintenance of 12 high voltage and 37 low voltage electrical substations, 37 emergency generators, and over 1,500 light poles and 90,000 Building Automation System (BAS) control devices. This Program Group also funds the indirect cost for the Construction Division (CD), its shops at D.C. Village, and leased warehouses.

The **Inspector General** Program Group accounts for 0.8% of the GA budget. This provides the capability for the Office of the Inspector General (OIG) to carry out the requirements set forth in the Architect of the Capitol Inspector General Act of 2007. Of the OIG funding requested, 49% is for the OIG operations including audits, evaluations and investigations and 51% of the request is for the AOC financial statement audit.

The **Electronic Systems** Program Group is 0.8% of the GA budget. This funds the capability to maintain electronic systems throughout the Capitol campus: cable television; tunnel radio communications systems; legislative clocks and call systems; Building Automation System intranet; and hearing room audio systems.

The **Construction Services** Program Group is 0.2% of the GA budget. 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.

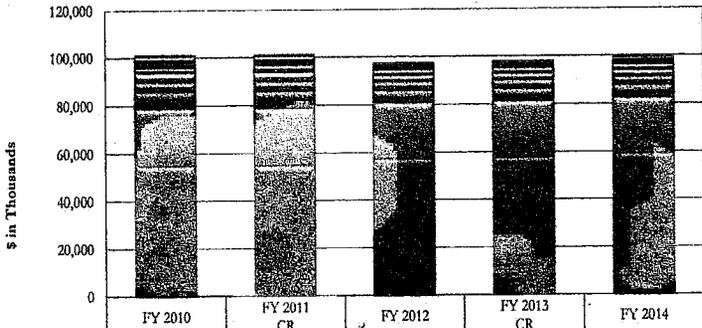
The **Curator** Program Group accounts for 0.2% of the GA budget. The AOC Curator provides stewardship, of invaluable heritage assets including architectural art, e.g. murals and the Statue of Freedom, and joint fine and decorative art, National Statuary Hall statues. Ongoing conservation and follow-up maintenance is critical to keep heritage assets in good condition. Paint Studies support accurate restoration of historic areas. The Curator promotes preservation awareness through educational programs and facilitates historical research. The group preserves and makes available archives of architectural drawings, textual records, and photographs. It is responsible for critical photo documentation of contraction projects and congressional events and supports publications and exhibits.



# General Administration

## FUNDING OVERVIEW

FY 2010 Enacted to FY 2014 Request



|  | FY 2010 | FY 2011 CR | FY 2012 | FY 2013 CR | FY 2014 |
|--|---------|------------|---------|------------|---------|
| ■ Construction Services                  | 170     | 170        | 170     | 171        | 170     |
| ■ Curator                                | 0       | 0          | 225     | 226        | 225     |
| ■ Inspector General                      | 645     | 645        | 668     | 672        | 799     |
| ■ Electronic Systems                     | 2,301   | 2,301      | 839     | 844        | 839     |
| ■ Facilities Maintenance                 | 2,422   | 1,413      | 1,115   | 1,122      | 1,115   |
| ■ Jurisdiction Centralized Activities    | 2,140   | 3,030      | 2,488   | 2,503      | 2,489   |
| ■ Safety Eng. Ops. and Maintenance       | 3,835   | 3,835      | 2,534   | 2,550      | 2,614   |
| ■ Architectural and Engineering Services | 3,817   | 3,817      | 3,417   | 3,438      | 3,417   |
| ■ Administrative                         | 7,183   | 7,302      | 5,258   | 5,290      | 5,258   |
| ■ Information Resource Management        | 23,800  | 23,800     | 23,300  | 23,443     | 23,300  |
| ■ Payroll                                | 55,070  | 55,070     | 57,576  | 57,928     | 59,274  |



# General Administration

## BUDGET SUMMARY

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 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Operating Budget     | 97,591          | 95,801                                  | 98,188              | 99,500          | 1,312                   |
| Multi-Year Projects  | 3,749           | 2,700                                   | 3,772               | 599             | (3,173)                 |
| <b>Total</b>         | <b>101,340</b>  | <b>98,501</b>                           | <b>101,960</b>      | <b>100,099</b>  | <b>(1,861)</b>          |

| Operating Budget (\$000)               |                 |   |                     |                 |                         |
|--|-----------------|---|---------------------|-----------------|-------------------------|
| Program Groups                         | FY 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Administrative                         | 5,258           | 4,258                                   | 5,290               | 5,258           | (32)                    |
| Architectural and Engineering Services | 3,417           | 3,530                                   | 3,438               | 3,417           | (21)                    |
| Construction Services                  | 170             | 153                                     | 171                 | 170             | (1)                     |
| Curator                                | 225             | 200                                     | 226                 | 225             | (1)                     |
| Electronic Systems                     | 839             | 839                                     | 844                 | 839             | (5)                     |
| Facilities Maintenance                 | 1,115           | 1,526                                   | 1,122               | 1,115           | (7)                     |
| Information Resource Management        | 23,300          | 23,428                                  | 23,443              | 23,300          | (143)                   |
| Inspector General                      | 668             | 521                                     | 672                 | 799             | 127                     |
| Jurisdiction Centralized Activities    | 2,488           | 2,158                                   | 2,503               | 2,488           | (15)                    |
| Payroll                                | 57,576          | 56,600                                  | 57,928              | 59,274          | 1,346                   |
| Safety Eng. Ops. and Maintenance       | 2,534           | 2,588                                   | 2,550               | 2,614           | 64                      |
| Annual-Funded Projects                 | -               | -                                       | -                   | -               | -                       |
| <b>Total</b>                           | <b>97,591</b>   | <b>95,801</b>                           | <b>98,188</b>       | <b>99,500</b>   | <b>1,312</b>            |

| Multi-Year Projects (\$000) |                      |                         |                     |                 |                         |
|-----------------------------|----------------------|-------------------------|---------------------|-----------------|-------------------------|
| Projects                    | FY 2012/2016 Enacted | FY 2012/2016 Actual Obs | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| <b>Total</b>                | <b>3,749</b>         | <b>2,700</b>            | <b>3,772</b>        | <b>599</b>      | <b>(3,173)</b>          |

<sup>1</sup> FY 2012 Actual Obligations can include reprogrammings/transfers from other appropriation.



# General Administration

## BUDGET SUMMARY (continued)

| Appropriation          | Full Time Equivalents (FTE) |                    |                        |                    |                             |                     |                     |
|------------------------|-----------------------------|--------------------|------------------------|--------------------|-----------------------------|---------------------|---------------------|
|                        | Payroll Funded              |                    |                        |                    | Project Funded <sup>2</sup> |                     |                     |
|                        | FY 2012<br>Actual           | FY 2012<br>Enacted | FY 2013 CR<br>Baseline | FY 2014<br>Request | FY 2012<br>Actual           | FY 2013<br>Estimate | FY 2014<br>Estimate |
| General Administration | 382                         | 397                | 400                    | 400                | 3                           | 3                   | 3                   |

<sup>1</sup> FY 2013 Request include three (3) FTEs for the AOC's Office of Inspector General.

<sup>2</sup> FY 2013/2014 project funded FTEs are estimated figures and dependent to the numbers of projects funded.

| FY 2014 Object Class (\$000)          |   |                        |                    |                            |
|---------------------------------------|---|------------------------|--------------------|----------------------------|
| Object Class                          | FY 2012 <sup>1</sup><br>Actual<br>Obligations | FY 2013<br>CR Baseline | FY 2014<br>Request | FY 2013/2014<br>Difference |
| 11 Personnel Compensation             | 39,915  | 40,877                 | 41,223             | 346                        |
| 12 Personnel Benefits                 | 16,873  | 17,051                 | 18,051             | 1,000                      |
| 21 Travel                             | 166   | 193                    | 193                | -                          |
| 22 Transportation of Things           | -   | -                      | -                  | -                          |
| 23 Rent, Communications and Utilities | 808   | 788                    | 787                | -                          |
| 24 Printing and Reproduction          | -   | -                      | -                  | -                          |
| 25 Other Contractual Services         | 36,148  | 36,908                 | 33,977             | (2,931)                    |
| 26 Supplies and Materials             | 1,616   | 1,638                  | 1,363              | (275)                      |
| 31 Equipment                          | 2,865   | 4,447                  | 4,447              | -                          |
| 32 Land and Structures                | 106   | 55                     | 55                 | -                          |
| 42 Insurance Claims and Indemnities   | 4   | 3                      | 3                  | -                          |
| <b>Total</b>                          | <b>98,501</b>                                 | <b>101,960</b>         | <b>100,099</b>     | <b>(1,861)</b>             |

<sup>1</sup> FY 2012 Actuals represent total obligations of funds incurred irrespective of the year of appropriation. Personnel Compensation and Personnel Benefits include payroll and project funded obligations.



# General Administration

## FY 2014 ANALYSIS OF CHANGE

|   | FY 2014 Appropriation |                |
|---|-----------------------|----------------|
|   | FTE                   | Amount (\$000) |
| <b>FY 2013 CR Baseline (FTE reflects Payroll Funded only)</b>   | 400                   | 101,960        |
| <b>Non-Recurring Costs</b>                                      |                       |                |
| Multi-Year Projects (FY 2012 Enacted plus 0.612% increase)..... |                       | (3,772)        |
| <b>Other Decreases</b>  |                       |                |
| Lapse Rate Adjustment.....                                      |                       | (513)          |
| <b>Total Program Decreases</b>                                  |                       | <b>(4,285)</b> |
| <b>Mandatory Pay Related Costs:</b>                             |                       |                |
| FY 2012 FERs Adjustment form 11.7% to 11.9%.....                |                       | 80             |
| FY 2012 FEHB Employer Contribution Increase of 4%.....          |                       | 99             |
| FY 2013 Within Grade Increase.....                              |                       | 397            |
| FY 2013 FICA Adjustment of 2%.....                              |                       | 168            |
| FY 2013 FEHB Employer Contribution Increase of 3.3%.....        |                       | 90             |
| FY 2014 Cost-of-Living Adjustment of 1.8%.....                  |                       | 565            |
| FY 2014 Within Grade Increase.....                              |                       | 400            |
| FY 2014 Zero-based Payroll Adjustment.....                      |                       | 60             |
| <b>Total Mandatory Pay Related Costs</b>                        |                       | <b>1,859</b>   |
| <b>Price Level Changes</b>                                      |                       | -              |
| <b>Total Price Level Changes</b>                                |                       | -              |
| <b>Program Increases:</b>                                       |                       |                |
| FY 2013 CR Baseline Credit Adjustment.....                      |                       | (225)          |
| Inspector General .....   |                       | 127            |
| Safety, Fire, and Environment .....                             |                       | 64             |
| Multi-Year Projects:  |                       |                |
| Conservation of Fine and Architecture Art.....                  |                       | 599            |
| <b>Total Program Increases</b>                                  | -                     | <b>565</b>     |
| <b>Net Increase/Decrease</b>                                    | -                     | <b>(1,861)</b> |
| <b>Total Appropriation</b>                                      | <b>400</b>            | <b>100,099</b> |



# General Administration

## SUMMARY OF CHANGES

The Operating Budget component of the General Administration appropriation funds all costs associated with Architect of the Capitol (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 Program (\$000)              |                     |                                |                                   |                 |                 |                         |
|--|---------------------|--------------------------------|-----------------------------------|-----------------|-----------------|-------------------------|
| Program Groups                         | FY 2013 CR Baseline | Program Realignment/ Transfers | Mandatory Pay and Price Increases | Program Changes | FY 2014 Request | FY 2013/2014 Difference |
| Administrative                         | 5,290               | -                              | -                                 | (32)            | 5,258           | (32)                    |
| Architectural and Engineering Services | 3,438               | -                              | -                                 | (21)            | 3,417           | (21)                    |
| Construction Services                  | 171                 | -                              | -                                 | (1)             | 170             | (1)                     |
| Curator                                | 226                 | -                              | -                                 | (1)             | 225             | (1)                     |
| Electronic Systems                     | 844                 | -                              | -                                 | (5)             | 839             | (5)                     |
| Facilities Maintenance                 | 1,122               | -                              | -                                 | (7)             | 1,115           | (7)                     |
| Information Resource Management        | 23,443              | -                              | -                                 | (143)           | 23,300          | (143)                   |
| Inspector General                      | 672                 | -                              | -                                 | 127             | 799             | 127                     |
| Jurisdiction Centralized Activities    | 2,503               | -                              | -                                 | (15)            | 2,488           | (15)                    |
| Payroll                                | 57,928              | -                              | 1,346                             | -               | 59,274          | 1,346                   |
| Safety Eng. Ops. and Maintenance       | 2,550               | -                              | -                                 | 64              | 2,614           | 64                      |
| <b>Total</b>                           | <b>98,188</b>       | <b>-</b>                       | <b>1,346</b>                      | <b>(34)</b>     | <b>99,500</b>   | <b>1,312</b>            |

## Program Groups - Description and Analysis of Changes

### Administrative

**(FY 2013 CR Baseline: \$5,290K)**

**FY 2014 Request: \$5,258K)**

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.

Decrease of \$32K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J.RES. 117).

### Architectural and Engineering Services

**(FY 2013 CR Baseline: \$3,438K)**

**FY 2014 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, Facility Condition Assessments, Accessibility Programs, Historic Preservation Program, Building Performance Audits, Retro commissioning and the Capitol Complex Master Plan for the AOC and its clients.

Decrease of \$21K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J.RES. 117).



## General Administration

### *SUMMARY OF CHANGES (continued)*

#### **Construction Services**

**(FY 2013 CR Baseline: \$171K)**

**FY 2014 Request: \$170K)**

The Construction Services Program Group funds miscellaneous administrative construction services, to include contracting with firms specializing in cost estimating of construction projects.

Decrease of \$1K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J.RES. 117).

#### **Curator**

**(FY 2013 CR Baseline: \$226K)**

**FY 2014 Request: \$225K)**

The Curator Program Group funds the conservation of joint paintings, sculptures, and decorative objects and 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 and for paint analysis.

Decrease of \$1K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J.RES. 117).

#### **Electronic Systems**

**(FY 2013 CR Baseline: \$844K)**

**FY 2014 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.

Decrease of \$5K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J.RES. 117).

#### **Facilities Maintenance**

**(FY 2013 CR Baseline: \$1,122K)**

**FY 2014 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.

Decrease of \$7K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J.RES. 117).

#### **Information Resource Management**

**(FY 2013 CR Baseline: \$23,443K)**

**FY 2014 Request: \$23,300K)**

The Information Resource 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 Program.

Decrease of \$143K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J.RES. 117).



## General Administration

### *SUMMARY OF CHANGES (continued)*

#### **Inspector General**

**(FY 2013 CR Baseline: \$672K)**

**FY 2014 Request: \$799K)**

The Inspector General Program Group enables the Inspector General of the Architect of the Capitol to carry out the requirements set forth in the Architect of the Capitol (AOC) Inspector General Act of 2007. Funds will provide \$500,000 for the annual financial statements audit, as well as \$299,000 to support non-payroll items such as training, transcription services and audit and investigative tools. The request includes training funds to meet training requirements for the Office of Inspector General (OIG) personnel. The payroll funds for the OIG are included in the Payroll Program Group.

Additional funding of \$127K will fund contractual initiatives for the financial system audit, software maintenance fees, and support services.

#### **Jurisdiction Centralized Activities**

**(FY 2013 CR Baseline: \$2,504K)**

**FY 2014 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.

Decrease of \$15K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J.RES. 117).

#### **Payroll**

**(FY 2013 CR Baseline: \$57,928K)**

**FY 2014 Request: \$59,274K)**

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 \$1,346K, reflects net adjustment due to FY 2013 Federal Insurance Contributions Act (FICA) tax rate increase of 2%, FY 2013 Federal Employees Health Benefits (FEHB) Program rate increase of 3.3%, Congressional Budget Office FY 2014 Cost-of-Living Adjustment (COLA) rate increase of 1.8%, Within Grade Increase adjustment, Zero-based payroll adjustment, and AOC estimated FY 2014 Lapse Rate adjustment of 1.4%.

#### **Safety Engineering Operations and Maintenance**

**(FY 2013 CR Baseline: \$2,550K)**

**FY 2014 Request: \$2,614K)**

For the General Administrative appropriation, the Safety Engineering Operations and Maintenance 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 \$64K will support the emergency defibrillators requirements.



# General Administration

## 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 requirements as generated from the Architect of the Capitol (AOC), Members, Committees, and other AOC clients.

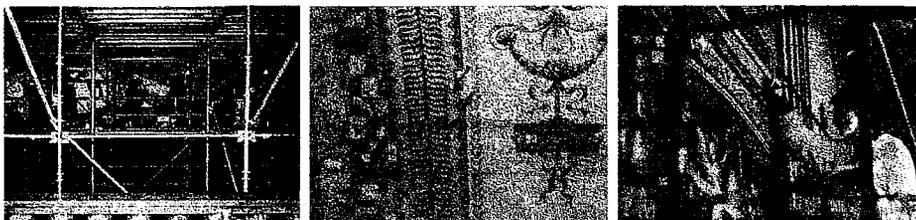
| Multi-Year Projects (\$000)                     |  | Request Amount |
|---|--|----------------|
| <b>Line Item Construction Program Projects:</b> |  | -              |
| <b>Total</b>                                    |  | -              |
| <b>Other Projects:</b>                          |  |                |
| Conservation of Fine and Architectural Art..... |  | 599            |
| <b>Total</b>                                    |  | <b>599</b>     |
| <b>Total Project Request</b>                    |  | <b>599</b>     |



## General Administration

**Project Title:** Conservation of Fine and Architectural Art

**Cost:** \$599K



**AOC Prioritization:** This project was not considered as part of the Architect of the Capitol (AOC) Line Item Construction Project process. The AOC requests these funds as Multi-Year due to the unknowns concerning access and schedules.

**Previously Requested From Congress:** The Architect of the Capitol (AOC) has requested funds for this effort (previously called Conservation of Wall Paintings) since 1985. In the Fiscal Year 2007 request, the AOC identified the need for these funds to be appropriated as Multi-Year rather than Annual. In Fiscal Year 2011, the funding was moved from the Capitol Building appropriation to General Administration appropriation. In Fiscal Year 2012, the AOC requested an increase to \$550K due to wear and tear generated by additional visitors to the Capitol Visitor Center.

**Project Description:** This funding primarily funds conservation of wall paintings (fine and decorative historic art murals) throughout the U.S. Capitol, with flexibility to use it if needed for conservation of other fine and architectural art as well. Murals, sculptural reliefs, etc. are types of architectural art, designed as part of or permanently attached to a building. The long-range effort to restore and care for murals in the Capitol began with a survey and condition assessment. The endangered murals have been conserved, with attention focused on 19<sup>th</sup>-century fine-art murals by Brumidi and on early 20<sup>th</sup>-century decorative murals by Garnsey and others. Periodic condition assessments of murals are made to identify and prioritize needed work. Priority is given to murals that are most in need of attention in order to preserve their structural and aesthetic integrity, including those that may be damaged by leaks or impact. There are also a number of important rooms with Brumidi murals that have not yet been conserved. Murals that have been conserved often need follow-up treatment for small repairs to keep them in good condition.

**Anticipated Start and End Dates:** Project duration is on-going. Congressional schedules and emergent conservation efforts require that the funds be Multi-Year.

### Program Cost/Funding Overview:

| Conservation of Fine and Architectural Art - Total Costs Summary (\$000) |   |                   |                      |                      |                             |                             |
|--|---|-------------------|----------------------|----------------------|-----------------------------|-----------------------------|
| Task   | Prior<br>FY 2012<br>Funded <sup>1</sup> | FY 2012<br>Funded | FY 2013<br>Requested | FY 2014<br>Requested | FY 2015-2018<br>Anticipated | Total<br>Projected<br>Costs |
| Conservation   | 4,298                                   | 550               | 599                  | 599                  | 1,797                       | 7,843                       |

<sup>1</sup> FY 2012 Prior funded represents annual and multi-year appropriations.



## General Administration

**Cost of Recurring Operations:** No significant increase in recurring operating expenses will be associated with this project.

**Citation Driven:** No.

**Client Request:** Frequently work is performed at the request of Congress.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Maintenance and Conservation.

**Facility Condition Assessment:** The Conservation of Fine and Architectural Art has been classified as Capital Renewal and thus is not considered in the Facility Condition Index.

**Design Completed:** Not Applicable; On-going study and design work.

**Risk and Impact If Not Funded:** Historic heritage 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 high 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](http://www.aoc.gov)

United States Government

## MEMORANDUM

DATE: December 19, 2012

TO: Stephen T. Ayers, Architect of the Capitol

FROM: Carol M. Bates, Inspector General / s /

SUBJECT: Office of Inspector General Fiscal Year 2014 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 2014:

- The aggregate budget request for the operations of the OIG is \$2,495,620. This amount includes \$500,000 for the AOC Financial Statements Audit.
- The portion of this amount needed for training is \$33,000.
- 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 2014.

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 South Capitol Street, SW, Suite 518 | Washington, DC 20515 | 202.593.1918 | [www.aoc.gov](http://www.aoc.gov)

## 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, heating, ventilation and air conditioning, plumbing, painting, cleaning and any construction concerning the U.S. Capitol or Capitol Visitor Center (CVC). In addition, the CB jurisdiction 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 CB 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 CB jurisdiction continues to achieve high client satisfaction ratings and ensure historic buildings perform to support the United States Congress in its legislative business.



# Capitol Building

## ***FACILITY SUMMARY:***

| Facility Name / Type   | Location       | Year Built or Acquired & Age |     | Area (square feet) | Deferred Maintenance | Capital Renewal      | Backlog              |
|------------------------|----------------|------------------------------|-----|--------------------|----------------------|----------------------|----------------------|
| Capitol Building       | Washington, DC | 1793                         | 219 | 939,341            | \$59,000,000         | \$277,604,000        | \$336,604,000        |
| Capitol Visitor Center | Washington, DC | 2006                         | 6   | 710,598            | \$0                  | \$0                  | \$0                  |
| <b>Total</b>           |                |                              |     | <b>1,649,939</b>   | <b>\$59,000,000</b>  | <b>\$277,604,000</b> | <b>\$336,604,000</b> |

**Notes:**

*Deferred Maintenance is defined as maintenance, repair or replacement work on existing facilities and infrastructure that is past due causing failure or partial failure.*

*Capital Renewal is defined as making replacements in kind to correct unacceptable conditions caused by aged building components prior to failure.*

*Backlog equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance within a five year window.*

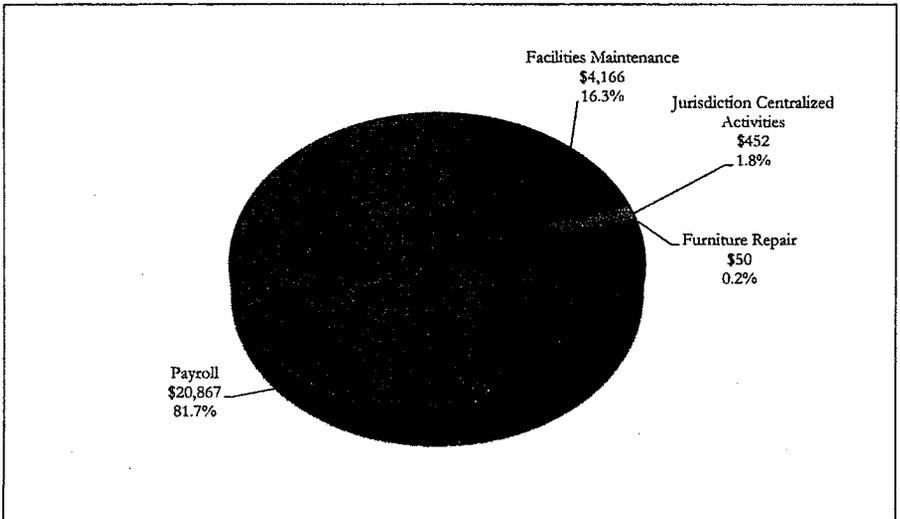


## Capitol Building

### OPERATING BUDGET SUMMARY:

#### FY 2014 BUDGET REQUEST ALLOCATION (\$25,535K)

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: Payroll, Facilities Maintenance, Jurisdiction Centralized Activities, and Furniture Repair.



The **Payroll** Program Group accounts for 81.7% of CB budget and funds salaries and benefits for employees specifically supporting the appropriation. This 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.

# Capitol Building



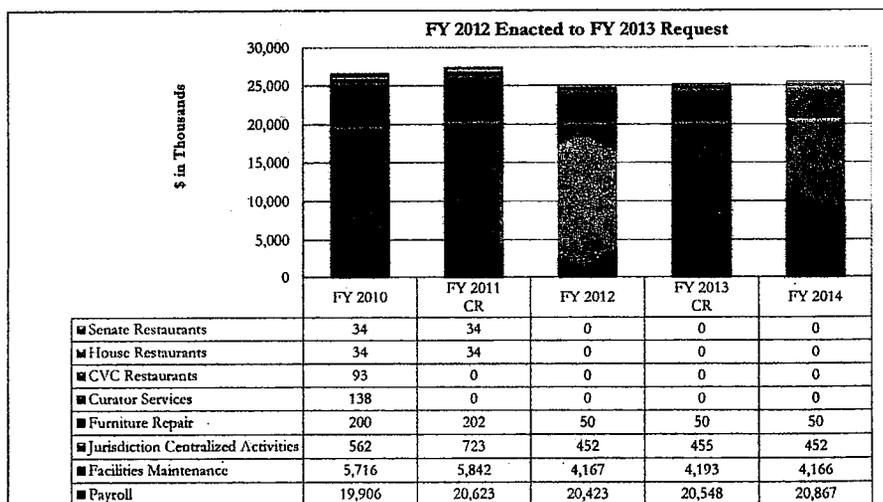
## OPERATING BUDGET SUMMARY (continued)

The **Facilities Maintenance** Program Group accounts for 16.3% of Capitol Building (CB) budget and provides the capability to deliver exceptional service in caring for the CB and Capitol Visitor Center (CVC). Of the funding requested, approximately 35% provides for General Maintenance & Operations, 6% for General Repairs, 56% for Cleaning and 3% for the Senate, House, and CVC Restaurants Maintenance. This aligns with CB historical workload. CB completed 47,458 work orders in FY 2012 towards accomplishing their mission.

The **Jurisdiction Centralized Activities** Program Group accounts for 1.8% of CB budget and 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 **Furniture Repair** Program Group accounts for less than 0.2% of CB budget and funds repairing furniture within the core spaces of the CVC. This provides the capability to procure routine furniture related minor repairs, materials and supplies.

## FUNDING OVERVIEW





# Capitol Building

## BUDGET SUMMARY

The Capitol Building appropriation is responsible for the maintenance, repair, operations, mechanical and electrical infrastructure, heating, ventilation and air conditioning, plumbing, painting, cleaning and any construction concerning the U.S. Capitol. In addition, the Architect of the Capitol (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 AOC manages the facility maintenance for the Capitol Visitor Center.

| Total Budget (\$000) |                 |   |                     |                 |                         |
|----------------------|-----------------|---|---------------------|-----------------|-------------------------|
| Appropriation        | FY 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Operating Budget     | 25,091          | 24,730                                  | 25,245              | 25,535          | 290                     |
| Multi-Year Projects  | 11,063          | 4,129                                   | 11,130              | 36,040          | 24,910                  |
| <b>Total</b>         | <b>36,154</b>   | <b>28,859</b>                           | <b>36,375</b>       | <b>61,575</b>   | <b>25,200</b>           |

| Operating Budget (\$000)            |                 |   |                     |                 |                         |
|-------------------------------------|-----------------|---|---------------------|-----------------|-------------------------|
| Program Groups                      | FY 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Facilities Maintenance              | 4,167           | 4,434                                   | 4,193               | 4,166           | (27)                    |
| Furniture Repair                    | 50              | -                                       | 50                  | 50              | -                       |
| Jurisdiction Centralized Activities | 452             | 441                                     | 455                 | 452             | (3)                     |
| Payroll                             | 20,423          | 19,855                                  | 20,548              | 20,867          | 319                     |
| Annual-Funded Projects              | -               | -                                       | -                   | -               | -                       |
| <b>Total</b>                        | <b>25,091</b>   | <b>24,730</b>                           | <b>25,245</b>       | <b>25,535</b>   | <b>290</b>              |

| Multi-Year Projects (\$000) |                      |                         |                     |                 |                         |
|-----------------------------|----------------------|-------------------------|---------------------|-----------------|-------------------------|
| Projects                    | FY 2012/2016 Enacted | FY 2012/2016 Actual Obs | FY 2013 CR Baseline | FY 2013 Request | FY 2013/2014 Difference |
| <b>Total</b>                | <b>11,063</b>        | <b>4,129</b>            | <b>11,130</b>       | <b>36,040</b>   | <b>24,910</b>           |

<sup>1</sup> FY 2012 Actual Obligations can include reprogrammings/transfers from other appropriations.



# Capitol Building

## BUDGET SUMMARY (continued)

| Appropriation    | Full Time Equivalents (FTE) |                 |                     |                 |                |                  |                  |
|------------------|-----------------------------|-----------------|---------------------|-----------------|----------------|------------------|------------------|
|                  | Payroll Funded              |                 |                     |                 | Project Funded |                  |                  |
|                  | FY 2012 Actual              | FY 2012 Enacted | FY 2013 CR Baseline | FY 2014 Request | FY 2012 Actual | FY 2013 Estimate | FY 2014 Estimate |
| Capitol Building | 221                         | 220             | 220                 | 222             | 20             | 20               | 18               |

<sup>1</sup>FY 2014 request reflects correction from the project funded FTE utilization.

<sup>2</sup>FY 2013/2014 project funded FTEs are estimated figures and dependent to the numbers of projects funded.

| FY 2014 Object Class (\$000) |                                    |   |                     |                 |                         |
|------------------------------|------------------------------------|---|---------------------|-----------------|-------------------------|
| Object Class                 |                                    | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| 11                           | Personnel Compensation             | 16,198                                  | 15,411              | 15,730          | 319                     |
| 12                           | Personnel Benefits                 | 5,523                                   | 5,137               | 5,137           | -                       |
| 21                           | Travel                             | 13                                      | 15                  | 15              | -                       |
| 22                           | Transportation of Things           | -                                       | -                   | -               | -                       |
| 23                           | Rent, Communications and Utilities | -                                       | -                   | -               | -                       |
| 24                           | Printing and Reproduction          | -                                       | -                   | -               | -                       |
| 25                           | Other Contractual Services         | 7,877                                   | 2,706               | 2,707           | 1                       |
| 26                           | Supplies and Materials             | 1,884                                   | 2,096               | 1,946           | (150)                   |
| 31                           | Equipment                          | -                                       | -                   | -               | -                       |
| 32                           | Land and Structures                | 8,681                                   | 11,010              | 36,040          | 25,030                  |
| 42                           | Insurance Claims and Indemnities   | -                                       | -                   | -               | -                       |
| Total                        |                                    | 40,176                                  | 36,375              | 61,575          | 25,200                  |

<sup>1</sup>FY 2012 Actuals represents total obligations of funds incurred irrespective of the year of appropriation. Personnel Compensation and Personnel Benefits include payroll and project funded obligations.



# Capitol Building

## FY 2014 ANALYSIS OF CHANGE

|  | FY 2014 Appropriation |                 |
|--|-----------------------|-----------------|
|  | FTE                   | Amount (\$000)  |
| FY 2013 CR Baseline (FTE reflects Payroll Funded only)                                     | 220                   | 36,375          |
| <b>Non-Recurring Costs</b>   |                       |                 |
| Mult-Year Projects (FY 2012 Enacted plus 0.612% increase).....                             |                       | (11,130)        |
| <b>Other Decreases</b>   |                       |                 |
| Lapse Rate Adjustment.....   |                       | (286)           |
| <b>Total Program Decreases</b>   |                       | <b>(11,416)</b> |
| <b>Mandatory Pay Related Costs:</b>  |                       |                 |
| FY 2012 FERs Adjustment from 11.7% to 11.9%.....   |                       | 31              |
| FY 2012 FEHB Employer Contribution Increase of 4%.....                                     |                       | 58              |
| FY 2013 Within Grade Increase.....   |                       | 153             |
| FY 2013 FICA Adjustment of 2%.....   |                       | 76              |
| FY 2013 FEHB Employer Contribution Increase of 3.3%.....                                   |                       | 53              |
| FY 2014 Cost-of-Living Adjustment of 1.8%.....   |                       | 234             |
| FY 2014 Within Grade Increase.....   |                       | 136             |
| FY 2014 Zero-based Payroll Adjustment.....   |                       | (136)           |
| <b>Total Mandatory Pay Related Costs</b>   |                       | <b>605</b>      |
| <b>Total Price Level Changes</b>   |                       |                 |
| <b>Program Increases:</b>  |                       |                 |
| FY 2013 CR Baseline Credit Adjustment.....   |                       | (29)            |
| FTE correction from project funded FTE utilization.....                                    | 2                     |                 |
| <b>Multi-Year Projects:</b>  |                       |                 |
| Dome Restoration, Phase IIB, Interstitial Space, USC.....                                  |                       | 16,600          |
| Exterior Stone & Metal Preservation, North Extension, Exterior Lighting, Phase I, USC..... |                       | 15,940          |
| Minor Construction.....  |                       | 3,500           |
| <b>Total Program Increases</b>   | <b>2</b>              | <b>36,011</b>   |
| <b>Net Increase/Decrease</b>   | <b>2</b>              | <b>25,200</b>   |
| <b>Total Appropriation</b>   | <b>222</b>            | <b>61,575</b>   |

# Capitol Building



## SUMMARY OF CHANGES

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 2013 CR Baseline | Program Realignment/ Transfers | Mandatory Pay and Price Increases | Program Changes | FY 2014 Request | FY 2013/2014 Difference |
| Facilities Maintenance              | 4,193               | -                              | -                                 | (27)            | 4,166           | (27)                    |
| Furniture Repair                    | 50                  | -                              | -                                 | -               | 50              | -                       |
| Jurisdiction Centralized Activities | 455                 | -                              | -                                 | (3)             | 452             | (3)                     |
| Payroll                             | 20,548              | -                              | 319                               | -               | 20,867          | 319                     |
| <b>Total</b>                        | <b>25,245</b>       | <b>-</b>                       | <b>319</b>                        | <b>(29)</b>     | <b>25,535</b>   | <b>290</b>              |

## Program Groups - Description and Analysis of Changes

### Facilities Maintenance

**(FY 2013 CR Baseline: \$4,193K)**

**FY 2014 Request: \$4,166K)**

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.

Decrease of \$27K reflects FY 2013 CR Baseline Credit Adjustment due to a 0.612% increase (H.J. RES. 117).

### Furniture Repair

**(FY 2013 CR Baseline: \$50K)**

**FY 2014 Request: \$50K)**

The Furniture Repair Program Group funds repairing furniture within the core spaces of the CVC. 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



## *SUMMARY OF CHANGES (continued)*

### **Jurisdiction Centralized Activities**

**(FY 2013 CR Baseline: \$455K)**

**FY 2014 Request: \$452K)**

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.

Decrease of \$3K reflects FY 2013 CR Baseline Credit Adjustment due to a .612% increase (H.J. RES. 117).

### **Payroll**

**(FY 2013 CR Baseline: \$20,548K)**

**FY 2014 Request: \$20,867K)**

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 \$319K, reflects net adjustment due to FY 2013 Federal Insurance Contributions Act (FICA) tax rate increase of 2%, FY 2013 Federal Employees Health Benefits (FEHB) Program rate increase of 3.3%, Congressional Budget Office FY 2014 Cost-of-Living Adjustment (COLA) rate increase of 1.8%, Within Grade Increase adjustment, Zero-based payroll adjustment, and AOC estimated FY 2014 Lapse Rate adjustment of 1.4%.



# 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 Architect of the Capitol clients.

| <b>Multi-Year Projects (\$000)</b>   |                              | <b>Request Amount</b> |
|--|------------------------------|-----------------------|
| <b>Line Item Construction Program Projects:</b>  |                              |                       |
| Dome Restoration, Phase IIB, Interstitial Space, USC.....                                  |                              | 15,940                |
| Exterior Stone & Metal Preservation, North Extension, Exterior Lighting, Phase I, USC..... |                              | 16,600                |
|  | <b>Total</b>                 | <b>32,540</b>         |
| <b>Other Projects:</b>   |                              |                       |
| Minor Construction.....  |                              | 3,500                 |
|  | <b>Total</b>                 | <b>3,500</b>          |
|  | <b>Total Project Request</b> | <b>36,040</b>         |

### **Minor Construction**

**\$3,500K**

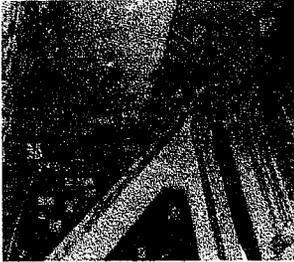
Reflects the required amount to sustain the necessary level of service for unforeseen construction and repair projects of the Capitol Building appropriation.



# Capitol Building

**Project Title: Dome Restoration, Phase IIB, Interstitial Space, USC**

**Cost: \$15,940M**



**AOC Prioritization: #10 of 17 submitted.**

**Previously Requested From Congress:** FY 2014 is the first year in which the AOC is requesting construction funding for Phase IIB. Funding for previous phases (Phases IA, IB, IC and Phase IIA) was requested in prior years. The FY 2013 request for Phase IIA is pending.

**Project Description:** This project is Phase IIB of a phased program to restore the U.S. Capitol Dome.

- The project restores the interstitial space of the Dome by restoring paint, mechanical systems, electrical systems, lighting systems, roofing, communication systems, catwalks and providing for fire protection within the inner area space of the outer Dome shell.
- The project will also update existing systems to current codes and modern building standards.
- A specially designed interior hanging catenary system will be installed as fall protection for workers and potentially falling objects.
- In addition, an interior Rotunda floor covered walkway will be temporarily constructed for the duration of interior hanging catenary system installation and removal only, to provide safety for the touring public.

**Anticipated Start and End Dates:** Project duration is 9 months. Anticipate award by March 2014, with completion by January 2015. Dates are contingent upon status of appropriations bill, fund availability, quality of contractor bids, congressional schedules and other factors.

# Capitol Building



## Program Cost/Funding Overview:

| Capitol Dome Restoration, All Phases, USCP - Total Costs Summary (\$000) |                      |                |                   |                   |                          |                       |
|--|----------------------|----------------|-------------------|-------------------|--------------------------|-----------------------|
| Task   | Prior FY 2012 Funded | FY 2012 Funded | FY 2013 Requested | FY 2014 Requested | FY 2015-2018 Anticipated | Total Projected Costs |
| Study  | 710                  | -              | -                 | -                 | -                        | -                     |
| Design, Phase I  | 735                  | -              | -                 | -                 | -                        | 735                   |
| Design, Phase IA   | 81                   | -              | -                 | -                 | -                        | 81                    |
| Studies / Inspection   | 40                   | -              | -                 | -                 | -                        | 40                    |
| Design, Phase IB   | 73                   | -              | -                 | -                 | -                        | 73                    |
| Construction, Phase IB   | 2,500                | -              | -                 | -                 | -                        | 2,500                 |
| Design, Phase IC   | 159                  | -              | -                 | -                 | -                        | 159                   |
| Construction, Phase IC, Skurt  | -                    | 19,959         | -                 | -                 | -                        | 19,959                |
| Design, Phase II   | 1,120                | -              | -                 | -                 | -                        | 1,120                 |
| Design, Phase II (Revalidation)  | 3,996                | -              | -                 | -                 | -                        | 3,996                 |
| Construction, Phase IIA  | -                    | -              | 59,767            | -                 | -                        | 59,767                |
| Construction, Phase IIB  | -                    | -              | -                 | 15,400            | -                        | 15,400                |
| Construction, Phase IIC  | -                    | -              | -                 | -                 | 28,580                   | 28,580                |
| USCP Overtime Costs  | -                    | -              | 1,480             | 540               | 1,000                    | 3,020                 |
| <b>Total</b>   | <b>9,414</b>         | <b>19,959</b>  | <b>61,247</b>     | <b>15,940</b>     | <b>29,580</b>            | <b>135,430</b>        |

**Cost of Recurring Operations:** 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 \$60K every 4 years.

- A painting cycle rotation of every 8 years is required beginning in FY 2022 at a cost of \$2,300K per year.
- At the conclusion of the program, 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 \$20K per year in order to preserve the Dome.

**Citation Driven:** No.

**Client Request:** No.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction; Capital Renewal; and Preservation and Life-Safety.

**Facility Condition Assessment:** The overall building is considered in Good condition, but if not funded, the project could negatively impact the overall Facility Condition Assessment in the near future. The Dome itself is not considered to be in Good condition.

**Design Completed:** December 2012.



## Capitol Building

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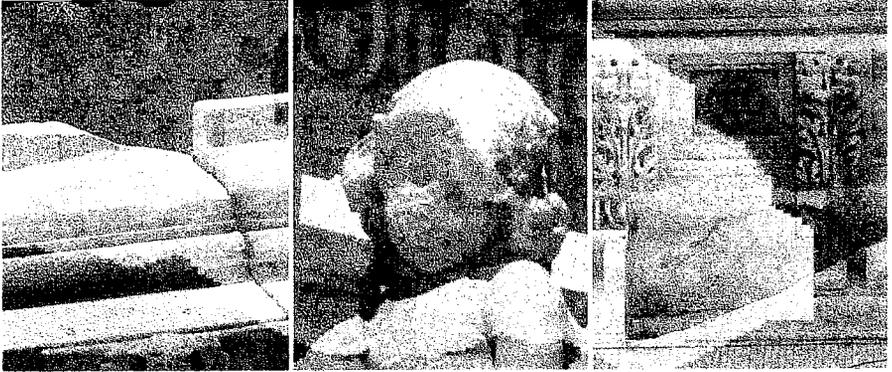
**Risk and Impact If Not Funded:** If this project is postponed, rain will continue to cause prolonged moisture condensation, resulting in additional delamination and degradation of the existing paint coating system.

- Presently, the interstitial space is not sealed from its enemy, (water), and with the prolonged postponement of this project, there will be a constant attack on and infiltration of the interior surfaces.
- The risk of prolonged project postponement will result in the acceleration of rust, corrosion, cracking, breaking, and potential failure of the structural members and cast iron plates of the Dome Interstitial Space.
- Additional joints, cast iron plates, bolts, and replacement of temporary waterproofing patches will increase, but these interim fixes will not resolve the problem.
- Staining and the degradation of the interior surface paint finish will proliferate the presence of metal breakage and worsen over time.

There will be a substantial cost increase of restoration and loss of historic fabric if the project is prolonged or not funded.

## Capitol Building

**Project Title:** Exterior Stone & Metal Preservation, North Extension, Phase I, USC **Cost:** \$16,600K



**AOC Prioritization:** #11 of 17 submitted.

**Previously Requested From Congress:** Construction funds were previously requested in FY 2011.

**Project Description:** This project is the first phase of a three phase rehabilitation of the exterior stone, metals and lighting at the U.S. Capitol to prolong the life expectancy and preserve these historic features.

- This first phase includes the North Extension, the Senate Carriage Entrance, the West Terrace balustrades, and the North Pediment Sculpture.
- Phase I includes the painted ornamental ironwork, cast iron and wrought iron railings and cast iron lamp posts, the bronze lamp posts and bronze chandelier fixtures. The bronze lamp posts will be restored to match their original appearance, the interior and exterior of the cast iron lamp posts will be cleaned, primed and painted. Metal railings will be cleaned, primed and painted. The chandelier, chains, and canopies will be stripped to remove the existing deteriorated protective coating and a new protective coating will be applied.
- The rehabilitation and preservation work includes re-pointing the stone joints, removing loose stone, and filling in the anchor holes in the stone.
- In addition, the abandoned bird deterrent system will be removed and the stone cleaned.
- Cracked or spalled stones and epoxy patches will be repaired; and shifted or displaced stones will be reset.
- Metal flashing will be replaced and new sealant will be installed.

**Anticipated Start and End Dates:** Project duration is 24 months. It is anticipated that the project will be awarded by April 2014, with completion by April 2016. Dates are contingent upon status of appropriations bill, funding availability, quality of contractor bids, congressional schedules and other factors.

# Capitol Building



## Program Cost/Funding Overview:

| Exterior Stone & Metal Preservation, North Extension, All Phases, USC - Total Costs Summary (\$000) |                      |                |                   |                   |                          |                       |
|---|----------------------|----------------|-------------------|-------------------|--------------------------|-----------------------|
| Task  | Prior FY 2012 Funded | FY 2012 Funded | FY 2013 Requested | FY 2014 Requested | FY 2015-2018 Anticipated | Total Projected Costs |
| Study   | -                    | -              | -                 | -                 | -                        | -                     |
| Design  | 260                  | -              | -                 | -                 | -                        | 260                   |
| Construction (Phase I) North  | -                    | -              | -                 | 16,600            | -                        | 16,600                |
| Construction (Phase I) South  | -                    | -              | -                 | -                 | 11,374                   | 11,374                |
| Construction (Phase III) East/West  | -                    | -              | -                 | -                 | 3,572                    | 3,572                 |
| <b>Total</b>  | <b>260</b>           | <b>-</b>       | <b>-</b>          | <b>16,600</b>     | <b>14,946</b>            | <b>31,806</b>         |

**Cost of Recurring Operations:** Maintenance costs are expected to remain constant as a result of this work. Cost risk of a catastrophic loss of stone or metal will be greatly reduced.

**Citation Driven:** No.

**Client Request:** No.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction; Deferred Maintenance; Preservation and Safety.

**Facility Condition Assessment:** The overall building is considered in Good condition; however, the exterior stone is not considered to be in Good condition. This project will contribute to facility condition improvement.

**Design Completed:** FY 2009.

**Risk and Impact If Not Funded:** Stone, metal, and lighting deterioration will continue if the preservation work is not performed to repair the stone, restore the metals and lighting, perform needed maintenance, and mitigate water infiltration.

- The amount of water penetrating the stone will increase giving rise to a greater potential of stone spalling off and falling from the U.S. Capitol.
- The exterior metal and lighting will continue to deteriorate if the corrosion is not abated.

Not funding this project will subject the U.S. Capitol to a loss of historic fabric and will create more costly stone, metals, and lighting restoration work in the future. Life-safety risk will continue to increase.

## Capitol Grounds



### ***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 (CG) 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 are comprised of approximately 286 acres, of which the Capitol, Senate and House Office Buildings, the Capitol Power Plant and other buildings reside with the recent addition of Union Square. 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. CG provides a campus shuttle bus service for the Congress and staff, as well as campus-wide trash removal and outdoor recycling.



# Capitol Grounds

## FACILITY SUMMARY:

| Facility Name/Type   | Location       | Year Built or Acquired & Age |        | Area (square feet) | Deferred Maintenance | Capital Renewal     | Backlog             |
|--|----------------|------------------------------|--------|--------------------|----------------------|---------------------|---------------------|
| Summer House   | Washington, DC | 1880                         | 132    | 816                | \$474,000            | \$231,000           | \$705,000           |
| Union Square   | Washington DC  | 2011                         | 41     | 526,867            | \$12,860,000         | \$1,884,000         | \$14,744,000        |
| Squares  | Washington, DC | Varies                       | Varies | Varies             | \$4,099,000          | \$9,350,000         | \$13,449,000        |
| Streets  | Washington, DC | Varies                       | Varies | Varies             | \$9,306,000          | \$135,000           | \$9,441,000         |
| Electrical   | Washington, DC | Varies                       | Varies | Varies             | \$0                  | \$0                 | \$0                 |
| Projects assigned to multiple facilities throughout the jurisdiction | Washington, DC | Varies                       | Varies | Varies             | \$2,013,000          | \$514,000           | \$2,527,000         |
| <b>Total</b>   |                |                              |        | <b>527,683</b>     | <b>\$28,752,000</b>  | <b>\$12,114,000</b> | <b>\$40,866,000</b> |

**Notes:**

*Deferred Maintenance* is defined as maintenance, repair or replacement work on existing facilities and infrastructure that is past due causing failure or partial failure.

*Capital Renewal* is defined as making replacements in kind to correct unacceptable conditions caused by aged building components prior to failure.

*Backlog* equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance within a five year window.

*Union Square*, newly acquired in 2011, is approximately 12.1 acres.

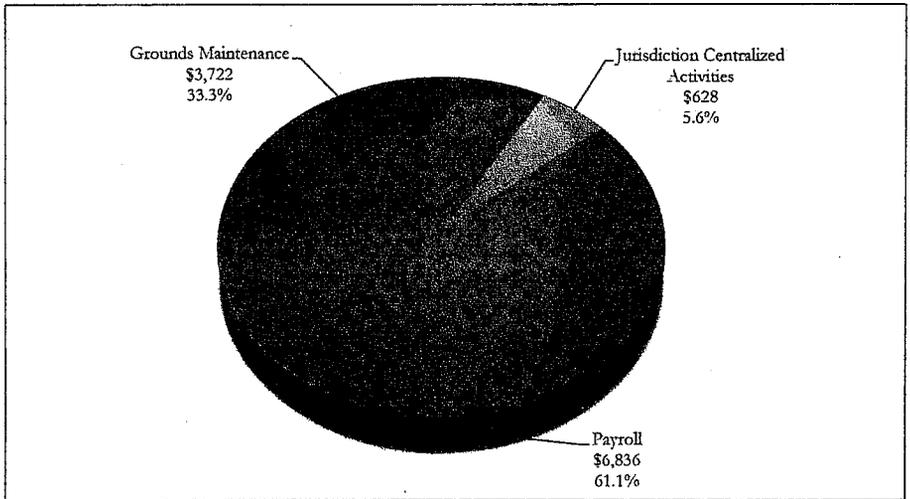


## Capitol Grounds

### OPERATING BUDGET SUMMARY:

#### ***FY 2014 BUDGET REQUEST ALLOCATION (\$11,186K)***

The Operating Budget of the Capitol Grounds (CG) 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 Maintenance, Jurisdiction Centralized Activities and Payroll.



The **Payroll** Program Group accounts for 61.1% of CG and funds salaries and benefits for employees specifically supporting the appropriation. Of the total request, 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.

The **Grounds Maintenance** Program Group accounts for 33.3% of CG and funds the capability to continue to support existing service levels for comprehensive landscape maintenance and preservation of historic resources. Of the total request, approximately 34% provides for Disposal of Bulk and Solid Waste, 30% for Pavement and Sidewalks, 20% for Landscaping Maintenance, and Beautification, 9% for Equipment and Equip. Maintenance, and 7% for Infrastructure and Historic Structures.

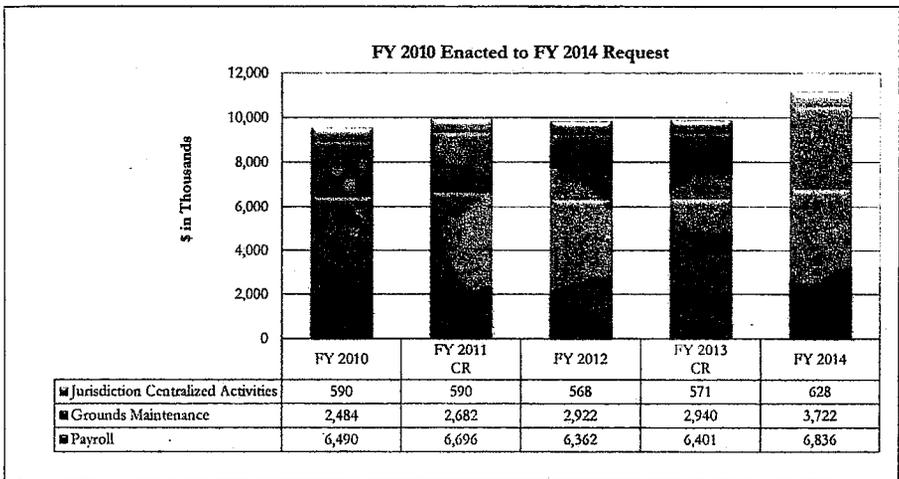


# Capitol Grounds

## OPERATING BUDGET SUMMARY (continued)

The Jurisdiction Centralized Activities Program Group accounts for 5.6% of Capitol Grounds. The bulk of this request, approximately 44%, is devoted to the campus-wide Shuttle Bus Services; 23% for the purchase of motor fuel; 8% for emergency preparedness; 4% for insurance claims; and the remaining 21% 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.

## FUNDING OVERVIEW





# 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 286 acres on which the Capitol, Senate and House Office Buildings, the Capitol Power Plant and other buildings reside with the recent addition of Union Square. 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.

| Total Budget (\$000) |                 |   |                     |                 |                         |
|----------------------|-----------------|---|---------------------|-----------------|-------------------------|
| Appropriation        | FY 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Operating Budget     | 9,852           | 9,481                                   | 9,912               | 11,186          | 1,274                   |
| Multi-Year Projects  | -               | -                                       | -                   | 2,266           | 2,266                   |
| <b>Total</b>         | <b>9,852</b>    | <b>9,481</b>                            | <b>9,912</b>        | <b>13,452</b>   | <b>3,540</b>            |

| Operating Budget (\$000)            |                 |   |                     |                 |                         |
|-------------------------------------|-----------------|---|---------------------|-----------------|-------------------------|
| Program Groups                      | FY 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Grounds Maintenance                 | 2,922           | 3,029                                   | 2,940               | 3,722           | 782                     |
| Jurisdiction Centralized Activities | 568             | 534                                     | 571                 | 628             | 57                      |
| Payroll                             | 6,362           | 5,917                                   | 6,401               | 6,836           | 435                     |
| Annual-Funded Projects              | -               | -                                       | -                   | -               | -                       |
| <b>Total</b>                        | <b>9,852</b>    | <b>9,481</b>                            | <b>9,912</b>        | <b>11,186</b>   | <b>1,274</b>            |

| Multi-Year Projects (\$000) |                      |                         |                     |                 |                         |
|-----------------------------|----------------------|-------------------------|---------------------|-----------------|-------------------------|
| Projects                    | FY 2012/2016 Enacted | FY 2012/2016 Actual Obs | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| <b>Total</b>                | <b>-</b>             | <b>-</b>                | <b>-</b>            | <b>2,266</b>    | <b>2,266</b>            |

<sup>1</sup> FY 2012 Actual Obligations can include reprogrammings/transfers from other appropriations.



# Capitol Grounds

## BUDGET SUMMARY (continued)

| Appropriation   | Full Time Equivalents (FTE) |                 |                     |                 |                             |                  |                  |
|-----------------|-----------------------------|-----------------|---------------------|-----------------|-----------------------------|------------------|------------------|
|                 | Payroll Funded <sup>1</sup> |                 |                     |                 | Project Funded <sup>2</sup> |                  |                  |
|                 | FY 2012 Actual              | FY 2012 Enacted | FY 2013 CR Baseline | FY 2014 Request | FY 2012 Actual              | FY 2013 Estimate | FY 2014 Estimate |
| Capitol Grounds | 65                          | 69              | 69                  | 73              | 5                           | 5                | 5                |

<sup>1</sup> FY 2013/2014 Request includes four (4) FTEs for the operation and maintenance of Union Square.

<sup>2</sup> FY 2013/2014 project funded FTEs are estimated figures and dependent to the numbers of projects funded.

| FY 2014 Object Class (\$000)          |   |                     |                 |                         |              |
|---------------------------------------|---|---------------------|-----------------|-------------------------|--------------|
| Object Class                          | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |              |
| 11 Personnel Compensation             | 4,732                                   | 5,000               | 5,231           | 231                     |              |
| 12 Personnel Benefits                 | 1,574                                   | 1,401               | 1,605           | 204                     |              |
| 21 Travel                             | 10                                      | 6                   | 6               | -                       |              |
| 22 Transportation of Things           | -                                       | -                   | -               | -                       |              |
| 23 Rent, Communications and Utilities | -                                       | -                   | -               | -                       |              |
| 24 Printing and Reproduction          | -                                       | -                   | -               | -                       |              |
| 25 Other Contractual Services         | 2,818                                   | 1,807               | 1,807           | -                       |              |
| 26 Supplies and Materials             | 1,084                                   | 1,171               | 2,010           | 839                     |              |
| 31 Equipment                          | 140                                     | 502                 | 502             | -                       |              |
| 32 Land and Structures                | 35                                      | -                   | 2,266           | -                       |              |
| 42 Insurance Claims and Indemnities   | 2                                       | 25                  | 25              | -                       |              |
|                                       | <b>Total</b>                            | <b>\$10,395</b>     | <b>\$9,912</b>  | <b>\$13,452</b>         | <b>1,274</b> |

<sup>1</sup> FY 2012 Actuals represent total obligations of funds incurred irrespective of the year of appropriation. Personnel Compensation and Personnel Benefits include payroll and project funded obligations.



# Capitol Grounds

## FY 2014 ANALYSIS OF CHANGE

|   | FY 2014 Appropriation |                |
|---|-----------------------|----------------|
|   | FTE                   | Amount (\$000) |
| <b>FY 2013 CR Baseline (FTE reflects Payroll Funded only)</b> | 69                    | 9,912          |
| <b>Non-Recurring Costs</b>                                    |                       |                |
| <b>Other Decreases</b>  |                       |                |
| FY 2014 Lapse Rate Adjustment.....                            |                       | (89)           |
| <b>Total Program Decreases</b>                                |                       | (89)           |
| <b>Mandatory Pay Related Costs:</b>                           |                       |                |
| FY 2012 FERs Adjustment from 11.7% to 11.9%.....              |                       | 10             |
| FY 2012 FEHB Employer Contribution Increase of 4%.....        |                       | 18             |
| FY 2013 Within Grade Increase.....                            |                       | 48             |
| FY 2013 FICA Adjustment of 2%.....                            |                       | 26             |
| FY 2013 FEHB Employer Contribution Increase of 3.3%.....      |                       | 14             |
| FY 2014 Cost-of-Living Adjustment of 1.8%.....                |                       | 73             |
| FY 2014 Within Grade Increase.....                            |                       | 42             |
| FY 2014 Zero-based Payroll Adjustment.....                    |                       | (45)           |
| <b>Total Price Level Changes</b>                              |                       | 186            |
| <b>Program Increases:</b>                                     |                       |                |
| FY 2013 CR Baseline Credit Adjustment.....                    |                       | (21)           |
| Grounds Maintenance.....                                      |                       | 800            |
| Jurisdiction Centralized Activities.....                      |                       | 60             |
| Payroll (FTE Increase).....                                   | 4                     | 338            |
| Multi-Year Projects   |                       |                |
| Summerhouse Restoration.....                                  |                       | 2,266          |
| <b>Total Program Increases</b>                                | 4                     | 3,443          |
| <b>Net Increase/Decrease</b>                                  | 4                     | 3,540          |
| <b>Total Appropriation</b>                                    | 73                    | 13,452         |



# Capitol Grounds

## SUMMARY OF CHANGES

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 2013 CR Baseline | Program Realignment/ Transfers | Mandatory Pay and Price Increases | Program Changes | FY 2014 Request | FY 2013/2014 Difference |
| Ground Maintenance                  | 2,940               | -                              | -                                 | 782             | 3,722           | 782                     |
| Jurisdiction Centralized Activities | 571                 | -                              | -                                 | 57              | 628             | 57                      |
| Payroll                             | 6,401               | -                              | 97                                | 338             | 6,836           | 435                     |
| <b>Total</b>                        | <b>9,912</b>        | <b>-</b>                       | <b>97</b>                         | <b>1,177</b>    | <b>11,186</b>   | <b>1,274</b>            |

### Program Groups - Description and Analysis of Changes

#### Grounds Maintenance

(FY 2013 CR Baseline: \$2,940K)

FY 2014 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.

The program increases of \$782K reflect new mission requirements in FY 2013 (Actual requirement \$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.

Decrease of \$18K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase H.J. RES. 117.

#### Jurisdiction Centralized Activities

(FY 2013 CR Baseline: \$571K)

FY 2014 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.

The program increases of \$57K reflect new mission requirements in FY 2013 (Actual requirement \$60K) funding is requested for uniforms, safety apparel, and training of new employees, potential increase of tort claims due to sidewalk disrepair around the Capitol reflecting pool and surrounding Union Square areas.

Decrease of \$3K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase H.J. RES. 117.



## Capitol Grounds

### *SUMMARY OF CHANGES (continued)*

#### **Payroll**

**(FY 2013 CR Baseline: \$6,401K)**

**FY 2014 Request: \$6,836K)**

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 \$435K of which includes 338K for four additional FTEs for Union Square operations and maintenance as well as net adjustments due to FY 2013 Federal Insurance Contributions Act (FICA) tax rate increase of 2%, FY 2013 Federal Employees Health Benefits (FEHB) Program rate increase of 3.3%, Congressional Budget Office FY 2014 Cost-of-Living Adjustment (COLA) rate increase of 1.8%, Within Grade Increase adjustment, Zero-based payroll adjustment, and AOC estimated FY 2014 Lapse Rate adjustment of 1.4



# Capitol Grounds

## ***CAPITAL MULTI-YEAR PROJECTS SUMMARY***

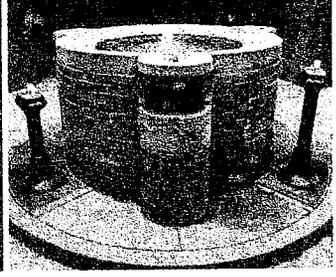
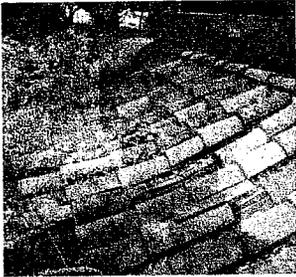
The Capital Budget consists of major construction or system replacement requirements to address fire, life safety, and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs; with a focus on energy savings. It may also include funds that provide jurisdictions with the flexibility to respond to unforeseen 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> |                              |                       |
| Summerhouse Restoration.....                    |                              | 2,266                 |
|   | <b>Total</b>                 | <b>2,266</b>          |
| <b>Other Projects:</b>                          |                              |                       |
|   | <b>Total</b>                 | -                     |
|   | <b>Total Project Request</b> | <b>2,266</b>          |

## Capitol Grounds

Project Title: Summerhouse Restoration, CG

Cost: \$2,266M



FY 2014 Submittal: #15 of 17 submitted.

**Previously Requested From Congress:** FY 2014 is the first year in which the AOC is requesting construction funding for restoration. Study and design funds were previously applied. Construction stabilization funds were requested and appropriated in FY 2008.

**Project Description:** The Summerhouse Restoration will restore the Summerhouse, its landscape, and grotto to match the original 1880 design by Frederick Law Olmsted.

- A Program of Requirements was completed in 2005 to evaluate the existing facility, quantify conditions and outline requirements for restoration.
- The restoration includes replacement of the existing large tile terra cotta roofing with a new smaller tile terra cotta roofing system.
- The supporting concrete roofs (installed in 1948), will be removed and replaced with an ironwork structure to match the original design.
- Custom bricks will be fabricated to replace historically inaccurate past repairs throughout the brick structure.
- Displaced block end walls will be dismantled and rebuilt in their original positions.
- The existing concrete flooring will be removed and replaced with a new brick floor to match the original brick flooring which was uncovered below the perimeter benches.
- The existing drinking fountain will be replaced with an accessible fountain that still matches the historic fabric of the Summerhouse.
- Handrails will be added to the north and south entry stairs for life-safety and accessibility.
- The existing fence and landscape will be replaced to more closely match the Olmsted design.

**Anticipated Start and End Dates:** Project duration is 12 months. Anticipate award by January 2014, with completion by February 2015. Dates are contingent upon status of appropriations bill, fund availability, quality of contractor bids, congressional schedules and other factors.

# Capitol Grounds



## Program Cost/Funding Overview:

| Summerhouse Restoration, CG - Total Costs Summary (\$000) |                      |                |                   |                   |                          |                       |
|---|----------------------|----------------|-------------------|-------------------|--------------------------|-----------------------|
| Task  | Prior FY 2012 Funded | FY 2012 Funded | FY 2013 Requested | FY 2014 Requested | FY 2015-2018 Anticipated | Total Projected Costs |
| Study   | 98                   | -              | -                 | -                 | -                        | 98                    |
| Design  | 340                  | -              | -                 | -                 | -                        | 340                   |
| Construction (Stabilization) <sup>1</sup>                 | 539                  | -              | -                 | -                 | -                        | 539                   |
| Construction  | -                    | -              | -                 | 2,266             | -                        | 2,266                 |
| <b>Total</b>  | <b>977</b>           | <b>-</b>       | <b>-</b>          | <b>2,266</b>      | <b>-</b>                 | <b>3,243</b>          |

<sup>1</sup>\$539K was provided in FY 2008 for the stabilization of the Summerhouse. This project prevented continued deterioration, but did not provide for any restoration of the Summerhouse.

**Cost of Recurring Operations:** Current operational costs are \$21,000 annually including landscape maintenance, some minor masonry work and ongoing plumbing/fountain servicing. Following the restoration, costs will increase due to the need to replace filters and light bulbs in the filtration system and to check the filtration system daily. The elevated cost is due to the additional piping/plumbing and the higher level of service necessary to properly maintain the new system; however, the costs are low enough that Capitol Grounds will absorb them internally via increased efficiencies in other areas.

**Client Driven:** No.

**Client Request:** No.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction; Deferred Maintenance; Mission.

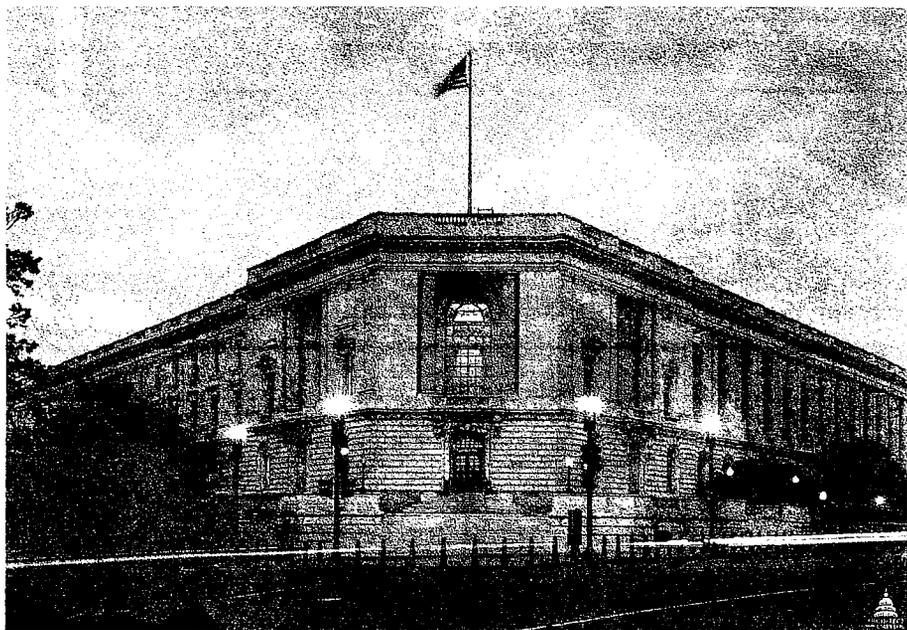
**Facility Condition Assessment:** The overall facility is considered in Poor condition; this project will improve the condition to Excellent.

**Design Completed:** November 2012.

**Risk and Impact If Not Funded:** The stabilization project, funded in FY 2008, addressed the immediate need to decelerate the effects of weather deterioration and to diminish the additional loss of the original historic materials of the Summerhouse.

- This did not fully restore, nor fulfill the AOC stewardship responsibility for the preservation of this structure.
- The center fountain and grotto use over 3,950,000 gallons of water per year. Without this project, there will continue to be a lack of a recirculating system and loss of utility cost savings estimated at \$28,647 per year. Without the FY 2014 funding of this project, historical fabric will continue to be lost as bricks deteriorate, and life-safety issues will drive increased risk.

## Senate Office Buildings



### ***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 (SOB) 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 SOB provides specific client services such as wood crafting, upholstery, painting, garage operations and furniture. Building infrastructure care and conveying systems include electrical, plumbing, heating, ventilation and air conditioning, fire alarm, subway & elevator systems. Daily operations include cleaning, recycling, loading dock operations, special functions set up and floor care. The SOB also manages lease operations and maintenance contracts for the Senate Sergeant at Arms Warehouse, Postal Square, Printing Graphics and Direct Mail Operations. Additional leases include warehouses in Landover, Maryland and administrative, and furniture storage leased space at the Government Printing Office.



# Senate Office Buildings

## FACILITY SUMMARY:

| Facility Name/Type   | Location       | Year Built or Acquired & Age |        | Area (square feet) | Deferred Maintenance | Capital Renewal     | Backlog              |
|--|----------------|------------------------------|--------|--------------------|----------------------|---------------------|----------------------|
| Monocle Restaurant   | Washington, DC | 1885                         | 127    | 7,764              | \$1,112,000          | \$13,000            | \$1,125,000          |
| Russell Senate Office Building                                       | Washington, DC | 1909                         | 103    | 698,921            | \$37,352,000         | \$23,648,000        | \$61,000,000         |
| Webster Hall Page Dormitory  | Washington, DC | 1930                         | 82     | 20,870             | \$0                  | \$81,000            | \$81,000             |
| Senate Underground Garage  | Washington, DC | 1932                         | 80     | 85,284             | \$15,487,000         | \$468,000           | \$15,955,000         |
| Dirksen Senate Office Building                                       | Washington, DC | 1958                         | 54     | 750,520            | \$895,000            | \$24,541,000        | \$25,436,000         |
| Robert A. Taft Memorial  | Washington, DC | 1959                         | 53     | 1,700              | \$372,000            | \$1,000             | \$373,000            |
| Hart Senate Office Building  | Washington, DC | 1962                         | 30     | 1,271,030          | \$52,248,000         | \$17,454,000        | \$69,702,000         |
| Senate Storage Building  | Washington, DC | 1993                         | 19     | 20,921             | \$37,000             | \$67,000            | \$104,000            |
| Senate Day Care Center   | Washington, DC | 1998                         | 14     | 9,978              | \$2,000              | \$22,000            | \$24,000             |
| Projects assigned to multiple facilities throughout the jurisdiction | Washington, DC | Varies                       | Varies | Varies             | \$0                  | \$2,370,000         | \$2,370,000          |
| <b>Total</b>   |                |                              |        | <b>2,866,988</b>   | <b>\$107,505,000</b> | <b>\$68,665,000</b> | <b>\$176,170,000</b> |

### Notes:

*Deferred Maintenance* is defined as maintenance, repair or replacement work on existing facilities and infrastructure that is past due causing failure or partial failure.

*Capital Renewal* is defined as making replacements in kind to correct unacceptable conditions caused by aged building components prior to failure.

*Backlog* equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance within a five year window.

| Lease                               | Location       | Area (square feet) | Contract Award Date | Contract End Date | Total Cost           |
|-------------------------------------|----------------|--------------------|---------------------|-------------------|----------------------|
| SSAA Warehouse Facility (1)         | Landover, MD   | 100,000            | Oct 2005            | Sept 2015         | \$10,924,318         |
| SSAA Warehouse Facility (2)         | Landover, MD   | 90,000             | Mar 2011            | Feb 2016          | \$4,976,540          |
| SSAA Office Support (Postal Square) | Washington, DC | 141,005            | May 1992            | May 2022          | \$164,510,520        |
| GPO - SSAA Admin                    | Washington, DC | 5,450              | Oct 2010            | Sept 2013         | \$200,000            |
| GPO - SAA Cabinet                   | Washington, DC | 13,752             | Oct 2011            | Sept 2013         | \$216,000            |
| GPO - Senate Furniture              | Washington, DC | 34,600             | Oct 2007            | Sept 2013         | \$400,000            |
| GPO - Senate Refinishing            | Washington, DC | 9,596              | Oct 2012            | Sept 2013         | \$135,000            |
| <b>Total</b>                        |                |                    |                     |                   | <b>\$181,362,378</b> |

Note: Landover warehouses are for furniture, printing, graphics and direct mail.

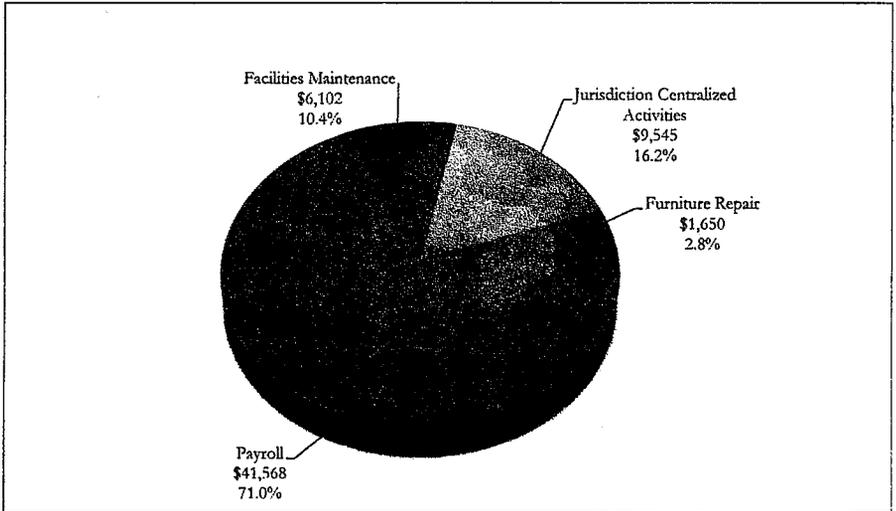


## Senate Office Buildings

### *OPERATING BUDGET SUMMARY:*

#### *FY 2014 BUDGET REQUEST ALLOCATION (\$58,865K)*

The Operating Budget of the Senate Office Buildings (SOB) funds all costs associated with the daily care, maintenance and operation of its facilities in support of congressional operations. The SOB provides direct support to ensure efficient operations and maintenance of its facilities. The SOB operating budget is divided into four functional area Program Groups: Payroll, Facilities Maintenance, Furniture Repair, and Jurisdiction Centralized Activities. The Payroll program group funds the in-house labor necessary to support the Congress in the SOB facilities. The Facilities Maintenance program group funds equipment, materials and maintenance contracts necessary for the SOB 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. The Furniture Repair program group provides funding for repairs to a portion of the Senate furniture. Using a zero-based budgeting approach, focus was placed on effectively maintaining outstanding client services and stewardship within existing and/or reduced resources.





## Senate Office Buildings

### *OPERATING BUDGET SUMMARY (continued)*

The **Payroll Program Group** accounts for 71.0% of the Senate Office Buildings (SOB) budget and funds salaries and benefits for employees specifically supporting the appropriation. Client Services accounts for 30%, and includes client relocations and office renovations services, as well as furniture and furnishings. Facilities Maintenance accounts for 25% and supports necessary mechanical, electrical and building envelope care, as well as funding fire and life-safety inspections and testing, and Americans with Disabilities Act accessibility requirements. Facility Operations accounts for 20% and includes daily cleaning, hearing 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. Jurisdictional Support Services account for 5% and 2% for Heritage Asset.

The **Jurisdiction Centralized Activities Program Group** accounts for 16.2 % of the SOB budget. Fifty percent (50%) of the request supports leasing, contract maintenance and cleaning operations for off-site Senate support functions. Thirty percent (30%) supports Senate Sergeant at Arms leasing operations at Postal Square, the Government Printing Office and administrative functions, ten percent (10%) supports the Senate Furniture Warehouse operations. The remaining 10% supports activities such as training, emergency preparedness and employee safety that directly contribute to the AOC's ability to support Congressional operations.

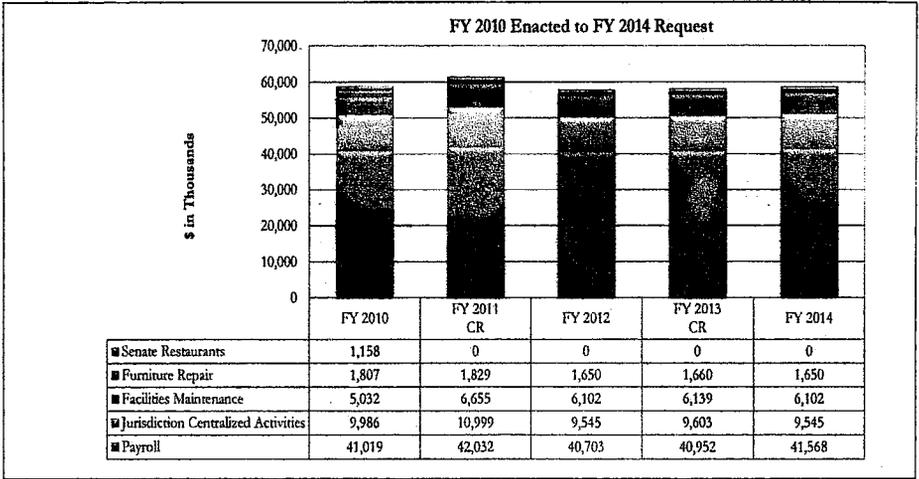
The **Facilities Maintenance Program Group** accounts for 10.4% of the SOB budget. This funding provides for the procurement of materials, supplies and contracts to provide essential facility maintenance, mechanical, electrical and building envelope repair, preservation and cleaning operations. This 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. 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.

The **Furniture Repair Program Group** accounts for 2.8% of the SOB budget. 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 furnishings assigned to the SOB.



# Senate Office Buildings

## FUNDING OVERVIEW





# Senate Office Buildings

## BUDGET SUMMARY

The Senate Office Buildings (SOB) appropriation is responsible for the maintenance, repair, operations, mechanical and electrical infrastructure, heating, ventilation and air conditioning, 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 Architect of the Capitol (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 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Operating Budget     | 58,000          | 57,721                                  | 58,355              | 58,865          | 510                     |
| Multi-Year Projects  | 13,128          | 1,603                                   | 13,208              | 17,539          | 4,331                   |
| <b>Total</b>         | <b>71,128</b>   | <b>59,324</b>                           | <b>71,563</b>       | <b>76,404</b>   | <b>4,841</b>            |

| Operating Budget (\$000)            |                 |   |                     |                 |                         |
|-------------------------------------|-----------------|---|---------------------|-----------------|-------------------------|
| Program Groups                      | FY 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Facilities Maintenance              | 6,102           | 6,573                                   | 6,139               | 6,102           | (37)                    |
| Furniture Repair                    | 1,650           | 1,618                                   | 1,660               | 1,650           | (10)                    |
| Jurisdiction Centralized Activities | 9,545           | 9,959                                   | 9,603               | 9,545           | (58)                    |
| Payroll                             | 40,703          | 39,571                                  | 40,952              | 41,568          | 616                     |
| Annual-Funded Projects              | -               | -                                       | -                   | -               | -                       |
| <b>Total</b>                        | <b>58,000</b>   | <b>57,721</b>                           | <b>58,355</b>       | <b>58,865</b>   | <b>510</b>              |

| Multi-Year Projects (\$000) |                      |                         |                     |                 |                         |
|-----------------------------|----------------------|-------------------------|---------------------|-----------------|-------------------------|
| Projects                    | FY 2012/2016 Enacted | FY 2012/2016 Actual Obs | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| <b>Total</b>                | <b>13,128</b>        | <b>1,603</b>            | <b>13,208</b>       | <b>17,539</b>   | <b>4,331</b>            |

<sup>1</sup> FY 2012 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 2012 Actual | FY 2012 Enacted | FY 2013 CR Baseline | FY 2014 Request | FY 2012 Actual | FY 2013 Estimate | FY 2014 Estimate |
| Senate Office Buildings     | 500            | 498             | 498                 | 498             | 50             | 50               | 50               |

<sup>1</sup>FY 2013/2014 project funded FTEs are estimated figures and dependent to the numbers of projects funded.

| FY 2014 Object Class (\$000) |                                    |   |                     |                 |                         |
|------------------------------|------------------------------------|---|---------------------|-----------------|-------------------------|
| Object Class                 |                                    | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| 11                           | Personnel Compensation             | 33,324                                  | 30,571              | 31,187          | 616                     |
| 12                           | Personnel Benefits                 | 11,667                                  | 10,381              | 10,381          | -                       |
| 21                           | Travel                             | 12                                      | 8                   | 8               | -                       |
| 22                           | Transportation of Things           | -                                       | -                   | -               | -                       |
| 23                           | Rent, Communications and Utilities | 7,959                                   | 8,230               | 8,230           | -                       |
| 24                           | Printing and Reproduction          | -                                       | -                   | -               | -                       |
| 25                           | Other Contractual Services         | 6,961                                   | 3,052               | 3,056           | 4                       |
| 26                           | Supplies and Materials             | 3,791                                   | 5,213               | 5,301           | 88                      |
| 31                           | Equipment                          | 1,550                                   | 1,002               | 1,002           | -                       |
| 32                           | Land and Structures                | 2,928                                   | 13,103              | 17,236          | 4,133                   |
| 42                           | Insurance Claims and Indemnities   | -                                       | 3                   | 3               | -                       |
| <b>Total</b>                 |                                    | <b>68,192</b>                           | <b>71,563</b>       | <b>76,404</b>   | <b>4,841</b>            |

<sup>1</sup> FY 2012 Actuals represent total obligations of funds incurred irrespective of the year of appropriation. Personnel Compensation and Personnel Benefits include payroll and project funded obligations.



# Senate Office Buildings

## *FY 2014 ANALYSIS OF CHANGE*

|  | FY 2014 Appropriation |                 |
|--|-----------------------|-----------------|
|  | FTE                   | Amount (\$000)  |
| <b>FY 2013 CR Baseline (FTE reflects Payroll Funded only)</b>  | <b>498</b>            | <b>71,563</b>   |
| <b>Non-Recurring Costs</b>                                     |                       |                 |
| Multi-Year Projects (FY2012 Enacted plus 0.612% increase)..... |                       | (13,208)        |
| <b>Other Decreases</b>   |                       |                 |
| Lapse Rate Adjustment.....                                     |                       | (641)           |
| <b>Total Program Decreases</b>                                 |                       | <b>(13,849)</b> |
| <b>Mandatory Pay Related Costs:</b>                            |                       |                 |
| FY 2012 FERs Adjustment from 11.7% to 11.9%.....               |                       | 62              |
| FY 2012 FEHB Employer Contribution Increase of 4%.....         |                       | 130             |
| FY 2013 Within Grade Increase.....                             |                       | 308             |
| FY 2013 FICA Adjustment of 2%.....                             |                       | 154             |
| FY 2013 FEHB Employer Contribution Increase of 3.3%.....       |                       | 94              |
| FY 2014 Cost-of-Living Adjustment of 1.8%.....                 |                       | 491             |
| FY 2014 Within Grade Increase.....                             |                       | 284             |
| FY 2014 Zero-based Payroll Adjustment.....                     |                       | (266)           |
| <b>Total Mandatory Pay Related Costs</b>                       | <b>-</b>              | <b>1,257</b>    |
| <b>Total Price Level Changes</b>                               |                       |                 |
| <b>Program Increases:</b>                                      |                       |                 |
| FY 2013 CR Baseline Credit Adjustment.....                     |                       | (106)           |
| Multi-Year Projects:   |                       |                 |
| Kitchen Exhaust System Upgrade, Phase I, DSOB.....             |                       | 3,539           |
| Exterior Envelope Repair & Restoration, Phase I, RSOB.....     |                       | 10,000          |
| Minor Construction.....  |                       | 4,000           |
| <b>Total Program Increases</b>                                 | <b>-</b>              | <b>17,433</b>   |
| <b>Net Increase/Decrease</b>                                   | <b>-</b>              | <b>4,841</b>    |
| <b>Total Appropriation</b>                                     | <b>498</b>            | <b>76,404</b>   |



# Senate Office Buildings

## SUMMARY OF CHANGES

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 2013 CR Baseline | Program Realignment/ Transfers | Mandatory Pay and Price Increases | Program Changes | FY 2014 Request | FY 2013/2014 Difference |
| Facilities Maintenance              | 6,139               | -                              | -                                 | (37)            | 6,102           | (37)                    |
| Furniture Repair                    | 1,660               | -                              | -                                 | (10)            | 1,650           | (10)                    |
| Jurisdiction Centralized Activities | 9,603               | -                              | -                                 | (58)            | 9,545           | (58)                    |
| Payroll                             | 40,952              | -                              | 616                               | -               | 41,568          | 616                     |
| <b>Total</b>                        | <b>58,354</b>       | <b>-</b>                       | <b>616</b>                        | <b>(106)</b>    | <b>58,865</b>   | <b>510</b>              |

## Program Groups - Description and Analysis of Changes

### Facilities Maintenance

(FY 2013 CR Baseline: \$6,139K)

FY 2014 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.

Decrease of \$37K reflects FY 2013 CR Baseline Credit Adjustment due to a 0.612% increase (H.J. RES. 117).

### Furniture Repair

(FY 2013 CR Baseline: \$1,660K)

FY 2014 Request: \$1,650K)

The Furniture Repair 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 historic furniture items.

Decrease of \$10K reflects FY 2013 CR Baseline Credit Adjustment due to a 0.612% increase (H.J. RES. 117).



## Senate Office Buildings

### *SUMMARY OF CHANGES (continued)*

#### **Jurisdiction Centralized Activities**

**(FY 2013 CR Baseline: \$9,603K)**

**FY 2014 Request: \$9,545K)**

The Jurisdiction Centralized Activities Program Group funds training, registration, and seminar fees; travel; uniform allowances; safety apparel; emergency preparedness; and gasoline and oil.

Decrease of \$58K reflects FY 2013 CR Baseline Credit Adjustment due to a 0.612% increase (H.J. RES. 117).

#### **Payroll**

**(FY 2013 CR Baseline: \$40,952K)**

**FY 2014 Request: \$41,568K)**

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 \$616K, reflects net adjustment due to FY 2013 Federal Insurance Contributions Act (FICA) tax rate increase of 2%, FY 2013 Federal Employees Health Benefits (FEHB) Program rate increase of 3.3%, Congressional Budget Office FY 2014 Cost-of-Living Adjustment (COLA) rate increase of 1.8%, Within Grade Increase adjustment, Zero-based payroll adjustment, and AOC estimated FY 2014 Lapse Rate adjustment of 1.4%.



# 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 Architect of the Capitol clients.

| Multi-Year Projects (\$000)                                |                              | Request Amount |
|--|------------------------------|----------------|
| <b>Line Item Construction Program Projects:</b>            |                              |                |
| Exterior Envelope Repair & Restoration, Phase I, RSOB..... |                              | 10,000         |
| Kitchen Exhaust System Upgrade, Phase I, DSOB.....         |                              | 3,539          |
|  | <b>Total</b>                 | <b>13,539</b>  |
| <b>Other Projects:</b>                                     |                              |                |
| Minor Construction.....                                    |                              | 4,000          |
|  | <b>Total</b>                 | <b>4,000</b>   |
|  | <b>Total Project Request</b> | <b>17,539</b>  |

### Minor Construction

**\$4,000K**

Reflects the required amount to sustain the necessary level of service for unforeseen construction and repair projects of the Senate Office Buildings appropriation.

## Senate Office Buildings

Project Title: Exterior Envelope Repair & Restoration, Phase I, RSOB

Cost: \$10,000K



AOC Prioritization: #12 of 17 submitted.

Previously Requested From Congress: FY 2014 is the first year in which AOC is requesting construction funding.

**Project Description:** The Russell Senate Office Building (RSOB) recently passed its 100<sup>th</sup> anniversary and is showing its age.

- Stone balustrades are in poor condition in many areas. This project will perform the repairs to the façade.
- Masonry joints are failing allowing rain water to penetrate into the stone and cause damage to the building.
- Portions of the stone modillions at the upper reaches of the cornice have fallen off.
- The windows and doors do not close properly and allow air infiltration into and out of the building.
- The existing bird-proofing system is obsolete and does not discourage bird nesting which damages the façade.
- The exterior renewal project is divided into five phases that correspond to the five sides of the building (north, east, west, south and southwest)
- Phase I is construction on the RSOB north segment (C Street). This includes both the public-facing C Street façade and the corresponding interior courtyard façade.
- It includes:
  - Door and window repair and removal of any associated hazardous materials.
  - Masonry repointing, cleaning, repair and restoration
  - Removal of the existing bird-proofing system and replacement with a new system.
  - Exterior metals restoration and refinishing.
  - And seismic upgrades at the balustrades.

**Anticipated Start and End Dates:** Project duration is 18 months. It is anticipated that the project will be awarded by March 2014, with completion by September 2015. Dates are contingent upon status of appropriations bill, fund availability, quality of contractor bids, congressional schedules and other factors.



# Senate Office Buildings

## Program Cost/Funding Overview:

| Exterior Envelope Repair & Restoration, All Phases, RSOB - Total Costs Summary (\$000) |                      |                |                   |                   |                          |                       |
|--|----------------------|----------------|-------------------|-------------------|--------------------------|-----------------------|
| Task   | Prior FY 2012 Funded | FY 2012 Funded | FY 2013 Requested | FY 2014 Requested | FY 2015-2018 Anticipated | Total Projected Costs |
| Study  | 236                  | -              | -                 | -                 | -                        | 236                   |
| Design   | -                    | 1,113          | -                 | -                 | -                        | 1,113                 |
| Construction (Phase I, North)  | -                    | -              | -                 | 10,000            | -                        | 10,000                |
| Construction (Phase II, East)  | -                    | -              | -                 | -                 | 10,000                   | 10,000                |
| Construction (Phase III, West)   | -                    | -              | -                 | -                 | 10,950                   | 10,950                |
| Construction (Phase IV, South)   | -                    | -              | -                 | -                 | 9,407                    | 9,407                 |
| Construction (Phase V, Southwest)  | -                    | -              | -                 | -                 | 3,144                    | 3,144                 |
| <b>Total</b>   | <b>236</b>           | <b>1,113</b>   | <b>-</b>          | <b>10,000</b>     | <b>33,501</b>            | <b>44,850</b>         |

### Cost of Recurring Operations:

- Pointing and caulking annual cost for the RSOB is \$150K. Upon completion of the projects, these annual funds will then be used for pointing and caulking issues on the Hart and Dirksen Senate Office Buildings.
- Restoring the windows and doors will improve window operability and reduce current and future maintenance and energy costs. According to energy models performed on the RSOB during the project study phase, window and door restoration occurring in Phase I will result in an overall energy cost reduction of \$132K per year. Any SOB cost savings will be applied to other critical deferred maintenance projects.

Citation Driven: No.

Client Request: No.

Project Phase; Classification; Capital Improvements Plan Goal(s): Construction; Deferred Maintenance; Preservation and Life-Safety.

Facility Condition Assessment: The overall building is in Fair condition, and if funded, this project will contribute to an improved facility condition.

Design Completed: Estimated Completion April 2013.

Risk and Impact If Not Funded: The RSOB façade will continue to deteriorate.

- Costs for performing repairs to the building will escalate on an annual basis.
- Increased energy costs resulting from air infiltration at existing windows and doors will occur resulting in a larger carbon footprint. There will be a lost opportunity to reduce carbon-dioxide emissions by nearly 1,100,000 kg per year and to reduce sulfur-dioxide and nitrogen dioxide by 5,700 kg per year.
- Existing hazardous materials in the windows (lead paint and asbestos-containing material in the glazing putty) will remain as a life-safety issue.
- Risks associated with life-safety impacts to building users and the public will increase due to the accelerating failure of the modillions. The stone cornices along C Street will remain a potentially significant life-safety issue to occupants and the general public.

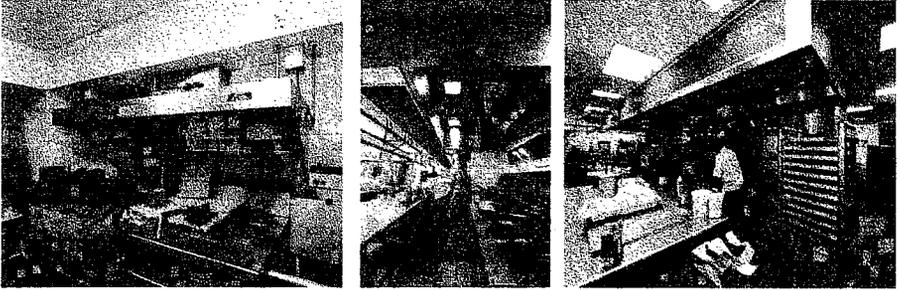
Not funding this project will result in a loss of the historical fabric of the RSOB, and significantly increased costs to maintain and restore at a later date, as well as increase the risk of falling stone.



## Senate Office Buildings

**Project Title:** Kitchen Exhaust System Upgrade, Phase I, DSOB

**Cost:** \$3,539K



**AOC Prioritization:** #17 of 17 submitted.

**Previously Requested From Congress:** FY 2014 is the first year in which AOC is requesting construction funding.

**Project Description:** The Senate Office Building kitchens are in need of upgrades due to ventilation and fire suppression issues. The project consists of three phases. This project was phased in order to keep the Dirksen Senate Office Building (DSOB) North Servery and Russell Senate Office Building carryout (CUPS) operational during the construction of the DSOB main kitchen.

- Phase I is the Dirksen Senate Office Building (DSOB) kitchen exhaust system upgrade to replace the exhaust systems serving the main basement kitchen areas and ground floor grill area with a code compliant system.
  - The duct work from the basement to the roof (nine floors) is not fire rated per current building and National Fire Protection Association codes.
  - Cooking areas in the kitchen have changed in configuration over the years and the exhaust hoods no longer cover the existing cooking surfaces.
  - This project will correct the code deficient kitchen exhaust system by installing a nine-floor fire rated duct with cleanout access doors and installing exhaust hoods in the kitchens that cover the cooking area and have a fire suppression system.
  - This project will improve the maintenance and cleaning of the exhaust system and reduce the risk of kitchen fires from spreading.
- Phase II will complete the DSOB North Servery areas.
- Phase III will renovate the Russell Senate Office Building carryout (CUPS) kitchen hood and is expected to be completed in three to four months.

**Anticipated Start and End Dates:** Project duration for Phase I is approximately 12 months. It is anticipated that the project will be awarded August 2014, with completion by August 2015. Dates are contingent upon status of appropriations bill, fund availability, quality of contractor bids, congressional schedules and other factors.



## Senate Office Buildings

### Program Cost/Funding Overview:

| Kitchen Exhaust System Upgrade, All Phases, DSOB - Total Costs Summary (\$000) |                      |                |                   |                   |                         |                       |
|--|----------------------|----------------|-------------------|-------------------|-------------------------|-----------------------|
| Task   | Prior FY 2012 Funded | FY 2012 Funded | FY 2013 Requested | FY 2014 Requested | FY 2015-2018 Anticipate | Total Projected Costs |
| Study  | -                    | -              | -                 | -                 | -                       | -                     |
| Design   | 201                  | -              | -                 | -                 | -                       | 201                   |
| Construction (Phase I)   | -                    | -              | -                 | 3,539             | -                       | 3,539                 |
| Construction (Phase II)  | -                    | -              | -                 | -                 | 1,033                   | 1,033                 |
| Construction (Phase III)   | -                    | -              | -                 | -                 | 170                     | 170                   |
| <b>Total</b>   | <b>201</b>           | <b>-</b>       | <b>-</b>          | <b>3,539</b>      | <b>1,203</b>            | <b>4,943</b>          |

**Cost of Recurring Operations:** There is no change in operational costs due to this project, since annual cleaning contracts are still required and annual fire suppression system testing are still required. During construction operation costs are expected to be higher to AOC and the contractor since cooking areas will have to be relocated to support construction.

**Citation Driven:** No.

**Client Request:** No.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction; Capital Renewal; Mission.

**Facility Condition Assessment:** The overall building is considered in Excellent condition, but if not funded, the facility condition will be negatively impacted in the near future due to the condition of the kitchen.

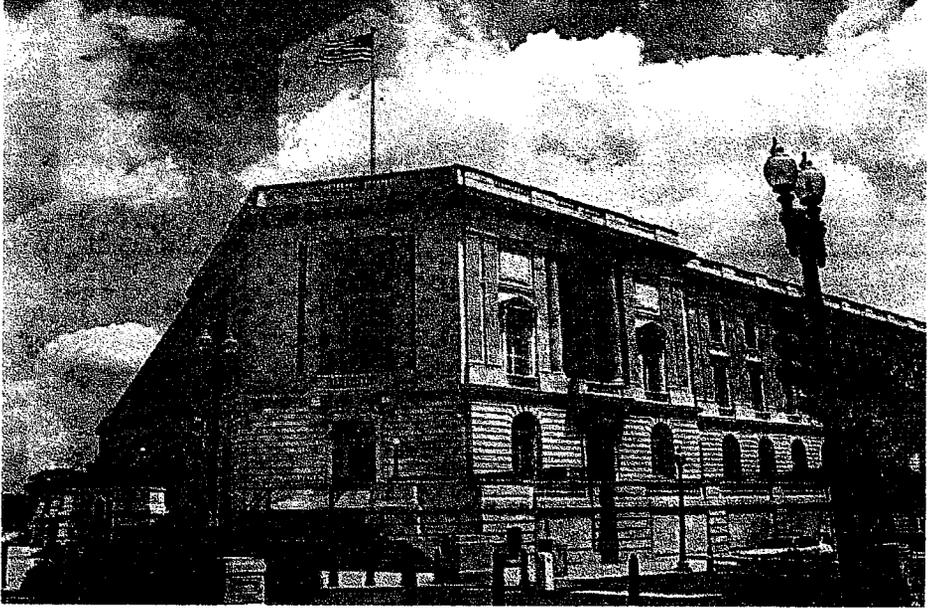
**Design Completed:** 2009.

**Risk and Impact If Not Funded:** If this project is not provided, fire hazards will continue to exist due to current conditions.

- There will be risk of significant property damage.
- Life-safety risks to occupants and the public will increase.

This project is not a cosmetic change to a cafeteria area. The AOC is requesting funding for it due to code issues and life-safety risks.

## House Office Buildings



### ***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).



# House Office Buildings

## FACILITY SUMMARY:

| Facility Name / Type            | Location       | Year Built or Acquired & Age | Area (square feet) | Deferred Maintenance | Capital Renewal      | Backlog              |
|---------------------------------|----------------|------------------------------|--------------------|----------------------|----------------------|----------------------|
| Cannon House Office Building    | Washington, DC | 1908 104                     | 826,465            | \$46,672,000         | \$71,148,000         | \$117,820,000        |
| Longworth House Office Building | Washington, DC | 1933 79                      | 702,608            | \$6,058,000          | \$37,004,000         | \$43,062,000         |
| Ford House Office Building      | Washington, DC | 1939 73                      | 594,966            | \$1,787,000          | \$24,249,000         | \$26,036,000         |
| House Page Dormitory            | Washington, DC | 1940 72                      | 35,317             | \$30,000             | \$526,000            | \$556,000            |
| Rayburn House Office Building   | Washington, DC | 1965 47                      | 2,395,914          | \$120,705,000        | \$85,110,000         | \$205,815,000        |
| Underground Garage (East)       | Washington, DC | 1968 44                      | 287,931            | \$648,000            | \$0                  | \$648,000            |
| Underground Garage (West)       | Washington, DC | 1968 44                      | 287,477            | \$669,000            | \$591,000            | \$1,260,000          |
| <b>Total</b>                    |                |                              | <b>5,130,678</b>   | <b>\$176,569,000</b> | <b>\$218,628,000</b> | <b>\$395,197,000</b> |

### Notes:

*Deferred Maintenance* is defined as maintenance, repair or replacement work on existing facilities and infrastructure that is past due causing failure or partial failure.

*Capital Renewal* is defined as making replacements in kind to correct unacceptable conditions caused by aged building components prior to failure.

*Backlog* equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance within a five year window.

| Lease  | Location       | Area (square feet) | Contract Award Date | Contract End Date | Total Cost          |
|--|----------------|--------------------|---------------------|-------------------|---------------------|
| Capitol View Building - Office of Congressional Ethics | Washington, DC | 4,644              | Feb 2010            | Sep 2014          | \$946,255           |
| Thomas P. O'Neill, Jr. Federal Building                | Washington, DC | 257,346            | Feb 2013            | Feb 2023          | \$84,647,000        |
| <b>Total</b>   |                |                    |                     |                   | <b>\$85,593,255</b> |

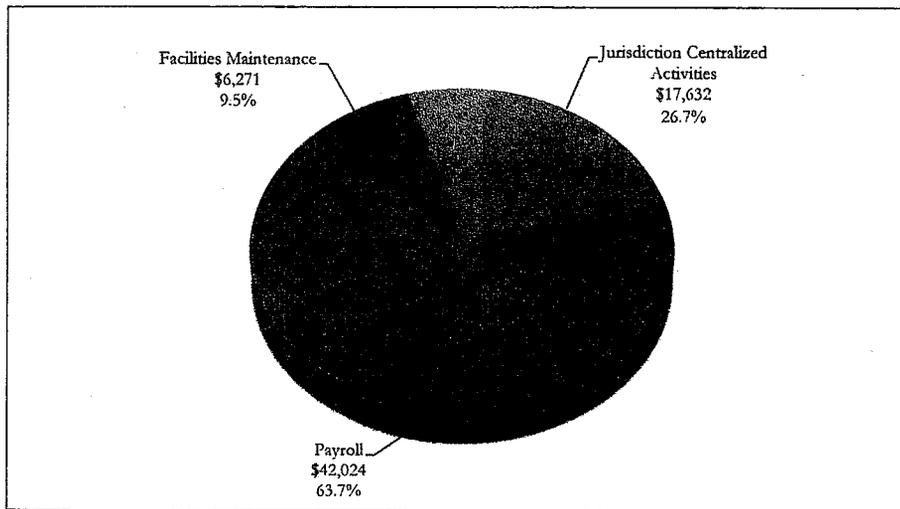


## House Office Buildings

### OPERATING BUDGET SUMMARY:

#### FY 2014 BUDGET REQUEST ALLOCATION (\$65,927K)

The Operating Budget of the House Office Buildings (HOB) funds all costs associated with the daily care, maintenance and operation of its facilities in support of congressional operations. The HOB 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. Using a zero-based budgeting approach, focus was placed on effectively maintaining outstanding client services and stewardship within existing and/or reduced resources.



The Payroll Program Group accounts for 63.7% of the HOB budget and funds salaries and benefits for employees specifically supporting the appropriation. These funds provide the capacity to perform the required preventive and corrective maintenance of Heating, Ventilation, Air Conditioning (HVAC), plumbing, elevator, and electrical systems in order to maintain the 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 within all spaces within the HOB. Of the funds requested, approximately 36% provides for Facilities Operations Activities, 23% for



## House Office Buildings

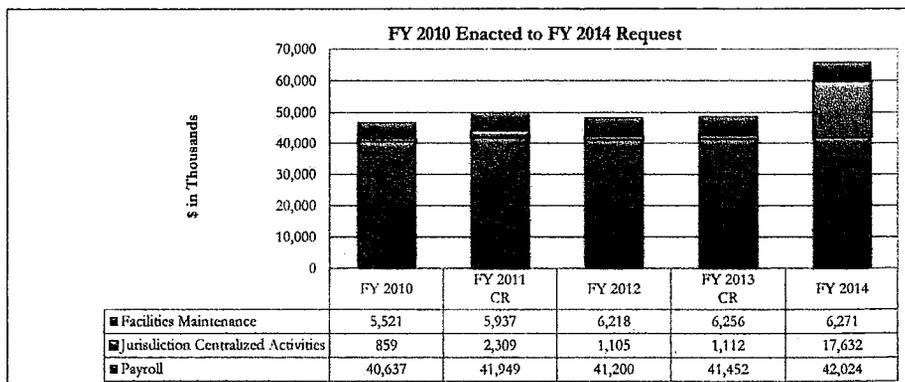
### OPERATING BUDGET SUMMARY (continued)

Facilities Maintenance Activities, 18% for Client Services Activities, 15% for Project Delivery, 6% for Jurisdictional Support Services, and 2% for Heritage Asset Preservation.

The **Jurisdiction Centralized Activities** Program Group accounts for 26.7% of the House Office Buildings (HOB) budget and funds lease of facilities, training, registration, and seminar fees; uniform allowances; safety apparel; emergency preparedness and gasoline. Of the funds requested, 95% will support the lease of facilities including the Thomas P. al Building and space for the Office of Congressional Ethics. In addition, 2% 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 HOB jurisdiction employees; and 1% funds the emergency preparedness program to review and update the emergency response plan.

The **Facilities Maintenance** Program Group accounts for 9.5% of the HOB budget. 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 provides for the ongoing operational support to clean and perform custodial work and requested customer services of all spaces within the HOB facilities. Of the funds requested, approximately 51% provides for General Maintenance; 40% for Cleaning; 7% for Heating, Ventilation and Air Conditioning (HVAC); and 2% for House Restaurant maintenance.

### FUNDING OVERVIEW





# 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, Heating, Ventilation, Air Conditioning (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 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Operating Budget     | 48,523          | 48,188                                  | 48,820              | 65,927          | 17,107                  |
| Multi-Year Projects  | 45,631          | 21,334                                  | 45,910              | 43,162          | (2,748)                 |
| No-Year Projects     | 30,000          | -                                       | 30,184              | 70,000          | 39,816                  |
| <b>Total</b>         | <b>124,154</b>  | <b>69,521</b>                           | <b>124,914</b>      | <b>179,089</b>  | <b>54,175</b>           |

| Operating Budget (\$000)            |                 |   |                     |                 |                         |
|-------------------------------------|-----------------|---|---------------------|-----------------|-------------------------|
| Program Groups                      | FY 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Facilities Maintenance              | 6,218           | 7,940                                   | 6,256               | 6,271           | 15                      |
| Jurisdiction Centralized Activities | 1,105           | 1,048                                   | 1,112               | 17,632          | 16,520                  |
| Payroll                             | 41,200          | 39,200                                  | 41,452              | 42,024          | 572                     |
| Annual-Funded Projects              | -               | -                                       | -                   | -               | -                       |
| <b>Total</b>                        | <b>48,523</b>   | <b>48,188</b>                           | <b>48,820</b>       | <b>65,927</b>   | <b>17,107</b>           |

| Multi-Year and No-Year Projects (\$000) |                      |   |                     |                 |                         |
|---|----------------------|---|---------------------|-----------------|-------------------------|
| Projects                                | FY 2012/2016 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Multi-Year Projects                     | 45,631               | 21,334                                  | 45,910              | 43,162          | (2,748)                 |
| No-Year Projects                        | 30,000               | -                                       | 30,184              | 70,000          | 39,816                  |
| <b>Total</b>                            | <b>75,631</b>        | <b>21,334</b>                           | <b>76,094</b>       | <b>113,162</b>  | <b>37,068</b>           |

<sup>1</sup> FY 2012 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 2012 Actual | FY 2012 Enacted | FY 2013 CR Baseline | FY 2014 Request | FY 2012 Actual | FY 2013 Estimate | FY 2014 Estimate |  |
| House Office Buildings      | 495            | 503             | 503                 | 503             | 38             | 38               | 38               |  |

<sup>1</sup>FY 2013/2014 project funded FTEs are estimated figures and dependent to the number of projects funded.

| FY 2014 Object Class (\$000) |                                    |   |                     |                 |                         |
|------------------------------|------------------------------------|---|---------------------|-----------------|-------------------------|
| Object Class                 |                                    | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| 11                           | Personnel Compensation             | 31,720                                  | 31,421              | 31,314          | (107)                   |
| 12                           | Personnel Benefits                 | 10,849                                  | 10,031              | 10,710          | 679                     |
| 21                           | Travel                             | 27                                      | 30                  | 31              | 1                       |
| 22                           | Transportation of Things           | -                                       | -                   | -               | -                       |
| 23                           | Rent, Communications and Utilities | 271                                     | 14,100              | 16,796          | 2,696                   |
| 24                           | Printing and Reproduction          | -                                       | -                   | -               | -                       |
| 25                           | Other Contractual Services         | 10,011                                  | 12,450              | 13,992          | 1,542                   |
| 26                           | Supplies and Materials             | 3,463                                   | 5,355               | 6,376           | 1,021                   |
| 31                           | Equipment                          | 2,198                                   | 725                 | 2,756           | 2,031                   |
| 32                           | Land and Structures                | 35,080                                  | 50,802              | 97,114          | 46,312                  |
| 42                           | Insurance Claims and Indemnities   | -                                       | -                   | -               | -                       |
| <b>Total</b>                 |                                    | <b>93,619</b>                           | <b>124,914</b>      | <b>179,089</b>  | <b>54,175</b>           |

<sup>1</sup> FY 2012 Actuals represent total obligations of funds incurred irrespective of the year of appropriation. Personnel Compensation and Personnel Benefits include payroll and project funded obligations.



# House Office Buildings

## FY 2014 ANALYSIS OF CHANGE

|   | FY 2014 Appropriation |                 |
|---|-----------------------|-----------------|
|   | FTE                   | Amount (\$000)  |
| <b>FY 2013 CR Baseline (FTE reflects Payroll Funded only)</b>   | <b>503</b>            | <b>124,914</b>  |
| <b>Non-Recurring Costs</b>                                      |                       |                 |
| Multi-Year Projects (FY 2012 Enacted plus 0.612% increase)..... |                       | (45,910)        |
| No-Year Projects (FY 2012 Enacted plus 0.612% increase).....    |                       | (30,184)        |
| <b>Other Decreases</b>  |                       |                 |
| Lapse Rate Adjustment.....                                      |                       | (648)           |
| <b>Total Program Decreases</b>                                  |                       | <b>(76,742)</b> |
| <b>Mandatory Pay Related Costs:</b>                             |                       |                 |
| FY 2012 FERs Adjustment from 11.7% to 11.9%.....                |                       | 63              |
| FY 2012 FEHB Employer Contribution Increase of 4%.....          |                       | 120             |
| FY 2013 Within Grade Increase.....                              |                       | 313             |
| FY 2013 FICA Adjustment of 2%.....                              |                       | 168             |
| FY 2013 FEHB Employer Contribution Increase of 3.3%.....        |                       | 91              |
| FY 2014 Cost-of-Living Adjustment of 1.8%.....                  |                       | 478             |
| FY 2014 Within Grade Increase.....                              |                       | 275             |
| FY 2014 Zero-based Payroll Adjustment.....                      |                       | (288)           |
| <b>Total Mandatory Pay Related Costs</b>                        |                       | <b>1,220</b>    |
| <b>Total Price Level Changes</b>                                |                       |                 |
| Jurisdiction Centralized Activities.....                        |                       | 10              |
| Facilities Maintenance.....                                     |                       | 53              |
| <b>Total Price Increases</b>                                    |                       | <b>63</b>       |
| <b>Program Increases:</b>                                       |                       |                 |
| FY 2013 CR Baseline Credit Adjustment.....                      |                       | (65)            |
| Thomas P. O'Neill, Jr. Federal Building Lease.....              |                       | 16,537          |
| Multi-Year Projects:  |                       |                 |
| Garage Rehabilitation, Phase I, RHOB.....                       |                       | 32,000          |
| Minor Construction.....   |                       | 7,000           |
| CAO Project Support.....  |                       | 4,162           |
| No-Year Projects:   |                       |                 |
| House Historic Buildings Revitalization Trust Fund.....         |                       | 70,000          |
| <b>Total Program Increases</b>                                  | <b>-</b>              | <b>129,634</b>  |
| <b>Net Increase/Decrease</b>                                    | <b>-</b>              | <b>54,175</b>   |
| <b>Total Appropriation</b>                                      | <b>503</b>            | <b>179,089</b>  |



# House Office Buildings

## SUMMARY OF CHANGES

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 2013 CR Baseline | Program Realignment/ Transfers | Mandatory Pay and Price Increases | Program Changes | FY 2014 Request | FY 2013/2014 Difference |
| Facilities Maintenance              | 6,256               | -                              | 53                                | (38)            | 6,271           | 15                      |
| Jurisdiction Centralized Activities | 1,112               | -                              | 10                                | 16,510          | 17,632          | 16,520                  |
| Payroll                             | 41,452              | -                              | 572                               | -               | 42,024          | 572                     |
| <b>Total</b>                        | <b>48,820</b>       | <b>-</b>                       | <b>635</b>                        | <b>16,472</b>   | <b>65,927</b>   | <b>17,107</b>           |

## Program Groups - Description and Analysis of Changes

### Facilities Maintenance

(FY 2013 CR Baseline: \$6,256K)

FY 2014 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 price increase of \$53K is attributed to anticipated material costs increases.

Decrease of \$38K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J.RES. 117).

### Jurisdiction Centralized Activities

(FY 2013 CR Baseline: \$1,112K)

FY 2014 Request: \$17,632K

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 price increase of \$16,520K is attributed to anticipated material costs increases.

Decrease of \$27K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J.RES. 117).

The program increase of \$16,537K is attributed to lease costs associated with Thomas P. O'Neill, Jr. Federal Building. This increase is due to FY 2014 being the first fiscal year in which we anticipate a full 12 months of lease costs, which include the lease of the space, maintenance, overtime utility and engineering costs, and enhanced security protection.



## House Office Buildings

### *SUMMARY OF CHANGES (continued)*

#### **Payroll**

**(FY 2013 CR Baseline: \$41,452K)**

**FY 2014 Request: \$42,024K)**

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 \$572K reflects net adjustment due to FY 2013 Federal Insurance Contributions Act (FICA) tax rate increase of 2%, FY 2013 Federal Employees Health Benefits (FEHB) Program rate increase of 3.3%, Congressional Budget Office FY 2014 Cost-of-Living Adjustment (COLA) rate increase of 1.8%, Within Grade-Increase adjustment, Zero-based payroll adjustment, and AOC estimated FY 2014 Lapse Rate adjustment of 1.4%.



# 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 also includes Minor Construction funds that provide the Jurisdiction with the flexibility to respond to unforeseen minor construction requirements as generated from the Members, Committees, and other Architect of the Capitol clients.

| <b>Multi-Year Projects (\$000)</b>              |                              | <b>Request Amount</b> |
|---|------------------------------|-----------------------|
| <b>Line Item Construction Program Projects:</b> |                              |                       |
| Garage Rehabilitation, Phase I, RHOB.....       |                              | 32,000                |
|   | <b>Total</b>                 | <b>32,000</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>43,162</b>         |



## House Office Buildings

### *CAPITAL MULTI-YEAR PROJECTS SUMMARY (continued)*

#### **Minor Construction**

**\$7,000K**

Reflects the required amount 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 7 projects for a total cost of \$4,162K:

- VOIP Infrastructure – UPS and generator power for data switches. Funding will provide uninterrupted power supply and generator power for specified outlets in riser closets to support Committee, Leadership, and support offices. (\$1,732K)
- 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. (\$1,150K)
- Hearing Room Design and Infrastructure Audio/Multimedia. Funding will be used for on-going renovations to Committee hearing rooms. Rooms included in this effort are the Financial Services, Energy & Commerce, and Budget Committee Hearing Rooms, as well as any other rooms that are subsequently approved by House Leadership. (\$400K)
- Telecom Pathway Expansion, Garage Levels, RHOB. Funding will provide additional pathway capability in the Rayburn parking garages to support future needs for infrastructure in these areas. (\$350K)
- Cabling Infrastructure Installation, Capitol Power Plant. Funding will provide for cabling infrastructure in the Capitol Power Plant. (\$250K)
- Modular furniture for 10 Member office suites. (\$155K)
- Telecom Pathway Installation in the Rayburn House Office Building. Funding will be used to provide telecommunications pathway in risers 2 and 4 in preparation for the build-out of additional office space in the penthouse area. (\$125K)



# 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>                         |                       |
|---|-----------------------|
|   | <u>Request Amount</u> |
| <b>No-Year Construction Projects:</b>                   |                       |
| House Historic Buildings Revitalization Trust Fund..... | 70,000                |
| <b>Total Project Request</b>                            | <u><u>70,000</u></u>  |



## House Office Buildings

Project Title: Garage Rehabilitation, Phase I, RHOB

Cost: \$32,000K



AOC Prioritization: #13 of 17 submitted.

Previously Requested From Congress: FY 2014 is the first year in which AOC is requesting construction funding.

**Project Description:** Structural rehabilitation of the Rayburn House Office Building (RHOB) parking garage structural framing is required to maintain the safety and security of the House Representatives and staff personnel.

- An engineering study completed in 2000 identified severe corrosion of the reinforcing steel as well as spalling and delaminating concrete in the ceiling and bottom of columns.
- In 2012, updated condition assessments, site surveys and materials tests were conducted. These outlined the most immediate required repairs and provided a prioritized plan for the remaining work.
- This project will include architectural modifications for life-safety, accessibility, lighting, electrical, mechanical, plumbing, fire protection, and physical security.
- The RHOB garage project will be subdivided into four phases:
  - Phase I: SE Quadrant;
  - Phase II: NE Quadrant;
  - Phase III: NW Quadrant;
  - Phase IV: SW Quadrant.

**Anticipated Start and End Dates:** Phase I project duration is approximately 18 months. It is anticipated that the project will be awarded by July 2014 with completion by December 2015. Dates are contingent upon status of appropriation bill, fund availability, quality of contractor bids, congressional schedules and other factors.

In addition, based on a review of project phasing planning and potential funding, it is anticipated that each of four sequential construction phases would require approximately 18 months each to complete, with an overall project completion timeframe of approximately 6 years.



## House Office Buildings

### Program Cost/Funding Overview:

| Garage Rehabilitation, All Phases, RHOB - Total Costs Summary (\$000) |                      |                |                   |                   |                          |                       |
|---|----------------------|----------------|-------------------|-------------------|--------------------------|-----------------------|
| Task  | Prior FY 2012 Funded | FY 2012 Funded | FY 2013 Requested | FY 2014 Requested | FY 2015-2018 Anticipated | Total Projected Costs |
| Study   | -                    | -              | -                 | -                 | -                        | -                     |
| Design  | 1,059                | -              | -                 | -                 | -                        | 1,059                 |
| Construction (Phase I)  | -                    | -              | -                 | 32,000            | -                        | 32,000                |
| Construction (Phase II)   | -                    | -              | -                 | -                 | 27,200                   | 27,200                |
| Construction (Phase III)  | -                    | -              | -                 | -                 | 29,200                   | 29,200                |
| Construction (Phase IV)   | -                    | -              | -                 | -                 | 30,800                   | 30,800                |
| <b>Total</b>  | <b>1,059</b>         | <b>-</b>       | <b>-</b>          | <b>32,000</b>     | <b>87,200</b>            | <b>120,259</b>        |

**Cost of Recurring Operations:** Localized slab replacement and repairs have cost \$275.5K. Since 2007, the HOB has completed \$185.5K in RHOB garage slab maintenance. In addition to the elimination of corrective and emergency slab repairs, operations costs will decrease as the garage will be renovated with energy saving systems such as air curtains at the overhead doors, carbon monoxide sensors, LED light fixtures and occupant sensors.

**Citation Driven:** No.

**Client Request:** No.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction; Deferred Maintenance; Mission and Life-Safety.

**Facility Condition Assessment:** The overall building is in Poor condition, and if funded, this project will contribute to an improved facility condition.

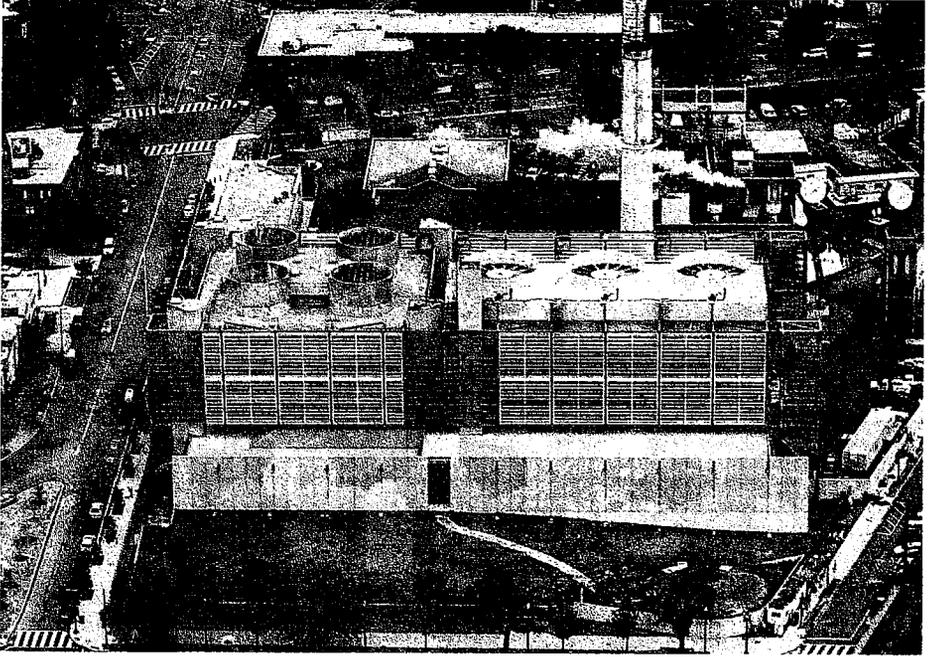
**Design Completed:** Estimated to be complete by January 2013.

**Risk and Impact If Not Funded:** Rehabilitation of the RHOB parking garage has been delayed for many years.

- Repairs have been made on an as-needed basis; however, the situation has now reached a critical point where rehabilitation is necessary to address the continued deterioration.
- Further deferral of rehabilitation will seriously jeopardize garage structural elements which will result in potential for localized slab failure, loss of parking spaces, and increased rehabilitation costs.

The continued deterioration of the existing parking garage structure, if left un-rehabilitated has the potential to pose a significant life-safety risk.

## 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 Federal Judiciary building, the Postal Square building, Union Station and the Folger Shakespeare Library.



# Capitol Power Plant

## FACILITY SUMMARY:

| Facility Name/Type   | Location       | Year Built or Acquired & Age | Area (square feet) | Deferred Maintenance | Capital Renewal     | Backlog             |
|--|----------------|------------------------------|--------------------|----------------------|---------------------|---------------------|
| Generator Building   | Washington, DC | 1909 103                     | 30,542             | \$1,181,000          | \$15,000            | \$1,196,000         |
| Main Boiler Plant  | Washington, DC | 1909 103                     | 74,820             | \$9,102,000          | \$6,228,000         | \$15,330,000        |
| Refrigeration Plant (East)   | Washington, DC | 1937 75                      | 22,696             | \$1,217,000          | \$392,000           | \$1,609,000         |
| Tower Load Center (East)   | Washington, DC | 1964 48                      | 500                | \$0                  | \$0                 | \$0                 |
| Administration Building  | Washington, DC | 1978 34                      | 19,085             | \$257,000            | \$10,000            | \$267,000           |
| Refrigeration Plant (West)   | Washington, DC | 1978 34                      | 36,825             | \$23,521,000         | \$9,135,000         | \$32,656,000        |
| Coal Facilities  | Washington, DC | 1990 22                      | 126,487            | \$91,000             | \$0                 | \$91,000            |
| Storage Building (Butler Building)                                   | Washington, DC | 2003 9                       | 2,400              | \$0                  | \$0                 | \$0                 |
| West Refrigeration Plant (West Exp.)                                 | Washington, DC | 2006 6                       | 86,092             | \$170,000            | \$2,310,000         | \$2,480,000         |
| Projects assigned to multiple facilities throughout the jurisdiction | Washington, DC | Varies                       | Varies             | \$375,000            | \$1,837,000         | \$2,212,000         |
| Utility Tunnels  | Washington, DC | Varies                       | Varies             | \$16,398,000         | \$24,175,000        | \$40,573,000        |
| <b>Total</b>   |                |                              | <b>669,106</b>     | <b>\$52,312,000</b>  | <b>\$44,102,000</b> | <b>\$96,414,000</b> |

### Notes:

*Deferred Maintenance* is defined as maintenance, repair or replacement work on existing facilities and infrastructure that is past due causing failure or partial failure.

*Capital Renewal* is defined as making replacements in kind to correct unacceptable conditions caused by aged building components prior to failure.

*Backlog* equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance within a five year window.

*Utility Tunnels* consist of multiple utility tunnels throughout AOC.

| Lease          | Location       | Area            | Contract Award Date | Contract End Date | Total Cost |
|----------------|----------------|-----------------|---------------------|-------------------|------------|
| Railroad Track | Washington, DC | 748 ft of track | Jan 2003            | May 2024          | \$524,451  |

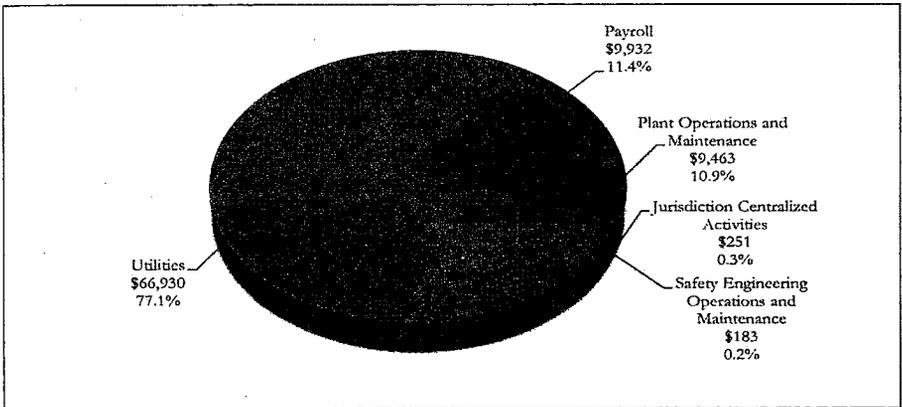


## Capitol Power Plant

### OPERATING BUDGET SUMMARY:

#### FY 2014 BUDGET REQUEST ALLOCATION (\$86,759K)

The Operating Budget of the Capitol Power Plant (CPP) 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 Engineering Operations and Maintenance.



The **Utilities** Program Group accounts for 77.1% of CPP budget and funds all utilities for the entire Capitol campus, to include other facilities under the jurisdiction of the Architect of the Capitol, such as the National Audio Visual Conservation Center, Library of Congress facilities at Ft. Meade, the Alternate Computing Facility, the Senate Sergeant at Arms Mail Facility, 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 funds requested (excluding reimbursable) approximately 55% is used for electricity costs, 13% for natural gas, 15% is for payment of the ESPC and the remaining 17% costs is for fuel oil, water and sewer services, steam and chilled water.

The **Payroll** Program Group accounts for 11.4% of CPP budget and funds salaries and benefits for employees specifically supporting the appropriation. 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. Eleven percent (11%) of the work associated with client services provides operation and maintenance within the utility distribution system to all customer buildings. Eight percent (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.



# Capitol Power Plant

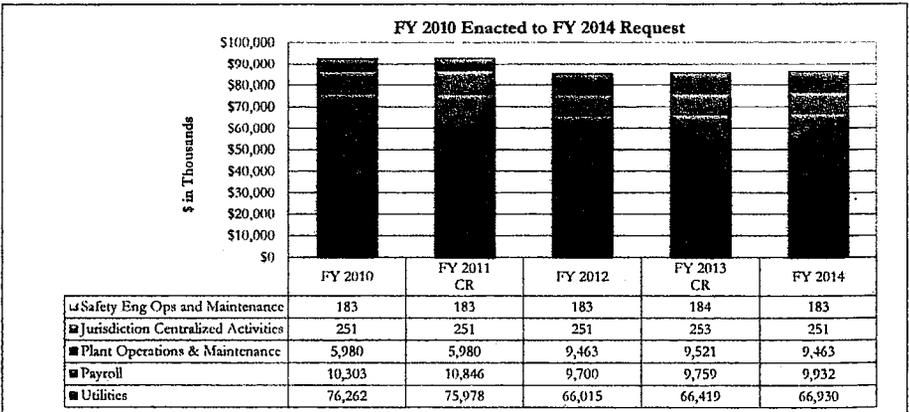
## OPERATING BUDGET SUMMARY (continued)

The **Plant Operations and Maintenance Program Group** accounts for 10.9% of Capitol Power Plant (CPP) budget and funds the 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 metering 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.

The **Jurisdiction Centralized Activities Program Group** accounts for 0.3% of CPP budget and funds primarily safety training, emergency preparedness and employee uniforms. Training and travel contribute to 43% of this request and is used primarily for required Architect of the Capitol (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.

The **Safety Engineering Operations and Maintenance Program Group** accounts for 0.2% of CPP budget and funds 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.

## FUNDING OVERVIEW (Excludes utilities reimbursable)





# 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 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 <sup>2</sup> CR Baseline | FY 2014 <sup>2</sup> Request | FY 2013/2014 Difference |
| Operating Budget     | 85,612          | 92,667                                  | 86,136                           | 86,759                       | 623                     |
| Multi-Year Projects  | 37,617          | 18,486                                  | 37,847                           | 26,500                       | (11,347)                |
| <b>Total</b>         | <b>123,229</b>  | <b>111,153</b>                          | <b>123,983</b>                   | <b>113,259</b>               | <b>(10,724)</b>         |

| Operating Budget (\$000)            |                 |   |                                  |                              |                         |
|-------------------------------------|-----------------|---|----------------------------------|------------------------------|-------------------------|
| Program Groups                      | FY 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 <sup>2</sup> CR Baseline | FY 2014 <sup>2</sup> Request | FY 2013/2014 Difference |
| Facilities Maintenance              | -               | -                                       | -                                | -                            | -                       |
| Jurisdiction Centralized Activities | 251             | 226                                     | 253                              | 251                          | (2)                     |
| Payroll                             | 9,700           | 8,912                                   | 9,759                            | 9,932                        | 173                     |
| Plant Operations and Maintenance    | 9,463           | 9,659                                   | 9,521                            | 9,463                        | (58)                    |
| Safety Eng Ops and Maintenance      | 183             | 151                                     | 184                              | 183                          | (1)                     |
| Utilities                           | 66,015          | 73,719                                  | 66,419                           | 66,930                       | 511                     |
| Annual-Funded Projects              | -               | -                                       | -                                | -                            | -                       |
| <b>Total</b>                        | <b>85,612</b>   | <b>92,667</b>                           | <b>86,136</b>                    | <b>86,759</b>                | <b>623</b>              |

| Multi-Year Projects (\$000) |                      |                         |                     |                 |                         |
|-----------------------------|----------------------|-------------------------|---------------------|-----------------|-------------------------|
| Projects                    | FY 2012/2016 Enacted | FY 2012/2016 Actual Obs | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| <b>Total</b>                | <b>37,617</b>        | <b>18,486</b>           | <b>37,847</b>       | <b>26,500</b>   | <b>(11,347)</b>         |

<sup>1</sup> FY 2012 Actual obligations can include reprogrammings/transfers from other appropriations. It also includes reimbursable utilities.

<sup>2</sup> FY 2013 and FY 2014 request excludes reimbursable utilities.



# Capitol Power Plant

## BUDGET SUMMARY (continued)

| Full Time Equivalents (FTE) |                   |                    |                        |                    |                   |                     |                     |
|-----------------------------|-------------------|--------------------|------------------------|--------------------|-------------------|---------------------|---------------------|
| Appropriation               | Payroll Funded    |                    |                        | Project Funded     |                   |                     |                     |
|                             | FY 2012<br>Actual | FY 2012<br>Enacted | FY 2013<br>CR Baseline | FY 2014<br>Request | FY 2012<br>Actual | FY 2013<br>Estimate | FY 2014<br>Estimate |
| Capitol Power Plant         | 77                | 85                 | 85                     | 85                 | 16                | 16                  | 16                  |

<sup>1</sup> FY 2013/2014 project funded FTEs are estimated figures and dependent to the number of projects funded.

| FY 2014 Object Class (\$000) |                                    |   |                        |                    |                            |
|------------------------------|------------------------------------|---|------------------------|--------------------|----------------------------|
| Object Class                 |                                    | FY 2012 <sup>1</sup><br>Actual<br>Obligations | FY 2013<br>CR Baseline | FY 2014<br>Request | FY 2013/2014<br>Difference |
| 11                           | Personnel Compensation             | 7,987   | 7,512                  | 7,685              | 173                        |
| 12                           | Personnel Benefits                 | 2,465   | 2,247                  | 2,247              | 0                          |
| 21                           | Travel                             | 16  | 8                      | 8                  | -                          |
| 22                           | Transportation of Things           | -   | -                      | -                  | -                          |
| 23                           | Rent, Communications and Utilities | 67,160  | 66,372                 | 66,930             | 558                        |
| 24                           | Printing and Reproduction          | -   | -                      | -                  | -                          |
| 25                           | Other Contractual Services         | 24,552  | 10,535                 | 9,575              | (960)                      |
| 26                           | Supplies and Materials             | 1,676   | 1,601                  | 1,354              | (247)                      |
| 31                           | Equipment                          | 38  | 60                     | 60                 | -                          |
| 32                           | Land and Structures                | 7,259   | 35,648                 | 25,400             | (10,248)                   |
| 42                           | Insurance Claims and Indemnities   | -   | -                      | -                  | -                          |
| <b>Total</b>                 |                                    | <b>111,153</b>                                | <b>123,983</b>         | <b>113,259</b>     | <b>(10,724)</b>            |

<sup>1</sup> FY 2012 Actuals represent total obligations of funds incurred irrespective of the year of appropriation. Personnel Compensation and Personnel Benefits include payroll and project funded obligations.



# Capitol Power Plant

## FY 2014 ANALYSIS OF CHANGE

|   | FY 2014 Appropriation |                          |
|---|-----------------------|--------------------------|
|   | FTE                   | Amount (\$000)           |
| <b>FY 2013 CR Baseline (FTE reflects Payroll Funded only)</b>   | <b>85</b>             | <b>123,983</b>           |
| Offsetting Collections .....                                    |                       | 9,000                    |
| Adjusted, Appropriation, FY 2013.....                           |                       | <u>132,983</u>           |
| <b>Non-Recurring Costs</b>                                      |                       |                          |
| Multi-Year Projects (FY 2012 Enacted plus 0.612% increase)..... |                       | (37,847)                 |
| <b>Other Decreases</b>  |                       |                          |
| Lapse Rate Adjustment.....                                      |                       | (111)                    |
| <b>Total Program Decreases</b>                                  |                       | <u>(37,958)</u>          |
| <b>Mandatory Pay Related Costs:</b>                             |                       |                          |
| FY 2012 FERs Adjustment from 11.7% to 11.9%.....                |                       | 15                       |
| FY 2012 FEHB Employer Contribution Increase of 4%.....          |                       | 22                       |
| FY 2013 Within Grade Increase.....                              |                       | 75                       |
| FY 2013 FICA Adjustment of 2%.....                              |                       | 34                       |
| FY 2013 FEHB Employer Contribution Increase of 3.3%.....        |                       | 22                       |
| FY 2014 Cost-of-Living Adjustment of 1.8%.....                  |                       | 111                      |
| FY 2014 Within Grade Increase.....                              |                       | 68                       |
| FY 2014 Zero-based Payroll Adjustment.....                      |                       | (63)                     |
| <b>Total Mandatory Pay Related Costs</b>                        |                       | <u>284</u>               |
| <b>Price Level Changes:</b>                                     |                       |                          |
| Utilities.....  |                       | 915                      |
| <b>Total Price Level Changes</b>                                |                       | <u>915</u>               |
| <b>Program Increases:</b>                                       |                       |                          |
| FY 2013 CR Baseline Credit Adjustment.....                      |                       | (465)                    |
| Multi-Year Projects:  |                       |                          |
| WRPE Cooling Tower Addition, RPR, Phase IIB, CPP.....           |                       | 20,200                   |
| Cogeneration Management Program.....                            |                       | 2,300                    |
| Minor Construction.....   |                       | 4,000                    |
| <b>Total Program Increases</b>                                  |                       | <u>-</u> <u>26,035</u>   |
| <b>Net Increase/Decrease</b>                                    |                       | <u>-</u> <u>(10,724)</u> |
| Offsetting Collections .....                                    |                       | - (9,000)                |
| <b>Total Appropriation</b>                                      | <b>85</b>             | <u><u>113,259</u></u>    |



# Capitol Power Plant

## SUMMARY OF CHANGES

The Operating Budget of the Capitol Power Plant (CPP) appropriation funds all costs associated with the daily care, maintenance and operation of the CPP. 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 2013 CR Baseline | Program Realignment/Transfers | Mandatory Pay and Price Increases | Program Changes | FY 2014 Request | FY 2013/2014 Difference |
| Jurisdiction Centralized Activities | 253                 | -                             | -                                 | (2)             | 251             | (2)                     |
| Payroll                             | 9,759               | -                             | 173                               | -               | 9,932           | 173                     |
| Plant Operations and Maintenance    | 9,521               | -                             | -                                 | (58)            | 9,463           | (58)                    |
| Safety Eng Ops and Maintenance      | 184                 | -                             | -                                 | (1)             | 183             | (1)                     |
| Utilities                           | 66,419              | -                             | 915                               | (404)           | 66,930          | 511                     |
| <b>Total</b>                        | <b>86,136</b>       | <b>-</b>                      | <b>1,088</b>                      | <b>(465)</b>    | <b>86,759</b>   | <b>623</b>              |

## Program Groups - Description and Analysis of Changes

### Jurisdiction Centralized Activities

(FY 2013 CR Baseline: \$253K)

FY 2014 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.

Decrease of \$2K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J. RES. 117).

### Payroll

(FY 2013 CR Baseline: \$9,759K)

FY 2014 Request: \$9,932K

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 \$173K, reflects net adjustment due to FY 2013 Federal Insurance Contributions Act (FICA) tax rate increase of 2%, FY 2013 Federal Employees Health Benefits (FEHB) Program rate increase of 3.3%, Congressional Budget Office FY 2014 Cost-of-Living Adjustment (COLA) rate increase of 1.8%, Within Grade Increase adjustment, Zero-based payroll adjustment, and AOC estimated FY 2014 Lapse Rate adjustment of 1.4%.



## Capitol Power Plant

### SUMMARY OF CHANGES (continued)

#### Power Plant Operation and Maintenance

(FY 2013 CR Baseline: \$9,521K)

FY 2014 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.

Decrease of \$58K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J. RES. 117).

#### Safety Engineering Operations and Maintenance

(FY 2013 CR Baseline: \$184K)

FY 2014 Request: \$183K)

The Safety Engineering Operations and Maintenance 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 Capitol Power Plant, this Program Group provides funding for similar activities that are funded in the Jurisdiction Centralized Activities Program Group in other jurisdictions.

Decrease of \$1K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J. RES. 117).

#### Utilities

(FY 2013 CR Baseline: \$66,419K)

FY 2014 Request: \$66,930K)

The Utilities Program Group provides funding for the purchase of utilities for the entire Capitol campus including other facilities under the jurisdiction of the Architect of the Capitol, such as the National Audio Visual Conservation Center, the Alternate Computing Facility, and the Senate Sergeant at Arms Facility.

Additional funding of \$915K is requested for water and sewer based on billing information from the District of Columbia Water and Sewer Authority. This price increase covers all AOC jurisdictions. This price increase also includes the additional fee for the Impervious Surface Area Charge that is based upon contribution to surface runoff from wet weather events.

Decrease of \$40K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J. RES. 117).

| FY 2014 Budget Request (\$000)       |                     |         |                |                               |               |
|--------------------------------------|---------------------|---------|----------------|-------------------------------|---------------|
| Utilities                            | FY 2013 CR Baseline | Realign | Price Increase | Program Decrease <sup>1</sup> | Total Request |
| Gas Service                          | 17,734              |         |                |                               | 17,734        |
| Electrical Energy                    | 39,904              |         |                | (404)                         | 39,500        |
| Steam                                | 700                 |         |                |                               | 700           |
| Chilled Water                        | 1,365               |         |                |                               | 1,365         |
| Water & Sewer                        | 6,031               |         | 915            |                               | 6,946         |
| Fuel Oil                             | 2,100               |         |                |                               | 2,100         |
| Postal Square                        | 712                 |         |                |                               | 712           |
| Solid Fuel                           | 488                 |         |                |                               | 488           |
| Energy Saving Performance Contracts  | 6,385               |         |                |                               | 6,385         |
| Reimbursement, Steam & Chilled Water | (9,000)             |         |                |                               | (9,000)       |
| <b>Total</b>                         | <b>66,419</b>       |         | <b>915</b>     | <b>(404)</b>                  | <b>66,930</b> |

<sup>1</sup>Decrease of \$40K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J. RES. 117).



## 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 Architect of the Capitol (AOC), Members, Committees, and other AOC clients.

| Multi-Year Projects (\$000)                           |                              | Request Amount |
|---|------------------------------|----------------|
| <b>Line Item Construction Program Projects:</b>       |                              |                |
| WRPE Cooling Tower Addition, RPR, Phase IIB, CPP..... |                              | 20,200         |
|   | <b>Total</b>                 | <b>20,200</b>  |
| <b>Other Projects:</b>                                |                              |                |
| Minor Construction.....                               |                              | 4,000          |
| Cogeneration Management Program.....                  |                              | 2,300          |
|   | <b>Total</b>                 | <b>6,300</b>   |
|   | <b>Total Project Request</b> | <b>26,500</b>  |

#### Minor Construction

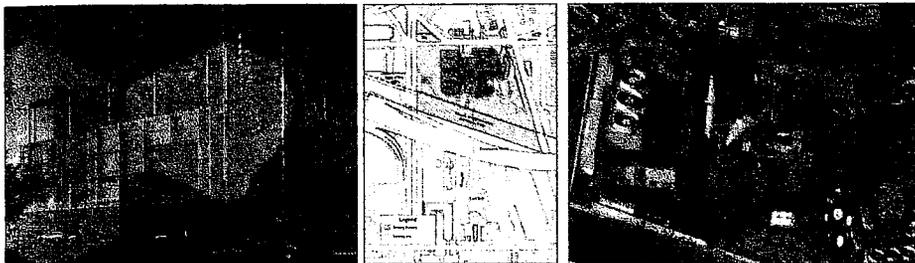
**\$4,000K**

Reflects the required amount to sustain the necessary level of service for unforeseen construction and repair projects of the Capitol Power Plant appropriation.

## Capitol Power Plant

Project Title: WRPE Cooling Tower Addition, RPR, Phase IIB, CPP

Cost: \$20,200K



**AOC Prioritization:** #8 of 17 Submitted.

**Previously Requested From Congress:** FY 2014 is the first year in which the AOC is requesting construction funding for Phase IIB.

**Project Description:** The Refrigeration Plant Revitalization (RPR) program was originally anticipated to be three phases; however, for affordability reasons, the three phases have been reworked to include additional sub-phases. There are three phases of the Refrigeration Plant Revitalization Program with Phase II being divided into two sub-phases.

- Phase I: Relocation of two existing 3,000 ton chillers from the East Refrigeration Plant (ERP) to the West Refrigeration Plant Expansion (WRPE), with necessary piping and electrical improvements for new chillers and cooling towers.
- Phase IIA: Addition of two new 5,000 ton variable-speed chillers.
  - Conversion to variable primary chilled water pumping and electrical upgrades.
- Phase IIB: Addition of three cooling towers and necessary infrastructure improvements within the WRPE.
  - Includes mechanical, plumbing and electrical system improvements to integrate operations of the new cooling towers with the existing cooling towers.
- This work will enable the WRPE capacity to meet the system load demands while the West Refrigeration Plant (WRP) is shut down for revitalization during Phase III of the program.
- Phase III: Total rehabilitation of the WRP in 2016 to revitalize the WRP's structural, safety, and fire protection systems, including replacement of the existing centrifugal chillers.
- The upgrades planned in Phases IIB and III will enhance the CPP's capability to provide and maintain reliable chilled water for cooling the facilities on the Capitol campus to ensure that cooled water is available for restaurants, gyms, refrigerant systems and cooling systems.

**Anticipated Start and End Dates:** The Phase IIB project duration is 14 months. It is anticipated that the project will be awarded by March 2014 with completion by May 2015. Dates are contingent upon the status of appropriations bill, funding availability, quality of contractor bids, congressional schedules and other factors.



# Capitol Power Plant

## Program Cost/Funding Overview:

| West Refrigeration Plant Revitalization, All Phases, CPP - Total Costs Summary (\$000) |                      |                             |                   |                   |                                       |                       |
|--|----------------------|-----------------------------|-------------------|-------------------|---------------------------------------|-----------------------|
| Task   | Prior FY 2012 Funded | FY 2012 Funded <sup>2</sup> | FY 2013 Requested | FY 2014 Requested | FY 2015-2018 Anticipated <sup>3</sup> | Total Projected Costs |
| Design <sup>1</sup>  | 6,402                | 1,040                       | -                 | -                 | -                                     | 7,442                 |
| Construction <sup>1</sup> (Phase I)  | -                    | 16,411                      | -                 | -                 | -                                     | 16,411                |
| Construction <sup>1</sup> (Phase IIA)  | -                    | -                           | 26,000            | -                 | -                                     | 26,000                |
| Construction <sup>1</sup> (Phase IIB)  | -                    | -                           | -                 | 20,000            | -                                     | 20,000                |
| Construction <sup>1</sup> (Phase III)  | -                    | 6,400                       | -                 | -                 | 104,560                               | 110,960               |
| USCP Overtime Costs  | -                    | -                           | 200               | 200               | 1,600                                 | 2,000                 |
| <b>Total:</b>  | <b>6,402</b>         | <b>23,851</b>               | <b>26,200</b>     | <b>20,200</b>     | <b>106,160</b>                        | <b>182,813</b>        |

<sup>1</sup>Design and construction costs include program management fees.

<sup>2</sup>FY 2012 Design and construction costs include line item capital project, reprogramming, and CPP operations funding.

<sup>3</sup>FY 2015 – FY 2018 anticipated funding based upon a Program of Requirements completed in 2010.

**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 WRP. This project will replace these chillers and should allow the AOC to use unplanned maintenance funds for the other CPP deferred maintenance.

**Citation Driven:** No.

**Client Request:** No.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction; Capital Improvement; Mission and Sustainability, Energy and Water Conservation.

**Facility Condition Assessment:** The WRPE facility is in excellent condition. While this project does not contribute directly to its improved condition, the project allows the next phase of the Refrigeration Revitalization Program to be implemented, thereby improving the condition of the original WRP, which was built in the late 1970's.

**Design Completed:** July 2012.

**Risk and Impact If Not Funded:** Catastrophic failure of the WRP infrastructure would result in an interruption in cooling to the Capitol Campus.

- The WRP is 35 years old and the infrastructure is required to meet the cooling demands of the Capitol campus.
- Failure to complete this project will delay installation of critical infrastructure required to reduce AOC reliance on the aged WRP systems.

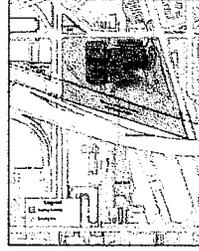
Failure to provide cooling to the Capitol campus will result in an interruption in Congressional, Supreme Court and Capitol Police activities. Additional impacts include increased operating, repair, maintenance and energy costs.



# Capitol Power Plant

Project Title: Cogeneration Management Program

Cost: \$2,300K



**AOC Prioritization:** Not applicable.

**Previously Requested From Congress:** Funding of \$3.25M was received in FY 2010 through reprogramming. Funding of \$6.7M was received through reprogramming of FY 2011 funds. Funding of \$2M was appropriated in FY 2012. Funding of \$2.5M has been requested in FY 2013.

**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 planned Cogeneration project includes the installation of two gas-fired Cogeneration units at the CPP's East Refrigeration Plant with all associated required equipment and infrastructure to generate electricity and steam. The East Refrigeration Plant will be enlarged and other site changes will be made at the CPP to accommodate this new system. Demolition includes equipment in and adjacent to the East Refrigeration Plant and the removal of the existing abandoned cooling towers. The design and construction work will be accomplished through a Utility Energy Services Contract. The new construction will be funded through a financing vehicle. The Cogeneration building efforts will generate heavy construction at the Capitol Power Plant. Work involves specialized industrial equipment that must be installed and connected to critical operations equipment and systems so as not to negatively impact the delivery of steam and chilled water to the Capitol while enhancing the energy efficiency of the Capitol Power Plant.

AOC must ensure the construction is properly managed. AOC must provide for third-party review and commissioning services for this project. The AOC does not have the personnel required to perform this work and must request funds to contract for these efforts. The Cogeneration Management Program will enable the AOC to perform project management, construction management, and review and commissioning services by contracting for these on a temporary basis.

**Anticipated Start and End Dates:** It is anticipated that construction will begin in March 2013, with completion by September 2015. Dates are contingent upon status of funds availability, successful construction contract award, receipt of air permits and other factors.



# Capitol Power Plant

## Program Cost/Funding Overview:

| Cogeneration Management Program - Total Costs Summary (\$000) |                      |                   |                   |                   |                          |                       |
|---|----------------------|-------------------|-------------------|-------------------|--------------------------|-----------------------|
| Task  | Prior FY 2012 Funded | FY 2012 Requested | FY 2013 Requested | FY 2014 Requested | FY 2015-2018 Anticipated | Total Projected Costs |
| Pre-Design / Design   | 5,884                | 376               | 600               | 150               | 300                      | 7,310                 |
| Construction - Demolition                                     | 2,882                | 837               |                   |                   |                          | 3,719                 |
| Project Management  | 562                  | 100               | 328               | 328               | 500                      | 1,817                 |
| Construction Mgmt / Consultants                               | 1,592                | 687               | 1,573             | 1,823             | 700                      | 6,374                 |
| <b>Total</b>  | <b>10,920</b>        | <b>2,000</b>      | <b>2,500</b>      | <b>2,300</b>      | <b>1,500</b>             | <b>19,220</b>         |

Note 1: Funding includes upward adjustment.

Note 2: Although funding beyond FY 2014 was not initially anticipated, the start of construction has been delayed because of a delay in receiving the necessary air permits for the project. Consequently, construction will now extend into FY 2015 and will require FY 2015 funding for necessary project and construction management support. Certain of these support costs have been avoided due to the delay in starting construction, and such costs have been factored into the determination of the anticipated funding needs for FY 2015.

**Cost of Recurring Operations:** The construction contract will be financed via a Utility Energy Services Contract. Recurring operations costs are yet to be determined factoring in the final financing arrangement, energy savings and performance guarantees. Cogeneration is expected to save approximately \$6 to \$7 million annually in utility savings over current operations. Additional Cogeneration benefits include increased plant efficiency and reliability, a reduction in emissions, and a cost avoidance of \$16 million to retrofit existing 60-year-old boilers to meet new environmental regulations. In addition, utilizing Cogeneration will significantly reduce energy consumption consistent with EISA requirements.

**Citation Driven:** No.

**Client Request:** No.

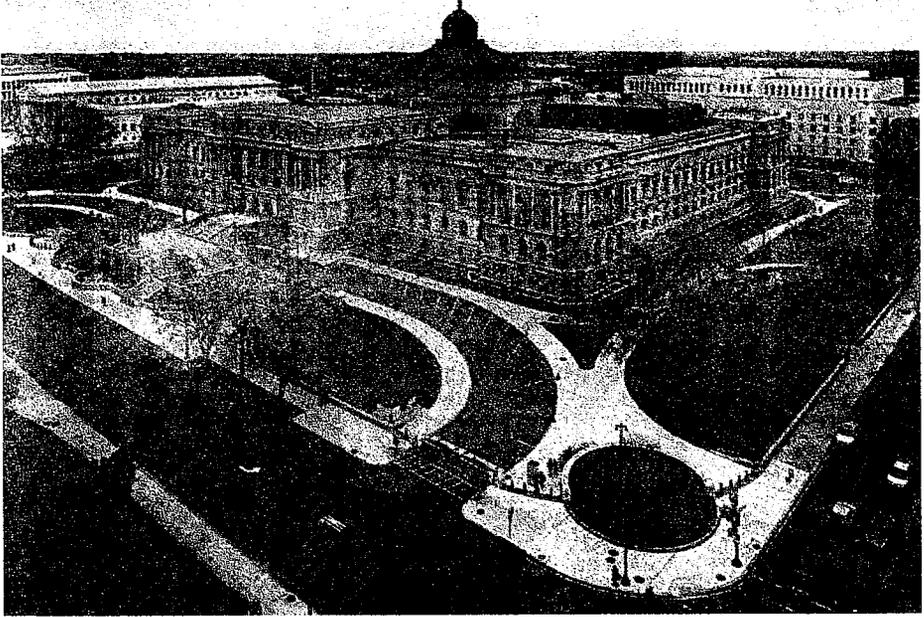
**Project Phase; Classification; Capital Improvements Plan Goal(s):** Capital Improvement; Capital Construction; Sustainability, Energy, and Water Conservation / Mission.

**Facility Condition Assessment:** Not Applicable.

**Design Completed:** Estimated Completion February 2013.

**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 may be non-compliant with the Energy Independence and Security Act in terms of energy reduction, and will have lost opportunities to save energy, as well as ensure security and continuity of government operations.

## Library Buildings and Grounds



### ***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 Buildings and Grounds (LB&G) jurisdiction is responsible for the maintenance, repair and 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 (LOC) buildings and grounds. Facilities include: Thomas Jefferson Building; James Madison Memorial Building; John Adams Building; and LOC Special Facilities Center, which includes the Little Scholars child development center. The LB&G jurisdiction manages the LOC facilities within the 100-acre Congressional campus at Fort Meade, Maryland. These include four collection storage modules with environmentally-controlled conditions housing LOC collections. The LB&G jurisdiction also is responsible for managing the 45-acre Packard Campus of the National Audio-Visual Conservation Center located in Culpeper, Virginia. The Center is the Nation's centralized facility for acquisition, cataloging, storage and preservation of moving images and recorded sound.

# Library Buildings and Grounds



## FACILITY SUMMARY:

| Facility Name/Type   | Location       | Year Built or Acquired & Age |        | Area (square feet) | Deferred Maintenance | Capital Renewal      | Backlog              |
|--|----------------|------------------------------|--------|--------------------|----------------------|----------------------|----------------------|
| Thomas Jefferson Building  | Washington, DC | 1897                         | 115    | 635,144            | \$11,409,000         | \$34,642,000         | \$46,051,000         |
| John Adams Building  | Washington, DC | 1938                         | 74     | 765,931            | \$72,028,000         | \$44,160,000         | \$116,188,000        |
| Warehouse Buildings (Ft. Meade)                                      | Columbia, MD   | 1942                         | 70     | 187,143            | \$18,422,000         | \$592,000            | \$19,014,000         |
| James Madison Memorial Building                                      | Washington, DC | 1980                         | 32     | 2,084,576          | \$33,143,000         | \$88,698,000         | \$121,841,000        |
| LOC Special Facilities Center  | Washington, DC | 1990                         | 22     | 42,654             | \$0                  | \$0                  | \$0                  |
| Book Storage Modules (Ft. Meade)                                     | Columbia, MD   | 2002                         | 10     | 169,543            | \$0                  | \$17,000             | \$17,000             |
| Packard Campus   | Culpeper, VA   | 2007                         | 5      | 426,266            | \$4,469,000          | \$0                  | \$4,469,000          |
| Projects assigned to multiple facilities throughout the jurisdiction | Washington, DC | Varies                       | Varies | Varies             | \$0                  | \$123,000            | \$123,000            |
| <b>Total</b>   |                |                              |        | <b>4,311,257</b>   | <b>\$139,471,000</b> | <b>\$168,232,000</b> | <b>\$307,703,000</b> |

### Notes:

Deferred Maintenance is defined as maintenance, repair or replacement work on existing facilities and infrastructure that is past due causing failure or partial failure.

Capital Renewal is defined as making replacements in kind to correct unacceptable conditions caused by aged building components prior to failure.

Backlog equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance within a five year window.

Facility Condition Assessment update for James Madison Memorial Building is underway; all deferred maintenance and capital renewal figures are pending final review and approval.

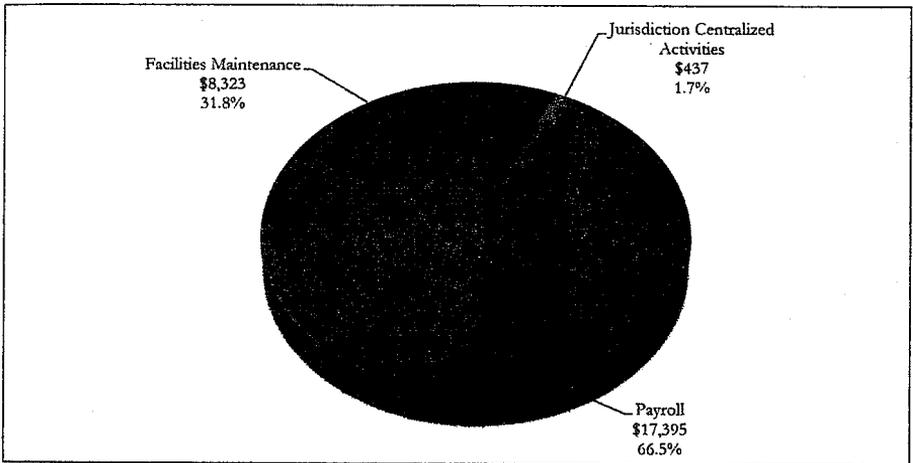


## Library Buildings and Grounds

### OPERATING BUDGET SUMMARY:

#### FY 2014 BUDGET REQUEST ALLOCATION (\$26,155K)

The Operating Budget of the Library Buildings and Grounds (LB&G) appropriation funds all costs associated with the care, maintenance and operation of the Library of Congress (LOC) buildings and grounds, with the exception of cleaning services. The budget is divided into three functional area Program Groups: Facilities Maintenance, Jurisdiction Centralized Activities, and Payroll. LOC Grounds maintenance is included in Facilities Maintenance.



The **Payroll** Program Group accounts for 66.5% of the LB&G budget, and funds salaries and benefits for employees specifically supporting this appropriation.

Project delivery accounts for 48% of payroll. Work associated with project delivery includes planning, preparing scopes, designing and reviewing projects; administering contracts; coordinating with clients; and startup and commissioning of new systems.

Facilities maintenance and client services account for 25% and 19% of the payroll budget, respectively. These include planned and corrective repair maintenance activities; emergency maintenance response; execution of projects within the Space Modernization Program; and skilled trades' support for multi-year funded projects.

Jurisdictional Support Services is 5% of the Payroll Program Group request. This provides for management, oversight, and guidance to ensure jurisdiction operations are carried out efficiently and effectively.

A portion of the payroll covers the planning management, and oversight of maintenance for historic works of art in the Thomas Jefferson Building to ensure they are preserved for future generations.



# Library Buildings and Grounds

## *OPERATING BUDGET SUMMARY (continued)*

The **Facilities Maintenance** Program Group accounts for 31.8% of the Library Buildings and Grounds (LB&G) budget. This provides annual building maintenance service for daily Library of Congress (LOC) operations (including off-site locations in Culpeper, Virginia and Fort Meade, Maryland).

Funding for the Packard Campus of the National Audio-Visual Conservation Center in Culpeper is 40% of the Facilities Maintenance request. This funds contracts for daily maintenance and care of the 426,266 square foot facility. The request covers costs associated with the extensive air and wastewater testing, sampling, and permit process that is required to support the laboratory and film processing activities.

The Space Modernization Program is 17% of the Facilities Maintenance request, and funds approximately 100,000 square feet of office space reconfigurations and improvements within public spaces such as cafeterias, building entrances, and restrooms, as well as public courtyards and meeting spaces.

Shop Operations is 17% of the Facilities Maintenance request. It includes materials and parts for plumbing, electrical, masonry, carpentry, elevator, sheet metal, painting of public spaces, re-lamping, pointing and caulking.

The Facilities Maintenance Program Group funds supplies and services for Heating, Ventilation, Air Conditioning filters, boiler maintenance and inspections, grease trap maintenance, and back-flow prevention inspections.

The Facilities Maintenance Program Group funds maintenance and inspection of heritage asset items such as murals, decorative paint schemes, sculptures, stained glass, mosaics and other fine art.

Unlike other Architect of the Capitol jurisdictions which are served by the Capitol Grounds jurisdiction, the LB&G is responsible for LOC campus grounds-keeping, landscape maintenance, and snow removal. This includes purchases of salt, snow melt, snow blowers, spreaders, and other snow removal items.

Fire alarm systems and testing maintenance is 12% of the Facilities Maintenance request. Fire and life safety systems (i.e., smoke and beam detectors, sprinklers, strobes, and flow switches) require regular fire code inspection, testing and maintenance activities.

Funding for repair of life safety deficiencies and hazardous materials abatement are 2% of the Facilities Maintenance request. These funds correct deficiencies and hazards identified in fire and life safety inspections. The hazardous materials abatement line covers costs associated with the removal of asbestos, lead, mold, and other hazardous materials.

Book storage facility support accounts for 12% of the Facilities Maintenance request, and is used for the contract of the daily maintenance and care of the 187,143 square foot Collections Storage Modules and warehouses at Ft. Meade.

The **Jurisdiction Centralized Activities** Program Group is 1.7% of the LB&G budget.

Training and travel requirements are 47% of the Jurisdiction Centralized Activities Program Group request. These funds are utilized to meet Occupational Safety and Health Administration (OSHA) requirements for safety training and related certification for shop personnel.



## Library Buildings and Grounds

### *OPERATING BUDGET SUMMARY (continued)*

Emergency Preparedness activities comprise 19% of the Jurisdiction Centralized Activities request. This funds emergency preparedness drills and exercises, updating and verifying current emergency preparedness plans and policies, and emergency preparedness-related projects such as construction of decontamination sites. It is also used to fund emergency preparedness materials and supplies such as generators, tools, cots, and other related items.

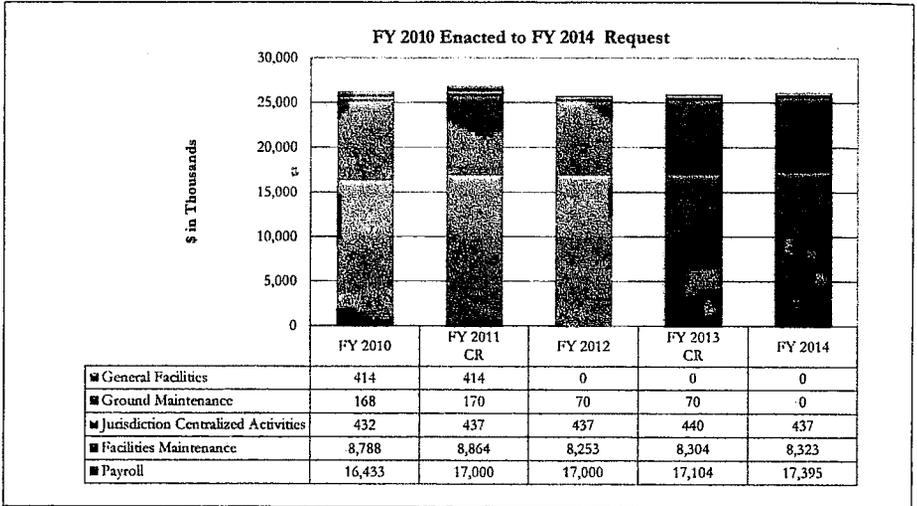
Safety apparel and uniforms account for 30% of the Jurisdiction Centralized Activities request. Employee uniforms are funded through the uniform allowance line and provide for shirts, pants, hats, jackets, and other clothing items in accordance with the Architect of the Capitol uniform policy. The safety apparel line provides funding for safety shoes, safety glasses, and specialized safety clothing such as arc flash protection apparel.

Four percent (4%) of the Jurisdiction Centralized Activities account is requested for gas and oil necessary to maintain three government-owned vehicles for administrative oversight of contracts and maintenance and construction activities at the Library of Congress Special Facilities Center, as well as supporting periodic travel to the off-site locations in Culpeper, Virginia and Fort Meade, Maryland.



# Library Buildings and Grounds

## FUNDING OVERVIEW





# 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 all construction to Library of Congress (LOC) buildings and grounds. Buildings include the Thomas Jefferson Building, John Adams Building, James Madison Memorial Building, and Library of Congress Special Facilities Center. The Architect of the Capitol (AOC) manages the 100-acre campus at Fort Meade, Maryland which includes the four Library of Congress collection storage modules. These modules are equipped to provide environmentally-controlled conditions for the long term storage of LOC collections. The AOC also manages the Packard Campus of the National Audio-Visual Conservation Center (the Nation's 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 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Operating Budget     | 25,760          | 25,555                                  | 25,918              | 26,155          | 237                     |
| Multi-Year Projects  | 21,116          | 7,099                                   | 21,245              | 50,861          | 29,616                  |
| <b>Total</b>         | <b>46,876</b>   | <b>32,654</b>                           | <b>47,163</b>       | <b>77,016</b>   | <b>29,853</b>           |

| Operating Budget (\$000)            |                 |   |                     |                 |                         |
|-------------------------------------|-----------------|---|---------------------|-----------------|-------------------------|
| Program Groups                      | FY 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Facilities Maintenance              | 8,253           | 9,412                                   | 8,304               | 8,323           | 19                      |
| Grounds Maintenance                 | 70              | 68                                      | 70                  | -               | (70)                    |
| Jurisdiction Centralized Activities | 437             | 311                                     | 440                 | 437             | (3)                     |
| Payroll                             | 17,000          | 15,763                                  | 17,104              | 17,395          | 291                     |
| Annual-Funded Projects              | -               | -                                       | -                   | -               | -                       |
| <b>Total</b>                        | <b>25,760</b>   | <b>25,555</b>                           | <b>25,918</b>       | <b>26,155</b>   | <b>237</b>              |

| Multi-Year Projects (\$000) |                 |   |                     |                 |                         |
|-----------------------------|-----------------|---|---------------------|-----------------|-------------------------|
| Projects                    | FY 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| <b>Total</b>                | <b>21,116</b>   | <b>7,099</b>                            | <b>21,245</b>       | <b>50,861</b>   | <b>29,616</b>           |

<sup>1</sup> FY 2012 Actual Obligations can include reprogrammings/transfers from other appropriations.



# Library Buildings and Grounds

## BUDGET SUMMARY (continued)

| Appropriation               | Full Time Equivalents (FTE) |                    |                        |                    |                   |                     |                     |
|-----------------------------|-----------------------------|--------------------|------------------------|--------------------|-------------------|---------------------|---------------------|
|                             | Payroll Funded              |                    |                        |                    | Project Funded    |                     |                     |
|                             | FY 2012<br>Actual           | FY 2012<br>Enacted | FY 2013<br>CR Baseline | FY 2014<br>Request | FY 2012<br>Actual | FY 2013<br>Estimate | FY 2014<br>Estimate |
| Library Buildings & Grounds | 151                         | 160                | 160                    | 160                | 92                | 92                  | 92                  |

FY 2013/2014 project funded FTEs are estimated figures and dependent to the number of projects funded.

| FY 2014 Object Class (\$000)          |   |                        |                    |                            |
|---------------------------------------|---|------------------------|--------------------|----------------------------|
| Object Class                          | FY 2012 <sup>1</sup><br>Actual<br>Obligations | FY 2013 CR<br>Baseline | FY 2014<br>Request | FY 2013/2014<br>Difference |
| 11 Personnel Compensation             | 19,027  | 13,033                 | 13,122             | 89                         |
| 12 Personnel Benefits                 | 6,195   | 4,071                  | 4,273              | 202                        |
| 21 Travel                             | 14  | 13                     | 14                 | 1                          |
| 22 Transportation of Things           | -   | -                      | -                  | -                          |
| 23 Rent, Communications and Utilities | -   | -                      | -                  | -                          |
| 24 Printing and Reproduction          | -   | -                      | -                  | -                          |
| 25 Other Contractual Services         | 9,264   | 12,542                 | 15,550             | 3,008                      |
| 26 Supplies and Materials             | 1,591   | 2,204                  | 2,205              | 1                          |
| 31 Equipment                          | 54  | 91                     | 92                 | 1                          |
| 32 Land and Structures                | 7,767   | 15,207                 | 41,760             | 26,553                     |
| 42 Insurance Claims and Indemnities   | -   | 2                      | -                  | (2)                        |
| <b>Total</b>                          | <b>43,911</b>                                 | <b>47,163</b>          | <b>77,016</b>      | <b>29,853</b>              |

<sup>1</sup> FY 2012 Actuals represent total obligations of funds incurred irrespective of the year of appropriation. Personnel Compensation and Personnel Benefits include payroll and project funded obligations.



# Library Buildings and Grounds

## FY 2014 ANALYSIS OF CHANGE

|   | FY 2014 Appropriation |                 |
|---|-----------------------|-----------------|
|   | FTE                   | Amount (\$000)  |
| <b>FY 2013 CR Baseline (FTE reflects Payroll Funded only)</b>   | <b>160</b>            | <b>47,163</b>   |
| <b>Non-Recurring Costs</b>                                      |                       |                 |
| Multi-Year Projects (FY 2012 Enacted plus 0.612% increase)..... |                       | (21,245)        |
| <b>Other Decreases</b>  |                       |                 |
| Lapse Rate Adjustment.....                                      |                       | (206)           |
| <b>Total Program Decreases</b>                                  |                       | <b>(21,451)</b> |
| <b>Mandatory Pay Related Costs:</b>                             |                       |                 |
| FY 2012 FERs Adjustment from 11.7% to 11.9%.....                |                       | 26              |
| FY 2012 FEHB Employer Contribution Increase of 4%.....          |                       | 46              |
| FY 2013 Within Grade Increase.....                              |                       | 131             |
| FY 2013 FICA Adjustment of 2%.....                              |                       | 59              |
| FY 2013 FEHB Employer Contribution Increase of 3.3%.....        |                       | 38              |
| FY 2014 Cost-of-Living Adjustment of 1.8%.....                  |                       | 192             |
| FY 2014 Within Grade Increase.....                              |                       | 114             |
| FY 2014 Zero-based Payroll Adjustment.....                      |                       | (109)           |
| <b>Total Mandatory Pay Related Costs</b>                        | <b>-</b>              | <b>497</b>      |
| <b>Total Price Level Changes</b>                                |                       |                 |
| <b>Program Increases:</b>                                       |                       |                 |
| FY 2013 CR Baseline Credit Adjustment.....                      |                       | (54)            |
| <b>Multi-Year Projects:</b>                                     |                       |                 |
| West Main Pavilion Egress Stair & Freight Elevator, TJB.....    |                       | 11,000          |
| Fire Door Improvements, Phase II, LOC.....                      |                       | 3,781           |
| Direct Digital Controls Upgrades, Phase II, JMMB.....           |                       | 3,676           |
| Elevator Modernization, JMMB MC1-4; JAB 13-14.....              |                       | 3,053           |
| Collection Storage Module 5, LOC.....                           |                       | 5,000           |
| Infrastructure UPS Upgrades, Main Data Center, JMMB.....        |                       | 16,528          |
| Fire Alarm and Audibility Upgrade, JMMB.....                    |                       | 693             |
| HVAC Installation, Main Data Center, JMMB.....                  |                       | 5,130           |
| Minor Construction.....   |                       | 2,000           |
| <b>Total Program Increases</b>                                  | <b>-</b>              | <b>50,807</b>   |
| <b>Net Increase/Decrease</b>                                    | <b>-</b>              | <b>29,853</b>   |
| <b>Total Appropriation</b>                                      | <b>160</b>            | <b>77,016</b>   |



# Library Buildings and Grounds

## SUMMARY OF CHANGES

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 (\$000)           |                     |                                |                                  |                 |                 |                         |
|-------------------------------------|---------------------|--------------------------------|----------------------------------|-----------------|-----------------|-------------------------|
| Program Groups                      | FY 2013 CR Baseline | Program Realignment/ Transfers | Mandatory Pay and Price Increase | Program Changes | FY 2014 Request | FY 2013/2014 Difference |
| Facilities Maintenance              | 8,304               | 70                             | -                                | (51)            | 8,323           | 19                      |
| Grounds Maintenance                 | 70                  | (70)                           | -                                | -               | -               | (70)                    |
| Jurisdiction Centralized Activities | 440                 | -                              | -                                | (3)             | 437             | (3)                     |
| Payroll                             | 17,104              | -                              | 291                              | -               | 17,395          | 291                     |
| <b>Total</b>                        | <b>25,918</b>       | <b>-</b>                       | <b>291</b>                       | <b>(54)</b>     | <b>26,155</b>   | <b>237</b>              |

## Program Groups - Description and Analysis of Changes

### Facilities Maintenance

(FY 2013 CR Baseline: \$8,304K)

FY 2014 Request: \$8,323K)

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.

### Program Realignment from Grounds Maintenance to Facilities Maintenance

(\$70K)

Funds previously budgeted in the Grounds Maintenance Program Group for snow removal and landscape improvements are being realigned to the Facilities Maintenance Program Group to more accurately reflect the nature of the requirement.

Decrease of \$51K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J.RES. 117).

### Grounds Maintenance

(FY 2013 Baseline: \$70K)

FY 2014 Request: \$0K)

The Grounds Maintenance Program Group funds leaf and snow removal, lawn and landscape maintenance and the purchase of grounds maintenance supplies and equipment for Library of Congress facilities other than those located at Fort Meade and Culpeper.



## Library Buildings and Grounds

### *SUMMARY OF CHANGES (continued)*

**Program Realignment from Grounds Maintenance to Facilities Maintenance** (\$-70K)  
 Funds previously budgeted in the Grounds Maintenance Program Group for snow removal and landscape improvements are being realigned to the Facilities Maintenance Program Group to more accurately reflect the nature of the requirement.

#### **Jurisdiction Centralized Activities**

**(FY 2013 Baseline: \$440K)**

**FY 2014 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.

Decrease of \$3K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J.RES. 117).

#### **Payroll**

**(FY 2013 Baseline: \$17,104K)**

**FY 2014 Request: \$17,395K)**

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 \$291K reflects net adjustment due to FY 2013 Federal Insurance Contributions Act (FICA) tax rate increase of 2%, FY 2013 Federal Employees Health Benefits (FEHB) Program rate increase of 3.3%, Congressional Budget Office FY 2014 Cost-of-Living Adjustment (COLA) rate increase of 1.8%, Within Grade Increase adjustment, Zero-based payroll adjustment, and AOC estimated FY 2014 Lapse Rate adjustment of 1.4%.



# 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 Architect of the Capitol (AOC), Members, Committees, and other AOC clients.

| Multi-Year Projects (\$000)                                  |                              | Request Amount |
|--|------------------------------|----------------|
| <b>Line Item Construction Program Projects:</b>              |                              |                |
| West Main Pavilion Egress Stair & Freight Elevator, TJB..... |                              | 11,000         |
| Fire Door Improvements, Phase II, LOC.....                   |                              | 3,781          |
| Direct Digital Controls Upgrades, Phase II, JMMB.....        |                              | 3,676          |
| Elevator Modernization, JMMB MC1-4; JAB 13-14.....           |                              | 3,053          |
| Collection Storage Module 5, LOC.....                        |                              | 5,000          |
| Infrastructure UPS Upgrades, Main Data Center, JMMB.....     |                              | 16,528         |
| Fire Alarm and Audibility Upgrade, JMMB.....                 |                              | 693            |
| HVAC Installation, Main Data Center, JMMB.....               |                              | 5,130          |
|  | <b>Total</b>                 | <b>48,861</b>  |
| <b>Other Projects:</b>                                       |                              |                |
| Minor Construction.....                                      |                              | 2,000          |
|  | <b>Total</b>                 | <b>2,000</b>   |
|  | <b>Total Project Request</b> | <b>50,861</b>  |

### Minor Construction

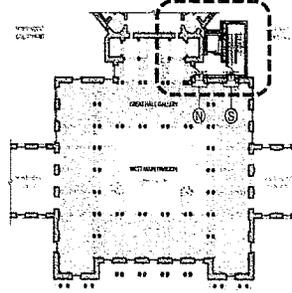
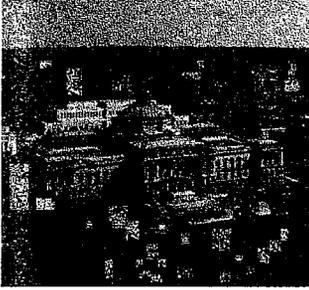
**\$2,000K**

Reflects the required amount to sustain the necessary level of service for unforeseen construction and repair projects of the Library Buildings and Grounds appropriation.

## Library Buildings and Grounds

Project Title: West Main Pavilion Egress Stair G & Freight Elevator, TJB

Cost: \$11,000K



AOC Prioritization: #1 of 17 Submitted.

Previously Requested From Congress: FY 2014 is the first year in which AOC is requesting construction funding.

Project Description: This project is an integral part of the abatement plan to address Office of Compliance citation #31-2 regarding Library of Congress egress deficiencies.

- An egress study of the Thomas Jefferson Building (TJB) documented insufficient enclosed stairwells and exits.
- This project will construct a new masonry exit stair, a new freight elevator and an exhaust shaft in the southwest courtyard of the TJB.
- The stairwell will extend from the cellar level to the top floor level of the building.
- It will be self-supporting and will not jeopardize the structural integrity, or the historic fabric of the TJB.
- Fire-rated exit passageways, a fire-related exit enclosure and a cellar exit will also be constructed.
- When completed, this project will increase the life-safety level for occupants, as well as visitors and Members of Congress, by improving the ability to quickly and efficiently evacuate the building during an emergency.
- There are two additional stairs planned in the future to fully address the citation.

Anticipated Start and End Dates: Project duration is approximately 2 years. It is anticipated that the project will be awarded by April 2014, with completion by April 2016. Dates are contingent upon status of appropriations bill, fund availability, quality of contractor bids, congressional schedules and other factors.



# Library Buildings and Grounds

## Program Cost/Funding Overview:

| West Main Pavilion Egress Stair G & Freight Elevator, TJB - Total Costs Summary (\$000) |                            |                   |                      |                      |                             |                             |
|---|----------------------------|-------------------|----------------------|----------------------|-----------------------------|-----------------------------|
| Task  | Prior<br>FY 2012<br>Funded | FY 2012<br>Funded | FY 2013<br>Requested | FY 2014<br>Requested | FY 2015-2018<br>Anticipated | Total<br>Projected<br>Costs |
| Study <sup>1</sup>  | 231                        | -                 | -                    | -                    | -                           | 231                         |
| Design  | 1,000                      | -                 | -                    | -                    | -                           | 1,000                       |
| Construction  | -                          | -                 | -                    | 11,000               | -                           | 11,000                      |
| <b>Total</b>  | <b>1,231</b>               | <b>-</b>          | <b>-</b>             | <b>11,000</b>        | <b>-</b>                    | <b>12,231</b>               |

<sup>1</sup>A FY 2000 study reviewed additional egress capacity in the TJB and identified the need for an additional four stairs.

**Cost of Recurring Operations:** The project will add space to the building which will result in a nominal increase to operational costs to maintain and secure the egress pathway. This will be absorbed within the current LB&G operations baseline.

**Citation Driven:** Yes. Citation #31-2 which was issued in March 2001 states that there is a “lack of exit stairwells and exit pathways in the Jefferson that are effectively protected against fire, smoke or toxic fumes, poses an undue danger to the lives and safety of occupants during the period of time necessary for escape in case of fire or other emergency.”

1. “There are no enclosed exit stairwells serving the west side of the building.”
2. “Although the spiral staircases located at the four corners of the building are enclosed, many of the doors to those stairwells are not fire-rated and do not latch.”
3. “The eight spiral stairs that serve the reading room area do not have adequate closing or latching devices for fire doors and there are open access panels in the stairwells.”
4. “Although two of the exit stairs on the east side of the building are partially enclosed, there are no doors at all at the basement level.”
5. “In locations where there are doors at the east stairwells, the doors are not fire-rated, and many are propped open....”

**Client Request:** No.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction; Capital Improvement; Regulatory Compliance and Life-Safety.

**Facility Condition Assessment:** The overall building is considered in Excellent condition, and while this project improves functionality of the facility, it does not contribute to improved facility condition.

**Design Completed:** Estimated completion February 2013.

**Risk and Impact If Not Funded:** If the deficient egress capacity is not addressed, the building occupants (including staff, the general public and Members of Congress) will not have the number of available exits required by National Fire Protection Association’s life-safety code.

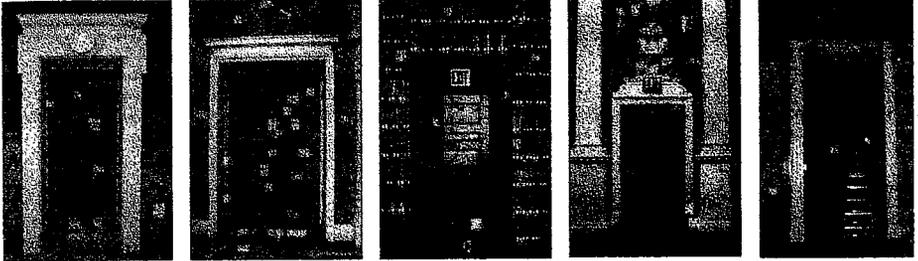
- This will result in longer travel times to the nearest exit, as well as overly crowded egress pathways.
- Ultimately, the egress shortage will delay evacuations during emergency situations.

The life-safety risk to staff, Members of Congress and the general public will remain.

## Library Buildings and Grounds

Project Title: Fire Door Improvements, Phase II, LOC

Cost: \$3,781K



FY 2014 Submittal: #2 of 17 submitted.

**Previously Requested From Congress:** FY 2014 is the first year in which the AOC is requesting construction funding for Phase II. Phase I was funded through the jurisdiction's operating budget.

**Project Description:** This project is an integral part of the abatement plan to address Office of Compliance citation #31-3.

- This is Phase II of a three phase project.
- Phase I addressed 31 door locations in the Thomas Jefferson Building (TJB) and 54 door locations in the John Adams Building (JAB).
- Phase II will address approximately 80 interior door assemblies by replacing the doors with fire-rated replicas and infilling existing cast iron frames with grout.
- This phase will also change the swing direction of approximately 30 interior door assemblies currently swinging in the incorrect egress direction.
- All of the door assemblies in Phase II are located in the TJB.
- Phase III will address six interior door assemblies in the TJB and four interior door assemblies in the JAB that are not labeled to meet current fire code.

**Anticipated Start and End Dates:** Project duration for Phase II is 12 months. It is anticipated that the project will be awarded by April 2014, with completion by April 2015. Dates are contingent upon status of appropriations bill, fund availability, quality of contractor bids, congressional schedules and other factors.



# Library Buildings and Grounds

## Program Cost/Funding Overview:

| Fire Door Improvements, All Phases, LOC - Total Costs Summary (\$000) |                      |                |                   |                   |                          |                       |
|---|----------------------|----------------|-------------------|-------------------|--------------------------|-----------------------|
| Task  | Prior FY 2012 Funded | FY 2012 Funded | FY 2013 Requested | FY 2014 Requested | FY 2015-2018 Anticipated | Total Projected Costs |
| Construction (Phase I) <sup>1</sup>                                   | 380                  | -              | -                 | -                 | -                        | 380                   |
| Design (Phase II & III)   | 730                  | -              | -                 | -                 | -                        | 730                   |
| Construction (Phase II)   | -                    | -              | -                 | 3,781             | -                        | 3,781                 |
| Construction (Phase III)  | -                    | -              | -                 | -                 | 2,000                    | 2,000                 |
| <b>Total</b>  | <b>1,110</b>         | <b>-</b>       | <b>-</b>          | <b>3,781</b>      | <b>2,000</b>             | <b>6,891</b>          |

<sup>1</sup>Study not required. Design and Construction for Phase I was funded with FY 2008/2012 Minor Construction.

**Cost of Recurring Operations:** Maintenance cost of the existing doors is anticipated to remain the same after new doors are installed and existing door swings are reversed.

**Citation Driven:** Yes. Citation #31-3, which was issued in March 5, 2001 and states that fire doors were not continuously maintained in proper working order and would not properly close, thus permitting smoke and toxic gases to spread rapidly, which could endanger occupants during the time reasonably necessary for escape in the event of fire.

**Client Request:** No.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction, Capital Improvement, Regulatory Compliance/Safety.

**Facility Condition Assessment:** The overall building is considered in Excellent condition, and while this project improves life safety for the facility, it does not contribute to improved facility condition.

**Design Completed:** Yes.

**Risk and Impact If Not Funded:** Building occupants and visitors are at a greater risk of exposure to fire, smoke, and toxic fumes in the event of an emergency.

- The existing doors do not provide adequate separation from smoke and fire.
- Egress doors that do not swing in the required direction pose a risk of negatively effecting evacuation in the case of a fire or emergency.

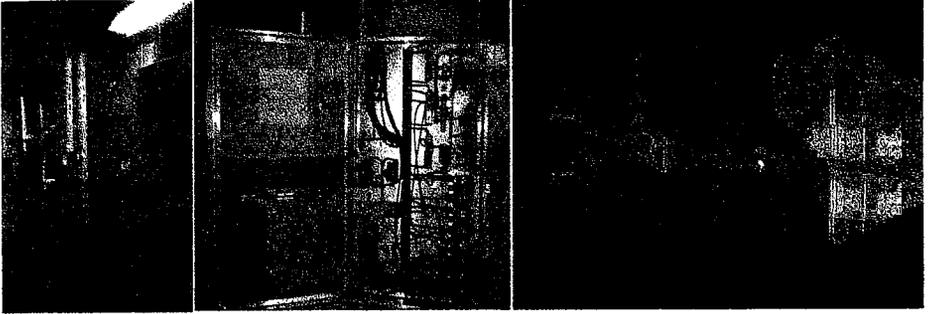
The egress doors currently pose a significant risk to life-safety and must be corrected.



## Library Buildings and Grounds

Project Title: Direct Digital Controls Upgrade, Phase II, JMMB

Cost: \$3,676K



**AOC Prioritization:** #4 of 17 submitted.

**Previously Requested From Congress:** FY 2014 is the first year in which AOC is requesting construction funding for Phase II. Phase I funding was requested in FY 2013.

**Project Description:** This design-build project replaces antiquated pneumatic controls on 11 James Madison Memorial Building (JMMB) air handling units with new direct digital controls.

- New valves, dampers, actuators, sensors, control wiring and programming are included.
- The new controls will be integrated into the Building Automation System for centralized control, monitoring, energy management, and operational trending.
- This project is the second phase of a three-phase program designed to convert a total of 30 JMMB air handlers to digital controls.

**Anticipated Start and End Dates:** Project duration is 18 months. It is anticipated that the project will be awarded by April 2014, with completion by October 2015. Dates are contingent upon status of appropriations bill, funding availability, quality of contractor bids, congressional schedules and other factors.



# Library Buildings and Grounds

## Program Cost/Funding Overview:

| Direct Digital Controls Upgrade, All Phases, JMMB - Total Costs Summary (\$000) |                            |                   |                      |                      |                             |                             |
|---|----------------------------|-------------------|----------------------|----------------------|-----------------------------|-----------------------------|
| Task  | Prior<br>FY 2012<br>Funded | FY 2012<br>Funded | FY 2013<br>Requested | FY 2014<br>Requested | FY 2015-2018<br>Anticipated | Total<br>Projected<br>Costs |
| Study   | -                          | -                 | -                    | -                    | -                           | -                           |
| Design  | -                          | -                 | -                    | -                    | -                           | -                           |
| Construction (Phase I)  | -                          | -                 | 2,100                | -                    | -                           | 2,100                       |
| Construction (Phase II)   | -                          | -                 | -                    | 3,676                | -                           | 3,676                       |
| Construction (Phase III)  | -                          | -                 | -                    | -                    | 4,400                       | 4,400                       |
| <b>Total:</b>   | -                          | -                 | 2,100                | 3,676                | 4,400                       | 10,176                      |

**Cost of Recurring Operations:** The AOC will realize maintenance savings due to enhanced system reliability, newer control equipment, reduced run-times, and removal of aging infrastructure. Operational efficiencies will be gained by system monitoring for out of tolerance operational parameters. Any savings will be applied to other high priority LB&G deferred maintenance projects. The AOC will realize energy savings as a result of the energy control strategies that are possible with the new control system. Energy reductions will count toward the Energy Independence and Security Act of 2007 reduction goals for federal facilities and will be utilized by the Capitol Power Plant to buy down anticipated utility rate increase.

**Citation Driven:** No.

**Client Request:** No.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Design-Build; Capital Renewal; Sustainability, Water and Energy Conservation.

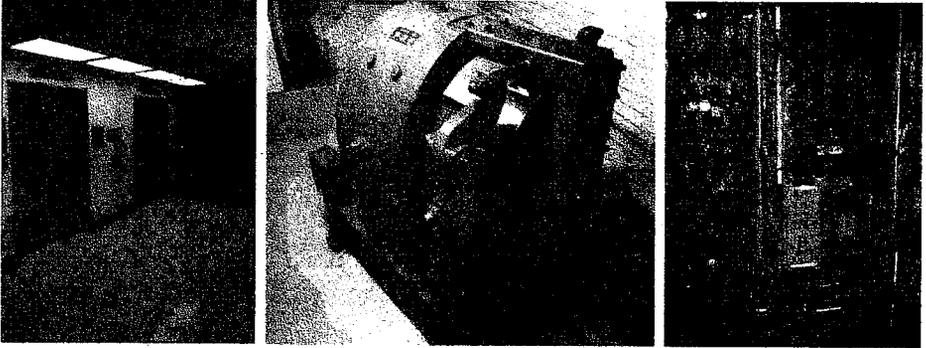
**Facility Condition Assessment:** The overall building is considered in Fair condition, and if not funded, the facility condition will be negatively impacted in the near future.

**Risk and Impact If Not Funded:** If not funded, there is a high probability that the aging Heating, Ventilation and Air Conditioning (HVAC) control systems will further deteriorate and become increasingly maintenance intensive. Failure of the systems could result in unstable indoor environmental conditions for occupants and collections, increased energy usage, and loss of alarming and control capability.

## Library Buildings and Grounds

Project Title: Elevator Modernization, JMMB MC1-MC4; JAB 13-14

Cost: \$3,053K



AOC Prioritization: #6 of 17 submitted.

Previously Requested From Congress: FY 2014 is the first year in which AOC is requesting construction funding.

**Project Description:** This project is the final part of a multi-year phased program to upgrade and modernize the elevators in the LOC buildings.

- This project will upgrade the controls of James Madison Memorial Building (JMMB) Elevators MC 1, MC 2, MC 3, and MC 4 and John Adams Building (JAB) Elevators 13-14.
- Parts for these systems are no longer available. Elevator breakdowns are increasingly causing passengers to be trapped in the elevators.
- The elevators do not level properly resulting in a trip hazard for the passengers. Each elevator will be brought up to current accessibility and life-safety standards.
- The current drive systems are original to the elevators. The existing motor-generators are maintenance intensive and will be replaced with static switch drives to convert Alternate Current (AC) electrical power to Direct Current (DC). This advancement will eliminate all rotating and high maintenance components involved in the production of DC power, resulting in much lower power consumption.
- Static switch components will provide dramatic savings of maintenance costs.
- The incorporation of digital controls will decrease the chances of stranding passengers, reduce wait times, and increase reliability.
- Additionally, the mechanical/electrical room will be upgraded to provide improved ventilation.

**Anticipated Start and End Dates:** Project duration is 12 months. It is anticipated that the project will be awarded by April 2014, with completion by April 2015. Dates are contingent upon status of appropriations bill, fund availability, quality of contractor bids, congressional schedules and other factors.



# Library Buildings and Grounds

## Program Cost/Funding Overview:

| Elevator Modernization Program - Total Costs Summary (\$000) |                      |                |                   |                   |                          |                       |
|--|----------------------|----------------|-------------------|-------------------|--------------------------|-----------------------|
| Task   | Prior FY 2012 Funded | FY 2012 Funded | FY 2013 Requested | FY 2014 Requested | FY 2015-2018 Anticipated | Total Projected Costs |
| Study  | -                    | -              | -                 | -                 | -                        | -                     |
| Design   | -                    | -              | -                 | -                 | -                        | -                     |
| Construction (C Core)  | -                    | -              | -                 | 3,053             | -                        | 3,053                 |
| Construction (E Core)  | -                    | -              | -                 | -                 | 3,100                    | 3,100                 |
| <b>Total</b>   | -                    | -              | -                 | <b>3,053</b>      | <b>3,100</b>             | <b>6,153</b>          |

Note: This has been an on-going program to renovate the elevators and install elevator cabs in empty elevator shafts.

**Cost of Recurring Operations:** Annual maintenance costs include 2,804 hours at James Madison Memorial Building (JMMB) and 2,664 hours at the John Adams Building (JAB) at a total cost of \$102K. The JAB elevator has outdated technology that with obsolete parts, and is original to the building. Parts for the JMMB elevator are no longer made.

**Citation Driven:** No.

**Client Request:** No.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction; Deferred Maintenance; Mission Accommodation.

**Facility Condition Assessment:** The overall building is considered in Fair condition, and this project will help improve the condition of the building but is not anticipated to bring it to a Good condition.

**Design Completed:** Estimated completion December 2012.

**Risk and Impact If Not Funded:** If not renovated these elevators will continue to decline and require significant maintenance to keep them running efficiently.

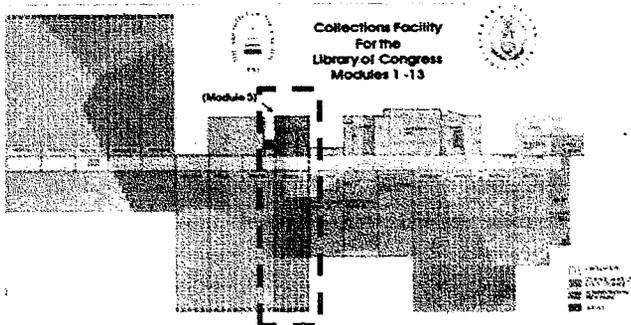
- Risk of passenger injury will continue to increase due to code violations and inadequate safety mechanisms.
- The new drive systems are 30 percent more efficient than the existing technology, thus if not funded, the project will not realize predicted energy savings.

Delaying this project will increase inefficiencies due to passenger wait time, and will continue to increase life-safety risks.

## Library Buildings and Grounds

Project Title: Collection Storage Module 5, LOC, Ft. Meade

Cost: \$5,000K



AOC Prioritization: #7 of 17 submitted.

**Previously Requested From Congress:** Construction full funding was requested in FY 2010, FY 2011, FY 2012 and phased funding was requested in FY 2013.

**Project Description:** The book storage facility complex at Fort Meade, MD accommodates the Library's expanding collections of books, manuscripts, prints, maps, cultural and other copyrighted materials. Module 5 is next in a series of the planned storage modules to be built at Fort Meade per the Capitol Complex Master Plan.

- This project is required to support the overflow of Library of Congress books and bound periodicals temporarily stored on Capitol Hill.
- Provides the building infrastructure, site preparation, foundations and building superstructure.
- Also includes security and fire protection systems, customized collection storage shelving, integrated fire safety systems, and dedicated Heating Ventilation and Air Conditioning (HVAC) systems for permanent long term collection storage.

As initiated with the FY 2013 request, AOC proposes that the project budget be continuously funded by four consecutive multi-year appropriations.

**Anticipated Start and End Dates:** Project duration is 24 months. Anticipate award by July 2016, with completion by July 2019. Dates are contingent upon status of appropriations bill, fund availability, quality of contractor bids, congressional schedules and other factors.



# Library Buildings and Grounds

## Program Cost/Funding Overview:

| Collection Storage Module 5, LOC, Ft. Meade - Total Costs Summary (\$000) |                      |                |                   |                   |                          |                       |
|---|----------------------|----------------|-------------------|-------------------|--------------------------|-----------------------|
| Task  | Prior FY 2012 Funded | FY 2012 Funded | FY 2013 Requested | FY 2014 Requested | FY 2015-2018 Anticipated | Total Projected Costs |
| Study   |                      |                |                   |                   |                          |                       |
| Design  | 994                  |                |                   |                   |                          | 994                   |
| Construction  |                      |                | 5,000             | 5,000             | 10,000                   | 20,000                |
| <b>Total</b>  | <b>994</b>           | <b>-</b>       | <b>5,000</b>      | <b>5,000</b>      | <b>10,000</b>            | <b>20,994</b>         |

**Cost of Recurring Operations:** Annual utility costs are estimated to be \$185K and will be addressed in future budget requests.

**Citation Driven:** No.

**Client Request:** Yes.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction; Capital Construction; Mission.

**Facility Condition Assessment:** Not Applicable.

**Design Completed:** October 2006.

**Risk and Impact If Not Funded:** In order to accomplish their mission, the Library of Congress needs additional space to store new published and unpublished materials.

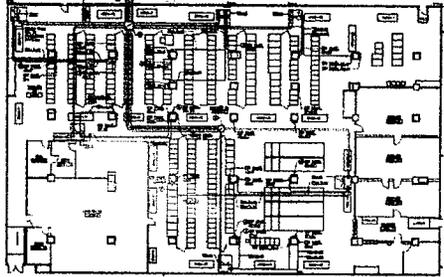
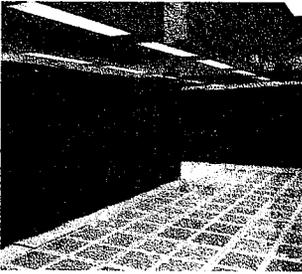
- This project is required to provide a permanent solution in alleviating current collections space shortages on Capitol Hill, as well as to allow for the fulfillment of the Library's historic mission to sustain and preserve a universal collection of cultural knowledge and creativity for future generations.
- Long-term preservation of these collections is of paramount importance for the Nation; therefore, a storage facility providing stringent life-safety, preservation controls, and security measures is required.
- 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 the opportunity presents itself to acquire additional research materials.

Without additional off-site storage, as collections in all formats grow, the current situation will continue to deteriorate, exacerbating the already dangerous conditions with regard to life-safety, research, and preservation.

## Library Buildings and Grounds

Project Title: Infrastructure UPS Upgrades, Main Data Center, JMMB

Cost: \$16,528K



AOC Prioritization: #9 of 17 submitted.

Previously Requested From Congress: FY 2014 is the first year in which AOC is requesting construction funding.

**Project Description:** This construction project will provide new infrastructure to increase the available conditioned power in the James Madison Memorial Building (JMMB) Data Center.

- This increase is necessary to meet the requirement of Library of Congress (LOC) information technology infrastructure with respect to new technologies and future growth.
- This project will replace the existing, fully-loaded, and aging Uninterruptable Power Supply (UPS) with a more reliable and maintainable 1500kw UPS system.
- Power distribution on the JMMB Data Center floor will be improved with the installation of power distribution units.
- This effort is part of the LOC Data Center infrastructure upgrade program which includes increasing the cooling capacity for the JMMB Data Center; and heating, ventilation and air conditioning (HVAC) installation in the Main Data Center in the JMMB.
- To utilize the full potential of these systems, a new emergency generator plant for the JMMB is required, and a funding request is planned to be submitted a near-term year.

**Anticipated Start and End Dates:** Project duration is estimated at 19 months. Anticipate award by April 2014, with completion no later than November 2015. Dates are contingent upon status of appropriations bill, funding availability, quality of contractor bids, congressional schedules and other factors.



# Library Buildings and Grounds

## Program Cost/Funding Overview:

| Infrastructure UPS Upgrades, Main Data Center, JMMB - Total Costs Summary (\$000) |                      |                |                   |                   |                          |                       |
|---|----------------------|----------------|-------------------|-------------------|--------------------------|-----------------------|
| Task  | Prior FY 2012 Funded | FY 2012 Funded | FY 2013 Requested | FY 2014 Requested | FY 2015-2018 Anticipated | Total Projected Costs |
| Study <sup>1</sup>  | 70                   | -              | -                 | -                 | -                        | 70                    |
| Design <sup>1</sup>   | 600                  | -              | -                 | 400               | -                        | 1,000                 |
| Construction  | -                    | -              | -                 | 16,128            | -                        | 16,128                |
| <b>Total</b>  | <b>670</b>           | <b>-</b>       | <b>-</b>          | <b>16,528</b>     | <b>-</b>                 | <b>17,198</b>         |

<sup>1</sup>The design and study was funded internally with LB&G operations or reprogrammed funding.

### Cost of Recurring Operations:

- This project accommodates projected LOC information technology growth.
- No significant increase in recurring operating expenses will be associated with this project and will be absorbed within the LB&G operations funding base.
- The new system will increase the ability to perform maintenance without affecting LOC Data Center operations.

Citation Driven: No.

Client Request: Yes.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction; Capital Improvement; Mission.

**Facility Condition Assessment:** The JMMB is considered in Fair condition. While this project will improve the condition of existing equipment, the project does not contribute to overall facility condition improvement.

**Risk and Impact If Not Funded:** The existing UPS has reached its maximum capacity and will not support any additional load. It is nearing the end of its useful life.

- If the UPS fails, the JMMB Data Center would experience an unscheduled outage with possible loss of equipment and data.
- An emergency action plan would have to be initiated to replace the UPS under non-ideal conditions.
- A unitary interim UPS has been deployed to accommodate short term growth in the first quarter of FY 2013.
  - The interim solution does not provide the ability to perform maintenance without affecting JMMB Data Center operations or a backup if the UPS should fail.

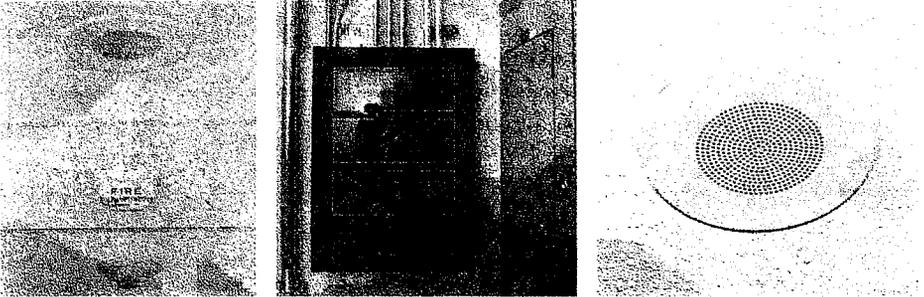
The present configuration and reliability of the UPS to accommodate current and future growth will jeopardize the LOC mission to provide and maintain operations to support future requirements of the House and Senate members for the Congressional Research Service.



## Library Buildings and Grounds

**Project Title:** Fire Alarm and Audibility Upgrade, JMMB

**Cost:** \$693K



**AOC Prioritization:** #14 of 17 submitted.

**Previously Requested From Congress:** FY 2014 is the first year in which AOC is requesting design funding.

**Project Description:** The existing voice paging and evacuation portion of the James Madison Memorial Building (JMMB) fire protection system has exceeded its useful life and is in need of replacement.

- The necessary replacement parts and components required to maintain the system are no longer manufactured and are outdated since they fail to meet current industry standards for evacuation messaging systems.
- The unique mission of the Capitol campus combined with the architecture and hardware deficiencies in the current system necessitates new technology and additional features which only an updated messaging system can provide.
- The present voice-paging and evacuation system does not meet current building code requirements, National Fire Protection Association code, or AOC design.
- An updated intelligible voice evacuation system is required to provide reliable partial or building-wide notification utilizing clear direction and information to the building occupants during an emergency.
- This project will focus on the design and functionality of a new voice-paging, evacuation and messaging system to replace the existing outdated and deficient system.
- The new voice-capable system design will include a messaging and evacuation control panel, distributed amplification, automated messages, remote microphones, secondary power sources, conduit, wiring, speakers, and any additional components necessary for a robust notification system that complies with current audibility and intelligibility code requirements.

**Anticipated Start and End Dates:** Project duration is 11 months. It is anticipated that the project will be awarded by October 2014, with completion by September 2015. Dates are contingent upon status of appropriations bill, fund availability, quality of contractor bids, congressional schedules and other factors.



# Library Buildings and Grounds

## Program Cost/Funding Overview:

| Fire Alarm and Audibility Upgrade, JMMB - Total Costs Summary (\$000) |                            |                   |                      |                      |                             |                             |
|---|----------------------------|-------------------|----------------------|----------------------|-----------------------------|-----------------------------|
| Task  | Prior<br>FY 2012<br>Funded | FY 2012<br>Funded | FY 2013<br>Requested | FY 2014<br>Requested | FY 2015-2018<br>Anticipated | Total<br>Projected<br>Costs |
| Study   | -                          | -                 | -                    | -                    | -                           | -                           |
| Design  | -                          | -                 | -                    | 693                  | -                           | 693                         |
| Construction  | -                          | -                 | -                    | -                    | 5,000                       | 5,000                       |
| <b>Total</b>  | -                          | -                 | -                    | 693                  | 5,000                       | 5,693                       |

**Cost of Recurring Operations:** As a result of upgrading the evacuation and occupant notification system, the Library of Congress will be able to limit building emergency or fire related damages. Additional saving may be realized by the ability to relocate the occupants within the building or perform partial evacuations during other emergency conditions. There will be some savings in operational labor cost for maintaining the system with readily available replacement parts for new digital system technology.

**Citation Driven:** No.

**Client Request:** No.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Design; Capital Renewal; Regulatory Compliance and Life-Safety.

**Facility Condition Assessment:** The overall building is considered in Fair condition, and if not funded, the facility condition will be negatively impacted in the near future.

**Study Completed:** A study is not necessary for this project since work has been performed in-house.

**Risk and Impact If Not Funded:** Failure to complete this design will delay modernization of the audibility component of the fire alarm system for the JMMB.

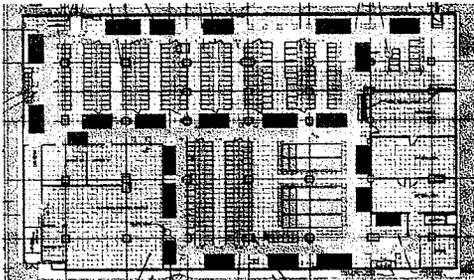
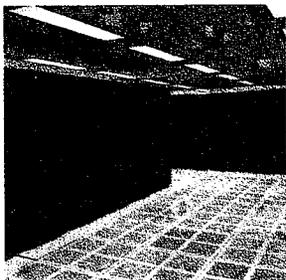
- This will result in the existing voice fire alarm audibility system remaining code-deficient with respect to the requirements of building code and National Fire Protection Association code, and the AOC design standards for audibility and intelligibility.
- Additionally, maintaining current levels of performance will be increasingly costly as components fail and custom alternatives will have to be developed for their replacement.

Life-safety risk will continue to increase in the JMMB for the public and occupants.

## Library Buildings and Grounds

Project Title: HVAC Installation, Main Data Center, JMMB

Cost: \$5,130K



AOC Prioritization: #15 of 17 submitted.

Previously Requested From Congress: FY 2014 is the first year in which AOC is requesting construction funding.

**Project Description:** This construction project will provide new infrastructure to increase the cooling capacity in the James Madison Memorial Building's Data Center.

- This increase is required to meet the Library of Congress's growing IT mission.
- This project includes new chilled water distribution, additional Computer Room Air Conditioners (CRACs), reconfiguration of the Data Center floor and new controls that will be integrated in the Building Automation System.
- This effort improves the overall efficiency of the Data Center and allows AOC to potentially increase the chilled water supply temperature, which will result in energy savings.
- This effort is part of the Data Center infrastructure upgrade program which includes the project to increase the conditioned electrical capacity for the Data Center, Infrastructure UPS Upgrades, Main Data Center, JMMB.
- To utilize the full potential of these systems, a new emergency generator plant for the JMMB is required, which is planned to be submitted as a construction request in a near-term year.

**Anticipated Start and End Dates:** Project duration is estimated at 13 months. Anticipate award by April 2014, with completion by May 2015. Dates are contingent upon status of appropriations bill, funding availability, quality of contractor bids, congressional schedules and other factors.



# Library Buildings and Grounds

## Program Cost/Funding Overview:

| HVAC Installation, Main Data Center, JMMB - Total Costs Summary (\$000) |                            |                   |                      |                      |                             |                             |
|---|----------------------------|-------------------|----------------------|----------------------|-----------------------------|-----------------------------|
| Task  | Prior<br>FY 2012<br>Funded | FY 2012<br>Funded | FY 2013<br>Requested | FY 2014<br>Requested | FY 2015-2018<br>Anticipated | Total<br>Projected<br>Costs |
| Study <sup>1</sup>  | 60                         | -                 | -                    | -                    | -                           | 60                          |
| Design <sup>1</sup>   | 321                        | -                 | -                    | -                    | -                           | 321                         |
| Construction  | -                          | -                 | -                    | 5,130                | -                           | 5,130                       |
| <b>Total:</b>   | <b>381</b>                 | <b>-</b>          | <b>-</b>             | <b>5,130</b>         | <b>-</b>                    | <b>5,511</b>                |

<sup>1</sup>Design and Study funding was provided as part of an FY 2011 reprogramming.

**Cost of Recurring Operations:** This project accounts for projected information technology growth. The design minimizes the potential increase in energy consumption by improving the Data Center layout and allowing for an increase in chilled water temperature without affecting operations. No significant increase in recurring operating expenses will be associated with this project.

**Citation Driven:** No.

**Client Request:** Yes.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Construction; Capital Improvement; Mission.

**Facility Condition Assessment:** The overall building is considered in Fair condition, but while the project improves functionality, it does not contribute to overall facility condition improvement.

**Risk and Impact If Not Funded:** If the cooling capacity is not increased the capacity for future data center growth will be limited. Data storage needs grow proportionally to the size of the collection. The existing system will not be able to cool the heat load associated with the projected growth of the information technology requirements. The existing system has insufficient capacity to cool the projected heat load.

## 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 (CPBG&S) appropriation 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 (ACF), and Architect of the Capitol (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; (next to Fairchild Building) a 12-acre site; and leased space within the Fairchild Building, the Government Printing Office, the Verizon Building, 15-acres of land surrounding the ACF, and equipment space for four USCP Radio repeater towers. 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.



## Capitol Police Buildings, Grounds and Security

### FACILITY SUMMARY:

| Facility Name / Type              | Location       | Year Built or Acquired & Age | Area (square feet) | Deferred Maintenance | Capital Renewal     | Backlog             |
|-----------------------------------|----------------|------------------------------|--------------------|----------------------|---------------------|---------------------|
| Headquarters Building             | Washington, DC | 1930 82                      | 85,382             | \$0                  | \$9,768,000         | \$9,768,000         |
| Vehicle Maintenance Facility      | Washington, DC | 1930 82                      | 23,842             | \$0                  | \$0                 | \$0                 |
| Alternate Computer Facility (ACF) | Manassas, VA   | 1983 29                      | 345,282            | \$543,000            | \$13,981,000        | \$14,524,000        |
| Canine Facility                   | Washington, DC | 1996 16                      | 4,272              | \$7,000              | \$0                 | \$7,000             |
| Interim Off Site Delivery         | Washington, DC | 2006 6                       | 5,261              | \$0                  | \$0                 | \$0                 |
| Fairchild Building                | Washington, DC | 2008 4                       | 166,507            | \$0                  | \$373,000           | \$373,000           |
| <b>Total</b>                      |                |                              | <b>630,546</b>     | <b>\$550,000</b>     | <b>\$24,122,000</b> | <b>\$24,672,000</b> |

**Notes:**

*Deferred Maintenance* is defined as maintenance, repair or replacement work on existing facilities and infrastructure that is past due causing failure or partial failure.

*Capital Renewal* is defined as making replacements in kind to correct unacceptable conditions caused by aged building components prior to failure.

*Backlog* equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance within a five year window.

| Lease                                 | Location       | Area (square feet) | Contract Award Date | Contract End Date | Total Cost          |
|---------------------------------------|----------------|--------------------|---------------------|-------------------|---------------------|
| Fairchild Building (office & parking) | Washington, DC | 120,851            | May 2004            | Apr 2014          | \$49,558,168        |
| Alternate Computer Facility (land)    | Manassas, VA   | 653,400            | Oct 2006            | Mar 2016          | \$4,835,521         |
| Government Printing Office            | Washington, DC | 4,000              | Oct 2005            | Annually          | \$3,902,358         |
| Verizon Building                      | Washington, DC | 6,085              | Jul 2011            | Jul 2016          | \$791,606           |
| Radio Tower Repeater Sites            | DC Metro Area  | 1,000              | Aug 2012            | Jul 2017          | \$573,829           |
| <b>Total</b>                          |                |                    |                     |                   | <b>\$58,296,047</b> |

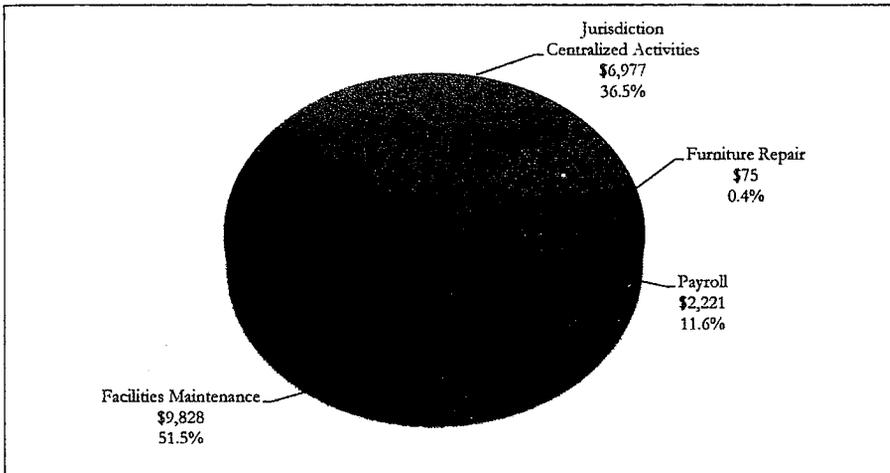


## Capitol Police Buildings, Grounds and Security

### OPERATING BUDGET SUMMARY:

#### FY 2014 BUDGET REQUEST ALLOCATION (\$19,101K)

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, Jurisdictional 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.



The **Facilities Maintenance** Program Group accounts for 51.5% of the CPBG&S budget and funds annual building maintenance, special events 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. 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.



## Capitol Police Buildings, Grounds and Security

### *OPERATING BUDGET SUMMARY: (continued)*

The **Jurisdiction Centralized Activities** Program Group accounts for 36.5% of the Capitol Police Buildings Grounds & Security (CPBG&S) budget and fund lease of facilities, training, uniform allowances, safety apparel, energy management; Computer Aided Drafting 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. Continuation of the Energy Management contract that will assist in reducing energy consumption to meet Energy Independence and Security Act 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 funding requested, approximately 93% provides for lease of facilities, 5% for environmental services, 1% for emergency preparedness, and 1% for training, vehicle maintenance and waste recycling.

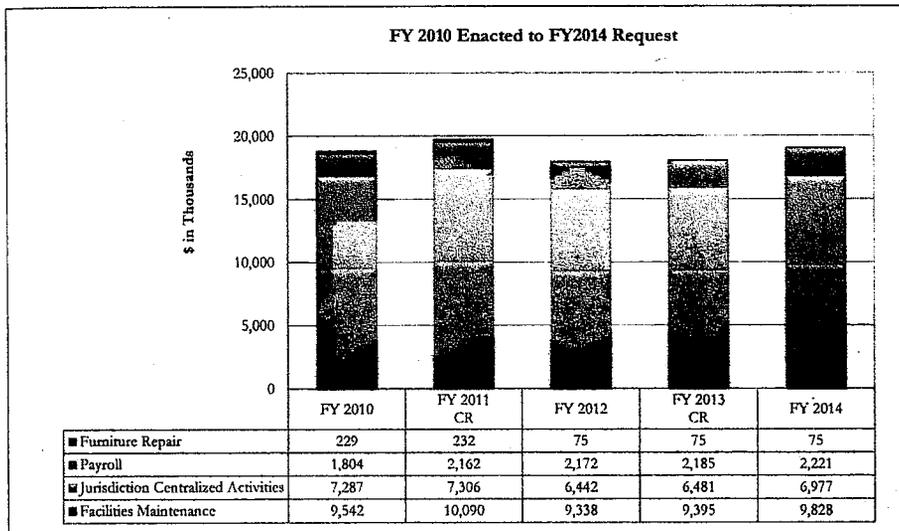
The **Payroll** Program Group accounts for 11.6% of the CPBG&S budget and funds salaries and benefits for employees specifically supporting the appropriation. This funding request enables the AOC to continue comparable service levels of past years in direct support to Congress and staff, as well as the USCP. This provides the capability to minimally staff at 16 permanent FTEs. Facilities Management require six FTEs to plan, manage, and oversee maintenance requirements and capital projects, manage contracts, inspect facilities, provide quality assurance, conduct planning, and coordinate with the clients. Resilience and Security requires four 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 lead the AOC critical infrastructure program and support to Congressional continuity programs, implement and oversee internal security policies and procedures, and support USCP security and emergency incidents. Mission Support requires five FTEs and includes 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 funding requested, approximately 95% provides for Congressional Support and Supreme Court Operations, and 5% for Leadership and Administrative Support.

The **Furniture Repair** Program Group accounts for 0.4% of the CPBG&S budget and funds furniture repairs and small purchases of new furniture. This 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.



# Capitol Police Buildings, Grounds and Security

## FUNDING OVERVIEW





## Capitol Police Buildings, Grounds and Security

### BUDGET SUMMARY

The Architect of the Capitol (AOC) 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 (ACF), 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, the Government Printing Office, the Verizon Building, 15-acres of land surrounding the ACF, and rooftop space for four USCP Radio repeater towers.

| Total Budget (\$000) |                 |   |                     |                 |                         |
|----------------------|-----------------|---|---------------------|-----------------|-------------------------|
| Appropriation        | FY 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Operating Budget     | 18,027          | 17,990                                  | 18,136              | 19,101          | 965                     |
| Multi-Year Projects  | 3,473           | -                                       | 3,494               | 7,834           | 4,340                   |
| <b>Total</b>         | <b>21,500</b>   | <b>17,990</b>                           | <b>21,630</b>       | <b>26,935</b>   | <b>5,305</b>            |

| Operating Budget (\$000)            |                 |   |                     |                 |                         |
|-------------------------------------|-----------------|---|---------------------|-----------------|-------------------------|
| Program Groups                      | FY 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Facilities Maintenance              | 9,338           | 9,766                                   | 9,395               | 9,828           | 433                     |
| Furniture Repair                    | 75              | 85                                      | 75                  | 75              | -                       |
| Jurisdiction Centralized Activities | 6,442           | 6,099                                   | 6,481               | 6,977           | 496                     |
| Payroll                             | 2,172           | 2,041                                   | 2,185               | 2,221           | 36                      |
| Annual-Funded Projects              | -               | -                                       | -                   | -               | -                       |
| <b>Total</b>                        | <b>18,027</b>   | <b>17,990</b>                           | <b>18,136</b>       | <b>19,101</b>   | <b>965</b>              |

| Multi-Year Projects (\$000) |                      |                         |                     |                 |                         |
|-----------------------------|----------------------|-------------------------|---------------------|-----------------|-------------------------|
| Projects                    | FY 2012/2016 Enacted | FY 2012/2016 Actual Obs | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| <b>Total</b>                | <b>3,473</b>         | <b>-</b>                | <b>3,494</b>        | <b>7,834</b>    | <b>4,340</b>            |

<sup>1</sup> FY 2012 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 2012 Actual | FY 2012 Enacted | FY 2013 CR Baseline | FY 2014 Request | FY 2012 Actual | FY 2013 Estimate | FY 2014 Estimate |
| Capitol Police Buildings, Grounds, and Security | 14             | 16              | 16                  | 16              | 32             | 32               | 32               |

<sup>1</sup>FY 2013/2014 project funded FTEs are estimated figures and dependent to the numbers of projects funded.

| FY 2014 Object Class (\$000) |                                    |   |                     |                 |                         |
|------------------------------|------------------------------------|---|---------------------|-----------------|-------------------------|
| Object Class                 |                                    | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| 11                           | Personnel Compensation             | 1,626                                   | 1,755               | 1,781           | 26                      |
| 12                           | Personnel Benefits                 | 546                                     | 430                 | 440             | 10                      |
| 21                           | Travel                             | 6                                       | 8                   | 8               | -                       |
| 22                           | Transportation of Things           | -                                       | -                   | -               | -                       |
| 23                           | Rent, Communications and Utilities | 6,140                                   | 7,074               | 7,180           | 106                     |
| 24                           | Printing and Reproduction          | -                                       | -                   | -               | -                       |
| 25                           | Other Contractual Services         | 9,615                                   | 9,776               | 9,807           | 31                      |
| 26                           | Supplies and Materials             | 57                                      | 57                  | 58              | -                       |
| 31                           | Equipment                          | -                                       | -                   | -               | -                       |
| 32                           | Land and Structures                | -                                       | 2,530               | 7,661           | 5,131                   |
| 42                           | Insurance Claims and Indemnities   | -                                       | -                   | -               | -                       |
| <b>Total</b>                 |                                    | <b>17,990</b>                           | <b>21,630</b>       | <b>26,935</b>   | <b>5,304</b>            |

<sup>1</sup>FY 2012 Actuals represent total obligations of funds incurred irrespective of the year of appropriation. Personnel Compensation and Personnel Benefits include payroll and project funded obligations.

# Capitol Police Buildings, Grounds and Security



## FY 2014 ANALYSIS OF CHANGE

|  | FY 2014 Appropriation |                |
|--|-----------------------|----------------|
|  | FTE                   | Amount (\$000) |
| <b>FY 2013 CR Baseline (FTE reflects Payroll Funded only)</b>    | 16                    | 21,630         |
| <b>Non-Recurring Costs</b>                                       |                       |                |
| Multi-Year Projects (FY 2012 Enacted plus 0.612% increase).....  |                       | (3,494)        |
| <b>Other Decreases</b>   |                       |                |
| FY2014 Lapse Rate Adjustment.....                                |                       | (21)           |
| <b>Total Program Decreases</b>                                   |                       | <u>(3,515)</u> |
| <b>Mandatory Pay Related Costs:</b>                              |                       |                |
| FY 2012 FERs Adjustment from 11.7% to 11.9%.....                 |                       | 3              |
| FY 2012 FEHB Employer Contribution Increase of 4%.....           |                       | 4              |
| FY 2013 Within Grade Increase.....                               |                       | 15             |
| FY 2013 FICA Adjustment of 2%.....                               |                       | 6              |
| FY 2013 FEHB Employer Contribution Increase of 3.3%.....         |                       | 5              |
| FY 2014 Cost-of-Living Adjustment of 1.8%.....                   |                       | 21             |
| FY 2014 Within Grade Increase.....                               |                       | 16             |
| FY 2014 Zero-based Payroll Adjustment.....                       |                       | (13)           |
| <b>Total Mandatory Pay Related Costs</b>                         |                       | <u>57</u>      |
| <b>Total Price Level Changes</b>                                 |                       | -              |
| <b>Program Increases:</b>  |                       |                |
| FY 2013 CR Baseline Credit Adjustment.....                       |                       | (96)           |
| Facilities Maintenance.....                                      |                       | 490            |
| Jurisdiction Centralized Activities.....                         |                       | 535            |
| Multi-Year Projects:   |                       |                |
| Small Arms Firing Range, RHOB Garage, CPBG&S.....                |                       | 4,520          |
| Chiller Replacement and Chilled Water System Expansion, ACF..... |                       | 814            |
| Minor Construction.....  |                       | 2,500          |
| <b>Total Program Increases</b>                                   |                       | <u>8,763</u>   |
| <b>Net Increase/Decrease</b>                                     |                       | <u>- 5,305</u> |
| <b>Total Appropriation</b>                                       | <u>16</u>             | <u>26,935</u>  |



# Capitol Police Buildings, Grounds and Security

## SUMMARY OF CHANGES

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 2013 CR Baseline | Program Realignment/ Transfers | Mandatory Pay and Price Increases | Program Changes | FY 2014 Request | FY 2013/2014 Difference |
| Facilities Maintenance              | 9,395               | -                              | -                                 | 433             | 9,828           | 433                     |
| Furniture Repair                    | 75                  | -                              | -                                 | -               | 75              | -                       |
| Jurisdiction Centralized Activities | 6,481               | -                              | -                                 | 496             | 6,977           | 496                     |
| Payroll                             | 2,185               | -                              | 36                                | -               | 2,221           | 36                      |
| <b>Total</b>                        | <b>18,136</b>       | <b>-</b>                       | <b>36</b>                         | <b>929</b>      | <b>19,101</b>   | <b>965</b>              |

### Program Groups - Description and Analysis of Changes

#### Facilities Maintenance

(FY 2013 CR Baseline: \$9,395

FY 2014 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, snow removal services, and USCP Special Event support.

The program increases of \$433K reflect new mission requirements in FY 2013 (Actual requirement \$490K)

Decrease of \$57K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase H.J. RES. 117.

- **(\$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 2013 CR Baseline: \$75K)**

**FY 2014 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 United States Capitol Police (USCP) and AOC Office of Security Programs personnel, wherever located.

### Jurisdiction Centralized Activities

**(FY 2013 CR Baseline: \$6,481K)**

**FY 2014 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 space within the Government Printing Office Building; the Fairchild Building; the USCP Radio Mirror Site and Radio towers site.

The program increases of \$496K reflect new mission requirements in FY 2013 (Actual requirement \$535K) for lease of space on four commercial antenna towers within the metropolitan area. 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.

Decrease of \$39K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase H.J. RES. 117.



## Capitol Police Buildings, Grounds and Security

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### *SUMMARY OF CHANGES (continued)*

#### **Payroll**

**(FY 2013 CR Baseline: \$2,185K)**

**FY 2014 Request: \$2,221K)**

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 \$36K, reflects net adjustment due to FY 2013 Federal Insurance Contributions Act (FICA) tax rate increase of 2%, FY 2013 Federal Employees Health Benefits (FEHB) Program rate increase of 3.3%, Congressional Budget Office FY 2014 Cost-of-Living Adjustment (COLA) rate increase of 1.8%, Within Grade Increase adjustment, FY 2014 Zero-based payroll adjustment, and AOC estimated FY 2014 Lapse Rate adjustment of 1.4%.



## 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 Architect of the Capitol (AOC), Members, Committees, and other AOC clients.

| <b>Multi-Year Projects (\$000)</b>                               |                              | <b>Request Amount</b> |
|--|------------------------------|-----------------------|
| <b>Line Item Construction Program Projects:</b>                  |                              |                       |
| Chiller Replacement and Chilled Water System Expansion, ACF..... |                              | 814                   |
| Small Arms Firing Range, RHOB Garage, CPBG&S.....                |                              | 4,520                 |
|  | <b>Total</b>                 | <b>5,334</b>          |
| <b>Other Projects:</b>   |                              |                       |
| Minor Construction.....  |                              | 2,500                 |
|  | <b>Total</b>                 | <b>2,500</b>          |
|  | <b>Total Project Request</b> | <b>7,834</b>          |

#### **Minor Construction**

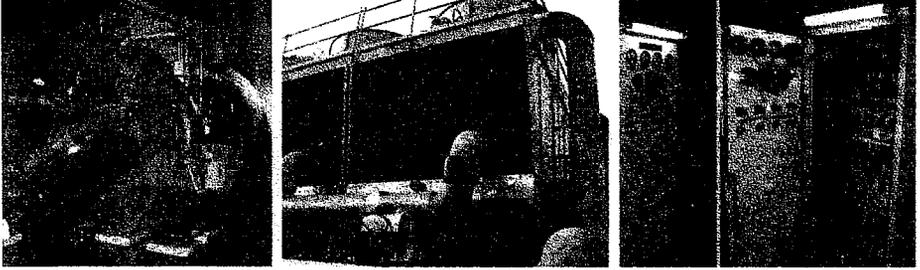
**\$2,500K**

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:** Chiller Replacement & Chilled Water System Expansion, Phase I, ACF **Cost:** \$814K



**AOC Prioritization:** #3 of 17 submitted.

**Previously Requested From Congress:** This project was previously requested for design in FY 2008 and FY 2009.

**Project Description:** This project is the first phase of a multi-phase design effort to replace all chillers and associated distribution piping within the Alternate Computer Facility (ACF) chiller plant.

- Phase I includes the base design option and is scheduled for FY 2014. It is a design for the replacement of one of the aging chillers and associated equipment, with two new smaller units.
- Phase I also includes design option I to upgrade boilers, hot water pumps, chillers, cooling tower, chilled water pumps, condensate water pumps, air handling units, and exhaust fans to direct digital controls.
- Phase II includes design option II which would begin in FY 2015 to design a replacement of the other two existing chillers and associated components with newer technology.
- Phase II includes design option III to design the build-out of the chilled water infrastructure to Tier 3 standards.

**Anticipated Start and End Dates:** It is anticipated that the project will be awarded by April 2014, with completion by August 2016. Dates are contingent upon status of appropriations bill, fund availability, quality of contractor bids, congressional schedules and other factors.



## Capitol Police Buildings, Grounds and Security

### Program Cost/Funding Overview:

| Chiller Replacements and Chilled Water System Expansion, ACF - Total Costs Summary (\$000) |                      |                |                   |                   |                          |                       |
|--|----------------------|----------------|-------------------|-------------------|--------------------------|-----------------------|
| Task   | Prior FY 2012 Funded | FY 2012 Funded | FY 2013 Requested | FY 2014 Requested | FY 2015-2018 Anticipated | Total Projected Costs |
| Study <sup>1</sup>   | 237                  | -              | -                 | -                 | -                        | 237                   |
| Design (Phase I: Base & Option I)  | -                    | -              | -                 | 814               | -                        | 814                   |
| Design (Phase II: Option II & III)   | -                    | -              | -                 | -                 | 1,040                    | 1,040                 |
| Construction (Phase I)   | -                    | -              | -                 | -                 | TBD                      | -                     |
| Construction (Phase II)  | -                    | -              | -                 | -                 | TBD                      | -                     |
| Construction (Phase III)   | -                    | -              | -                 | -                 | TBD                      | -                     |
| Construction (Phase IV)  | -                    | -              | -                 | -                 | TBD                      | -                     |
| <b>Total</b>   | <b>237</b>           | <b>-</b>       | <b>-</b>          | <b>814</b>        | <b>1,040</b>             | <b>2,091</b>          |

<sup>1</sup>Study funded with jurisdiction operating funds.

**Cost of Recurring Operations:** This project will install new energy efficient chiller units.

- The facility will have a reduction in monthly utility bills.
- The new chiller units are expected to reduce operations and maintenance costs but this cannot be accurately estimated at this point.
- The project will also replace one of the three large chiller units with two small ones. This is planned to assist in the energy efficient operations of these units by allowing for more flexible heat load satisfaction. These measures should yield energy cost savings.

**Citation Driven:** No.

**Client Request:** Yes.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Design; Capital Renewal; Mission.

**Facility Condition Assessment:** The overall building is in Good condition, but if not funded, the facility condition will be negatively impacted in the near future.

**Study Completed:** A study for the Critical Infrastructure Protection of the ACF is still underway and scheduled for completion by January 2013.

**Risk and Impact If Not Funded:** Continued use of the existing system subjects the facility to potential failure of cooling the data infrastructure in this critical facility.

- The lack of a proper Tier 3 chilled water infrastructure system creates a risk that the mission of the ACF may not be accomplishable during disasters.
- The current system uses R-11 refrigerant which contains chlorofluorocarbons that are harmful to the environment.
- R-11 is no longer manufactured and difficult to obtain.

## Capitol Police Buildings, Grounds and Security



**Project Title:** Small Arms Firing Range Renovation, RHOB Garage

**Cost:** \$4,520K



**AOC Prioritization:** #5 of 17 submitted.

**Previously Requested From Congress:** FY 2014 is the first year in which AOC is requesting construction funding.

**Project Description:** The existing firing range is in need of repair for various reasons. These include:

- Lead levels;
- Air temperature control and Life-safety issues.
- The existing conditions in the firing range do not meet the current National Fire Protection Association 101 and International Building Code life-safety requirements.
  - The layout of the existing space must be updated in order to comply with these code requirements. For example, there is a non-compliant exit separation and unallowable travel distance to an exit.
- Tests show the presence of lead in locations such as the firing range, crawl space behind the range trap and outside of the range facility in open areas of the Rayburn House Office Building Garage near exhaust ducting.
  - The concentrations significantly exceed Environmental Protection Agency (EPA) and District of Columbia maximum allowable levels.
- Lighting is insufficient and the space layout is poor and inefficient.
- Complete relocation of the range to the adjacent southwest corner has been recommended and identified as the best solution.

**Anticipated Start and End Dates:** Project duration is 19 months. It is anticipated that the project will be awarded by March 2014, with completion by September 2015. Dates are contingent upon status of appropriations bill, fund availability, quality of contractor bids, congressional schedules and other factors.



## Capitol Police Buildings, Grounds and Security

### Program Cost/Funding Overview:

| Small Arms Firing Range Renovation, RHOB Garage - Total Costs Summary (\$000) |                      |                |                   |                   |                          |                       |
|---|----------------------|----------------|-------------------|-------------------|--------------------------|-----------------------|
| Task  | Prior FY 2012 Funded | FY 2012 Funded | FY 2013 Requested | FY 2014 Requested | FY 2015-2018 Anticipated | Total Projected Costs |
| Study   | 62                   | -              | -                 | -                 | -                        | 62                    |
| Design  | -                    | -              | -                 | 402               | -                        | 402                   |
| Construction  | -                    | -              | -                 | 4,118             | -                        | 4,118                 |
| <b>Total</b>  | <b>62</b>            | <b>-</b>       | <b>-</b>          | <b>4,520</b>      | <b>-</b>                 | <b>4,582</b>          |

**Cost of Recurring Operations:** Maintenance costs of the new facility are anticipated to remain the same.

**Citation Driven:** No.

**Client Request:** Yes.

**Project Phase; Classification; Capital Improvements Plan Goal(s):** Design-Build Construction; Capital Improvement; Mission and Security.

**Facility Condition Assessment:** The overall building is considered in Poor condition; however, while the project improves functionality and reduces hazardous material, it does not contribute to facility condition improvement.

**Study Completed:** FY 2011.

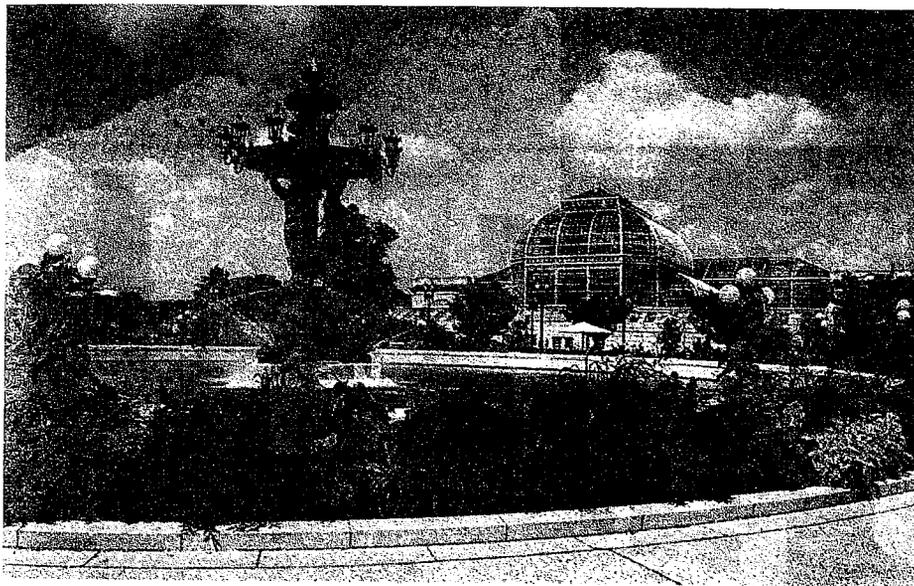
**Risk and Impact If Not Funded:** If not funded, there exists a potential for shut-down of the RHOB firing range facility due to conditions resulting from obsolete and malfunctioning mechanical ventilation systems and lead.

- Lead levels will continue to exceed the EPA maximum allowable levels.
- Life-safety issues, due to high lead levels, will remain.
- The United States Capitol Police may need to increase the use of the Federal Law Enforcement Training Center for bi-annual range qualifications.

The AOC business case demonstrates cost avoidance for the USCP (estimated at \$1.9M due to eliminating overtime and travel for bi-annual range qualification).



## 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 USBG Conservatory; National Garden; Administration Building; Bartholdi Park and Fountain; heritage and other plant collections, and the USBG Production Facility at D.C. Village.

The USBG is an institution dedicated to demonstrating the economic, therapeutic, ecological, aesthetic and cultural importance of plants. The USBG provides Congress, the nation, and the public with a wide range of unique and key professional expertise. USBG jurisdiction services include: education; botanical and horticulture expertise; plant conservation; and sustainability initiatives. The USBG world-wide public outreach includes: educational collaborative exhibits and publications; public/private partnerships to preserve plants and promote sustainable gardens; and educational efforts regarding sustainability and energy conservation. The USBG is one of many botanic gardens worldwide that actively participate in the conservation of endangered species by maintaining live species in their collection, studying wild plants, and introducing rare plants to the horticultural trade.



# Botanic Garden

## ***FACILITY SUMMARY:***

| <b>Facility Name / Type</b>                  | <b>Location</b> | <b>Year Built or Acquired &amp; Age</b> |    | <b>Area (square feet)</b> | <b>Deferred Maintenance</b> | <b>Capital Renewal</b> | <b>Backlog</b>      |
|--|-----------------|---|----|---------------------------|-----------------------------|------------------------|---------------------|
| Administration Building                      | Washington, DC  | 1931                                    | 81 | 3,788                     | \$390,000                   | \$0                    | \$390,000           |
| Bartholdi Park and Fountain                  | Washington, DC  | 1932                                    | 80 | 96,726                    | \$0                         | \$1,120,000            | \$1,120,000         |
| Conservatory                                 | Washington, DC  | 1933                                    | 79 | 106,335                   | \$2,346,000                 | \$4,580,000            | \$6,926,000         |
| Production Facility Greenhouse and Headhouse | Washington, DC  | 1993                                    | 19 | 117,930                   | \$686,000                   | \$7,039,000            | \$7,725,000         |
| Production Facility Lath House               | Washington, DC  | 1994                                    | 18 | 4,760                     | \$0                         | \$0                    | \$0                 |
| Production Facility Pesticide Storage        | Washington, DC  | 1994                                    | 18 | 450                       | \$0                         | \$0                    | \$0                 |
| Production Facility Temporary Structures     | Washington, DC  | 2000                                    | 12 | 5,500                     | \$0                         | \$0                    | \$0                 |
| Production Facility Grounds                  | Washington, DC  | 2000                                    | 12 | Varies                    | \$62,000                    | \$146,000              | \$208,000           |
| <b>Total</b>                                 |                 |   |    | <b>335,489</b>            | <b>\$3,484,000</b>          | <b>\$12,885,000</b>    | <b>\$16,369,000</b> |

**Notes:**

*Deferred Maintenance is defined as maintenance, repair or replacement work on existing facilities and infrastructure that is past due causing failure or partial failure.*

*Capital Renewal is defined as making replacements in kind to correct unacceptable conditions caused by aged building components prior to failure.*

*Backlog equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance within a five year window.*

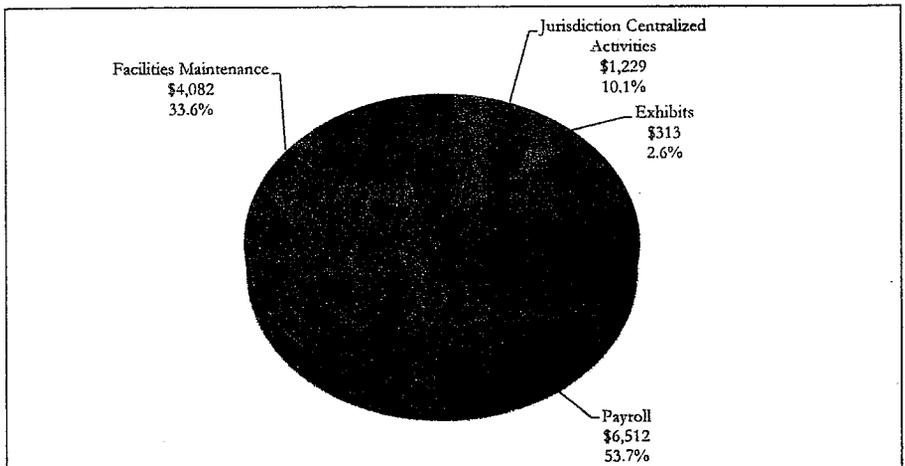


## Botanic Garden

### OPERATING BUDGET SUMMARY:

#### FY 2014 BUDGET REQUEST ALLOCATION (\$12,136K)

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 (including seasonal displays); Facilities Maintenance (including horticulture and fine gardening); Jurisdiction Centralized Activities (including education, collaborations, partnerships and outreach), and Payroll. The majority of the Botanic Garden's Operating Budget request is in Payroll because maintenance of a botanic garden, plants and a conservatory; and the associated educational efforts are manpower intensive.



The **Payroll** Program Group accounts for 53.7% of the Botanic Garden budget and funds salaries and benefits for employees specifically supporting the appropriation. This provides the capability to properly care for the Garden's facilities, fountains, and gardens. The facilities are in continual need of due to weather-related issues, aging facilities, and environmental conditions. This payroll request enables the Botanic Garden to fulfill its mission to educate the public on the history, importance, and care of plants. The Botanic Garden's staff is specialized in various program areas. For example, the maintenance mechanics are specialists in the care and maintenance of greenhouses, irrigation systems, fountains, and historic buildings. Horticulturist employees are specialized in science, research, plant conservation, botany, taxonomy, and plant culture. The public programs' staff provides expertise in areas such as signage, interpretation, communication, outreach, exhibits, displays, and education regarding plants.



## Botanic Garden

### *OPERATING BUDGET SUMMARY (continued)*

The **Facilities Maintenance** Program Group accounts for 33.6% of the Botanic Garden budget and funds supplies, materials, maintenance contracts, and cleaning contracts. This enables the performance of year-round and cyclical maintenance required of the Conservatory and Production Facility greenhouses. At the Production Facility and Conservatory, the greenhouse vent drives need continual maintenance so drive pipes, gears, rack arms, and motors function to open and close the vents to allow for passive/sustainable 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 American with Disabilities Act 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 Botanic Garden also must contract for the disposal of bulk and solid waste associated with the care of gardens, plants and greenhouses.

In our effort to become more efficient we have merged the **Grounds Maintenance and Miscellaneous Improvements** Program Groups with the **Facilities Maintenance** Program Group. This change in the Botanic Garden budget will provide more flexibility in the use of our resources. Merging these three programs will continue to allow 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. The combined program also provide funds for 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.

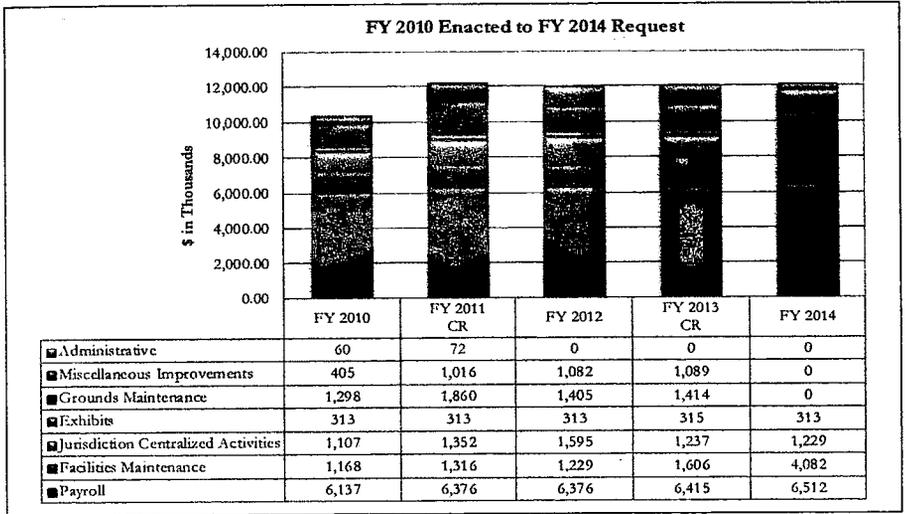
The **Jurisdiction Centralized Activities** Program Group accounts for 10.1% of the Botanic Garden budget and encompasses non-discretionary costs such as vehicle maintenance and training, as well as costs for fulfillment of its mission to demonstrate and educate the critical importance of plants. Funds are included for education and outreach to teachers, students, garden clubs and the general public. 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.

The **Exhibits** Program Group accounts for 2.6% of the Botanic Garden budget and 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 funding 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. monuments, the White House, the Supreme Court Building, Botanic Garden, and other congressional buildings. Approximately 51% 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.



# Botanic Garden

## FUNDING OVERVIEW



**Note:**

FY 2014 budget request merged Grounds Maintenance and Miscellaneous Improvements with Facilities Maintenance.



# 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 oversight of 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 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Operating Budget     | 12,000          | 11,610                                  | 12,074              | 12,136          | 61                      |
| Multi-Year Projects  | -               | -                                       | -                   | -               | -                       |
| <b>Total</b>         | <b>12,000</b>   | <b>11,610</b>                           | <b>12,074</b>       | <b>12,136</b>   | <b>61</b>               |

| Operating Budget (\$000)            |                 |   |                     |                 |                         |
|-------------------------------------|-----------------|---|---------------------|-----------------|-------------------------|
| Program Groups                      | FY 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Exhibits                            | 313             | 322                                     | 315                 | 313             | (2)                     |
| Facilities Maintenance              | 1,595           | 3,004                                   | 1,606               | 4,082           | 2,476                   |
| Grounds Maintenance                 | 1,405           | 8                                       | 1,414               | -               | (1,414)                 |
| Jurisdiction Centralized Activities | 1,229           | 1,120                                   | 1,237               | 1,229           | (8)                     |
| Miscellaneous Improvements          | 1,082           | 1,085                                   | 1,089               | -               | (1,089)                 |
| Payroll                             | 6,376           | 6,070                                   | 6,415               | 6,512           | 97                      |
| Annual-Funded Projects              | -               | -                                       | -                   | -               | -                       |
| <b>Total</b>                        | <b>12,000</b>   | <b>11,610</b>                           | <b>12,074</b>       | <b>12,136</b>   | <b>61</b>               |

| Multi-Year Projects (\$000) |                      |                         |                     |                 |                         |
|-----------------------------|----------------------|-------------------------|---------------------|-----------------|-------------------------|
| Projects                    | FY 2012/2016 Enacted | FY 2012/2016 Actual Obs | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| <b>Total</b>                | <b>-</b>             | <b>-</b>                | <b>-</b>            | <b>-</b>        | <b>-</b>                |

<sup>1</sup> FY 2012 Actual Obligations can include reprogrammings/transfers from other appropriations.

# Botanic Garden



## BUDGET SUMMARY (continued)

| Full Time Equivalents (FTEs) |                |                 |                     |                 |                |                  |                  |
|------------------------------|----------------|-----------------|---------------------|-----------------|----------------|------------------|------------------|
| Appropriation                | Payroll Funded |                 |                     |                 | Project Funded |                  |                  |
|                              | FY 2012 Actual | FY 2012 Enacted | FY 2013 CR Baseline | FY 2014 Request | FY 2012 Actual | FY 2013 Estimate | FY 2014 Estimate |
| Botanic Garden               | 64             | 68              | 68                  | 68              | 2              | 2                | 2                |

<sup>1</sup>FY 2013/2014 project funded FTEs are estimated figures and dependent to the numbers of projects funded.

| FY 2014 Object Class (\$000) |                                    |   |                     |                 |                         |
|------------------------------|------------------------------------|---|---------------------|-----------------|-------------------------|
| Object Class                 |                                    | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| 11                           | Personnel Compensation             | 4505                                    | 4664                | 4772            | 108                     |
| 12                           | Personnel Benefits                 | 1746                                    | 1751                | 1740            | (11)                    |
| 21                           | Travel                             | 26                                      | 29                  | 29              | -                       |
| 22                           | Transportation of Things           | -                                       | -                   | -               | -                       |
| 23                           | Rent, Communications and Utilities | -                                       | -                   | -               | -                       |
| 24                           | Printing and Reproduction          | -                                       | -                   | -               | -                       |
| 25                           | Other Contractual Services         | 4159                                    | 4481                | 4491            | 10                      |
| 26                           | Supplies and Materials             | 916                                     | 731                 | 684             | (47)                    |
| 31                           | Equipment                          | 192                                     | 25                  | 25              | -                       |
| 32                           | Land and Structures                | 140                                     | 393                 | 395             | 2                       |
| 42                           | Insurance Claims and Indemnities   | -                                       | -                   | -               | -                       |
| <b>Total</b>                 |                                    | <b>11,684</b>                           | <b>12,074</b>       | <b>12,136</b>   | <b>61</b>               |

<sup>1</sup> FY 2012 Actuals represents total obligations of funds incurred irrespective of the year of appropriation. Personnel Compensation and Personnel Benefits include payroll and project funded obligations.



# Botanic Garden

## *FY 2014 ANALYSIS OF CHANGE*

|  | FY 2014 Appropriation |                |
|--|-----------------------|----------------|
|  | FTE                   | Amount (\$000) |
| FY 2013 CR Baseline (FTE reflects Payroll Funded only)   | 68                    | 12,074         |
| Non-Recurring Costs                                      |                       |                |
| Other Decreases  |                       |                |
| Lapse Rate Adjustment.....                               |                       | (87)           |
| <b>Total Program Decreases</b>                           |                       | <b>(87)</b>    |
| <b>Mandatory Pay Related Costs:</b>                      |                       |                |
| FY 2012 FERs Adjustment from 11.7% to 11.9%.....         |                       | 9              |
| FY 2012 FEHB Employer Contribution Increase of 4%.....   |                       | 18             |
| FY 2013 Within Grade Increase.....                       |                       | 47             |
| FY 2013 Cost-of-Living Adjustment of 2%.....             |                       | 24             |
| FY 2013 FEHB Employer Contribution Increase of 3.3%..... |                       | 14             |
| FY 2014 Cost-of-Living Adjustment of 1.8%.....           |                       | 71             |
| FY 2014 Within Grade Increase.....                       |                       | 44             |
| FY 2014 Zero-based Payroll Adjustment.....               |                       | (43)           |
| <b>Total Mandatory Pay Related Costs</b>                 |                       | <b>184</b>     |
| <b>Program Increases</b>                                 |                       |                |
| FY 2013 CR Baseline Credit Adjustment.....               |                       | (36)           |
| <b>Total Program Increases</b>                           |                       | <b>(36)</b>    |
| <b>Net Increase/Decrease</b>                             |                       | <b>61</b>      |
| <b>Total Appropriation</b>                               | <b>68</b>             | <b>12,136</b>  |



## Botanic Garden

### SUMMARY OF CHANGES

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 Program (\$000)           |                     |                                |                                   |                 |                 |                         |
|-------------------------------------|---------------------|--------------------------------|-----------------------------------|-----------------|-----------------|-------------------------|
| Program Groups                      | FY 2013 CR Baseline | Program Realignment/ Transfers | Mandatory Pay and Price Increases | Program Changes | FY 2014 Request | FY 2013/2014 Difference |
| Exhibits                            | 315                 | -                              | -                                 | (2)             | 313             | (2)                     |
| Facilities Maintenance              | 1,606               | 1,089                          | -                                 | (26)            | 4,082           | 2,476                   |
| Grounds Maintenance                 | 1,414               | -                              | -                                 | -               | -               | (1,414)                 |
| Jurisdiction Centralized Activities | 1,237               | -                              | -                                 | (8)             | 1,229           | (8)                     |
| Miscellaneous Improvements          | 1,089               | (1,089)                        | -                                 | -               | -               | (1,089)                 |
| Payroll                             | 6,415               | -                              | 97                                | -               | 6,512           | 97                      |
| <b>Total</b>                        | <b>12,074</b>       | <b>-</b>                       | <b>97</b>                         | <b>(36)</b>     | <b>12,136</b>   | <b>61</b>               |

### Program Groups - Description and Analysis of Changes

#### Exhibits

**(FY 2013 CR Baseline: \$315K)**

**FY 2014 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.

Decrease of \$2K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J. RES. 117).

#### Facilities Maintenance

**(FY 2013 CR Baseline: \$1,606K)**

**FY 2014 Request: \$4,082K)**

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.

Increase funding of \$2,476K reflects realignment of funds from the Miscellaneous Improvement and Ground Maintenance Program to more accurately reflect the nature of the requirement.

Decrease of \$26K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J. RES. 117).



## Botanic Garden

### *SUMMARY OF CHANGES (continued)*

#### **Grounds Maintenance**

**(FY 2013 CR Baseline: \$1,414K)**

**FY 2014 Request: \$0K)**

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. The funding is being merged with the Facilities Maintenance Program Group.

#### **Program Realignment from Ground Maintenance to Facilities Maintenance**

**(\$-1,414K)**

Funds previously budgeted in the Ground Maintenance Program Group are being realigned to the Facilities Maintenance Program Group to more accurately reflect the nature of the requirement.

#### **Jurisdiction Centralized Activities**

**(FY 2013 CR Baseline: \$1,237K)**

**FY 2014 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.

Decrease \$8K reflects FY 2013 CR Baseline Credit Adjustment due to 0.612% increase (H.J. RES. 117).

#### **Miscellaneous Improvements**

**(FY 2013 CR Baseline: \$1,089K)**

**FY 2014 Request: \$0K)**

The Miscellaneous Improvements Program Group funds the repair, replacement, and improvement of Botanic Garden facilities. The scope of these projects exceeds normal maintenance requirements. The funding is being merged with the Facilities Maintenance Program Group.

#### **Program Realignment from Miscellaneous Improvements to Facilities Maintenance**

**(\$-1,089K)**

Funds previously budgeted in the Miscellaneous Improvement Program Group are being realigned to the Facilities Maintenance Program Group to more accurately reflect the nature of the requirement.

#### **Payroll**

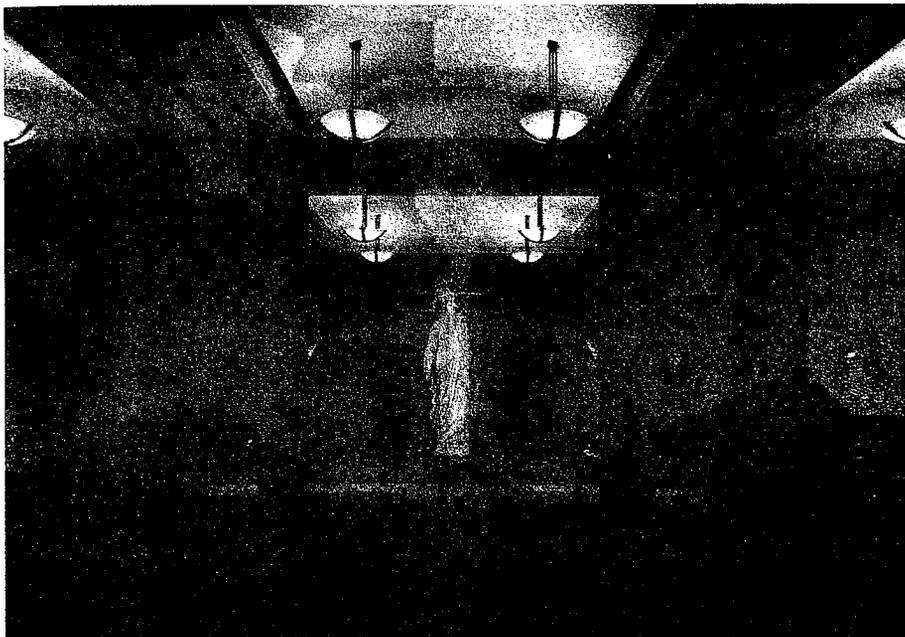
**(FY 2013 CR Baseline: \$6,415K)**

**FY2014 Request: \$6,512K)**

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 \$97K reflects net adjustment due to FY 2013 Federal Insurance Contributions Act (FICA) tax rate increase of 2%, FY13 Federal Employees Health Benefits (FEHB) Program rate increase of 3.3%, Congressional Budget Office FY 2014 Cost-of-Living Adjustment (COLA) rate increase of 1.8%, Within Grade Increase adjustment, Zero-based payroll adjustment, and AOC estimated FY 2014 Lapse Rate adjustment of 1.4%.

## 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 CVC. 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 place in which to learn about the work of Congress and the U.S. Capitol Building.

The CVC is a modern, secure, and educational, and convenient addition that respects the Capitol's historical setting while greatly enhancing visitor access to the Capitol Building and the work of Congress. A little less than four years since its opening, the CVC has now welcomed over seven million visitors to the nation's Capitol Building.

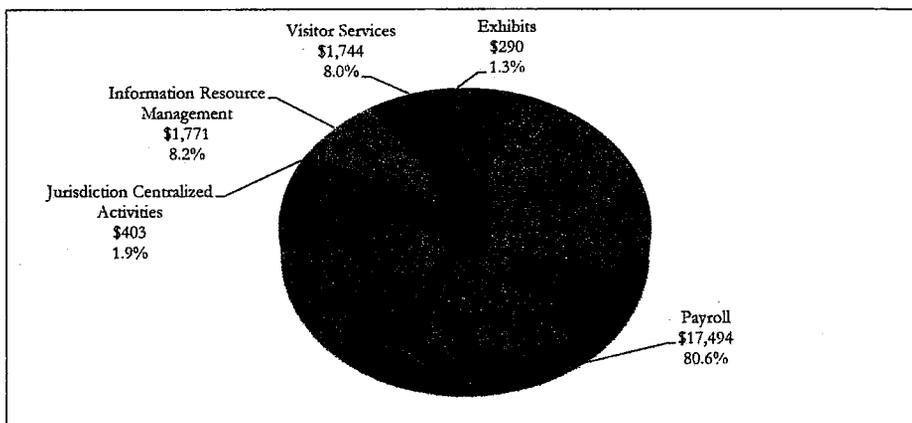


## Capitol Visitor Center

### OPERATING BUDGET SUMMARY:

#### FY 2014 BUDGET REQUEST ALLOCATION (\$21,702K)

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: Exhibits, Information Resource Management, Jurisdiction Centralized Activities, Payroll, and Visitor Services.



The Payroll Program Group accounts for 80.6% of the CVC budget and funds salaries and benefits for employees specifically supporting the appropriation. Of the funding requested, approximately 12% is for Congressional Services (including normal and special request services provided to Congress, their staff, and the public); 3% is associated with Leadership; 13% is for Central Jurisdiction Support Services which provides the labor integral to CVC operations support of the Congress and public, such as CVC-unique human capital management, and CVC-unique legal support. The CVC payroll request also includes 72% for Public and Visitor Services (including visitor assistance services provided to enhance the experience of the visitor and constituents). The Visitor Services component 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 operations on a daily basis); 5% Exhibit Services (activities associated with public exhibits, events, education and public programs, and related visitor services); 11% Gift Shop Services (activities associated with managing and maintaining Gift Shops within the CVC; including those activities provided by sales, inventory, merchandising, and management staff), and 83% Visitor Services (activities associated with tours, special events, and visitor assistance provided by the guides, visitor assistants, schedulers and visitor services management staff.)



## Capitol Visitor Center

### *OPERATING BUDGET SUMMARY (continued)*

The **Information Resource Management** Program Group accounts for 8.2% of the Capitol Visitor Center (CVC) budget and funds information technology software, hardware and services specific to the CVC. This request includes 58% for the Advanced Reservation System used by Congress and the public to book tours. CVC maintains two gift shops and a restaurant, both of which record cash and credit card transactions on a daily basis. This request includes 21% 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 11% to maintain the room-booking software used by Congress to reserve these spaces. The remaining 10% is to provide support for the CVC's website and communication activities that provide information to the Congress and the public.

The **Visitor Services** Program Group accounts for 8.0% of the CVC budget and funds CVC Operations Support. This request includes 46% for general operations support, which funds annual maintenance and replacement of the listening devices used by the guides and visitors during tours; maintenance of the radios used by the guide staff; and maintenance of a fleet of six shuttles. This request also includes 16% 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 covers 26% for public awareness to include graphic design support and the printing of visitor brochures. Finally, the request includes 12% for planning and evaluation activities to include resources needed to monitor visitor satisfaction.

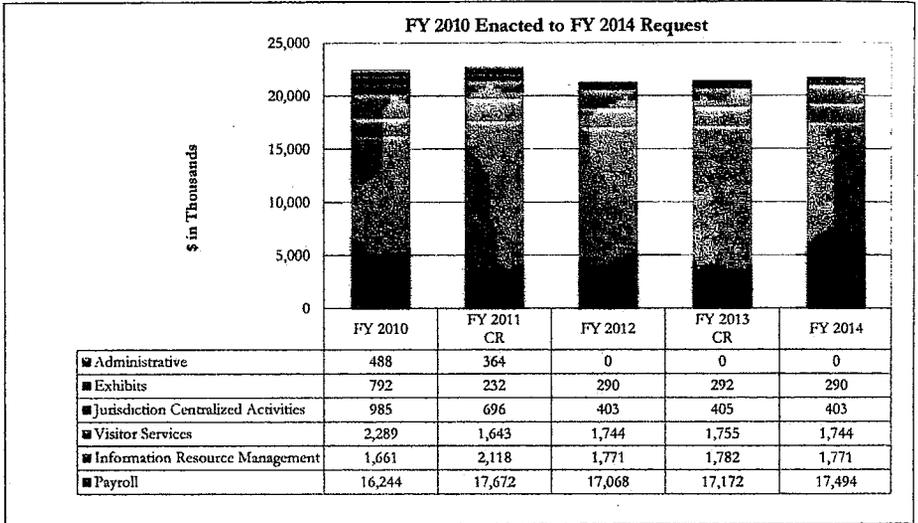
The **Jurisdiction Centralized Activities** Program Group accounts for 1.9% of the CVC budget. This request involves 57% for training. This funding is needed to maintain the required level of technical expertise and world class customer service. This request also includes approximately 25% for uniforms for front-line staff for safety, security and identification purposes; 12% to maintain the Congressional Tour Training Program (formerly known as CHIP) to ensure informative tours; and 6% for Emergency Preparedness.

The **Exhibits** Program Group accounts for 1.3% of the CVC budget. This request involves approximately 60% to support the CVC's ability to provide quality exhibit rotations and maintain the operational aspects of Exhibition Hall. The remaining 40% is used for Exhibition Hall education, public programs, exhibit conservation and supplies.



# Capitol Visitor Center

## FUNDING OVERVIEW



# 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 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 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Operating Budget     | 21,276          | 20,412                                  | 21,406              | 21,702          | 296                     |
| Multi-Year Projects  | -               | -                                       | -                   | -               | -                       |
| <b>Total</b>         | <b>21,276</b>   | <b>20,412</b>                           | <b>21,406</b>       | <b>21,702</b>   | <b>296</b>              |

| Operating Budget (\$000)            |                 |   |                     |                 |                         |
|-------------------------------------|-----------------|---|---------------------|-----------------|-------------------------|
| Program Groups                      | FY 2012 Enacted | FY 2012 <sup>1</sup> Actual Obligations | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| Exhibits                            | 290             | 292                                     | 292                 | 290             | (2)                     |
| Information Resource Management     | 1,771           | 1,608                                   | 1,782               | 1,771           | (11)                    |
| Jurisdiction Centralized Activities | 403             | 268                                     | 405                 | 403             | (2)                     |
| Payroll                             | 17,068          | 16,339                                  | 17,172              | 17,494          | 322                     |
| Visitor Services                    | 1,744           | 1,906                                   | 1,755               | 1,744           | (11)                    |
| Annual-Funded Projects              | -               | -                                       | -                   | -               | -                       |
| <b>Total</b>                        | <b>21,276</b>   | <b>20,412</b>                           | <b>21,406</b>       | <b>21,702</b>   | <b>296</b>              |

| Project Budget - Multi-Year (\$000) |                      |                         |                     |                 |                         |
|-------------------------------------|----------------------|-------------------------|---------------------|-----------------|-------------------------|
| Projects                            | FY 2012/2016 Enacted | FY 2012/2016 Actual Obs | FY 2013 CR Baseline | FY 2014 Request | FY 2013/2014 Difference |
| <b>Total</b>                        | <b>-</b>             | <b>-</b>                | <b>-</b>            | <b>-</b>        | <b>-</b>                |

<sup>1</sup> FY 2012 Actual Obligations can include reprogrammings/transfers from other appropriations.

Note: CVC had significant lapse in senior staff positions in FY 2012. Those positions have now been filled. Additionally, CVC has finalized its management staffing requirements to meet ongoing operations. It is expected that CVC's payroll requirements will be annualized in FY 2014.



# Capitol Visitor Center

## BUDGET SUMMARY (continued)

| Full Time Equivalents (FTE) |                   |                        |                    |                   |                     |                     |
|-----------------------------|-------------------|------------------------|--------------------|-------------------|---------------------|---------------------|
| Appropriation               | Payroll Funded    |                        |                    | Project Funded    |                     |                     |
|                             | FY 2012<br>Actual | FY 2013 CR<br>Baseline | FY 2014<br>Request | FY 2012<br>Actual | FY 2013<br>Estimate | FY 2014<br>Estimate |
| Capitol Visitor Center      | 219               | 247                    | 244                | -                 | -                   | -                   |

<sup>1</sup>FY 2013/2014 project funded FTEs are estimated figures and dependent to the numbers of projects funded.

| FY 2014 Object Class (\$000) |                                    |   |                        |                    |                            |
|------------------------------|------------------------------------|---|------------------------|--------------------|----------------------------|
| Object Class                 |                                    | FY 2012 <sup>1</sup><br>Actual<br>Obligations | FY 2013 CR<br>Baseline | FY 2014<br>Request | FY 2013/2014<br>Difference |
| 11                           | Personnel Compensation             | 12,127  | 12,530                 | 12,639             | 109                        |
| 12                           | Personnel Benefits                 | 4,291   | 4,642                  | 4,855              | 213                        |
| 21                           | Travel                             | 33  | 11                     | 11                 | -                          |
| 22                           | Transportation of Things           | -   | -                      | -                  | -                          |
| 23                           | Rent, Communications and Utilities | (23)  | 44                     | 44                 | -                          |
| 24                           | Printing and Reproduction          | 1   | -                      | -                  | -                          |
| 25                           | Other Contractual Services         | 4,359   | 3,129                  | 3,103              | (26)                       |
| 26                           | Supplies and Materials             | 346   | 19                     | 19                 | -                          |
| 31                           | Equipment                          | 1,194   | 1,031                  | 1,031              | -                          |
| 32                           | Land and Structures                | 940   | -                      | -                  | -                          |
| 42                           | Insurance Claims and Indemnities   | -   | -                      | -                  | -                          |
| <b>Total</b>                 |                                    | <b>23,268</b>                                 | <b>21,406</b>          | <b>21,702</b>      | <b>296</b>                 |

<sup>1</sup>FY 2012 Actuals represent total obligations of funds incurred irrespective of the year of appropriation. Personnel Compensation and Personnel Benefits include payroll and project funded obligations.



# Capitol Visitor Center

## FY 2014 ANALYSIS OF CHANGE

|   | FY 2014 Appropriation |                |
|---|-----------------------|----------------|
|   | FTE                   | Amount (\$000) |
| <b>FY 2013 CR Baseline (FTE reflects Payroll Funded only)</b>     | <b>247</b>            | <b>21,406</b>  |
| <b>Non-Recurring Costs</b>  |                       |                |
| <b>Other Decreases</b>  |                       |                |
| FTE Adjustment in support of the Office of Inspector General..... | (3)                   |                |
| Lapse Rate Adjustment.....  |                       | (298)          |
| <b>Total Program Decreases</b>                                    |                       | <b>(298)</b>   |
| <b>Mandatory Pay Related Costs:</b>                               |                       |                |
| FY 2012 FERs Adjustment from 11.7% to 11.9%.....                  |                       | 25             |
| FY 2012 FEHB Employer Contribution Increase of 4%.....            |                       | 40             |
| FY 2013 Within Grade Increase.....                                |                       | 126            |
| FY 2013 FICA Increase of 2%.....                                  |                       | 62             |
| FY 2013 FEHB Employer Contribution Increase of 3.3%.....          |                       | 42             |
| FY 2014 Cost-of-Living Adjustment of 1.8%.....                    |                       | 172            |
| FY 2014 Within Grade Increase.....                                |                       | 127            |
| FY 2014 Zero-based Payroll Adjustment.....                        | -                     | 26             |
| <b>Total Mandatory Pay Related Costs</b>                          | <b>-</b>              | <b>620</b>     |
| <b>Total Price Level Changes</b>                                  | <b>-</b>              | <b>-</b>       |
| <b>Program Increases:</b>   |                       |                |
| FY 2013 CR Baseline Credit Adjustment.....                        | -                     | (26)           |
| <b>Total Program Increases</b>                                    | <b>-</b>              | <b>594</b>     |
| <b>Net Increase/Decrease</b>                                      | <b>(3)</b>            | <b>296</b>     |
| <b>Total Appropriation</b>  | <b>244</b>            | <b>21,702</b>  |



# Capitol Visitor Center

## SUMMARY OF CHANGES

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 2013 CR Baseline | Program Realignment/Transfers | Mandatory Pay and Price Increases | Program Changes | FY 2014 Request | FY 2013/2014 Difference |
| Exhibits                            | 292                 | -                             | -                                 | (2)             | 290             | (2)                     |
| Information Resource Management     | 1,782               | -                             | -                                 | (11)            | 1,771           | (11)                    |
| Jurisdiction Centralized Activities | 405                 | -                             | -                                 | (2)             | 403             | (2)                     |
| Payroll                             | 17,172              | -                             | 322                               | -               | 17,494          | 322                     |
| Visitor Services                    | 1,755               | -                             | -                                 | (11)            | 1,744           | (11)                    |
| <b>Total</b>                        | <b>21,406</b>       | <b>-</b>                      | <b>322</b>                        | <b>(26)</b>     | <b>21,702</b>   | <b>296</b>              |

### Program Groups - Description and Analysis of Changes

#### Exhibits

**(FY 2013 CR Baseline: \$292K)**

**FY 2014 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.

Decrease of \$2K reflects FY 2013 CR Baseline Credit Adjustment due to a 0.612% increase (H.J. RES. 117).

#### Information Resource Management

**(FY 2013 CR Baseline: \$1,782K)**

**FY 2014 Request: \$1,771K)**

The Information Resource Management 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.

Decrease of \$11K reflects FY 2013 CR Baseline Credit Adjustment due to a 0.612% increase (H.J. RES. 117).

#### Jurisdiction Centralized Activities

**(FY 2013 Request: \$403K)**

**FY 2014 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

### *SUMMARY OF CHANGES (continued)*

#### Payroll

**(FY 2013 CR Baseline: \$17,172K)**

**FY 2014 Request: \$17,494K)**

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 \$322K, reflects net adjustment due to FY 2013 Federal Insurance Contributions Act (FICA) tax rate increase of 2%, FY 2013 Federal Employees Health Benefits (FEHB) Program rate increase of 3.3%, Congressional Budget Office FY 2014 Cost-of-Living Adjustment (COLA) rate increase of 1.8%, Within Grade Increase adjustment, Zero-based payroll adjustment, and AOC estimated FY 2014 Lapse Rate adjustment of 1.4%.

#### Visitor Services

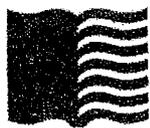
**(FY 2013 CR Baseline: \$1,755K)**

**FY 2014 Request: \$1,744K)**

The Visitor Services Program Group funds equipment and activities provided by the Capitol Visitor Center (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 way-finding, 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.

Decrease of \$11K reflects FY 2013 CR Baseline Credit Adjustment due to a 0.612% increase (H.J. RES. 117).

**LIBRARY OF CONGRESS**  
**FISCAL 2014 BUDGET JUSTIFICATION**  
SUBMITTED FOR USE OF THE COMMITTEES ON APPROPRIATIONS



**LIBRARY OF  
CONGRESS**



View of the Thomas Jefferson Building from the U.S. Capitol, Provided by the Office of the Librarian



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# LIBRARY OF CONGRESS OVERVIEW

## FISCAL 2014

The Library of Congress is submitting a fiscal 2014 budget request to maintain current services funding levels, adjusted for inflation.

The Library along with the entire federal government is facing significant budget challenges. The most critical of these challenges before us at the time of submitting this request is sequestration. Although this budget does not reflect estimated funding levels under the potential sequester, this overview statement will address the impacts sequestration will have on the Library's mission and programs, if it takes effect. Even without these potential future budget challenges, the Library is grappling with the impacts deep budget cuts of recent years have had on the Library and its services to the Congress and to the nation.

The Library of Congress is the largest and most wide-ranging collection of the world's recorded knowledge ever assembled by any one institution, and also the closest thing to a mint record of the cultural and intellectual creativity of the American people. It was created and has been sustained for 213 years by the Congress of the United States. The Library has served the Congress directly for nearly 200 years with the nation's largest law library, and for nearly 100 years with its primary research arm, the Congressional Research Service.

The Congress's Library is in many ways an embodiment in the nation's capital of the distinctively American ideal of a knowledge-based democracy. The Library already has become a large-scale, free, educational resource for our K-12 educational system by placing online more than 37 million primary source digital files of the nation's history and culture together with clear explanations by Library curators.

For two decades the Congress's Library has been training teachers and librarians in the effective use of these multimedial resources. The Library's National Digital Library/American Memory project empowers teachers and motivates students. Even at surprisingly early ages, children begin asking their own questions rather than struggling to memorize somebody else's answers and often tuning out of learning altogether.

The Congress's Library, which is America's oldest federal cultural institution, has become a remarkably innovative institution for keeping American democracy dynamic

in the information age. The Library is doing all of this with 1,300 fewer staff than it had 20 years ago, before it began to put its collections online and to carry out a congressionally mandated national program that now has more than 290 partner institutions that help to preserve the growing tsunami of important material digitized elsewhere.

It will not be easy to sustain the Library's unique leadership role in the three core functions any library serves. Maintaining this leadership role is even more challenging for a library that serves all Americans by (1) acquiring important records of human knowledge and creativity, (2) preserving them, and (3) making them maximally accessible. "Memory, reason, and imagination" were the three categories into which Thomas Jefferson organized his private library, which became the seedbed for the Library of Congress's universal collections and unique curatorial staff.

The Library is close to the point where it may have to reduce significantly the three key services that it provides for the American people. This might involve further reduction to the Library's staff, which currently accounts for 65 percent of its overall annual budget and 90 percent of the budget of the Congressional Research Service. The Library has had virtually flat budgets in recent years and, if faced with another set of across-the-board cuts, the Library would risk a decline in its core services at precisely the time its mission is becoming more important than ever for America.

If, for example, the Library were to suspend for one year its subscription to a scientific publication that it had been acquiring over the past 50 years, it would lose not one fiftieth but one half of its usefulness, and the loss would never be fully recovered. Any further reduction in staff would severely weaken the Library's pioneering efforts to merge traditional and digital services into one source for the objective and comprehensive information needed by the Congress and the nation. The Library would be challenged to continue training knowledge navigators, the new type of librarian for the 21st century that would replicate for the future the wisdom and judgment of its world-class curators.

The Library is, quite simply, an irreplaceable asset for the United States. It is the nation's strategic information reserve. It was, for example, the only institution

anywhere able to give back to the Afghan people enough copies of historical records of their own legal past to resume a tradition that had been eradicated by the Taliban. And the Library possessed the only paper produced in the U.S. government that described, from an obscure Arabic periodical, the basic terrorist scenario that followed on 9/11, before it happened.

The Library of Congress is the largest legislative branch agency, and it uniquely provides four primary services for the nation, and, indeed the world: a de facto national library for the United States, the U.S. Copyright Office for innovative creators, the Congressional Research Service for the legislative and oversight work of the Congress, and a National Library Service for the Blind and Physically Handicapped.

The Library of Congress supports the entire library system of America with its cataloging standards and services, its multi-formatted preservation research, its creation and distribution of special reading materials for blind Americans, and the free access to primary documents of history and culture it provides for the American people both on-site and online.

The U.S. Copyright Office administers U.S. copyright law, publicly documents the ownership of American works, and plays a fundamental role in the \$890 billion segment of the U.S. economy that produces and distributes content.

The Congressional Research Service provides nonpartisan information and analysis of legislative and public policy issues to all Members of Congress

While some agencies are made up of bureaus or component organizations that could be cut out or scaled back without crippling the agency's ability to accomplish its mission, the Library of Congress is different. Nothing is ancillary. Each component relies on others—and benefits from the diversity and specialized expertise of our skilled workforce.

The role and potential of the Library of Congress is becoming even more important now than ever before in our history. Harnessing knowledge and creativity may well be more important to our economic future than anything else, but knowledge and creativity never stand still. The Library's work cannot stop or slow down severely, without beginning to degrade irreversibly its ability to sustain the nation's intellectual and creative capital.

Continuing to acquire a universal knowledge is, by necessity, a multicultural pursuit. Jefferson's library included material in more than a dozen languages, and the Library of Congress today has the most multi-

lingual and multi-formatted collection in a world that is becoming increasingly more diverse and globally interdependent.

The Library understands the imperative to cut government spending. The Library has been "doing more with less." Over the last five years the Library's total appropriation has increased only 2.6 percent, from \$613.5 million to \$629.2 million, and the staffing level supported by the Library's budget has declined by 340 FTEs over the same period.

Since fiscal 2010 the Library has sustained a reduction of \$52 million, or 8 percent of its base budget. This reduction does not include the effective additional cuts the Library has received because of increases in operating costs not addressed through cost-of-living and price-level increases. The Library has reduced staffing by 186 positions through the fiscal 2012 VERA/VSIP program and must now explore other possible ways to sustain the core mission without uniformly degrading all services across the institution.

Despite these efforts, the budget reductions of the past two years have had unavoidable negative impacts, such as:

- The loss of 24 CRS analysts and attorneys, including a key senior intelligence analyst and senior Asia specialist. CRS no longer has the flexibility to shift resources to develop new analytical capacity nor to extend or expand research capacity in demanding and complex areas such as health care, energy development, military weaponry and financial regulation.
- A 36 percent reduction in CRS expenditures for professional staff development and an 18 percent reduction in research materials such as subscriptions and databases.
- A 25 percent decrease in obligation levels for the purchase of library and law acquisitions and a 20 percent decrease in the number of items purchased with these funds.
- The loss of 22 staff providing curatorial service in multiple divisions.
- A decrease in the Library's production of catalog records by approximately 50 thousand in 2012. This affects every library in the United States that relies on the Library of Congress to create the catalog records that provide access to their own collections.
- Delays in processing copyright registrations, potentially leading to another backlog of pending claims and negatively affecting copyright-related commerce.

- A reduction of 50 percent in the Library's budget for converting its extraordinary collections into digital formats and making them freely available online to the American people. The reduction is partly the result of mandatory requirements to increase cyber security.

The Library is now preparing for a potential sequester and an additional budget reduction currently estimated at 5.3 percent.

Since such a high percentage of the Library's federal budget supports staff pay, it is not advisable to implement a 5.3 percent cut in fiscal 2013 through reductions in the Library's non-pay resources alone. The potential sequestration will have to be addressed through a combination of additional staffing reductions, the imposition of furlough days for all staff, and reductions in preservation work, information technology support, training, travel, supplies, equipment, and facilities management. Reductions made necessary by sequestration will require scaling back a wide range of programs, many of which fall under the rubric of core, mission-critical services that will directly affect the Congress and the American people.

Specific impacts of sequestration will include the following:

- 400 thousand or more collection items will not be acquired, resulting in gaps in the collections that may never be filled.
- The number of books we are able to preserve through mass deacidification will be reduced by as much as two-thirds, and the financial viability of the only company that provides these mass deacidification services is likely to be jeopardized.
- The binding of books will be severely reduced, resulting in damage to the collections and the curtailment of interlibrary loan, as well as a significant reduction in business for the Library's commercial binding vendors.
- Basic operational services such as security, cleaning, food, trash removal, and pest control will be cut back, lessening health and safety protections for staff and visitors.
- CRS will be unable to maintain current levels of coverage of public policy issues, response times to congressional requests will lengthen, and "rush" requests will be difficult to meet. CRS will also be unable to answer some requests that require certain data and research materials.
- The U.S. Copyright Office's registration program

will develop a backlog of Copyright claims awaiting processing and a related decrease in fee income to support ongoing operations. Copyright staff will have to curtail participation in some international negotiations and other policy efforts important to U.S. trade interests.

- The National Library for the Blind and Physically Handicapped will postpone the conversion of 5,000 legacy titles and decrease production of new titles from the expected number of 2,100 to 1,890. This reduction will reduce the availability of reading material provided to the blind and physically handicapped community.

Implementing employee furlough days is only a stopgap measure. Unless the Library also implements furloughs in fiscal 2014 and fiscal 2015, other mission-critical services will have to be further decreased or discontinued.

Despite the negative impacts of past and potential future budget cuts, the current budget environment has encouraged the entire Library to work better together in pursuit of Library-wide goals. In one example, the Library has made major strides in improving its Web presence in a unified effort that has brought together existing – not new – resources and expertise from across the institution. Its new beta site, **Congress.gov**, providing legislative information to the Congress and the American people, is an example of this collaborative work.

The Library's current principal budget needs include sustaining collection acquisitions, constructing preservation facilities at Ft. Meade, and providing for the critical services of the U.S. Copyright Office and of CRS expertise for the Congress.

Sustaining acquisitions is the basic prerequisite for fulfilling the Library's mission. The current budget environment has slowed the Library's acquisitions and preservation efforts, creating gaps in the collections that may never be recovered. This will affect the Library's capacity to provide research and analysis for the Congress and its ability to provide the American public with access to many materials that are unattainable anywhere else.

Continuing to implement the Ft. Meade master plan through the funding of Module 5 is essential for preserving and making accessible the Library's unparalleled collections. The master plan contemplates the construction of 13 collections storage modules, only four of which have been completed. This project is currently ten years behind schedule, and Module 5 is an urgent Library need to be funded through the Architect of the Capitol, under Library Buildings and Grounds, as

he has requested since 2010.

The U.S. Copyright Office administers the national copyright registration and recordation systems and serves as the principal advisor to the Congress on issues of domestic and international copyright policy, in accordance with Title 17 of the U.S. Code. The Office's electronic registration service directly supports both the nation's copyright commerce and our people's creative innovations. The current budget environment puts this service at risk of significant setbacks in active participation in policy efforts that are important to America's leadership in the information age.

Maintaining CRS' expertise is critical to fulfilling the Library's highest priority, service to the Congress, with timely, objective, authoritative, and confidential research and analysis in support of its legislative and oversight responsibilities.

The budget reduction in fiscal year 2012 left CRS at its lowest staffing level in more than three decades. Although CRS has responded by expanding analysts' portfolios to cover expertise gaps, additional reductions will increase the difficulty of providing the specialized skills and policy expertise needed to support the growing demands placed upon the Congress. More than 10 thousand bills have typically been introduced in recent

Congresses along with hundreds of hearings. The Library will place a high priority on protecting services that CRS performs for the Congress in this and future budgets.

The Congress of the United States has been the greatest patron of a library in human history. Each year, the Library is privileged to serve directly all members and committees of Congress—and millions of Americans, often in ways that would otherwise be unavailable to them. The Library seeks to continue these services at the level of quality that distinguishes the institution. Through networks of partners, the Library can participate in new projects that will make new friends for America abroad, such as its free new World Digital Library in seven languages that has already been adopted by UNESCO and has attracted 30 million largely young viewers from around the world. The nation needs what the Library is uniquely doing.

The Library will work hard and work creatively with the funding the Congress provides—but with the fervent hope that history will not record that this one-of-a-kind, still-innovative and proactive creation of the Congress unintentionally and almost invisibly reached the point where it began a downhill slide from which it would never quite recover.

LIBRARY OF CONGRESS

The Librarian of Congress  
James H. Billington

Office of the Inspector General  
Karl W. Schramm

Copyright Royalty Judges

Deputy Librarian  
Robert Dizack, Jr.

**Congressional Research Service**  
Mary B. Mazanec

- Office of the Director
- American Law Division
- Domestic Social Policy Division
- Foreign Affairs, Defense and Trade Division
- Government and Finance Division
- Resources, Science and Industry Division
- Knowledge Services Group
- Office of the Counselor to the Director
- Office of Finance and Administration
- Office of Congressional Information and Publishing
- Office of Information Management and Technology
- Office of Workforce Management and Development

**U.S. Copyright Office**  
Marta A. Pallante

- Office of the Register and Associate Librarian for Copyright Services
- Office of the Director for Operations
- Office of the General Counsel
- Office of Policy and International Affairs
- Except Analysis and Counsel Division
- Information and Records Division
- Copyright Acquisitions Division
- Learning Division
- Registration Program
- Library Division
- Performing Arts Division
- Visual Arts Division

**Office of the Librarian**  
Catherine R. Bell

- Congressional Relations
- Development Office
- Office of the Chief Financial Officer
- Office of Communication
- Office of Contracts and Grant Management
- Office of the General Counsel
- Office of Special Events and Public Programs

**Law Library**  
David S. Maza

- Office of the Law Librarian
- Global Legal Research
- Collections, Outreach and Services Division
- Virtual Services
- Databases

**Library Services**  
Roberta I. Shafer

- Office of the Associate Librarian
- Collections and Services Directorate
- Acquisitions and Bibliographic Access Directorate
- Preservation Directorate
- Technology Policy Directorate
- Partnerships and Outreach Program Directorate
- National Library Service for the Blind and Physically Handicapped

**Office of Support Operations**  
Luey D. Sublette

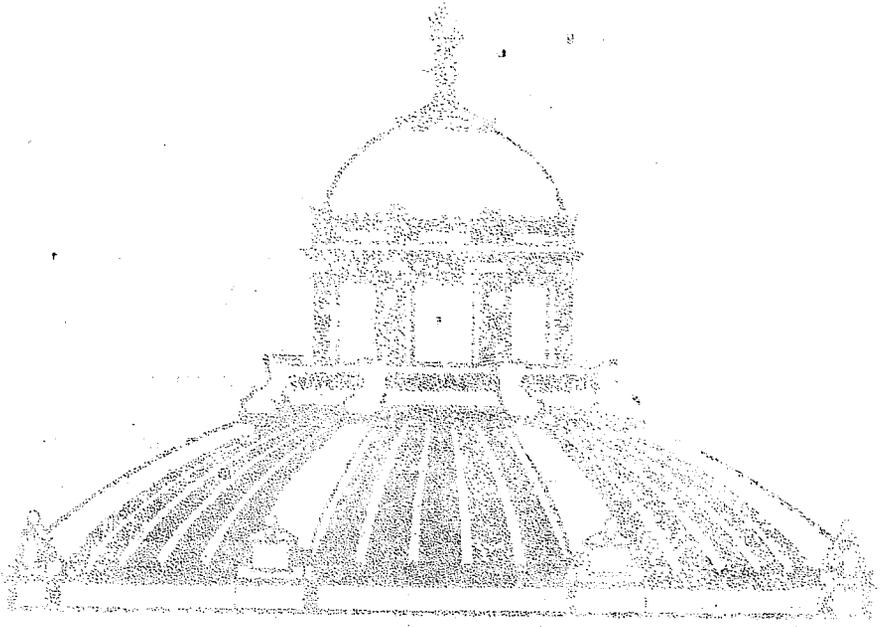
- Office of the Chief for Support Operations
- Office of Operations
- Office of Security and Emergency Preparedness
- Human Resources Services
- Integrated Support Services

**Office of Strategic Initiatives**  
James Colligan, Acting

- Office of the Associate Librarian for Strategic Initiatives and Chief Information Officer
- Digital Initiatives
- Teaching with Primary Sources
- National Digital Information Infrastructure and Preservation Program (NDIIPP)
- Information Technology Services

|   |              |
|---|--------------|
| Fiscal 2013 Appropriation                           | FTE          |
| Library of Congress, SCE                            | 2,692        |
| Congressional Research Service, SCE                 | 651          |
| Copyright, SCE                                      | 475          |
| Books for the Blind and Physically Handicapped, SCE | 128          |
| <b>Total</b>  | <b>3,746</b> |

Organization Chart



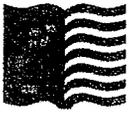
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# SUMMARY TABLES

LIBRARY OF CONGRESS

## Library of Congress Resource Summary (Dollars in thousands)

| Appropriation/PPA  | Fiscal 2012      |                  |                       |                  | Fiscal 2013<br>CR Base |                  | Fiscal<br>2014<br>Request |                  | Fiscal<br>2013/2014<br>Net Change |                 | Percent<br>Change |
|--|------------------|------------------|-----------------------|------------------|------------------------|------------------|---------------------------|------------------|-----------------------------------|-----------------|-------------------|
|  | Spending<br>Plan |                  | Actual<br>Obligations |                  |                        |                  |                           |                  |                                   |                 |                   |
|  | FTE              | \$               | FTE                   | \$               | FTE                    | \$               | FTE                       | \$               | FTE                               | \$              | %                 |
| <b>Library of Congress, S&amp;E</b>                            |                  |                  |                       |                  |                        |                  |                           |                  |                                   |                 |                   |
| Office of the Librarian  | 344              | \$22,774         | 131                   | \$22,254         | 344                    | \$26,287         | 344                       | \$26,878         | 0                                 | \$591           | 2.2%              |
| Library Services   | 1,431            | 219,794          | 1,350                 | 218,585          | 1,431                  | 217,729          | 1,431                     | 223,835          | 0                                 | 6,106           | 2.8%              |
| Office of Strategic Initiatives                                | 355              | 107,737          | 337                   | 105,268          | 355                    | 108,396          | 355                       | 111,229          | 0                                 | 2,833           | 2.6%              |
| Law Library  | 96               | 16,350           | 90                    | 16,212           | 96                     | 16,448           | 96                        | 16,916           | 0                                 | 468             | 2.8%              |
| Office of Support Operations                                   | 250              | 50,651           | 230                   | 50,569           | 250                    | 50,961           | 250                       | 52,103           | 0                                 | 1,142           | 2.2%              |
| Office of Inspector General                                    | 16               | 2,787            | 15                    | 2,673            | 16                     | 2,804            | 16                        | 2,869            | 0                                 | 65              | 2.3%              |
| <b>Total Budget, LC, S&amp;E</b>                               | <b>2,492</b>     | <b>\$420,093</b> | <b>2,153</b>          | <b>\$415,561</b> | <b>2,492</b>           | <b>\$422,625</b> | <b>2,492</b>              | <b>\$433,830</b> | <b>0</b>                          | <b>\$11,205</b> | <b>2.7%</b>       |
| CDS & Law Offsetting Collections                               |                  | - 6,350          |                       | 0                |                        | - 6,350          |                           | - 6,350          |                                   | 0               | 0.0%              |
| <b>Total, Approp, LC, S&amp;E</b>                              | <b>2,492</b>     | <b>\$413,743</b> | <b>2,153</b>          | <b>\$415,561</b> | <b>2,492</b>           | <b>\$416,275</b> | <b>2,492</b>              | <b>\$427,480</b> | <b>0</b>                          | <b>\$11,205</b> | <b>2.7%</b>       |
| <b>Copyright Office, S&amp;E</b>                               |                  |                  |                       |                  |                        |                  |                           |                  |                                   |                 |                   |
| COP Basic  | 439              | \$45,075         | 369                   | \$44,434         | 439                    | \$45,167         | 439                       | \$46,238         | 0                                 | \$1,071         | 2.4%              |
| COP Licensing  | 30               | 5,109            | 21                    | 4,799            | 30                     | 5,109            | 30                        | 5,209            | 0                                 | 100             | 2.0%              |
| COP Royalty Judges   | 6                | 1,466            | 6                     | 1,253            | 6                      | 1,473            | 6                         | 1,505            | 0                                 | 32              | 2.2%              |
| <b>Total Budget, CO, S&amp;E</b>                               | <b>475</b>       | <b>\$51,650</b>  | <b>396</b>            | <b>\$50,486</b>  | <b>475</b>             | <b>\$51,749</b>  | <b>475</b>                | <b>\$52,952</b>  | <b>0</b>                          | <b>\$1,203</b>  | <b>2.3%</b>       |
| Basic offsetting collections                                   |                  | - 30,029         |                       | 0                |                        | - 30,029         |                           | - 28,029         |                                   | 2,000           | -6.7%             |
| Licensing offsetting collections                               |                  | 5,109            |                       | 0                |                        | 5,109            |                           | 5,209            |                                   | 100             | 2.0%              |
| CRJ offsetting collections                                     |                  | - 375            |                       | 0                |                        | - 375            |                           | - 381            |                                   | - 6             | 1.6%              |
| <b>Total, Approp, CO, S&amp;E</b>                              | <b>475</b>       | <b>\$16,137</b>  | <b>396</b>            | <b>\$50,486</b>  | <b>475</b>             | <b>\$16,236</b>  | <b>475</b>                | <b>\$19,333</b>  | <b>0</b>                          | <b>\$3,097</b>  | <b>19.1%</b>      |
| <b>Congressional Research Service, S&amp;E</b>                 |                  |                  |                       |                  |                        |                  |                           |                  |                                   |                 |                   |
| CRS, S&E   | 651              | \$106,790        | 616                   | \$106,667        | 651                    | \$107,444        | 651                       | \$109,979        | 0                                 | \$2,535         | 2.4%              |
| <b>Books for the Blind and Physically Handicapped, S&amp;E</b> |                  |                  |                       |                  |                        |                  |                           |                  |                                   |                 |                   |
| BBPH, S&E  | 128              | \$50,674         | 105                   | \$50,400         | 128                    | \$50,984         | 128                       | \$51,927         | 0                                 | \$943           | 1.8%              |
| <b>Total Resource Summary, LC</b>                              |                  |                  |                       |                  |                        |                  |                           |                  |                                   |                 |                   |
| Total Budget   | 3,746            | \$629,207        | 3,270                 | \$623,114        | 3,746                  | \$632,802        | 3,746                     | \$648,688        | 0                                 | \$15,886        | 2.5%              |
| Total Offsetting Collections                                   |                  | 41,863           |                       | 0                |                        | - 41,863         |                           | 39,969           |                                   | 1,894           | -4.5%             |
| <b>Total Appropriations, LC</b>                                | <b>3,746</b>     | <b>\$587,344</b> | <b>3,270</b>          | <b>\$623,114</b> | <b>3,746</b>           | <b>\$590,939</b> | <b>3,746</b>              | <b>\$608,719</b> | <b>0</b>                          | <b>\$17,780</b> | <b>3.0%</b>       |

**Library of Congress  
Resource Summary  
Analysis of Change**  
(Dollars in Thousands)

| Appropriation/PPA  | Fiscal 2013<br>CR Base | Fiscal 2014                   |                |                 |                   |                                |                      |                        | Fiscal<br>2014<br>Total<br>Request |
|--|------------------------|-------------------------------|----------------|-----------------|-------------------|--------------------------------|----------------------|------------------------|------------------------------------|
|  |                        | Mandatory<br>Pay<br>Increases | Price<br>Level | Sub-total       | Non-<br>Recurring | Current<br>Services<br>Request | Program<br>Increases | Total<br>Net<br>Change |                                    |
| <b>Library of Congress, S&amp;E</b>                            |                        |                               |                |                 |                   |                                |                      |                        |                                    |
| Office of the Librarian  | \$26,287               | \$418                         | \$173          | \$591           | \$0               | \$26,878                       | \$0                  | \$591                  | \$26,878                           |
| Library Services   | 217,729                | 4,011                         | 2,095          | 6,106           | 0                 | 223,835                        | 0                    | 6,106                  | 223,835                            |
| Office of Strategic Initiatives                                | 108,396                | 1,192                         | 1,641          | 2,833           | 0                 | 111,229                        | 0                    | 2,833                  | 111,229                            |
| Law Library  | 16,448                 | 274                           | 194            | 468             | 0                 | 16,916                         | 0                    | 468                    | 16,916                             |
| Office of Support Operations                                   | 50,961                 | 663                           | 479            | 1,142           | 0                 | 52,103                         | 0                    | 1,142                  | 52,103                             |
| Office of Inspector General                                    | 2,804                  | 58                            | 7              | 65              | 0                 | 2,869                          | 0                    | 65                     | 2,869                              |
| <b>Total Budget, LC, S&amp;E</b>                               | <b>\$422,625</b>       | <b>\$6,616</b>                | <b>\$4,589</b> | <b>\$11,205</b> | <b>\$0</b>        | <b>\$433,830</b>               | <b>\$0</b>           | <b>\$11,205</b>        | <b>\$433,830</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>\$416,275</b>       | <b>\$6,616</b>                | <b>\$4,589</b> | <b>\$11,205</b> | <b>\$0</b>        | <b>\$427,480</b>               | <b>\$0</b>           | <b>\$11,205</b>        | <b>\$427,480</b>                   |
| <b>Copyright Office, S&amp;E</b>                               |                        |                               |                |                 |                   |                                |                      |                        |                                    |
| COP Basic  | \$ 45,167              | \$ 922                        | \$ 149         | \$ 1,071        | \$ 0              | \$ 46,238                      | \$ 0                 | \$ 1,071               | \$ 46,238                          |
| COP Licensing  | 5,109                  | 58                            | 42             | 100             | 0                 | 5,209                          | 0                    | 100                    | 5,209                              |
| COP Royalty Judges   | 1,473                  | 26                            | 6              | 32              | 0                 | 1,505                          | 0                    | 32                     | 1,505                              |
| <b>Total, Budget, CO, S&amp;E</b>                              | <b>\$ 51,749</b>       | <b>\$ 1,006</b>               | <b>\$ 197</b>  | <b>\$ 1,203</b> | <b>\$ 0</b>       | <b>\$ 52,952</b>               | <b>\$ 0</b>          | <b>\$ 1,203</b>        | <b>\$ 52,952</b>                   |
| Basic offsetting collections                                   | - 30,029               | 0                             | 0              | 0               | 2,000             | - 28,029                       | 0                    | 2,000                  | - 28,029                           |
| Licensing offsetting collections                               | 5,109                  | 58                            | 42             | 100             | 0                 | 5,209                          | 0                    | 100                    | 5,209                              |
| CRJ offsetting collections                                     | 375                    | 0                             | 6              | 6               | 0                 | 381                            | 0                    | 6                      | 381                                |
| <b>Total, Approp, CO, S&amp;E</b>                              | <b>\$16,236</b>        | <b>\$948</b>                  | <b>\$149</b>   | <b>\$1,097</b>  | <b>\$2,000</b>    | <b>\$19,333</b>                | <b>\$0</b>           | <b>\$3,097</b>         | <b>\$19,333</b>                    |
| <b>Congressional Research Service, S&amp;E</b>                 |                        |                               |                |                 |                   |                                |                      |                        |                                    |
| CRS, S&E   | \$107,444              | \$2,218                       | \$317          | \$2,535         | \$0               | \$109,979                      | \$0                  | \$2,535                | \$109,979                          |
| <b>Books for the Blind and Physically Handicapped, S&amp;E</b> |                        |                               |                |                 |                   |                                |                      |                        |                                    |
| BBPH, S&E  | \$50,984               | \$257                         | \$686          | \$943           | \$0               | \$51,927                       | \$0                  | \$943                  | \$51,927                           |
| <b>Total, Library of Congress</b>                              |                        |                               |                |                 |                   |                                |                      |                        |                                    |
| <b>Total Budget</b>  | <b>\$632,802</b>       | <b>\$10,097</b>               | <b>\$5,789</b> | <b>\$15,886</b> | <b>\$0</b>        | <b>\$648,688</b>               | <b>\$0</b>           | <b>\$15,886</b>        | <b>\$648,688</b>                   |
| <b>Total Offsetting Collections</b>                            | <b>41,863</b>          | <b>58</b>                     | <b>48</b>      | <b>- 106</b>    | <b>2,000</b>      | <b>- 39,969</b>                | <b>0</b>             | <b>1,894</b>           | <b>39,969</b>                      |
| <b>Total Appropriations</b>                                    | <b>\$590,939</b>       | <b>\$10,039</b>               | <b>\$5,741</b> | <b>\$15,780</b> | <b>\$2,000</b>    | <b>\$608,719</b>               | <b>\$0</b>           | <b>\$17,780</b>        | <b>\$608,719</b>                   |

**Library of Congress**  
**Summary by Object Class**

(Dollars in Thousands)

| Object Class                                    | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 00.0 Lapse Reserve                              | \$ 499           | \$ 0                  | \$ 502                 | \$ 510                    | + 8                               | 1.6%              |
| <b>Total, Lapse Reserve</b>                     | <b>\$ 499</b>    | <b>\$ 0</b>           | <b>\$ 502</b>          | <b>\$ 510</b>             | <b>+\$ 8</b>                      | <b>1.6%</b>       |
| 11.1 Full-time permanent                        | \$307,405        | \$305,111             | \$313,809              | \$321,215                 | +\$ 7,406                         | 2.4%              |
| 11.3 Other than full-time permanent             | 5,935            | 5,760                 | 5,971                  | 6,108                     | + 137                             | 2.3%              |
| 11.5 Other personnel compensation               | 777              | 719                   | 781                    | 803                       | + 22                              | 2.8%              |
| 11.5A Staff Awards <sup>1</sup>                 | 2,231            | 2,148                 | 2,245                  | 2,297                     | + 52                              | 2.3%              |
| 11.8 Special personal services payment          | 405              | 471                   | 407                    | 417                       | + 10                              | 2.5%              |
| 12.1 Civilian personnel benefits                | 86,087           | 87,699                | 85,878                 | 88,348                    | + 2,470                           | 2.9%              |
| 13.0 Benefits for former personnel              | 4,787            | 4,782                 | 163                    | 163                       | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$407,627</b> | <b>\$406,690</b>      | <b>\$409,254</b>       | <b>\$419,351</b>          | <b>+\$ 10,097</b>                 | <b>2.5%</b>       |
| 21.0 Travel & transportation of persons         | 1,693            | 1,341                 | 1,701                  | 1,743                     | + 42                              | 2.5%              |
| 22.0 Transportation of things                   | 594              | 486                   | 597                    | 609                       | + 12                              | 2.0%              |
| 23.1 Rental payments to GSA                     | 5,084            | 5,435                 | 5,116                  | 5,567                     | + 451                             | 8.8%              |
| 23.2 Rental payments to others                  | 734              | 779                   | 737                    | 767                       | + 30                              | 4.1%              |
| 23.3 Communication, utilities & misc charges    | 4,511            | 5,761                 | 4,534                  | 4,435                     | 99                                | - 2.2%            |
| 24.0 Printing & reproduction                    | 3,937            | 3,423                 | 3,957                  | 4,015                     | + 58                              | 1.5%              |
| 25.1 Advisory & assistance services             | 29,792           | 29,610                | 29,971                 | 30,405                    | + 434                             | 1.4%              |
| 25.2 Other services                             | 46,415           | 48,431                | 49,184                 | 49,918                    | + 734                             | 1.5%              |
| 25.3 Other purch of gds & services from gov acc | 12,066           | 9,679                 | 10,300                 | 10,548                    | + 248                             | 2.4%              |
| 25.4 Operation & maintenance of facilities      | 7,106            | 6,894                 | 7,150                  | 7,257                     | + 107                             | 1.5%              |
| 25.5 Research & development contracts           | 45               | 34                    | 45                     | 46                        | + 1                               | 2.2%              |
| 25.6 Medical care                               | 20               | 20                    | 20                     | 20                        | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment       | 21,179           | 18,666                | 21,305                 | 22,890                    | + 1,585                           | 7.4%              |
| 25.8 Subsistence & support of persons           | 84               | 83                    | 84                     | 86                        | + 2                               | 2.4%              |
| 26.0 Supplies & materials                       | 7,092            | 6,724                 | 7,134                  | 7,254                     | + 120                             | 1.7%              |
| 31.0 Equipment                                  | 74,735           | 74,045                | 75,180                 | 76,677                    | + 1,497                           | 2.0%              |
| 41.0 Grants, subsidies & contributions          | 5,889            | 4,945                 | 5,925                  | 6,476                     | + 551                             | 9.3%              |
| 42.0 Insurance claims & indemnities             | 3                | 15                    | 3                      | 3                         | 0                                 | 0.0%              |
| 94.0 Financial Transfers                        | 102              | 53                    | 103                    | 111                       | + 8                               | 7.8%              |
| <b>Total, Non-Pay</b>                           | <b>\$221,081</b> | <b>\$216,424</b>      | <b>\$223,046</b>       | <b>\$228,827</b>          | <b>+\$ 5,781</b>                  | <b>2.6%</b>       |
| <b>Total, Library of Congress</b>               | <b>\$629,207</b> | <b>\$623,114</b>      | <b>\$632,802</b>       | <b>\$648,688</b>          | <b>+\$ 15,886</b>                 | <b>2.5%</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  
Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |                  |
|--|-------------------------------|------------------|
|  | FTE                           | Amount           |
| Fiscal 2013 Continuing Resolution Base                     | 3,746                         | \$632,802        |
| Non-recurring Costs  | 0                             | 0                |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                  |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 5,622            |
| Annualization of April 2013 pay raise @ .5%                |                               | 2,063            |
| Within-grade increases                                     |                               | 1,829            |
| Foreign Service Nationals (FSN) pay adjustment             |                               | 385              |
| Transit Subsidy Increase from \$230 to \$245               |                               | 198              |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>10,097</b>    |
| Price Level Changes  |                               | 5,789            |
| Program Increases  | 0                             | 0                |
| Net Increase/Decrease                                      | 0                             | \$ 15,886        |
| <b>Total Budget</b>  | <b>3,746</b>                  | <b>\$648,688</b> |
| Total Offsetting Collections                               | 0                             | - 39,969         |
| <b>Total Appropriation</b>                                 | <b>3,746</b>                  | <b>\$608,719</b> |

**Library of Congress**  
**Staffing Summary - On-Board/FTEs**

| Direct Funded by<br>Appropriation/PPA                          | On-Board                          | FTEs                               |                        |                           |          | Change |
|--|-----------------------------------|------------------------------------|------------------------|---------------------------|----------|--------|
|  | Fiscal 2012<br>Year-end<br>Actual | Fiscal 2012<br>Actual FTE<br>Usage | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request |          |        |
| <b>Library of Congress, S&amp;E</b>                            |                                   |                                    |                        |                           |          |        |
| Office of the Librarian  | 137                               | 131                                | 139                    | 139                       | 0        |        |
| Library Services   | 1,399                             | 1,350                              | 1,431                  | 1,431                     | 0        |        |
| Office of Strategic Initiatives                                | 319                               | 337                                | 355                    | 355                       | 0        |        |
| Law Library  | 92                                | 90                                 | 96                     | 96                        | 0        |        |
| Office of Support Operations                                   | 234                               | 230                                | 250                    | 250                       | 0        |        |
| Office of the Inspector General                                | 15                                | 15                                 | 16                     | 16                        | 0        |        |
| Unfunded LC, S&E FTE Reserve                                   | 0                                 | 0                                  | 205                    | 205                       | 0        |        |
| <b>Total, Library of Congress, S&amp;E</b>                     | <b>2,196</b>                      | <b>2,153</b>                       | <b>2,492</b>           | <b>2,492</b>              | <b>0</b> |        |
| <b>Copyright Office, S&amp;E</b>                               |                                   |                                    |                        |                           |          |        |
| COP Basic  | 370                               | 369                                | 439                    | 439                       | 0        |        |
| COP Licensing  | 21                                | 21                                 | 30                     | 30                        | 0        |        |
| COP CRJ  | 6                                 | 6                                  | 6                      | 6                         | 0        |        |
| <b>Total, Copyright Office, S&amp;E</b>                        | <b>397</b>                        | <b>396</b>                         | <b>475</b>             | <b>475</b>                | <b>0</b> |        |
| <b>Congressional Research Service, S&amp;E</b>                 |                                   |                                    |                        |                           |          |        |
| <b>CRS, S&amp;E</b>  | <b>620</b>                        | <b>616</b>                         | <b>651</b>             | <b>651</b>                | <b>0</b> |        |
| <b>Books for the Blind and Physically Handicapped, S&amp;E</b> |                                   |                                    |                        |                           |          |        |
| <b>BBPH, S&amp;E</b>   | <b>118</b>                        | <b>105</b>                         | <b>128</b>             | <b>128</b>                | <b>0</b> |        |
| <b>Total, Library of Congress</b>                              |                                   |                                    |                        |                           |          |        |
| <b>Total, Library of Congress</b>                              | <b>3,331</b>                      | <b>3,270</b>                       | <b>3,746</b>           | <b>3,746</b>              | <b>0</b> |        |

**Library of Congress**  
**Fiscal 2014 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                     | \$1,210        | \$185          | \$ 388         | \$ 45        | \$1,828         |
| 2. Jan. 2014 Locality-based Comparability Pay Raise | 3,580          | 578            | 1,313          | 152          | 5,623           |
| 3. Foreign Service Nationals (FSN) Pay Adjustment   | 385            | -              | -              | -            | 385             |
| 4. Annualization of April 2013 Pay Raise            | 1,310          | 213            | 484            | 56           | 2,063           |
| 5. Transit Subsidy Increase                         | 131            | 30             | 33             | 4            | 198             |
| <b>Total Mandatory Pay Increases</b>                | <b>\$6,616</b> | <b>\$1,006</b> | <b>\$2,218</b> | <b>\$257</b> | <b>\$10,097</b> |

**Explanation of Calculations**

1. Within-grade (WIG) increases calculated against current on-board staff eligible for WIGs during fiscal 2014.
2. January 2014 pay raise calculated at 1.35% of pay base. (CBO Pay Rate of 1.8% 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 2014 are as follows: Brazil - 5.4%; Egypt - 8%; Kenya - 6%; India - 9%; Pakistan - 16%; and Indonesia - 4.8%.
4. Annualization of April 2013 pay raise calculated at .5% of pay base.
5. Increase in transit subsidy monthly maximum to \$245. The Library's current transit subsidy base is funded at a monthly maximum of \$230.

**Library of Congress**  
**Fiscal 2014 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               | \$1,798        | \$152        | \$171        | \$573        | \$2,694        |
| 2. Field Office inflationary increase          | 330            | -            | -            | -            | 330            |
| 3. Acquisitions of library materials inflation | 627            | -            | -            | -            | 627            |
| 4. Software maintenance                        | 1,213          | 45           | 146          | -            | 1,404          |
| 5. GSA Space Rental adjustment                 | 151            | -            | -            | 113          | 264            |
| 6. National Film Preservation Foundation grant | 470            | -            | -            | -            | 470            |
| <b>Total Price Level Increases</b>             | <b>\$4,589</b> | <b>\$197</b> | <b>\$317</b> | <b>\$686</b> | <b>\$5,789</b> |

**Explanation of Calculations**

1. General inflationary increase calculated using CBO rate of 1.5% of non-pay base for fiscal 2014 (except as noted below).
2. Inflationary increases 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 2014 are as follows: Brazil - 5.4%; Egypt - 8%; Kenya - 6%; India - 9%; Pakistan - 16%; and Indonesia - 4.8%.
3. Inflationary rate for acquisition of library materials determined by annual study and/or actual historical rates. Rates used for fiscal 2014 are as follows: Books for the Law Library - 3.05%; Books for the General Collections (GENPAC) - 3.79%.
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 2014.
6. Per P.L. 110-336, Sec. 3, (b)(1), increase grant to the National Film Preservation Foundation from \$530K to \$1M.

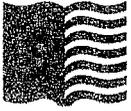
**Library of Congress**  
**Total Funds Available - All Sources**  
(Dollars in Thousands)

|  | Fiscal 2012<br>Actual | Fiscal 2013<br>CR Base | Fiscal 2014<br>Request |
|--|-----------------------|------------------------|------------------------|
| <b>Total Appropriations</b>                      |                       |                        |                        |
| Library of Congress                              | \$587,344             | \$590,939              | \$608,719              |
| AOC - Library Buildings and Grounds              | 46,876                | 47,163                 | 77,016                 |
| <b>Subtotal, Appropriations</b>                  | <b>\$634,220</b>      | <b>\$638,102</b>       | <b>\$685,735</b>       |
| <b>Receipts (Actual Collected and Estimated)</b> |                       |                        |                        |
| Sales of catalog cards and publications          | \$ 3,324              | \$ 6,000               | \$ 6,000               |
| Collections to Global Legal Information Network  | 6                     | 350                    | 350                    |
| Copyright fees                                   | 26,797                | 30,029                 | 28,029                 |
| Licensing and CRJ fees                           | 5,484                 | 5,484                  | 5,590                  |
| <b>Subtotal, Receipts</b>                        | <b>\$ 35,611</b>      | <b>\$ 41,863</b>       | <b>\$ 39,969</b>       |
| <b>Non-Appropriated Funds</b>                    |                       |                        |                        |
| Gift and Trust Funds <sup>1</sup>                | \$ 13,824             | \$ 16,248              | \$ 17,485              |
| Revolving Fund Revenue (Actual & Estimated)      | 88,264                | 176,957                | 183,079                |
| Reimbursable Activities (Actual & Estimated)     | 1,654                 | 2,000                  | 2,500                  |
| <b>Subtotal, Non-Appropriated Funds</b>          | <b>\$103,742</b>      | <b>\$195,205</b>       | <b>\$203,064</b>       |
| <b>Total Funds Available</b>                     |                       |                        |                        |
| <b>Total</b>                                     | <b>\$773,573</b>      | <b>\$875,170</b>       | <b>\$928,768</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 2012<br>Actual | Fiscal 2013<br>Estimate | Fiscal 2014<br>Estimate |
|--|-----------------------|-------------------------|-------------------------|
| <b>Statement of Receipts, Treasury Department General Fund Account</b> |                       |                         |                         |
| Other miscellaneous receipts   | \$295                 | \$250                   | \$250                   |
| <b>Total Receipts Into General Fund Account</b>                        | <b>\$295</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)   | \$3,222               | \$3,351                 | \$3,485                 |
| Receipts from interest on investments in public debt securities (DART) | 11                    | 5                       | 5                       |
| <b>Total Receipts Into Special Fund Account</b>                        | <b>\$3,233</b>        | <b>\$3,356</b>          | <b>\$3,490</b>          |



# LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Library of Congress, S&E Resource Summary (Dollars in Thousands)

| Appropriation/PPA               | Fiscal 2012      |                  |                       |                  | Fiscal 2013<br>CR Base |                  | Fiscal 2014<br>Request |                  | Fiscal 2013/2014<br>Net Change |                 | Percent<br>Change |
|---------------------------------|------------------|------------------|-----------------------|------------------|------------------------|------------------|------------------------|------------------|--------------------------------|-----------------|-------------------|
|                                 | Spending<br>Plan |                  | Actual<br>Obligations |                  | FTE                    | \$               | FTE                    | \$               | FTE                            | \$              |                   |
|                                 | FTE              | \$               | FTE                   | \$               |                        |                  |                        |                  |                                |                 |                   |
| Office of the Librarian         | 344              | \$22,774         | 131                   | \$22,254         | 344                    | \$26,287         | 344                    | \$26,878         | 0                              | \$591           | 2.2%              |
| Library Services                | 1,431            | 219,794          | 1,350                 | 218,585          | 1,431                  | 217,729          | 1,431                  | 223,835          | 0                              | 6,106           | 2.8%              |
| Office of Strategic Initiatives | 355              | 107,737          | 337                   | 105,268          | 355                    | 108,396          | 355                    | 111,229          | 0                              | 2,833           | 2.6%              |
| Law Library                     | 96               | 16,350           | 90                    | 16,212           | 96                     | 16,448           | 96                     | 16,916           | 0                              | 468             | 2.8%              |
| Office of Support Operations    | 250              | 50,651           | 230                   | 50,569           | 250                    | 50,961           | 250                    | 52,103           | 0                              | 1,142           | 2.2%              |
| Office of the Inspector General | 16               | 2,787            | 15                    | 2,673            | 16                     | 2,804            | 16                     | 2,869            | 0                              | 65              | 2.3%              |
| <b>Total, LC, S&amp;E</b>       | <b>2,492</b>     | <b>\$420,093</b> | <b>2,153</b>          | <b>\$415,561</b> | <b>2,492</b>           | <b>\$422,625</b> | <b>2,492</b>           | <b>\$433,830</b> | <b>0</b>                       | <b>\$11,205</b> | <b>2.7%</b>       |

**Library of Congress, Salaries and Expenses**  
**Summary By Object Class**  
(Dollars in Thousands)

| Object Class                                    | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 00.0 Lapse Reserve                              | \$ 499           | \$ 0                  | \$ 502                 | \$ 510                    | + 8                               | 1.6%              |
| <b>Total, Lapse Reserve</b>                     | <b>\$ 499</b>    | <b>\$ 0</b>           | <b>\$ 502</b>          | <b>\$ 510</b>             | <b>+\$ 8</b>                      | <b>1.6%</b>       |
| 11.1 Full-time permanent                        | \$196,115        | \$194,393             | \$200,223              | \$205,043                 | +\$4,820                          | 2.4%              |
| 11.3 Other than full-time permanent             | 3,686            | 3,717                 | 3,709                  | 3,795                     | + 86                              | 2.3%              |
| 11.5 Other personnel compensation               | 737              | 707                   | 740                    | 762                       | + 22                              | 3.0%              |
| 11.5A Staff Awards <sup>1</sup>                 | 1,492            | 1,482                 | 1,502                  | 1,536                     | + 34                              | 2.3%              |
| 11.8 Special personal services payment          | 405              | 426                   | 407                    | 417                       | + 10                              | 2.5%              |
| 12.1 Civilian personnel benefits                | 55,416           | 56,960                | 55,055                 | 56,699                    | + 1,644                           | 3.0%              |
| 13.0 Benefits for former personnel              | 3,025            | 3,021                 | 126                    | 126                       | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$260,876</b> | <b>\$260,706</b>      | <b>\$261,762</b>       | <b>\$268,378</b>          | <b>+\$6,616</b>                   | <b>2.5%</b>       |
| 21.0 Travel & transportation of persons         | 1,150            | 930                   | 1,157                  | 1,190                     | + 33                              | 2.9%              |
| 22.0 Transportation of things                   | 541              | 417                   | 544                    | 555                       | + 11                              | 2.0%              |
| 23.1 Rental payments to GSA                     | 3,272            | 3,306                 | 3,292                  | 3,630                     | + 338                             | 10.3%             |
| 23.2 Rental payments to others                  | 429              | 429                   | 432                    | 457                       | + 25                              | 5.8%              |
| 23.3 Communication, utilities & misc charges    | 3,158            | 4,848                 | 3,177                  | 3,058                     | 119                               | - 3.7%            |
| 24.0 Printing & reproduction                    | 2,628            | 2,139                 | 2,642                  | 2,680                     | + 38                              | 1.4%              |
| 25.1 Advisory & assistance services             | 27,471           | 26,904                | 27,637                 | 28,036                    | + 399                             | 1.4%              |
| 25.2 Other services                             | 32,125           | 35,207                | 34,777                 | 35,293                    | + 516                             | 1.5%              |
| 25.3 Other purch of gds & services from gov acc | 10,961           | 8,836                 | 9,255                  | 9,487                     | + 232                             | 2.5%              |
| 25.4 Operation & maintenance of facilities      | 7,066            | 6,867                 | 7,109                  | 7,217                     | + 108                             | 1.5%              |
| 25.6 Medical care                               | 20               | 20                    | 20                     | 20                        | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment       | 19,194           | 16,726                | 19,311                 | 20,694                    | + 1,383                           | 7.2%              |
| 25.8 Subsistence & support of persons           | 48               | 12                    | 49                     | 50                        | + 1                               | 2.0%              |
| 26.0 Supplies & materials                       | 3,340            | 2,987                 | 3,360                  | 3,424                     | + 64                              | 1.9%              |
| 31.0 Equipment                                  | 41,321           | 40,214                | 41,568                 | 42,561                    | + 993                             | 2.4%              |
| 41.0 Grants, subsidies & contributions          | 5,889            | 4,945                 | 5,925                  | 6,476                     | + 551                             | 9.3%              |
| 42.0 Insurance claims & indemnities             | 3                | 15                    | 3                      | 3                         | 0                                 | 0.0%              |
| 94.0 Financial transfers                        | 102              | 53                    | 103                    | 111                       | + 8                               | 7.8%              |
| <b>Total, Non-Pay</b>                           | <b>\$158,718</b> | <b>\$154,855</b>      | <b>\$160,361</b>       | <b>\$164,942</b>          | <b>+\$4,581</b>                   | <b>2.9%</b>       |
| <b>Total, Library of Congress, S&amp;E</b>      | <b>\$420,093</b> | <b>\$415,561</b>      | <b>\$422,625</b>       | <b>\$433,830</b>          | <b>+\$11,205</b>                  | <b>2.7%</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 2014<br>Agency Request |           |
|--|-------------------------------|-----------|
|  | FTE                           | Amount    |
| <b>Fiscal 2013 Continuing Resolution Base</b>              | 2,492                         | \$422,625 |
| <b>Non-recurring Costs</b>                                 | 0                             | 0         |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |           |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 3,580     |
| Annualization of April 2013 pay raise @ .5%                |                               | 1,310     |
| Within-grade increases                                     |                               | 1,210     |
| Foreign Service Nationals (FSN) pay adjustment             |                               | 385       |
| Transit Subsidy Increase from \$230 to \$245               |                               | 131       |
| <b>Total, Mandatory Pay and Related Costs</b>              | 0                             | 6,616     |
| <b>Price Level Changes</b>                                 |                               | 4,589     |
| <b>Program Increases</b>                                   | 0                             | 0         |
| Net Increase/Decrease                                      | 0                             | \$ 11,205 |
| <b>Total Budget</b>  | 2,492                         | \$433,830 |
| <b>Total Offsetting Collections</b>                        | 0                             | - 6,350   |
| <b>Total Appropriation</b>                                 | 2,492                         | \$427,480 |



# Office of the Librarian

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Office of the Librarian Summary By Object Class (Dollars in Thousands)

| Object Class                                    | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 00.0 Lapse Reserve                              | \$ 499           | \$ 0                  | \$ 502                 | \$ 510                    | +\$ 8                             | 1.6%              |
| <b>Total, Lapse Reserve</b>                     | <b>\$ 499</b>    | <b>\$ 0</b>           | <b>\$ 502</b>          | <b>\$ 510</b>             | <b>+\$ 8</b>                      | <b>1.6%</b>       |
| 11.1 Full-time permanent                        | \$12,899         | \$12,916              | \$13,028               | \$13,332                  | +\$304                            | 2.3%              |
| 11.3 Other than full-time permanent             | 233              | 274                   | 235                    | 240                       | + 5                               | 2.1%              |
| 11.5 Other personnel compensation               | 265              | 273                   | 267                    | 273                       | + 6                               | 2.2%              |
| 12.1 Civilian personnel benefits                | 4,183            | 4,551                 | 3,510                  | 3,613                     | + 103                             | 2.9%              |
| 13.0 Benefits for former personnel              | 175              | 146                   | 126                    | 126                       | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$17,755</b>  | <b>\$18,160</b>       | <b>\$17,166</b>        | <b>\$17,584</b>           | <b>+\$418</b>                     | <b>2.4%</b>       |
| 21.0 Travel & transportation of persons         | 49               | 36                    | 50                     | 50                        | 0                                 | 0.0%              |
| 22.0 Transportation of things                   | 57               | 35                    | 57                     | 58                        | + 1                               | 1.8%              |
| 23.3 Communication, utilities & misc charges    | 167              | 131                   | 168                    | 170                       | + 2                               | 1.2%              |
| 24.0 Printing & reproduction                    | 226              | 139                   | 227                    | 230                       | + 3                               | 1.3%              |
| 25.1 Advisory & assistance services             | 2,066            | 2,228                 | 2,079                  | 2,110                     | + 31                              | 1.5%              |
| 25.2 Other services                             | 1,394            | 706                   | 5,479                  | 5,561                     | + 82                              | 1.5%              |
| 25.3 Other purch of gds & services from gov acc | 30               | 31                    | 25                     | 25                        | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment       | 269              | 626                   | 271                    | 312                       | + 41                              | 15.1%             |
| 26.0 Supplies & materials                       | 140              | 81                    | 141                    | 144                       | + 3                               | 2.1%              |
| 31.0 Equipment                                  | 119              | 77                    | 119                    | 121                       | + 2                               | 1.7%              |
| 42.0 Insurance claims & indemnities             | 3                | 4                     | 3                      | 3                         | 0                                 | 0.0%              |
| <b>Total, Non-Pay</b>                           | <b>\$4,520</b>   | <b>\$4,094</b>        | <b>\$8,619</b>         | <b>\$8,784</b>            | <b>+\$165</b>                     | <b>1.9%</b>       |
| <b>Total, Office of the Librarian</b>           | <b>\$22,774</b>  | <b>\$22,254</b>       | <b>\$26,287</b>        | <b>\$26,878</b>           | <b>+\$591</b>                     | <b>2.2%</b>       |

**Office of the Librarian**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |          |
|--|-------------------------------|----------|
|  | FTE                           | Amount   |
| <b>Fiscal 2013 Continuing Resolution Base</b>              | 344                           | \$26,287 |
| <b>Non-recurring Costs</b>                                 | 0                             | 0        |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |          |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 240      |
| Annualization of April 2013 pay raise @ .5%                |                               | 88       |
| Within-grade increases                                     |                               | 82       |
| Transit Subsidy Increase from \$230 to \$245               |                               | 8        |
| <b>Total, Mandatory Pay and Related Costs</b>              | 0                             | 418      |
| <b>Price Level Changes</b>                                 |                               | 173      |
| <b>Program Increases</b>                                   | 0                             | 0        |
| <b>Net Increase/Decrease</b>                               | 0                             | \$ 591   |
| <b>Total Budget</b>  | 344                           | \$26,878 |
| <b>Total Offsetting Collections</b>                        | 0                             | 0        |
| <b>Total Appropriation</b>                                 | 344                           | \$26,878 |

# Office of the Librarian

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of **\$26.878 million** for the Office of the Librarian in fiscal 2014, a net increase of \$0.591 million, or 2.2 percent, over fiscal 2013. This increase supports mandatory pay related and price level increases.

### Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2012      |          |                       |          | Fiscal 2013<br>CR Base |          | Fiscal<br>2014<br>Request |          | Fiscal<br>2013/2014<br>Net Change |       | Percent<br>Change |
|-------------------|------------------|----------|-----------------------|----------|------------------------|----------|---------------------------|----------|-----------------------------------|-------|-------------------|
|                   | Spending<br>Plan |          | Actual<br>Obligations |          |                        |          |                           |          |                                   |       |                   |
|                   | FTE              | \$       | FTE                   | \$       | FTE                    | \$       | FTE                       | \$       | FTE                               | \$    | %                 |
| LIBN              | 344              | \$22,774 | 131                   | \$22,254 | 344                    | \$26,287 | 344                       | \$26,878 | 0                                 | \$591 | 2.2%              |

## 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 Deputy Librarian of Congress, and program and administrative staff provide executive management. The Librarian of Congress chairs 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/O):** Conducts, coordinates, and tracks fundraising activities to support the Librarian's priorities, spanning acquisitions, cultural programs, educational outreach activities, and events.

**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. OCFO serves as liaison with the House and Senate Committees on Appropriations of the Congress in areas relating to the Library's financial functions.

**Office of Communications/Public Affairs Office (OC/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 Contracts and Grants Management (OCGM):** Acquires goods and services for all Library units; awards and administers contracts, grants, funded cooperative agreements, and fellowships; procures databases and publications under the Library's Federal Library and Information Network (FEDLINK) Program; and oversees placement of foreign scholars in Library Program offices.

**Office of the 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 showcase its programs, collections, and exhibitions.

### Fiscal 2012-Priority Activities

The Congressional Relations Office (CRO) presented Library legislative proposals to the Committee on House Administration, Senate Committee on Rules and Administration, and the Joint Committee on the Library to improve operations and programs. CRO assisted in preparing the Library for two Committee on House Administration, Subcommittee on Oversight hearings. CRO provided timely responses to Congressional Member offices and constituent inquiries and facilitated support for the fiscal 2013 budget. Library senior managers met with oversight committee staff on issues

of interest, particularly in the area of new Library technologies, and led Congressional staff site visits to Library facilities. Members and Congressional staff were kept informed of Library programs, resources, services, and events through enhanced outreach techniques. Collaborations with the Library of Congress Caucus strengthened relationships with Members who have a particular interest in the Library. CRO kept senior managers updated on legislative issues of interest to the Library, consulted with service units regarding projects affecting the Library's service to Congress, and added new and updated content to the intranet site (LCnet) that is available exclusively to Members of Congress and their staff for obtaining information and services from the Library.

The Development Office supported the Librarian's efforts to secure funding from the private sector for projects such as the twelfth annual National Book Festival. The Development Office worked to fund a major photographic collection documenting present-day California, which will be available, copyright-free, on the Library's web site. The Development Office also secured funding for the first International Summit of the Book, held in December, 2012, and also provided management of the James Madison Council, an advisory board that contributes financial backing and ideas to support and develop the Library's collections and funding for the World Digital Library, the Junior Fellows Program, and an exhibition featuring the Library's Armenian collections. The Development Office's goals were advanced through effective prospecting, donor development, stewardship, and coordination with offices throughout the Library.

The Office of the Chief Financial Officer (OCFO) completed implementation of the planning and budgeting framework developed in fiscal 2011. This framework has enhanced accountability for and improved measurement of progress toward achieving the Strategic Plan goals and related outcomes. For example, during fiscal 2012, the Deputy Librarian chaired regular performance meetings to track and measure progress, establishing clear lines of accountability for achieving results called for in the Strategic Plan. OCFO also made progress in implementing an institution-wide budget system that provides spending plan data from all Library service units. The data assists senior management in making spending decisions at the institution level, rather than at the service unit level.

The Web Governance Board (WGB) maintained oversight of the work to implement the Library's information architecture strategy that included the release of a beta legislative information system, **Congress**,

and improvements to the search and navigation of national library content.

During fiscal 2012, the Library hired a new Director of Communications. The Office of Communications revived and renewed a public magazine, called the *Library of Congress Magazine* (LCM), and provided public relations support and backing to a myriad of Library initiatives and events. Some of the fiscal 2012 activities included the rollout of the new **Congress.gov** beta web site, announcements of a new Poet Laureate, the Gershwin Prize for Popular Song, and Kluge Prize recipients, events such as the National Book Festival, and major acquisitions including the Carl Sagan papers and the Lee Strasberg papers. The Office of Communications issued more than 240 news releases supporting Library programs and garnered coverage by media outlets, which included the Washington Post, the New York Times, Associated Press, NBC Nightly News, CBS Evening News and PBS Newshour. The Office of Communications continued expanding public outreach through social media outlets, including blogs, Facebook, Twitter, Flickr, YouTube, and iTunesU, and kept the Library's staff informed through published information in the weekly *Library of Congress Gazette*.

The major focus of the Office of Contracts and Grants Management was on improving productivity, quality control, and collaboration among the Library's program managers, legal counsel, financial managers, and contracting officers. Management and staff changes were implemented to ensure that the multitude of goods and services necessary to support the Library's mission was acquired through a disciplined process that avoided a rush of unfinished work at the end of the fiscal year. The Office also placed additional emphasis on utilizing competition in the contracting process.

The Office of the General Counsel (OGC) met its primary goal of anticipating and meeting the Library's legal needs, managing the legal aspects of budget developments, human capital management, records management planning, collection acquisitions, the WGB, the National Book Festival, eDeposit, and web archiving. OGC also worked on the legal aspects of the triennial Digital Millennium Copyright Act (DMCA) anti-circumvention rulemaking. The OGC began work with Library management to improve the Library's contracting operations. OGC also engaged in substantial litigation, in particular on the constitutional challenges to the Copyright Royalty Judges and pending employment discrimination cases, one of which required an appeal to the District of Columbia Circuit.

The Office of Special Events and Public Programs

coordinated 325 special events consisting of 542 segments (i.e., multi-day events or numerous subevents on a single day). These included 163 Library-sponsored events held in various library spaces. The office also coordinated 88 Congressional events held at the Library. A number of events sponsored by either the Library or outside organizations involved the participation of Heads of State, Members of the Supreme Court, Cabinet members, and Ambassadors.

### Fiscal 2013 Priority Activities

The Librarian's Office will continue to oversee Library management and track progress made on the priorities established in fiscal 2012.

The Congressional Relations Office will continue to strengthen relationships between the Congress and the Library in particular through collaborations with the Library of Congress Caucus, outreach about Library programming, and visits to the offices of the new Members of the 113th Congress. CRO will present legislative proposals and requests for approvals to the Committee on House Administration, Senate Committee on Rules and Administration, and the Joint Committee on the Library. CRO will meet with oversight committee staff on issues of interest, including providing briefings, demonstrations, and site visits. CRO will facilitate support for the fiscal 2014 budget, inform Congressional offices and committees of Library programs, resources, services and events, and provide timely responses to Congressional inquiries. On a regular basis, senior managers will be informed of legislative issues affecting the Library and consulted on projects affecting the Library's service to Congress. CRO will continue to build out the intranet site (LCnet) available only to Congressional offices.

The Development Office will continue to support the Librarian's efforts to raise funds for a broad range of programs including the National Book Festival, 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 seek to strengthen the James Madison Council and foster support for the Library among foundations, corporations, and individuals. The Development Office will work to develop a formal planned giving program for the Library. The Office will focus on refining policies and procedures related to fundraising and coordinating fundraising activities across the institution.

The OCFO's implementation of the planning and budgeting framework and the budget system will

increasingly provide senior leadership with useful and timely information that will aid them in making strategic programmatic and management decisions and in allocating resources effectively to support the Library's core mission and priority objectives. The Library also will update its Strategic Plan in fiscal 2013, ensuring that all of the Library programs and efforts are addressed in the plan and regularly evaluated for effectiveness. OCFO will work with the Architect of the Capitol (AOC) to perform a gap analysis to determine whether the AOC should join the Library's financial management system environment as part of a process to consolidate services, achieve efficiencies, and realize cost savings across the Legislative Branch.

The WGB will continue its oversight of the ongoing implementation of the Library's information architecture strategy. The WGB will ensure that key performance indicators and user satisfaction measurements inform decisions concerning the design and content of the web presence. The WGB will develop governance structures that facilitate the maintenance and enrichment of the new web presence.

The Office of Communications will continue to provide media support to Library initiatives, including the major exhibition *The Civil War in America*, the 100th anniversary of the Constitution Annotated and high-profile acquisitions and other annual initiatives. The Office of Communications will publish the 2012 Annual Report and weekly Gazette, develop original content for the Library's main blog, and build upon the successful launch of the LCM by exploring additional distribution channels and the feasibility of an app version to maximize outreach. The Office of Communications will assess its internal communications and social media efforts to ensure quality, efficiency, effectiveness, and the feasibility of expanding multimedia content to supplement social media channels and the LCM. The Office of Communications will identify and implement opportunities for maximizing National Book Festival outreach and branding efforts by applying these strategies to other Library events and goals.

Further improvements in the Office of Contracts and Grants Management will include streamlining management to improve oversight and accountability, developing functional expertise in the contracting teams, increasing the professional expertise of contracting specialists, implementing more formal work processes, and improving the management of workload. The Office will continue to review the effectiveness of all contributors to the contracting process and to initiate efforts to achieve better performance, with enhanced acquisition planning a top priority. In addition, the

Office will expand the practical training provided to Contract Specialists and Contracting Officers' Representatives beyond past efforts, carrying out the training in conjunction with the work necessary to complete the contracts and grants that support the Library's mission.

The Office of the General Counsel will focus on legal aspects of budget developments, human capital management, contracting, records management, acquisitions for the collections, the National Book Festival, third party digitization policy, digital research access, eDeposit, and orphan works. The OGC will continue work on the standardization of gift, deposit, and cooperative agreements and of legal forms used throughout the Library, including surplus property, passes, permissions, and releases. Fiscal 2013 may require substantial litigation work, in particular on a significant case on First Amendment issues, and employment discrimination cases. The OGC will continue to work with management on improving the Library's contracting operations – training contracting officers and program officials, developing and documenting contracting policies and procedures, and identifying opportunities to introduce strategic sourcing and other efficiencies into the process. The OGC will continue to assess the legal sufficiency of Library contracts, and, in its recently re-established role as the Library's Competition Advocate, will promote full and open competition and the use of commercial items.

The Office of Special Events and Public Programs will continue to coordinate a broad range of special events, both at the Library and at off-site venues, for the Library, Members of Congress, and outside organizations. The programs will continue to focus on events related to educational outreach and the Library's collections. Major events the office will coordinate during fiscal 2013, some involving multiple segments, include the Gershwin Prize for Popular Song, meetings of the Madison Council, the National Book Festival, the American Society of Composers, Authors and Publishers (ASCAP), and events sponsored by outside organizations that have supported various Library initiatives or donated major collections, such as the Herblock Foundation.

### **Fiscal 2014 Priority Activities**

The Librarian's Office will continue to oversee Library management and track the progress that is made on established priorities.

The Congressional Relations Office will continue to strengthen relationships between the Congress and the Library; continue to present legislative proposals

and requests for approvals to Committee on House Administration, Senate Committee on Rules and Administration, and the Joint Committee on the Library, and continue to meet with oversight committee staff on issues of interest including providing briefings, demonstrations, and site visits. CRO will facilitate support for the fiscal 2015 budget; inform Congressional offices and committees of Library programs, resources, services, and events; and provide timely responses to Congressional inquiries. CRO will continue to build out the intranet site (LCnet) available only to Congressional offices.

The Development Office will continue to support the Librarian's efforts to raise funds for 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 seek to strengthen the James Madison Council as well as foster support for the Library among foundations, corporations, and individuals and will work to further internal coordination of fundraising activities within the institution.

With the OCFO playing a key coordinating role, 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 the discrete intended results of its Strategic Plan. The budget system, administered by OCFO, 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. Depending on the outcome of the fiscal 2013 gap analysis and the availability of resources, OCFO will begin the process of migrating the AOC's financial data into the Library's central financial management system environment in fiscal 2014.

The WGB will oversee further improvements to the user experience and continued implementation of the information architecture strategy. The web presence search, navigation, and presentation will be refined to enhance access to legislative data, Library content and services, and Copyright Office services and records.

The Office of Communications will continue to provide media support to Library programs and initiatives, publish the LCM and Annual Report, and maintain and develop social media channels and content. The Office of Communications will work toward implementing modifications and enhancements resulting from fiscal 2013 assessments in internal communications, LCM distribution and app enhancements, multi-media content

development, and expansion of the National Book Festival brand and outreach.

The Office of Contracts and Grants Management's evaluation of efficiency and effectiveness will be ongoing, with specific actions leading to higher standards of operation dependent on progress achieved in fiscal 2013. It will be necessary to continue the efforts of previous years to reinforce new practices and lessons learned. As in previous years, the timely and accurate award of contracts and grants will be of paramount importance.

The Office of the General Counsel will continue to

focus on legal aspects of budget developments, human capital management, contracting, records management, facilities, legislation and regulations, the National Book Festival, digital collections issues, collection acquisitions, and defending the Library in litigation, employment discrimination and contract cases.

The Office of Special Events and Public Programs will continue to coordinate a broad range of special events for the Library, Members of Congress, and outside organizations. The programs will continue to focus on events related to educational outreach and the Library's collections.



# Library Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Library Services Resource Summary (Dollars in Thousands)

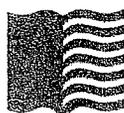
| Appropriation/PPA                                      | Fiscal 2012      |                   |                       |                   | Fiscal 2013<br>CR Base |                   | Fiscal<br>2014<br>Request |                   | Fiscal<br>2013/2014<br>Net Change |                 | Percent<br>Change |
|--|------------------|-------------------|-----------------------|-------------------|------------------------|-------------------|---------------------------|-------------------|-----------------------------------|-----------------|-------------------|
|  | Spending<br>Plan |                   | Actual<br>Obligations |                   | FTE                    | \$                | FTE                       | \$                | FTE                               | \$              |                   |
|  | FTE              | \$                | FTE                   | \$                |                        |                   |                           |                   |                                   |                 |                   |
| <b>Associate Librarian for Library Services (ALLS)</b> |                  |                   |                       |                   |                        |                   |                           |                   |                                   |                 |                   |
| ALLS   | 22               | \$ 7,052          | 24                    | \$ 5,950          | 22                     | \$ 7,095          | 22                        | \$ 7,232          | 0                                 | \$ 137          | 1.9%              |
| American Folklife Center                               | 23               | 3,488             | 20                    | 3,259             | 23                     | 3,509             | 23                        | 3,585             | 0                                 | 76              | 2.2%              |
| Veterans History Project                               | 26               | 2,321             | 19                    | 1,916             | 26                     | 2,335             | 26                        | 2,386             | 0                                 | 51              | 2.2%              |
| <b>Total, ALLS</b>                                     | <b>71</b>        | <b>\$ 12,861</b>  | <b>63</b>             | <b>\$ 11,125</b>  | <b>71</b>              | <b>\$ 12,939</b>  | <b>71</b>                 | <b>\$ 13,203</b>  | <b>0</b>                          | <b>\$ 264</b>   | <b>2.0%</b>       |
| <b>Acquisitions and Bibliographic Access (ABA)</b>     |                  |                   |                       |                   |                        |                   |                           |                   |                                   |                 |                   |
| <b>Total, Acq &amp; Bib Acc</b>                        | <b>494</b>       | <b>\$ 86,098</b>  | <b>475</b>            | <b>\$ 86,641</b>  | <b>494</b>             | <b>\$ 84,967</b>  | <b>494</b>                | <b>\$ 87,634</b>  | <b>0</b>                          | <b>\$ 2,667</b> | <b>3.1%</b>       |
| <b>Collections and Services (CS)</b>                   |                  |                   |                       |                   |                        |                   |                           |                   |                                   |                 |                   |
| Collections & Services                                 | 528              | \$ 62,120         | 499                   | \$ 63,309         | 528                    | \$ 60,785         | 528                       | \$ 62,662         | 0                                 | \$ 1,877        | 3.1%              |
| Packard Campus   | 112              | 19,083            | 109                   | 19,012            | 112                    | 19,200            | 112                       | 19,661            | 0                                 | 461             | 2.4%              |
| <b>Total, Collections &amp; Services</b>               | <b>640</b>       | <b>\$ 81,203</b>  | <b>608</b>            | <b>\$ 82,321</b>  | <b>640</b>             | <b>\$ 79,985</b>  | <b>640</b>                | <b>\$ 82,323</b>  | <b>0</b>                          | <b>\$ 2,338</b> | <b>2.9%</b>       |
| <b>Partnerships and Outreach Programs (POP)</b>        |                  |                   |                       |                   |                        |                   |                           |                   |                                   |                 |                   |
| Partnerships & Outreach Prgrms                         | 52               | \$ 5,966          | 46                    | \$ 5,954          | 52                     | \$ 6,003          | 52                        | \$ 6,145          | 0                                 | \$ 142          | 2.4%              |
| Cat Dist Service                                       | 21               | 6,000             | 18                    | 3,815             | 21                     | 6,000             | 21                        | 6,000             | 0                                 | 0               | 0.0%              |
| <b>Total, Part &amp; Outreach Prgrm</b>                | <b>73</b>        | <b>\$ 11,966</b>  | <b>64</b>             | <b>\$ 9,769</b>   | <b>73</b>              | <b>\$ 12,003</b>  | <b>73</b>                 | <b>\$ 12,145</b>  | <b>0</b>                          | <b>\$ 142</b>   | <b>1.2%</b>       |
| <b>Preservation (PRES)</b>                             |                  |                   |                       |                   |                        |                   |                           |                   |                                   |                 |                   |
| Preservation   | 102              | \$ 13,886         | 98                    | \$ 14,226         | 102                    | \$ 13,971         | 102                       | \$ 14,271         | 0                                 | \$ 300          | 2.1%              |
| Mass Deacid Prgrm                                      | 0                | 5,664             | 0                     | 6,680             | 0                      | 5,699             | 0                         | 5,785             | 0                                 | 86              | 1.5%              |
| <b>Total, Preservation</b>                             | <b>102</b>       | <b>\$ 19,550</b>  | <b>98</b>             | <b>\$ 20,906</b>  | <b>102</b>             | <b>\$ 19,670</b>  | <b>102</b>                | <b>\$ 20,056</b>  | <b>0</b>                          | <b>\$ 386</b>   | <b>2.0%</b>       |
| <b>Technology Policy (TECH)</b>                        |                  |                   |                       |                   |                        |                   |                           |                   |                                   |                 |                   |
| Technology Policy                                      | 51               | \$ 8,116          | 42                    | \$ 7,823          | 51                     | \$ 8,165          | 51                        | \$ 8,474          | 0                                 | \$ 309          | 3.8%              |
| <b>Total, Library Services (LS)</b>                    |                  |                   |                       |                   |                        |                   |                           |                   |                                   |                 |                   |
| <b>Total, Library Services</b>                         | <b>1,431</b>     | <b>\$ 219,794</b> | <b>1,350</b>          | <b>\$ 218,585</b> | <b>1,431</b>           | <b>\$ 217,729</b> | <b>1,431</b>              | <b>\$ 223,835</b> | <b>0</b>                          | <b>\$ 6,106</b> | <b>2.8%</b>       |

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

| Object Class                                    | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$115,936        | \$115,525             | \$118,951              | \$121,877                 | + \$2,926                         | 2.5%              |
| 11.3 Other than full-time permanent             | 2,930            | 2,816                 | 2,947                  | 3,016                     | + 69                              | 2.3%              |
| 11.5 Other personnel compensation               | 1,051            | 1,053                 | 1,057                  | 1,085                     | + 28                              | 2.6%              |
| 11.8 Special personal services payment          | 22               | 21                    | 22                     | 23                        | + 1                               | 4.5%              |
| 12.1 Civilian personnel benefits                | 32,374           | 33,066                | 32,570                 | 33,557                    | + 987                             | 3.0%              |
| 13.0 Benefits for former personnel              | 2,300            | 2,325                 | 0                      | 0                         | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$154,613</b> | <b>\$154,806</b>      | <b>\$155,547</b>       | <b>\$159,558</b>          | <b>+ \$4,011</b>                  | <b>2.6%</b>       |
| 21.0 Travel & transportation of persons         | 726              | 611                   | 730                    | 757                       | + 27                              | 3.7%              |
| 22.0 Transportation of things                   | 468              | 372                   | 470                    | 481                       | + 11                              | 2.3%              |
| 23.1 Rental payments to GSA                     | 65               | 72                    | 65                     | 75                        | + 10                              | 15.4%             |
| 23.2 Rental payments to others                  | 418              | 391                   | 421                    | 457                       | + 36                              | 8.6%              |
| 23.3 Communication, utilities & misc charges    | 793              | 728                   | 797                    | 816                       | + 19                              | 2.4%              |
| 24.0 Printing & reproduction                    | 2,070            | 1,781                 | 2,081                  | 2,111                     | + 30                              | 1.4%              |
| 25.1 Advisory & assistance services             | 9,498            | 9,607                 | 9,553                  | 9,681                     | + 128                             | 1.3%              |
| 25.2 Other services                             | 11,869           | 12,293                | 10,285                 | 10,439                    | + 154                             | 1.5%              |
| 25.3 Other purch of gds & services from gov acc | 8,693            | 6,893                 | 7,018                  | 7,214                     | + 196                             | 2.8%              |
| 25.4 Operation & maintenance of facilities      | 8                | 6                     | 8                      | 9                         | + 1                               | 12.5%             |
| 25.7 Operation & maintenance of equipment       | 3,217            | 2,626                 | 3,236                  | 3,494                     | + 258                             | 8.0%              |
| 25.8 Subsistence & support of persons           | 49               | 12                    | 49                     | 50                        | + 1                               | 2.0%              |
| 26.0 Supplies & materials                       | 2,642            | 2,414                 | 2,658                  | 2,711                     | + 53                              | 2.0%              |
| 31.0 Equipment                                  | 23,884           | 25,242                | 24,025                 | 24,716                    | + 691                             | 2.9%              |
| 41.0 Grants, subsidies & contributions          | 679              | 678                   | 683                    | 1,155                     | + 472                             | 69.1%             |
| 94.0 Financial transfers                        | 102              | 53                    | 103                    | 111                       | + 8                               | 7.8%              |
| <b>Total, Non-Pay</b>                           | <b>\$ 65,181</b> | <b>\$ 63,779</b>      | <b>\$ 62,182</b>       | <b>\$ 64,277</b>          | <b>+ \$2,095</b>                  | <b>3.4%</b>       |
| <b>Total, Library Services</b>                  | <b>\$219,794</b> | <b>\$218,585</b>      | <b>\$217,729</b>       | <b>\$223,835</b>          | <b>+ \$6,106</b>                  | <b>2.8%</b>       |

**Library Services**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |           |
|--|-------------------------------|-----------|
|  | FTE                           | Amount    |
| <b>Fiscal 2013 Continuing Resolution Base</b>              | 1,431                         | \$217,729 |
| <b>Non-recurring Costs</b>                                 | 0                             | 0         |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |           |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 2,075     |
| Annualization of April 2013 pay raise @ .5%                |                               | 765       |
| Within-grade increases                                     |                               | 707       |
| Foreign Service Nationals (FSN) pay adjustment             |                               | 385       |
| Transit Subsidy Increase from \$230 to \$245               |                               | 79        |
| <b>Total, Mandatory Pay and Related Costs</b>              | 0                             | 4,011     |
| <b>Price Level Changes</b>                                 |                               | 2,095     |
| <b>Program Increases</b>                                   | 0                             | 0         |
| <b>Net Increase/Decrease</b>                               | 0                             | \$ 6,106  |
| <b>Total Budget</b>  | 1,431                         | \$223,835 |
| <b>Total Offsetting Collections</b>                        | 0                             | - 6,000   |
| <b>Total Appropriation</b>                                 | 1,431                         | \$217,835 |



# 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 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|--|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|  | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                               | \$5,640          | \$5,660               | \$5,700                | \$5,833                   | + \$133                           | 2.3%              |
| 11.3 Other than full-time permanent                    | 120              | 114                   | 121                    | 124                       | + 3                               | 2.5%              |
| 11.5 Other personnel compensation                      | 85               | 82                    | 85                     | 87                        | + 2                               | 2.4%              |
| 12.1 Civilian personnel benefits                       | 1,494            | 1,589                 | 1,503                  | 1,547                     | + 44                              | 2.9%              |
| 13.0 Benefits for former personnel                     | 25               | 25                    | 0                      | 0                         | 0                                 | 0.0%              |
| <b>Total, Pay</b>                                      | <b>\$7,364</b>   | <b>\$7,470</b>        | <b>\$7,409</b>         | <b>\$7,591</b>            | <b>+ \$182</b>                    | <b>2.5%</b>       |
| 21.0 Travel & transportation of persons                | 98               | 61                    | 98                     | 100                       | + 2                               | 2.0%              |
| 22.0 Transportation of things                          | 170              | 151                   | 171                    | 174                       | + 3                               | 1.8%              |
| 23.3 Communication, utilities & misc charges           | 318              | 235                   | 320                    | 325                       | + 5                               | 1.6%              |
| 24.0 Printing & reproduction                           | 316              | 264                   | 318                    | 323                       | + 5                               | 1.6%              |
| 25.1 Advisory & assistance services                    | 592              | 884                   | 595                    | 604                       | + 9                               | 1.5%              |
| 25.2 Other services                                    | 1,811            | 546                   | 1,825                  | 1,852                     | + 27                              | 1.5%              |
| 25.3 Other purch of gds & services from gov acc        | 305              | 235                   | 304                    | 308                       | + 4                               | 1.3%              |
| 25.7 Operation & maintenance of equipment              | 25               | 19                    | 25                     | 26                        | + 1                               | 4.0%              |
| 25.8 Subsistence & support of persons                  | 24               | 12                    | 24                     | 24                        | 0                                 | 0.0%              |
| 26.0 Supplies & materials                              | 183              | 71                    | 185                    | 187                       | + 2                               | 1.1%              |
| 31.0 Equipment   | 1,506            | 1,029                 | 1,515                  | 1,537                     | + 22                              | 1.5%              |
| 41.0 Grants, subsidies & contributions                 | 149              | 148                   | 150                    | 152                       | + 2                               | 1.3%              |
| <b>Total, Non-Pay</b>                                  | <b>\$5,497</b>   | <b>\$3,655</b>        | <b>\$5,530</b>         | <b>\$5,612</b>            | <b>+ \$ 82</b>                    | <b>1.5%</b>       |
| <b>Total, Associate Librarian for Library Services</b> | <b>\$12,861</b>  | <b>\$11,125</b>       | <b>\$12,939</b>        | <b>\$13,203</b>           | <b>+ \$264</b>                    | <b>2.0%</b>       |

**Associate Librarian for Library Services**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| Fiscal 2013 Continuing Resolution Base                     | 71                            | \$12,939        |
| Non-recurring Costs  | 0                             | 0               |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                 |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 104             |
| Annualization of April 2013 pay raise @ .5%                |                               | 39              |
| Within-grade increases                                     |                               | 36              |
| Transit Subsidy Increase from \$230 to \$245               |                               | 3               |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>182</b>      |
| <b>Price Level Changes</b>                                 |                               | <b>82</b>       |
| <b>Program Increases</b>                                   | <b>0</b>                      | <b>0</b>        |
| Net Increase/Decrease                                      | <b>0</b>                      | <b>\$ 264</b>   |
| <b>Total Budget</b>  | <b>71</b>                     | <b>\$13,203</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                      | <b>0</b>        |
| <b>Total Appropriation</b>                                 | <b>71</b>                     | <b>\$13,203</b> |

# Associate Librarian for Library Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of **\$13.203 million** for the Office of the Associate Librarian for Library Services in fiscal 2014, an increase of \$0.264 million, or 2 percent, over fiscal 2013. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2012      |          |                       |          | Fiscal 2013<br>CR Base |          | Fiscal 2014<br>Request |          | Fiscal 2013/2014<br>Net Change |       | Percent<br>Change |
|-------------------|------------------|----------|-----------------------|----------|------------------------|----------|------------------------|----------|--------------------------------|-------|-------------------|
|                   | Spending<br>Plan |          | Actual<br>Obligations |          | FTE                    | \$       | FTE                    | \$       | FTE                            | \$    | %                 |
|                   | FTE              | \$       | FTE                   | \$       |                        |          |                        |          |                                |       |                   |
| LS_ALLS           | 71               | \$12,861 | 63                    | \$11,125 | 71                     | \$12,939 | 71                     | \$13,203 | 0                              | \$264 | 2.0%              |

## 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 service unit-specific strategic goals:

- 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 multifformat 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. (See Appendix A for additional information on AFC and VHP.)

### Fiscal 2012 Priority Activities

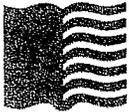
ALLS continued to focus on its highest priorities, including sustaining and preserving the Library's collections, acquiring and describing new knowledge including digital content and providing access to items in the collections. ALLS continued its assessment of operations and priorities. Operational changes in fiscal 2012 included the appointment of a collection development officer and near completion of a plan to establish a formal collection development office.

**Fiscal 2013 Priority Activities**

ALLS' highest priority will continue to be to sustain, preserve, acquire, describe, and provide access to the collections. ALLS will implement the planned establishment of the collection development office and will develop a plan for assuring a skilled workforce. ALLS will continue to work with other service units to maximize the use of technology in the acquisition, access, and preservation of research materials.

**Fiscal 2014 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. ALLS will work to ensure that the LS workforce has the necessary skills and agility to adapt to a changing work environment.



# Acquisitions and Bibliographic Access

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Acquisitions and Bibliographic Access Summary By Object Class (Dollars in Thousands)

| Object Class  | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                              | \$45,131         | \$45,087              | \$46,691               | \$47,970                  | + \$1,279                         | 2.7%              |
| 11.3 Other than full-time permanent                   | 642              | 580                   | 646                    | 661                       | + 15                              | 2.3%              |
| 11.5 Other personnel compensation                     | 408              | 559                   | 410                    | 424                       | + 14                              | 3.4%              |
| 12.1 Civilian personnel benefits                      | 12,214           | 12,473                | 12,288                 | 12,718                    | + 430                             | 3.5%              |
| 13.0 Benefits for former personnel                    | 1,275            | 1,300                 | 0                      | 0                         | 0                                 | 0.0%              |
| <b>Total, Pay</b>                                     | <b>\$59,670</b>  | <b>\$59,999</b>       | <b>\$60,035</b>        | <b>\$61,773</b>           | <b>+ \$1,738</b>                  | <b>2.9%</b>       |
| 21.0 Travel & transportation of persons               | 360              | 356                   | 362                    | 384                       | + 22                              | 6.1%              |
| 22.0 Transportation of things                         | 246              | 161                   | 248                    | 256                       | + 8                               | 3.2%              |
| 23.1 Rental payments to GSA                           | 65               | 72                    | 65                     | 75                        | + 10                              | 15.4%             |
| 23.2 Rental payments to others                        | 410              | 391                   | 413                    | 450                       | + 37                              | 9.0%              |
| 23.3 Communication, utilities & misc charges          | 278              | 291                   | 280                    | 292                       | + 12                              | 4.3%              |
| 24.0 Printing & reproduction                          | 70               | 46                    | 70                     | 74                        | + 4                               | 5.7%              |
| 25.1 Advisory & assistance services                   | 551              | 58                    | 555                    | 563                       | + 8                               | 1.4%              |
| 25.2 Other services                                   | 1,858            | 2,154                 | 1,896                  | 1,936                     | + 40                              | 2.1%              |
| 25.3 Other purch of gds & services from gov acc       | 7,378            | 5,919                 | 5,737                  | 5,928                     | + 191                             | 3.3%              |
| 25.4 Operation & maintenance of facilities            | 8                | 6                     | 8                      | 9                         | + 1                               | 12.5%             |
| 25.7 Operation & maintenance of equipment             | 37               | 39                    | 38                     | 41                        | + 3                               | 7.9%              |
| 26.0 Supplies & materials                             | 266              | 261                   | 267                    | 284                       | + 17                              | 6.4%              |
| 31.0 Equipment  | 14,799           | 16,836                | 14,890                 | 15,458                    | + 568                             | 3.8%              |
| 94.0 Financial transfers                              | 102              | 52                    | 103                    | 111                       | + 8                               | 7.8%              |
| <b>Total, Non-Pay</b>                                 | <b>\$26,428</b>  | <b>\$26,642</b>       | <b>\$24,932</b>        | <b>\$25,861</b>           | <b>+ \$ 929</b>                   | <b>3.7%</b>       |
| <b>Total, Acquisitions &amp; Bibliographic Access</b> | <b>\$86,098</b>  | <b>\$86,641</b>       | <b>\$84,967</b>        | <b>\$87,634</b>           | <b>+ \$2,667</b>                  | <b>3.1%</b>       |

**Acquisitions and Bibliographic Access**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| <b>Fiscal 2013 Continuing Resolution Base</b>              | <b>494</b>                    | <b>\$84,967</b> |
| <b>Non-recurring Costs</b>                                 | <b>0</b>                      | <b>0</b>        |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                 |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 772             |
| Annualization of April 2013 pay raise @ .5%                |                               | 285             |
| Within-grade increases                                     |                               | 263             |
| Foreign Service Nationals (FSN) pay adjustment             |                               | 385             |
| Transit Subsidy Increase from \$230 to \$245               |                               | 33              |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>1,738</b>    |
| <b>Price Level Changes</b>                                 |                               | <b>929</b>      |
| <b>Program Increases</b>                                   | <b>0</b>                      | <b>0</b>        |
| <b>Net Increase/Decrease</b>                               | <b>0</b>                      | <b>\$ 2,667</b> |
| <b>Total Budget</b>  | <b>494</b>                    | <b>\$87,634</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                      | <b>0</b>        |
| <b>Total Appropriation</b>                                 | <b>494</b>                    | <b>\$87,634</b> |

# Acquisitions and Bibliographic Access

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of **\$87.634 million** for Acquisitions and Bibliographic Access in fiscal 2014, an increase of \$2.667 million, or 3.1 percent, over fiscal 2013. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2012      |          |                       |          | Fiscal 2013<br>CR Base |          | Fiscal<br>2014<br>Request |          | Fiscal<br>2013/2014<br>Net Change |         | Percent<br>Change |
|-------------------|------------------|----------|-----------------------|----------|------------------------|----------|---------------------------|----------|-----------------------------------|---------|-------------------|
|                   | Spending<br>Plan |          | Actual<br>Obligations |          | FTE                    | \$       | FTE                       | \$       | FTE                               | \$      | %                 |
|                   | FTE              | \$       | FTE                   | \$       |                        |          |                           |          |                                   |         |                   |
| LS_ABA            | 494              | \$86,098 | 475                   | \$86,641 | 494                    | \$84,967 | 494                       | \$87,634 | 0                                 | \$2,667 | 3.1%              |

## 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 806-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 2012 Priority Activities

ABA continued cross-training staff for increased efficiency and output in acquisitions and bibliographic access duties. More 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. In anticipation of the adoption of a new set of international rules for bibliographic description, ABA completed the training of one third of its staff in applying the new instructions. ABA maintained its high bibliographic access production levels (350,201 items cataloged) and fully executed the GENPAC and Books Law funding of more than \$17 million plus an additional \$4 million from gifts and other sources. ABA continued to focus on revamping the CIP program. It initiated its plan to include e-books in the CIP program, with 32 publishers participating, and it grew the number of partner libraries that supply bibliographic records needed by the Library. ABA expanded the PCC by 12 members. ABA and its overseas offices completed the first full year of a contract with the Council for American Overseas Research Centers to establish an alternative and less costly approach to collecting materials in West Africa, an underserved part of the world, and acquired 3,025 titles; completed requirements and began the first phase of replacing an obsolete automated system for managing the acquisitions work of the overseas offices on behalf of the Library and the cooperative acquisitions participants; expanded cataloging responsibility in the offices; and engaged all the offices in acquiring more digital content and web resources from underdeveloped areas of the world that are important to the Congress.

### Fiscal 2013 Priority Activities

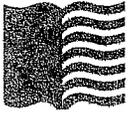
Based on the results of a skills survey that it will disseminate to staff, ABA will redeploy staff to fulfill needs caused by attrition and limited resources to fill vacated positions. ABA will complete training

more than 400 staff to implement new rules for bibliographic description. ABA will complete the remaining phases of space reconfiguration in support of the ABA reorganization. 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 approximately 300 thousand collection items. Based on the initial success of an alternative approach to collecting materials in West Africa, the overseas offices will explore expanding the effort. The overseas offices will finish testing implementation in the India Office of a replacement system for managing the offices’ acquisitions work. Working with six national and international organizations, ABA will co-lead the initial phase of the new bibliographic framework initiative to replace the MARC standard for online bibliographic data that was created by the Library more than 40 years ago. ABA will collaborate with the new collection development officer to establish a Collection Development Office, helping to ensure the judicious growth of the Library’s collections in a reduced budget environment

### **Fiscal 2014 Priority Activities**

ABA will maintain careful stewardship of designated appropriated and gift funds, assuring the continued acquisition of collection resources from all parts of the

world of interest to the Congress. In fiscal 2014, ABA will underscore the exchange aspect of building the Library’s collections. These efforts will include analyzing new and emerging forms of digital content that will be critical to sustaining the Library’s universal collections. Although challenged by reduced staffing levels, ABA will deploy existing staff and sustain its work and output at the highest possible levels. ABA will intensify this effort by expanding the supply of bibliographic data available through the CIP program, vendors, and content creators. ABA will continue its efforts in leading the initiative to replace the MARC standard with a new bibliographic framework that enables the Library and the library community to take greater advantage of web-produced content and data. ABA will lead the United States library community in implementing the new set of instructions for bibliographic description through sharing its training materials and documentation, thereby facilitating and reducing the cost of nationwide implementation. These latter 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 sustain its attention to the continuous growth of the CIP program. The overseas offices will increase the amount of materials they forward to the Library and cooperative partners, completely cataloged and ready for immediate use.



# Collections and Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Collections and Services Summary By Object Class (Dollars in Thousands)

| Object Class                                    | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$47,159         | \$47,147              | \$48,253               | \$49,376                  | + \$1,123                         | 2.3%              |
| 11.3 Other than full-time permanent             | 1,801            | 1,664                 | 1,812                  | 1,854                     | + 42                              | 2.3%              |
| 11.5 Other personnel compensation               | 394              | 265                   | 397                    | 406                       | + 9                               | 2.3%              |
| 12.1 Civilian personnel benefits                | 13,670           | 13,924                | 13,754                 | 14,135                    | + 381                             | 2.8%              |
| 13.0 Benefits for former personnel              | 800              | 800                   | 0                      | 0                         | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$63,824</b>  | <b>\$63,800</b>       | <b>\$64,216</b>        | <b>\$65,771</b>           | <b>+ \$1,555</b>                  | <b>2.4%</b>       |
| 21.0 Travel & transportation of persons         | 180              | 133                   | 181                    | 184                       | + 3                               | 1.7%              |
| 22.0 Transportation of things                   | 0                | 19                    | 0                      | 0                         | 0                                 | 0.0%              |
| 23.3 Communication, utilities & misc charges    | 77               | 74                    | 77                     | 78                        | + 1                               | 1.3%              |
| 24.0 Printing & reproduction                    | 94               | 44                    | 94                     | 96                        | + 2                               | 2.1%              |
| 25.1 Advisory & assistance services             | 1,233            | 1,491                 | 1,240                  | 1,258                     | + 18                              | 1.5%              |
| 25.2 Other services                             | 7,188            | 8,638                 | 5,542                  | 5,625                     | + 83                              | 1.5%              |
| 25.3 Other purch of gds & services from gov acc | 91               | 70                    | 67                     | 68                        | + 1                               | 1.5%              |
| 25.7 Operation & maintenance of equipment       | 1,807            | 1,351                 | 1,818                  | 1,930                     | + 112                             | 6.2%              |
| 25.8 Subsistence & support of persons           | 25               | 0                     | 25                     | 25                        | 0                                 | 0.0%              |
| 26.0 Supplies & materials                       | 1,471            | 1,305                 | 1,481                  | 1,503                     | + 22                              | 1.5%              |
| 31.0 Equipment                                  | 4,683            | 4,866                 | 4,711                  | 4,782                     | + 71                              | 1.5%              |
| 41.0 Grants, subsidies & contributions          | 530              | 530                   | 533                    | 1,003                     | + 470                             | 88.2%             |
| <b>Total, Non-Pay</b>                           | <b>\$17,379</b>  | <b>\$18,521</b>       | <b>\$15,769</b>        | <b>\$16,552</b>           | <b>+ \$783</b>                    | <b>5.0%</b>       |
| <b>Total, Collections and Services</b>          | <b>\$81,203</b>  | <b>\$82,321</b>       | <b>\$79,985</b>        | <b>\$82,323</b>           | <b>+ \$2,338</b>                  | <b>2.9%</b>       |

**Collections and Services**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| Fiscal 2013 Continuing Resolution Base                     | 640                           | \$79,985        |
| Non-recurring Costs  | 0                             | 0               |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                 |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 892             |
| Annualization of April 2013 pay raise @ .5%                |                               | 329             |
| Within-grade increases                                     |                               | 304             |
| Transit Subsidy Increase from \$230 to \$245               |                               | 30              |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>1,555</b>    |
| Price Level Changes  |                               | 783             |
| Program Increases  | 0                             | 0               |
| Net Increase/Decrease                                      | 0                             | \$ 2,338        |
| <b>Total Budget</b>  | <b>640</b>                    | <b>\$82,323</b> |
| Total Offsetting Collections                               | 0                             | 0               |
| <b>Total Appropriation</b>                                 | <b>640</b>                    | <b>\$82,323</b> |

# Collections and Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of **\$82.323 million** for Collections and Services in fiscal 2014, an increase of \$2.338 million, or 2.9 percent, over fiscal 2013. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2012      |          |                       |          | Fiscal 2013<br>CR Base |          | Fiscal<br>2014<br>Request |          | Fiscal<br>2013/2014<br>Net Change |         | Percent<br>Change |
|-------------------|------------------|----------|-----------------------|----------|------------------------|----------|---------------------------|----------|-----------------------------------|---------|-------------------|
|                   | Spending<br>Plan |          | Actual<br>Obligations |          | FTE                    | \$       | FTE                       | \$       | FTE                               | \$      | %                 |
|                   | FTE              | \$       | FTE                   | \$       |                        |          |                           |          |                                   |         |                   |
| LS_CS             | 640              | \$81,203 | 608                   | \$82,321 | 640                    | \$79,985 | 640                       | \$82,323 | 0                                 | \$2,338 | 2.9%              |

## 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 the collections; 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 alternative off-site storage facilities, including the Landover Center Annex and the high-density, state-of-the-art preservation storage 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 2012 Priority Activities

CS focused on transferring Library materials to the

facilities at Ft. Meade. The Library transferred 223,509 containers to Ft. Meade Modules 3 and 4, representing 94 percent of the 3-year target of 239 thousand trackable containers. The Library outfitted Landover Annex Bays 3 and 4 as an interim storage facility with Ft. Meade-compatible shelving and planned for the transfer of approximately 800 thousand general collection items in fiscal 2013 and 2014. CS staff analyzed collections, 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 500,843 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 1.727 petabytes at the end of fiscal 2011 to 2.973 petabytes at the end of fiscal 2012, representing a 26 percent increase over the amount added in fiscal 2011.

### Fiscal 2013 Priority Activities

CS staff will complete the physical transfer of designated special collections to the new facilities at Ft. Meade and continue to process, inventory, and manage those materials on-site. Staff also will manage the growing collections housed on Capitol Hill and at off-site storage facilities. CS will complete the transfer of 480 thousand items to Landover Annex Bays 3 and 4 by September 30, 2013. 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. CS staff will continue to work with the Library's 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.

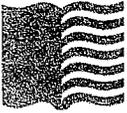
The Packard Campus will build the tenth audio preservation room and complete design of the final room; add capacity to the automated quality control and proxy file generation system; complete the initial installation of the Born Digital Direct File Submission infrastructure to enable the start of test file transfers and processing, and begin pilot testing for eDeposits from outside media submitters; add high definition JPEG2000 and 4K film resolution archival encoding; complete the "orderless ingest" functionality within the Packard Campus Workflow Application (the ability to ingest files without human intervention); and begin technology refresh of archival production systems that will be nearing end-of-life. The Capitol Hill Video Transmission system also will be installed and testing begun on the fiber optic connections between Capitol Hill and the Packard Campus.

### **Fiscal 2014 Priority Activities**

CS will continue to process, inventory, and manage general and special collection materials on the Capitol Hill campus as well as at various off-site storage facilities. CS will work with other Library staff and the Architect of the Capitol to plan for Ft. Meade Module 5, beginning with the identification of materials for transfer. CS staff will complete the transfer of collection items to Landover Annex Bays 3 and 4 during fiscal 2014. While continuing to staff and maintain reading rooms and research centers, CS staff will continue to re-align 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. CS 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, 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 also will organize on-site public lectures, symposia, concerts, and other programs and will provide remote users with online workshops and webinars to facilitate electronic research on the Library's web site.

The Packard Campus will begin construction of the 11th audio preservation room and add functionality to existing audio rooms such as audio restoration, noise reduction, and metadata capacities. They will continue technology refresh of original encoding systems and begin technology upgrades on production support and theater systems that are reaching end-of-life status; continue acquisition of HD archival encoders for preservation and Congressional Video Recording functions. They also will continue test file reception and processing through the Born Digital system; continue eDeposit pilots with the Copyright Office; add capacity and functionalities to the Live Capture and Physical Media Intake feeders to Born Digital based on curatorial division requirements. In addition, the Packard Campus will continue the development of the digital film preservation lab abilities and throughput operations; begin testing archive file creation and transfers to the archive of digital film lab materials; enhance and add metadata collection and processing capabilities throughout the production systems; and continue development of the Packard Campus Workflow Application to add functionality to serve new preservation workflows and throughput requirements. They also will complete the Capitol Hill Video Transmission system equipment installation, followed by the beginning of test transmissions of video between Capitol Hill and the Packard Campus from various video sources such as the House and Senate Recording Studios, which will allow initial Congressional Video Recording File creation, metadata collection, and processing tests to start.



# Partnerships and Outreach Programs

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Partnerships and Outreach Programs Summary By Object Class (Dollars in Thousands)

| Object Class                                       | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|--|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|  | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                           | \$ 5,923         | \$ 5,758              | \$ 5,975               | \$ 6,079                  | + \$ 104                          | 1.7%              |
| 11.3 Other than full-time permanent                | 0                | 3                     | 0                      | 0                         | 0                                 | 0.0%              |
| 11.5 Other personnel compensation                  | 71               | 50                    | 71                     | 72                        | + 1                               | 1.4%              |
| 12.1 Civilian personnel benefits                   | 1,646            | 1,614                 | 1,653                  | 1,686                     | + 33                              | 2.0%              |
| 13.0 Benefits for former personnel                 | 25               | 25                    | 0                      | 0                         | 0                                 | 0.0%              |
| <b>Total, Pay</b>                                  | <b>\$ 7,665</b>  | <b>\$ 7,450</b>       | <b>\$ 7,699</b>        | <b>\$ 7,837</b>           | <b>+ \$138</b>                    | <b>1.8%</b>       |
| 21.0 Travel & transportation of persons            | 35               | 18                    | 35                     | 35                        | 0                                 | 0.0%              |
| 22.0 Transportation of things                      | 52               | 42                    | 52                     | 52                        | 0                                 | 0.0%              |
| 23.3 Communication, utilities & misc charges       | 61               | 23                    | 61                     | 61                        | 0                                 | 0.0%              |
| 24.0 Printing & reproduction                       | 394              | 233                   | 395                    | 396                       | + 1                               | 0.3%              |
| 25.1 Advisory & assistance services                | 1,060            | 221                   | 1,061                  | 1,062                     | + 1                               | 0.1%              |
| 25.2 Other services                                | 759              | 767                   | 762                    | 763                       | + 1                               | 0.1%              |
| 25.3 Other purch of gds & services from gov acc    | 900              | 604                   | 897                    | 898                       | + 1                               | 0.1%              |
| 25.7 Operation & maintenance of equipment          | 56               | 11                    | 57                     | 57                        | 0                                 | 0.0%              |
| 26.0 Supplies & materials                          | 58               | 39                    | 58                     | 58                        | 0                                 | 0.0%              |
| 31.0 Equipment                                     | 926              | 361                   | 926                    | 926                       | 0                                 | 0.0%              |
| <b>Total, Non-Pay</b>                              | <b>\$ 4,301</b>  | <b>\$ 2,319</b>       | <b>\$ 4,304</b>        | <b>\$ 4,308</b>           | <b>+ \$ 4</b>                     | <b>0.1%</b>       |
| <b>Total, Partnerships &amp; Outreach Programs</b> | <b>\$11,966</b>  | <b>\$9,769</b>        | <b>\$12,003</b>        | <b>\$12,145</b>           | <b>+ \$142</b>                    | <b>1.2%</b>       |

**Partnerships and Outreach Programs**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| Fiscal 2013 Continuing Resolution Base                     | 73                            | \$12,003        |
| Non-recurring Costs  | 0                             | 0               |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                 |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 79              |
| Annualization of April 2013 pay raise @ .5%                |                               | 30              |
| Within-grade increases                                     |                               | 27              |
| Transit Subsidy Increase from \$230 to \$245               |                               | 2               |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>138</b>      |
| Price Level Changes  |                               | 4               |
| Program Increases  | 0                             | 0               |
| Net Increase/Decrease                                      | 0                             | \$ 142          |
| <b>Total Budget</b>  | <b>73</b>                     | <b>\$12,145</b> |
| Total Offsetting Collections                               | 0                             | - 6,000         |
| <b>Total Appropriation</b>                                 | <b>73</b>                     | <b>\$6,145</b>  |

# Partnerships and Outreach Programs

LIBRARY OF CONGRESS; SALARIES AND EXPENSES

## FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of **\$12.145 million** for Partnerships and Outreach Programs in fiscal 2014, an increase of \$0.142 million, or 1.2 percent, over fiscal 2013. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2012      |          |                       |         | Fiscal 2013<br>CR Base |          | Fiscal<br>2014<br>Request |          | Fiscal<br>2013/2014<br>Net Change |       | Percent<br>Change |
|-------------------|------------------|----------|-----------------------|---------|------------------------|----------|---------------------------|----------|-----------------------------------|-------|-------------------|
|                   | Spending<br>Plan |          | Actual<br>Obligations |         |                        |          |                           |          |                                   |       |                   |
|                   | FTE              | \$       | FTE                   | \$      | FTE                    | \$       | FTE                       | \$       | FTE                               | \$    | %                 |
| LS_POP            | 73               | \$11,966 | 64                    | \$9,769 | 73                     | \$12,003 | 73                        | \$12,145 | 0                                 | \$142 | 1.2%              |

## 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, training, and procurement services for federal librarians; reading and literacy promotion programs for the American public; and the distribution of cataloging records and related resources for libraries and information service providers.

### Fiscal 2012 Priority Activities

The highlights of fiscal 2012 were the opening of exhibitions that were part of the Library of Congress multi-year "Celebration of the Book," beginning with *To Know Wisdom and Instruction: The Armenian Literary Tradition at the Library of Congress*, followed by *Books That Shaped America*. Additional exhibitions included *Sakura: Cherry Blossoms as Living Symbols of Friendship* and *Down to Earth: Herblock and Photographers Observe the Environment* in the Graphic Arts Galleries, located in the Thomas Jefferson Building. Two exhibitions created in partnership with the Music Division were installed in the dual-venue Performing Arts Reading Room and Walt

Disney Concert Hall in Los Angeles. They were *Politics and the Dancing Body* and *The Musical Worlds of Victor Herbert*.

Six major publications released in 2012 included *Presidential Campaign Posters from the Library of Congress*; *Seeing the World Anew: The Radical Vision of Martin Waldseemüller's 1507 and 1516 World Maps*; *Gardens for a Beautiful America, 1895-1935: Photographs by Frances Benjamin Johnston*; *To Know Wisdom and Instruction*; and *Miles to Go for Freedom: Segregation and Civil Rights in the Jim Crow Years*.

The Visitor Services Office (VSO) welcomed 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. Docents led more than 7,900 public and reserved tours for approximately 174,000 visitors. K-12 students comprised approximately 900 tour groups.

The Library promoted reading and literacy through a number of new and ongoing programs throughout the year. These included the "Books That Shaped America" initiative, which highlighted 88 books that have had a significant influence on American life; the National Book Festival, an annual two-day event attracting approximately 200,000 visitors; the Letters about Literature contest sponsored by the Library's Center for the Book (CFB), with approximately 40,000 students from around the country participating; the Young Readers Center, a space for young people located in the Thomas Jefferson Building; and a number of poetry

readings. The Library's Poet Laureate Consultant in Poetry, Philip Levine, promoted poetry events at the Library and around the country.

The Office of Scholarly Programs carried out activities leading to the award of the John W. Kluge Prize for lifetime achievement in the study of humanity to Fernando Henrique Cardoso, one of the leading scholars and practitioners of political economy in recent Latin American history. He was also President of Brazil from 1995 through 2003. The Kluge Center had 125 scholars and researchers in residence during fiscal 2012. This number included chair holders, distinguished visiting scholars, fellows, resident faculty of a research seminar, and interns.

The Office of Business Enterprises completed a year-long planning effort in conjunction with Library Services and a consulting firm to establish a strategic and funding roadmap for the future distribution of the Library's cataloging and bibliographic data.

The General Services Administration (GSA) designated the Federal Library and Information Network (FEDLINK), housed at the Library of Congress and operating under revolving fund authority, to be the lead agent for strategic sourcing of information resources procurement for federal agencies. FEDLINK, which serves all three branches of government and the District of Columbia, is the first non-GSA agency to receive such designation.

### Fiscal 2013 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 services.

New exhibitions scheduled to open in the Thomas Jefferson Building include: *Words Like Sapphires: 100 Years of Hebraica at the Library of Congress*, *The Civil War in America*; *The Gibson Girl's America: Drawings by Charles Dana Gibson*; and the 1784 Abell Buell Map and interactive display. New exhibitions planned for the Madison Building Performing Arts Reading Room include: *Danny Kaye and Sylvia Fine: Two Kids from Brooklyn*, and *A Night at the Opera*.

Major publications planned for release include: *Mary Pickford: Queen of the Movies and Southern Journey*; *Alan Lomax's World of Music in Photography*. Other publications being developed for release in 2013 and beyond are: *Mark Twain's America, A Renaissance Globemaker's Toolbox, Football Nation, Great Photographs from the Library of Congress*, and a facsimile of Galileo's *Starry Messenger*.

The Library will continue to offer its programs and services to the American public by promoting the importance of books, reading, and literacy. These programs include the National Book Festival, the Young Readers Center, the Letters about Literature contest, and the National Ambassador for Young People's Literature. The newly appointed Poet Laureate Consultant in Poetry, Natasha Trethewey, will begin her term and promote poetry events at the Library and around the country.

The Office of Scholarly Programs will continue to execute fellowship competitions, some in collaboration with partners, and oversee the process of inviting scholars to the prestigious John W. Kluge Center to conduct in-depth research at the Library.

The Library will offer expanded information services to the entire federal government through the FEDLINK program.

### Fiscal 2014 Priority Activities

The Library will continue to provide its visitors with an experience that collectively enhances their understanding and appreciation of the Library, its collections, and its services. 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.

The Library will continue its programs that serve the American public by promoting the importance of books, reading, and literacy.

The Partnerships and Outreach Programs Directorate 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.



# Preservation

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

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

| Object Class                                    | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$6,909          | \$6,897               | \$7,052                | \$7,216                   | + \$164                           | 2.3%              |
| 11.3 Other than full-time permanent             | 366              | 430                   | 369                    | 377                       | + 8                               | 2.2%              |
| 11.5 Other personnel compensation               | 38               | 73                    | 38                     | 39                        | + 1                               | 2.6%              |
| 11.8 Special personal services payment          | 22               | 21                    | 22                     | 23                        | + 1                               | 4.5%              |
| 12.1 Civilian personnel benefits                | 2,032            | 2,150                 | 2,044                  | 2,103                     | + 59                              | 2.9%              |
| 13.0 Benefits for former personnel              | 100              | 100                   | 0                      | 0                         | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$9,467</b>   | <b>\$9,671</b>        | <b>\$9,525</b>         | <b>\$9,758</b>            | <b>+\$233</b>                     | <b>2.4%</b>       |
| 21.0 Travel & transportation of persons         | 27               | 23                    | 27                     | 28                        | + 1                               | 3.7%              |
| 23.2 Rental payments to others                  | 8                | 1                     | 8                      | 8                         | 0                                 | 0.0%              |
| 23.3 Communication, utilities & misc charges    | 2                | 2                     | 2                      | 2                         | 0                                 | 0.0%              |
| 24.0 Printing & reproduction                    | 1,196            | 1,194                 | 1,203                  | 1,222                     | + 19                              | 1.6%              |
| 25.1 Advisory & assistance services             | 5,832            | 6,826                 | 5,868                  | 5,956                     | + 88                              | 1.5%              |
| 25.2 Other services                             | 227              | 170                   | 233                    | 237                       | + 4                               | 1.7%              |
| 25.3 Other purch of gds & services from gov acc | 18               | 62                    | 13                     | 13                        | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment       | 380              | 321                   | 383                    | 388                       | + 5                               | 1.3%              |
| 26.0 Supplies & materials                       | 635              | 712                   | 639                    | 648                       | + 9                               | 1.4%              |
| 31.0 Equipment                                  | 1,758            | 1,924                 | 1,769                  | 1,796                     | + 27                              | 1.5%              |
| <b>Total, Non-Pay</b>                           | <b>\$10,083</b>  | <b>\$11,235</b>       | <b>\$10,145</b>        | <b>\$10,298</b>           | <b>+\$153</b>                     | <b>1.5%</b>       |
| <b>Total, Preservation</b>                      | <b>\$19,550</b>  | <b>\$20,906</b>       | <b>\$19,670</b>        | <b>\$20,056</b>           | <b>+\$386</b>                     | <b>2.0%</b>       |

**Preservation**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| Fiscal 2013 Continuing Resolution Base                     | 102                           | \$19,670        |
| Non-recurring Costs  | 0                             | 0               |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                 |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 132             |
| Annualization of April 2013 pay raise @ .5%                |                               | 49              |
| Within-grade increases                                     |                               | 45              |
| Transit Subsidy Increase from \$230 to \$245               |                               | 7               |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>233</b>      |
| Price Level Changes  |                               | 153             |
| Program Increases  | 0                             | 0               |
| Net Increase/Decrease                                      | 0                             | \$ 386          |
| <b>Total Budget</b>  | <b>102</b>                    | <b>\$20,056</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                      | <b>0</b>        |
| <b>Total Appropriation</b>                                 | <b>102</b>                    | <b>\$20,056</b> |

# Preservation

LIBRARY OF CONGRESS SALARIES AND EXPENSES

## FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of **\$20.056 million** for the Preservation Directorate in fiscal 2014, an increase of \$0.386 million, or 2 percent, over fiscal 2013. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2012      |          |                       |          | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change |          | Percent<br>Change |       |      |
|-------------------|------------------|----------|-----------------------|----------|------------------------|---------------------------|-----------------------------------|----------|-------------------|-------|------|
|                   | Spending<br>Plan |          | Actual<br>Obligations |          |                        |                           |                                   |          |                   |       |      |
|                   | FTE              | \$       | FTE                   | \$       | FTE                    | \$                        | FTE                               | \$       | %                 |       |      |
| LS_PRES           | 102              | \$19,550 | 98                    | \$20,906 | 102                    | \$19,670                  | 102                               | \$20,056 | 0                 | \$386 | 2.0% |

## 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 Library's Packard Campus, and at 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 Deacidification 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 2012 Priority Activities

Staff addressed preservation needs of the Library's collections by treating more than 5.2 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 131 thousand manuscripts, maps, photographs, and other items; labeled more than 23 thousand items; and surveyed more than 584 thousand items. Other measurable actions included 13,936 research activities, 806 analyses, and 4,292 quality assurance activities. An additional 2.2 million collection units were preserved through the actions of the Motion Pictures Broadcast and Recorded Sound Division's reformatting program and the New Delhi Field Office's preservation microfilm program. The Library completed 8.2 million preservation actions by the close of the fiscal year.

The Preservation Research and Testing Division (PRTD) continued to work on one of the Library's Strategic Plan 2011-2016 Annual Objectives, to create a preservation research framework by drafting and sharing with other research institutions a meta-analysis (also called evidence-based or systematic analysis) methodology as it can be applied to preservation research. At the end of the year the draft was circulating among a number of institutions for feedback. PRTD staff also compiled questionnaire data from reading room and exhibition visitors to gauge how visitors and researchers experience original and facsimile collection materials. The Library analyzed this data through a collaboration with other cultural heritage institutions called the *Collection Demographics Program*, to gain a better understanding about how collections constantly change and degrade depending on use,

environment, and material properties.

PRES also continued to collaborate with the Office of Strategic Initiatives (OSI) in the Digital Preservation Working Group to complete a final draft proposal titled *Guidelines and Workflow Document for Preservation of Digital Materials at the Library of Congress*, specifying the path forward for the evaluation and adoption of workflows, practices, tools, and policies for the preservation of digital materials. The guidelines reflect the latest research findings and industry trends and practices and are intended to help organizational units make decisions that will mitigate risk to digital materials. The digital preservation guidelines were tested and evaluated by a number of stakeholder custodial and program units at the Library, and their input is reflected in the guidelines document.

In addition to actively improving the condition of the collections, PRES staff continued to prepare for collections emergencies when Library collections are threatened or affected. Staff responded to 25 emergency events, some of which required the stabilization and treatment of collection items. Conservation Division staff continued its training activities, including sponsoring a workshop titled *Mitigation during Emergency Response: Stabilization of Paper and Film-based Materials* for FEDLINK Librarians; the Open World Leadership course *Introduction to Preservation at the Library of Congress* for 25 Russian librarians; and an on-site consultation on collection disaster recovery at the Intitut de' Egypte, following the devastating fire that burned 75 percent of that institution's special collections.

PRES continued its international leadership role in cultural heritage preservation through the organization of the third and final of the *Future Directions Symposia* offered by the Preservation Directorate on October 20, 2011: *The Road Ahead; Transitioning to a Digital Future*, featuring speakers from the Library and other major cultural heritage organizations. PRES also celebrated its 60<sup>th</sup> lecture in *Topics in Preservation Science Series (TOPS)*, an ongoing lecture series that began in 2002, bringing speakers to the Library to discuss their experience and current preservation research. The lectures were open to the public, and most are available as webcasts, including the three events that were held in fiscal 2012.

PRES staff continued to work with the Packard Campus and the Lawrence Berkeley National Laboratory (LBNL) on further developing the imaging technology that provides non-invasive preservation and access to endangered recorded sound collections. PRES and Packard Campus staff continued to optimize the system currently installed at the Packard Campus. PRES and

LBNL staff, in collaboration with the Smithsonian's National Museum of American History staff, were able to retrieve audio content from Alexander Graham Bell's experimental recordings produced at the Volta Laboratory in Washington, DC in the 1880s.

## 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 plans to finalize the coordination of an organizational framework for research investment based on gaps identified by evidence-based analysis of conservation research results. PRTD staff will strive for an outcome where collaborative partners in the organizational framework have accepted the model for evidence-based research as a valid method for identifying gaps in preservation research areas.

PRES will work with the Office of Strategic Initiatives to propose, pilot, and evaluate guidelines, best practices, and workflows for the preservation of the Library's digital materials. Adopting and following the fiscal 2012 proposed path forward plan, the Library will pilot the practical application of guidelines and workflows with at least four custodial divisions representing the range of digital materials collected by the Library. The completion of this objective will provide experience in implementing the guidelines and best practices for the preservation of digital materials.

PRTD will continue to collaborate with the University College of London and cultural heritage institutions as part of the Collections Demographics Program, and share preliminary research results. PRTD staff will conduct a second survey to determine how the public experiences using and handling collection material that is in different stages of degradation. All collaborative partners will use this and earlier obtained data to contribute to a final book publication. The national book launch is scheduled for late 2013.

PRES will continue its international leadership role in cultural heritage preservation through presentations for the International Federation of Library Association's Preservation and Conservation (IFLA PAC), FEDLINK, American Library Association (ALA), American Institute for Conservation (AIC) and other professional organizations, and through participation at *Preservation Week* and in the TOPS.

PRES will continue to coordinate major conservation and collections care efforts in the Library through assessment and treatment of collections, training custodial staff in safe handling of collections, preparing collection items selected for display or digitization, providing the needed preservation supplies for preservation and custodial divisions, and coordinating responses and subsequent activities to ensure the stabilization and recovery of collection items in the case of an emergency event.

As a result of an effort to improve Preservation workflow efficiencies, PRES will submit a draft reorganization package for the Preservation Reformatting Division, which will improve management and put in place an improved structure for analog and digital workflows.

The Binding and Collections Care Division will begin planning for the anticipated reduction in binding requirements for softbound monographs, so that priority serial binding needs can be met. It is anticipated that fewer softbound monographs will be acquired through Copyright deposit, but softbound foreign monograph production will remain stable.

In fiscal 2013, PRTD will continue to focus on and strengthen the three main programmatic areas of long-term research projects support, analytical service requests, and the quality assurance program, mitigating risk to collections and the stabilization of collection materials.

### **Fiscal 2014 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.

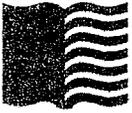
PRES plans to coordinate its conservation research with partners and other research facilities to assure the quality and reproducibility of its research, reduce duplication of effort, achieve maximum efficiency, and disseminate and advance conservation research. PRES and OSI will jointly share digital preservation guidelines and best practices as proposed, reviewed, and piloted by the Library.

PRES will continue its international leadership role in cultural heritage preservation by sharing developments with professional organizations, such as ALA, AIC, IFLA, and FEDLINK, as well as through participation in Preservation Week and new installments in the TOPS.

PRES will develop the requirements for a database to capture the metadata associated with the scientific preservation reference samples as part of further developing the Library's Center for Library Analytical Scientific Samples, an initiative that fosters sharing and developing shared standards for scientific reference sample sets.

PRES will finalize plans for the anticipated reduction in binding needs for incoming United States monographs and the shift of work to the binding of serials and rebinding of copyright restricted monographs in need of rebinding.

PRES will collaborate with Packard Campus staff to identify modern audio-visual media formats that have an increased risk for loss of Library collection content.



# Technology Policy

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

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

| Object Class                                    | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$5,173          | \$4,977               | \$5,280                | \$5,403                   | + \$123                           | 2.3%              |
| 11.3 Other than full-time permanent             | 0                | 25                    | 0                      | 0                         | 0                                 | 0.0%              |
| 11.5 Other personnel compensation               | 55               | 25                    | 55                     | 57                        | + 2                               | 3.6%              |
| 12.1 Civilian personnel benefits                | 1,319            | 1,316                 | 1,328                  | 1,367                     | + 39                              | 2.9%              |
| 13.0 Benefits for former personnel              | 75               | 75                    | 0                      | 0                         | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$6,622</b>   | <b>\$6,418</b>        | <b>\$6,663</b>         | <b>\$6,827</b>            | <b>+ \$164</b>                    | <b>2.5%</b>       |
| 21.0 Travel & transportation of persons         | 27               | 19                    | 27                     | 27                        | 0                                 | 0.0%              |
| 23.3 Communication, utilities & misc charges    | 57               | 102                   | 57                     | 57                        | 0                                 | 0.0%              |
| 25.1 Advisory & assistance services             | 230              | 127                   | 234                    | 237                       | + 3                               | 1.3%              |
| 25.2 Other services                             | 26               | 18                    | 26                     | 26                        | 0                                 | 0.0%              |
| 25.3 Other purch of gds & services from gov acc | 2                | 2                     | 0                      | 0                         | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment       | 911              | 885                   | 916                    | 1,053                     | + 137                             | 15.0%             |
| 26.0 Supplies & materials                       | 29               | 26                    | 29                     | 30                        | + 1                               | 3.4%              |
| 31.0 Equipment                                  | 212              | 226                   | 213                    | 217                       | + 4                               | 1.9%              |
| <b>Total, Non-Pay</b>                           | <b>\$1,494</b>   | <b>\$1,405</b>        | <b>\$1,502</b>         | <b>\$1,647</b>            | <b>+ \$145</b>                    | <b>9.7%</b>       |
| <b>Total, Technology Policy</b>                 | <b>\$8,116</b>   | <b>\$7,823</b>        | <b>\$8,165</b>         | <b>\$8,474</b>            | <b>+ \$309</b>                    | <b>3.8%</b>       |

**Technology Policy  
Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |         |
|--|-------------------------------|---------|
|  | FTE                           | Amount  |
| <b>Fiscal 2013 Continuing Resolution Base</b>              | 51                            | \$8,165 |
| <b>Non-recurring Costs</b>                                 | 0                             | 0       |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |         |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 94      |
| Annualization of April 2013 pay raise @ .5%                |                               | 35      |
| Within-grade increases                                     |                               | 32      |
| Transit Subsidy Increase from \$230 to \$245               |                               | 3       |
| <b>Total, Mandatory Pay and Related Costs</b>              | 0                             | 164     |
| <b>Price Level Changes</b>                                 |                               | 145     |
| <b>Program Increases</b>                                   | 0                             | 0       |
| Net Increase/Decrease                                      | 0                             | \$ 309  |
| <b>Total Budget</b>  | 51                            | \$8,474 |
| <b>Total Offsetting Collections</b>                        | 0                             | 0       |
| <b>Total Appropriation</b>                                 | 51                            | \$8,474 |

# Technology Policy

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of **\$8.474 million** for the Technology Policy Directorate in fiscal 2014, an increase of \$0.309 million, or 3.8 percent, over fiscal 2013. This increase supports mandatory pay related and price level increases.

### Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2012      |         |                       |         | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |   |       |      |
|-------------------|------------------|---------|-----------------------|---------|------------------------|---------------------------|-----------------------------------|-------------------|---|-------|------|
|                   | Spending<br>Plan |         | Actual<br>Obligations |         |                        |                           |                                   |                   |   |       |      |
|                   | FTE              | \$      | FTE                   | \$      |                        |                           |                                   |                   |   |       |      |
| LS_TECH           | 51               | \$8,116 | 42                    | \$7,823 | 51                     | \$8,165                   | 51                                | \$8,474           | 0 | \$309 | 3.8% |

## 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 2012 Priority Activities

TECH focused on the support of bibliographic control and access through linked data systems, the creation of an eDeposit system for the acquisition of copyright deposits of electronic journals, and the improvement of service to researchers through enhancements to the online catalog (ILS) and the systems which allow researchers to request materials.

TECH expanded and enhanced the LC Linked Data Service (formerly called the Authorities and Vocabularies Service). The Service, hosted at [id.loc.gov](http://id.loc.gov), provides access to commonly found standards and vocabularies promulgated by the Library. NDMSO staff added several Library of Congress Classification schedules to the Service, which now includes nearly 300 thousand new classification records. Libraries and commercial entities have the ability to link to entries in this centralized data store rather than replicate the data multiple times in many individual records.

In a related effort, TECH worked with other significant parties in the bibliographic community to develop a high level model for a new Bibliographic Framework. This new Framework is intended as a replacement for, and improvement to, the current MARC (MACHINE-Readable Cataloging) model.

TECH collaborated with the Repository Development Center in the Office of Strategic Initiatives to develop needed features of the Delivery Management System (DMS) in support of the ABA processing of eDeposit journals. Most importantly, the groups integrated parts of DMS with the ILS to enhance the efficiency of processing electronic journals by cataloging and acquisitions staff. The integration allows for the automatic update of ILS holdings information for eSerials

deliveries.

TECH implemented a new user interface to the online public access catalog (OPAC) that has improved the ability to configure the user interface and meet requirements of the Americans with Disabilities Act. Requirements for Automated Call Slip (ACS) 1.8 were developed to make the ACS functionality available in all LS reading rooms, enabling new efficiencies across reading room operations both for those requesting materials and for staff as they retrieve items.

### **Fiscal 2013 Priority Activities**

In 2013 TECH will maintain focus on three strategic efforts: opportunities to support bibliographic control and access through linked data systems; further development of eDeposit and eAcquisition capabilities; and improvement of service to researchers through enhancements to the online catalog and related systems.

TECH will begin gathering requirements for the Library's next generation ILS, which will provide greater flexibility and expanded services. TECH will plan with ITS to migrate the ILS to a new, more efficient hardware architecture and upgrade to current versions of software.

TECH will focus on further development and expansion of the Library's Linked Data Service, adding classification schedules, including the large K (law) schedule, and vocabularies for bibliographic data. Work also will continue with linked data and the Semantic Web, to offer the opportunity to link to data and items throughout the library community worldwide.

TECH will continue to provide technical support and leadership for the new Bibliographic Framework Initiative (BFI), adjusting and refining the data model for the BFI, based on experimenters' experiences and on public discussion. TECH will analyze the communications environment aspects of the model via use cases and

experimentation and develop and make available to the public tools to enable testing of the model.

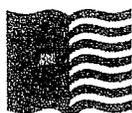
Working in support of electronic acquisitions, TECH will complete the development of the system-to-system interface between the publishers and the Library. TECH will work with OSI on the development of Request for Acquisition software that will automate and improve the process for recommending officers to request acquisitions.

### **Fiscal 2014 Priority Activities**

TECH will continue to provide technical support and leadership to the Bibliographic Framework Initiative by initiating efforts to determine which aspects of current metadata encoding standards should be retained and evolved into a format for the future. Additionally, TECH will experiment with Semantic Web – sharing data beyond the boundaries of an application or web site – and other linked data technologies to see what bibliographic framework benefits they offer to the library community, and how current models need to be adjusted to take fuller advantage of those benefits.

TECH will investigate and test the integration of the Linked Data Service with the Bibliographic Framework Initiative to enable bibliographic data exposure for linked data applications, adding classification schedules and vocabularies.

TECH will provide support to the eDeposit/eAcquisition effort in the form of standards, ILS integration, and digital collection management. TECH expects to play a significant role in the development of the Library's digital collections management policies and procedures. With the rapid transition of publishing output from analog to digital, TECH will remain deeply involved in providing the services and tools librarians will need to maintain this content through the entire digital lifecycle. TECH also will continue to provide researchers with updated bibliographic search tools.



# Office of Strategic Initiatives

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Office of Strategic Initiatives Resource Summary (Dollars in Thousands)

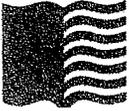
| Appropriation/PPA                    | Fiscal 2012      |                  |                       |                  | Fiscal 2013<br>CR Base |                  | Fiscal<br>2014<br>Request |                  | Fiscal<br>2013/2014<br>Net Change |                | Percent<br>Change |
|--------------------------------------|------------------|------------------|-----------------------|------------------|------------------------|------------------|---------------------------|------------------|-----------------------------------|----------------|-------------------|
|                                      | Spending<br>Plan |                  | Actual<br>Obligations |                  |                        |                  |                           |                  |                                   |                |                   |
|                                      | FTE              | \$               | FTE                   | \$               | FTE                    | \$               | FTE                       | \$               | FTE                               | \$             | %                 |
| Digital Initiatives                  | 111              | \$ 23,324        | 103                   | \$ 23,059        | 111                    | \$ 23,467        | 111                       | \$ 23,964        | 0                                 | \$ 497         | 2.1%              |
| NDIIPP                               | 22               | 3,741            | 20                    | 3,694            | 22                     | 3,764            | 22                        | 3,845            | 0                                 | 81             | 2.2%              |
| TPS                                  | 9                | 6,959            | 8                     | 5,593            | 9                      | 7,001            | 9                         | 7,119            | 0                                 | 118            | 1.7%              |
| Invest in Tech Infrastructure        | 0                | 12,270           | 0                     | 11,952           | 0                      | 12,345           | 0                         | 12,597           | 0                                 | 252            | 2.0%              |
| <b>Subtotal, Digital Initiatives</b> | <b>142</b>       | <b>\$ 46,294</b> | <b>131</b>            | <b>\$ 44,298</b> | <b>142</b>             | <b>\$ 46,577</b> | <b>142</b>                | <b>\$ 47,525</b> | <b>0</b>                          | <b>\$ 948</b>  | <b>2.0%</b>       |
| Inf Tech Services                    | 213              | 61,443           | 206                   | 60,970           | 213                    | 61,819           | 213                       | 63,704           | 0                                 | 1,885          | 3.0%              |
| <b>Total, OSI</b>                    | <b>355</b>       | <b>\$107,737</b> | <b>337</b>            | <b>\$105,268</b> | <b>355</b>             | <b>\$108,396</b> | <b>355</b>                | <b>\$111,229</b> | <b>0</b>                          | <b>\$2,833</b> | <b>2.6%</b>       |

**Office of Strategic Initiatives**  
**Summary By Object Class**  
(Dollars in Thousands)

| Object Class                                    | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$ 37,417        | \$ 37,422             | \$ 37,797              | \$ 38,677                 | + \$ 880                          | 2.3%              |
| 11.3 Other than full-time permanent             | 224              | 233                   | 226                    | 231                       | + 5                               | 2.2%              |
| 11.5 Other personnel compensation               | 388              | 276                   | 391                    | 400                       | + 9                               | 2.3%              |
| 11.8 Special personal services payment          | 383              | 405                   | 385                    | 394                       | + 9                               | 2.3%              |
| 12.1 Civilian personnel benefits                | 10,346           | 10,691                | 10,409                 | 10,698                    | + 289                             | 2.8%              |
| 13.0 Benefits for former personnel              | 150              | 150                   | 0                      | 0                         | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$ 48,908</b> | <b>\$ 49,177</b>      | <b>\$ 49,208</b>       | <b>\$ 50,400</b>          | <b>+ \$1,192</b>                  | <b>2.4%</b>       |
| 21.0 Travel & transportation of persons         | 240              | 194                   | 241                    | 245                       | + 4                               | 1.7%              |
| 22.0 Transportation of things                   | 5                | 2                     | 5                      | 5                         | 0                                 | 0.0%              |
| 23.3 Communication, utilities & misc charges    | 1,583            | 3,464                 | 1,593                  | 1,617                     | + 24                              | 1.5%              |
| 24.0 Printing & reproduction                    | 160              | 60                    | 161                    | 163                       | + 2                               | 1.2%              |
| 25.1 Advisory & assistance services             | 15,093           | 13,882                | 15,186                 | 15,413                    | + 227                             | 1.5%              |
| 25.2 Other services                             | 9,434            | 11,887                | 9,508                  | 9,652                     | + 144                             | 1.5%              |
| 25.3 Other purch of gds & services from gov acc | 275              | 436                   | 260                    | 264                       | + 4                               | 1.5%              |
| 25.7 Operation & maintenance of equipment       | 13,480           | 11,477                | 13,562                 | 14,519                    | + 957                             | 7.1%              |
| 26.0 Supplies & materials                       | 228              | 204                   | 229                    | 232                       | + 3                               | 1.3%              |
| 31.0 Equipment                                  | 13,121           | 10,217                | 13,201                 | 13,399                    | + 198                             | 1.5%              |
| 41.0 Grants, subsidies & contributions          | 5,210            | 4,268                 | 5,242                  | 5,320                     | + 78                              | 1.5%              |
| <b>Total, Non-Pay</b>                           | <b>\$ 58,829</b> | <b>\$ 56,091</b>      | <b>\$ 59,188</b>       | <b>\$ 60,829</b>          | <b>+ \$1,641</b>                  | <b>2.8%</b>       |
| <b>Total, OSI</b>                               | <b>\$107,737</b> | <b>\$105,268</b>      | <b>\$108,396</b>       | <b>\$111,229</b>          | <b>+ \$2,833</b>                  | <b>2.6%</b>       |

**Office of Strategic Initiatives**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |                  |
|--|-------------------------------|------------------|
|  | FTE                           | Amount           |
| Fiscal 2013 Continuing Resolution Base                     | 355                           | \$108,396        |
| Non-recurring Costs  | 0                             | 0                |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                  |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 686              |
| Annualization of April 2013 pay raise @ .5%                |                               | 253              |
| Within-grade increases                                     |                               | 233              |
| Transit Subsidy Increase from \$230 to \$245               |                               | 20               |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>1,192</b>     |
| <b>Price Level Changes</b>                                 |                               | <b>1,641</b>     |
| Program Increases  | 0                             | 0                |
| Net Increase/Decrease                                      | 0                             | \$ 2,833         |
| <b>Total Budget</b>  | <b>355</b>                    | <b>\$111,229</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                      | <b>0</b>         |
| <b>Total Appropriation</b>                                 | <b>355</b>                    | <b>\$111,229</b> |



# Digital Initiatives

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

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

| Object Class                                    | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$14,087         | \$14,020              | \$14,173               | \$14,503                  | + \$330                           | 2.3%              |
| 11.3 Other than full-time permanent             | 129              | 138                   | 130                    | 133                       | + 3                               | 2.3%              |
| 11.5 Other personnel compensation               | 151              | 165                   | 152                    | 155                       | + 3                               | 2.0%              |
| 11.8 Special personal services payment          | 370              | 378                   | 372                    | 381                       | + 9                               | 2.4%              |
| 12.1 Civilian personnel benefits                | 4,172            | 4,250                 | 4,197                  | 4,308                     | + 111                             | 2.6%              |
| <b>Total, Pay</b>                               | <b>\$18,909</b>  | <b>\$18,951</b>       | <b>\$19,024</b>        | <b>\$19,480</b>           | <b>+ \$456</b>                    | <b>2.4%</b>       |
| 21.0 Travel & transportation of persons         | 185              | 160                   | 186                    | 189                       | + 3                               | 1.6%              |
| 22.0 Transportation of things                   | 5                | 2                     | 5                      | 5                         | 0                                 | 0.0%              |
| 23.3 Communication, utilities & misc charges    | 77               | 2,290                 | 78                     | 79                        | + 1                               | 1.3%              |
| 24.0 Printing & reproduction                    | 75               | 36                    | 75                     | 76                        | + 1                               | 1.3%              |
| 25.1 Advisory & assistance services             | 2,945            | 401                   | 2,964                  | 3,008                     | + 44                              | 1.5%              |
| 25.2 Other services                             | 9,295            | 11,796                | 9,359                  | 9,500                     | + 141                             | 1.5%              |
| 25.3 Other purch of gds & services from gov acc | 49               | 218                   | 42                     | 43                        | + 1                               | 2.4%              |
| 25.7 Operation & maintenance of equipment       | 717              | 116                   | 722                    | 811                       | + 89                              | 12.3%             |
| 26.0 Supplies & materials                       | 89               | 85                    | 89                     | 91                        | + 2                               | 2.2%              |
| 31.0 Equipment                                  | 8,738            | 5,976                 | 8,791                  | 8,923                     | + 132                             | 1.5%              |
| 41.0 Grants, subsidies & contributions          | 5,210            | 4,267                 | 5,242                  | 5,320                     | + 78                              | 1.5%              |
| <b>Total, Non-Pay</b>                           | <b>\$27,385</b>  | <b>\$25,347</b>       | <b>\$27,553</b>        | <b>\$28,045</b>           | <b>+ \$492</b>                    | <b>1.8%</b>       |
| <b>Total, Digital Initiatives</b>               | <b>\$46,294</b>  | <b>\$44,298</b>       | <b>\$46,577</b>        | <b>\$47,525</b>           | <b>+ \$948</b>                    | <b>2.0%</b>       |

**Digital Initiatives**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| <b>Fiscal 2013 Continuing Resolution Base</b>              | 142                           | \$46,577        |
| <b>Non-recurring Costs</b>                                 | 0                             | 0               |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                 |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 262             |
| Annualization of April 2013 pay raise @ .5%                |                               | 97              |
| Within-grade increases                                     |                               | 89              |
| Transit Subsidy Increase from \$230 to \$245               |                               | 8               |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>456</b>      |
| <b>Price Level Changes</b>                                 |                               | <b>492</b>      |
| <b>Program Increases</b>                                   | <b>0</b>                      | <b>0</b>        |
| Net Increase/Decrease                                      | <b>0</b>                      | <b>\$ 948</b>   |
| <b>Total Budget</b>  | <b>142</b>                    | <b>\$47,525</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                      | <b>0</b>        |
| <b>Total Appropriation</b>                                 | <b>142</b>                    | <b>\$47,525</b> |

# Digital Initiatives

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of \$47.525 million for the Digital Initiatives program in fiscal 2014, an increase of \$0.948 million, or 2 percent, over fiscal 2013. This increase supports mandatory pay related and price level increases.

### Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2012      |          |                       |          | Fiscal 2013<br>CR Base |          | Fiscal<br>2014<br>Request |          | Fiscal<br>2013/2014<br>Net Change |       | Percent<br>Change |
|-------------------|------------------|----------|-----------------------|----------|------------------------|----------|---------------------------|----------|-----------------------------------|-------|-------------------|
|                   | Spending<br>Plan |          | Actual<br>Obligations |          |                        |          |                           |          |                                   |       |                   |
|                   | FTE              | \$       | FTE                   | \$       | FTE                    | \$       | FTE                       | \$       | FTE                               | \$    | %                 |
| OSI_DI            | 142              | \$46,294 | 131                   | \$44,298 | 142                    | \$46,577 | 142                       | \$47,525 | 0                                 | \$948 | 2.0%              |

## PROGRAM OVERVIEW

The Office of Strategic Initiatives (OSI) supports the Library by developing consolidated plans for the Library's digital future, integrating the delivery of digital content and information technology services and infrastructure. Technology has far-reaching strategic importance to the institution. Through the balanced use of technology, OSI facilitates achieving the Library's goals by sustaining a forward-looking information technology infrastructure that supports the Library's key business lines and enables constituent interaction. Together, Digital Initiatives (DI) and Information Technology Services (ITS) programs maintain stewardship over the Library's information technology and digital content assets, services, and infrastructure.

Under the umbrella structure of the DI program, OSI supplements ITS infrastructure resources, allowing the Library to broaden mission impact and national reach in the shifting digital data creation and distribution landscape. DI provides technical knowledge and expertise in the areas of digital content acquisition, distribution, and stewardship. DI functions as technical steward of the Library's investments in content in digital form and leads the institution's technical management of digital content and web-based content delivery services. DI is at the forefront of providing 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 for the long term.

Technological trends indicate continued rapid accumulation of diverse digital data, evolving formats, and shifting technology platforms. Congressional support has enabled the implementation of institution-wide technical infrastructure and content service

strategies in support of the Library's digital future. The Library allocates infrastructure resources within an enterprise-wide, three-layered investment framework (content delivery, content management, and core technology) linked to the Library's strategic mission priorities. The three-tiered framework connects a set of common enterprise-wide functionalities and focuses on interdependencies of content delivery, content management, and core technology infrastructure.

DI also oversees the Library's national digital content preservation and educational outreach programs. These programs encourage shared national content stewardship and delivery networks. The digital preservation network catalyzes public-private stewardship to sustain jointly at-risk cultural heritage digital content. The Teaching with Primary Sources program (TPS) builds kindergarten through twelfth grade national outreach networks that encourage educational use of the Library's online primary sources. TPS is described in greater detail in Appendix E.

### Fiscal 2012 Priority Activities

DI's top priority in fiscal 2012 was launching a newly architected and updated web presence. Guided by the Library's Web Governance Board and developed within the Library's new web strategy and information architecture framework, DI provided improved content access, leveraging powerful facet-based search, digital object presentation and exploration, and portals. The planned new web presence builds on consistently presented content and metadata for improving search, discovery, and navigation from both inside the Library and the Internet. In fiscal 2012, DI launched **beta.Congress.gov**, the initial step in a large-scale effort to develop a successor to the Library's existing THOMAS and Legislative Information System (LIS). DI's web

services improved search and object display on [loc.gov](http://loc.gov), launched an iPad/iPhone app for the Congressional Record; created and launched ten new online exhibitions, and sustained the Library social media presence on Facebook, YouTube, iTunes, Twitter, and LOC blogs.

DI also expanded its content transfer, inventory, and delivery capacities. One hundred forty two terabytes of web archive content was transferred to the Library in fiscal 2012. Over one petabyte of files are now inventoried. The volume of content transferred and inventoried by the Library's Content Transfer Services (CTS) system increased by 70 percent over the previous year. With the Library's Delivery Management System (DMS), DI began supporting large automated deliveries of files from publishers. DI improved the collection of United States campaign web sites by confirming the content of campaign web sites associated with a single individual relative to the content of twelve years of election archives. New content initiatives included supporting acquisition of House Streaming Video and of content from the Library's Overseas Operations.

DI also continued scanning the Library's collections, including a significant portion (519 volumes) of the permanent print edition of the Congressional Record and the remaining eight collections of presidential papers held by the Library. DI maximized scanning output by flexibly using a variety of resources to execute this work, including internal staff, contractors, and institutional partners.

### Fiscal 2013 Priority Activities

Content delivery through the new Web presence remains a top priority for fiscal 2013. DI will continue to make a significant effort to improve web content management within the Library's three core web areas (Congress, Copyright, and the Library). The priority focus areas of this effort will include improved search functionality; improved information architecture of Objects/Sets/Formats; expanded new legislative content; and improved [Copyright.gov](http://Copyright.gov) web presence.

Specific fiscal 2013 content management services priorities include improving retrospective inventorying of collections by content curators; improving discoverability and browseability of the Library's web archives; supporting eBook content acquisitions and viewing; and integrating holding data with the Integrated Library System (ILS).

For scanning and metadata services, fiscal 2013 priorities include completing digitization of the permanent print edition of the Congressional Record; preparing scanned presidential papers for online presentation;

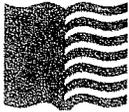
and supporting improved access to digitized legislative information through metadata enrichment and standardization.

### Fiscal 2014 Priority Activities

In fiscal 2014, DI plans to complete the deployment of the [Congress.gov](http://Congress.gov) system, including the [Congress.gov](http://Congress.gov) Application Program Interface (API); deploy a mobile app for [Congress.gov](http://Congress.gov); retiring the THOMAS and Legislative Information Systems (LIS); maintaining the House Congressional Video site and the Congressional Record iPad/iPhone Apps; and developing the Constitution Annotated (Conan) App. Additional initiatives will include making available the Library's new web content information architecture and structure, viewers, and metadata standards; migrating web sites, applications, and content to a new Web Delivery Infrastructure; retiring the legacy web system; increasing use of social media content channels, and increasing use of mobile services for delivery. Another priority is to fully implement a redesigned and redeveloped Copyright Office web site and to integrate scanned copyright registration cards successfully into an online presentation.

In the area of content management, DI priorities for fiscal 2014 will include launching a web application to automate and report on the Library's electronic acquisitions; improving CTS API usability and error handling and recovery; and supporting digital audio content acquisitions and playback.

In planning for the longer term digital future, DI recognizes that digital content increasingly manifests "big data" characteristics in terms of large volume, fast-paced production, and change, and great variation and value and origin. DI continues to assess the requirements for technical content management infrastructure and services that enable users to understand and navigate large-scale data. Examples of high volume collections, with continuing growth both in number of records and size, include more than two hundred fifty terabytes of archived web sites and the receipt of more than 6 million tweets an hour. The unique access (including search, discovery, and navigation) and visibility needs of these big data collections demand innovative, data-driven approaches to make the content available in new query architectures based on patterns within the data. New approaches to be explored include parallel, distributed, memory-rich computing operations (for indexing, pattern matching, data distillation, and querying) used increasingly by data-intensive organizations in all fields.



# Information Technology Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Information Technology Services Summary By Object Class (Dollars in Thousands)

| Object Class                                    | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$23,330         | \$23,402              | \$23,624               | \$24,174                  | + \$ 550                          | 2.3%              |
| 11.3 Other than full-time permanent             | 95               | 95                    | 96                     | 98                        | + 2                               | 2.1%              |
| 11.5 Other personnel compensation               | 237              | 112                   | 238                    | 244                       | + 6                               | 2.5%              |
| 11.8 Special personal services payment          | 13               | 27                    | 13                     | 14                        | + 1                               | 7.7%              |
| 12.1 Civilian personnel benefits                | 6,174            | 6,441                 | 6,212                  | 6,389                     | + 177                             | 2.8%              |
| 13.0 Benefits for former personnel              | 150              | 150                   | 0                      | 0                         | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$29,999</b>  | <b>\$30,227</b>       | <b>\$30,183</b>        | <b>\$30,919</b>           | <b>+ \$ 736</b>                   | <b>2.4%</b>       |
| 21.0 Travel & transportation of persons         | 55               | 34                    | 55                     | 56                        | + 1                               | 1.8%              |
| 23.3 Communication, utilities & misc charges    | 1,506            | 1,174                 | 1,515                  | 1,538                     | + 23                              | 1.5%              |
| 24.0 Printing & reproduction                    | 85               | 24                    | 86                     | 87                        | + 1                               | 1.2%              |
| 25.1 Advisory & assistance services             | 12,148           | 13,482                | 12,222                 | 12,405                    | + 183                             | 1.5%              |
| 25.2 Other services                             | 139              | 90                    | 149                    | 152                       | + 3                               | 2.0%              |
| 25.3 Other purch of gds & services from gov acc | 226              | 218                   | 218                    | 221                       | + 3                               | 1.4%              |
| 25.7 Operation & maintenance of equipment       | 12,763           | 11,361                | 12,841                 | 13,708                    | + 867                             | 6.8%              |
| 26.0 Supplies & materials                       | 139              | 119                   | 140                    | 142                       | + 2                               | 1.4%              |
| 31.0 Equipment                                  | 4,383            | 4,241                 | 4,410                  | 4,476                     | + 66                              | 1.5%              |
| <b>Total, Non-Pay</b>                           | <b>\$31,444</b>  | <b>\$30,743</b>       | <b>\$31,636</b>        | <b>\$32,785</b>           | <b>+ \$1,149</b>                  | <b>3.6%</b>       |
| <b>Total, ITS</b>                               | <b>\$61,443</b>  | <b>\$60,970</b>       | <b>\$61,819</b>        | <b>\$63,704</b>           | <b>+ \$1,885</b>                  | <b>3.0%</b>       |

**Information Technology Services**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| Fiscal 2013 Continuing Resolution Base                     | 213                           | \$61,819        |
| Non-recurring Costs  | 0                             | 0               |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                 |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 424             |
| Annualization of April 2013 pay raise @ .5%                |                               | 156             |
| Within-grade increases                                     |                               | 144             |
| Transit Subsidy Increase from \$230 to \$245               |                               | 12              |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>736</b>      |
| Price Level Changes  |                               | 1,149           |
| Program Increases  | 0                             | 0               |
| Net Increase/Decrease                                      | 0                             | \$ 1,885        |
| <b>Total Budget</b>  | <b>213</b>                    | <b>\$63,704</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                      | <b>0</b>        |
| <b>Total Appropriation</b>                                 | <b>213</b>                    | <b>\$63,704</b> |

# Information Technology Services

LIBRARY OF CONGRESS SALARIES AND EXPENSES

## FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of **\$63.704 million** for Information Technology Services in fiscal 2014, an increase of \$1.885 million, or 3 percent, over fiscal 2013. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2012      |          |                       |          | Fiscal 2013<br>CR Base |          | Fiscal<br>2014<br>Request |          | Fiscal<br>2013/2014<br>Net Change |         | Percent<br>Change |
|-------------------|------------------|----------|-----------------------|----------|------------------------|----------|---------------------------|----------|-----------------------------------|---------|-------------------|
|                   | Spending<br>Plan |          | Actual<br>Obligations |          |                        |          |                           |          |                                   |         |                   |
|                   | FTE              | \$       | FTE                   | \$       | FTE                    | \$       | FTE                       | \$       | FTE                               | \$      | %                 |
| OSI ITS           | 213              | \$61,443 | 206                   | \$60,970 | 213                    | \$61,819 | 213                       | \$63,704 | 0                                 | \$1,885 | 3.0%              |

## PROGRAM OVERVIEW

The Information Technology Service (ITS) maintains the Library's technology infrastructure, including data and voice networks, data processing, data storage, software application development, and data center operations. ITS proactively monitors the industry's best practices and technologies and invests in initiatives to streamline and strengthen the infrastructure, aligning and allocating resources based on Library-wide priorities. ITS adheres to the Library's Information Resources Management plan and related IT governance regulations, policies, and procedures. Library IT governance is informed by enterprise architecture activities and investment lifecycle review activities overseen by the Library's Information Technology Steering Committee.

### Fiscal 2012 Priority Activities

ITS's primary goals in 2012 were continuing to increase cyber security, strengthen and modernize the Library's IT infrastructure through virtualization and standardization, and improve content management and content delivery services.

Library-wide IT security initiatives, to enhance the Library's ability to respond to an increasingly challenging IT threat environment, have been one of the Library's highest priorities. ITS implemented security investments in coordination with other technology infrastructure investments. ITS continued to strengthen the Library's IT Continuity of Operations Plan (COOP) activities by expanding off-site capabilities. ITS also facilitated the Congressional Research Service's email migration to Microsoft Outlook.

ITS focused on initiatives to strengthen IT infrastructure

operations, planning, and building of new technical architectures for more efficient and effective use of IT resources. These architectural initiatives included transitioning to a virtualized environment for both servers and storage, to allow for a more resource-efficient use of the underlying physical equipment. ITS began funding hardware and software components of the initial phase of a virtualization infrastructure in fiscal 2012. Server and storage virtualization investments were made in parallel with efforts to increase the resilience and availability of the network infrastructure within and among the Library data centers. For the Library's voice networks, ITS continued to plan for critical telephone switch infrastructure upgrades.

ITS worked 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 and linking services. ITS supported modernizing the re-architected [Congress.gov](http://Congress.gov) site; the Congressional Record iPad/iPhone application; and the House of Representatives Committee video presentations. ITS led the effort to increase the volume of content made available through the search function of the Library's main web site, [loc.gov](http://loc.gov), through consistent content access and expansion of search and navigation access points. ITS worked with Digital Initiatives (DI) and program staff to implement a streamlined and automated content management services infrastructure designed to ensure the integrity and security of content over time while minimizing the long-term costs of content management. ITS supported activities designed to improve the efficiency of processes that receive, move, and store data. These activities included continuing to support the

U.S. Copyright Office's initiatives to digitize historical copyright record cards and enable receipt of electronic journals. ITS also supported the implementation of higher-performance paths for content movement between the Packard Campus in Culpeper, VA, and the Library's other data centers.

### Fiscal 2013 Priority Activities

In 2013, ITS will focus on efforts to increase server and storage efficiency and reduce costs. The capability to quickly and securely move large amounts of data into the Library and within and between the Library's data centers represents an area of growing need. Building this capacity will require enhancements to the Library's networks and software to govern the transit and integrity of the content. The Library also will continue to improve the cybersecurity position of its networks and data centers.

ITS will continue the move to a virtualized environment that makes more efficient use of physical servers and storage. The transition will focus on the initial phases of a tiered storage architecture. This architecture will provide virtualized storage capacity to meet program requirements for data access, receiving, processing, moving, and long-term storage. Through this architecture, multiple pools of storage with different performance and operational characteristics can be made available to users and applications for different purposes, based on specific program requirements. This initiative will provide increased capacity for cost-effective scaling without affecting the way that users or applications interact with the storage. ITS will leverage improved network connection speeds and improved data movement software tools to address long-term content storage. This transition will include a migration to newer, more power-efficient servers with more consistent software configurations, allowing server resources to be allocated and re-allocated more quickly and efficiently to meet requirements such as an increase in web site demand related to a specific event.

ITS also will continue to build and provide tools and services for the support of increasingly high-volume workflows that bring content to the Library through internal digitization activities as well as through external data partners and providers. 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. ITS will continue to build out a standardized, virtualized environment for content management.

To support all service units, ITS will continue expanding security incident handling and response measures and

ensure that the program is adequate to respond to evolving threats. ITS will work to ensure that security hardware and software components are effectively integrated into the Library's technical infrastructure and operational practices. In addition, ITS will partner with Library service units to review, refine, and support implementation of programs for flexible desktop and remote access solutions and off-site COOP activities. ITS will be evaluating future telecommunications options for next-generation data and voice wireless services in the Library's buildings.

### Fiscal 2014 Priority Activities

In 2014, ITS will work to complete the server and storage virtualization efforts, begin the effort to virtualize the Library's desktops, complete the enhancements to the Library's networks, and complete the work to standardize all aspects of the Library's technical infrastructure.

ITS will continue to build out the virtualized technical infrastructure and related operations supporting the new web presence, to support the continuing additions of content and functionality to [Congress.gov](http://Congress.gov) as part of the transition from existing Congressional information systems. The expansion of this architecture also includes the build-out of server and storage components and the addition of automated services for more of the functions that make Library content and metadata available for access on the web and through other channels. Working with content owners in the service units, ITS will provide assistance for the full migration of all existing content and metadata from outdated web applications, as well as storage to the virtualized environment and more automated and consistent deployment practices.

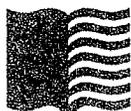
ITS also will work toward a goal of implementing "scale-out" data network functionality that increases flexibility for the deployment of network connections across the data center with minimal reconfiguration requirements, similar to the flexibility provided for servers and storage through virtualization. This effort will improve response time for large data transportation and reduce the costs of implementation.

As part of the virtualization infrastructure build-out, ITS will be driving the use of the technical architecture standards for hardware, system software, network solutions, security solutions, and application deployment processes. These standards will inform and be informed by evolving IT strategic planning processes and the continuing enterprise architecture components. These will be the basis for future priority setting and acquisition planning.

In support of IT standardization activities, ITS will

continue to review and refresh the technical architecture to ensure that the Library is keeping up with industry and federal government best practices, as well as Library strategic priorities and enterprise architecture targets. Using and refining content migration standards and guidelines, ITS will implement operational practices for continuing replacement of obsolete and out-dated equipment. ITS also will implement standards-

based operational practices for long-term storage and backup of content, to ensure that all types of content are explicitly identified and managed according to the appropriate priorities and guidelines. ITS also will focus on key legacy business applications to ensure that their operations and architectural plans are consistent with the standards of the evolving technical architecture.



# Law Library

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

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

| Object Class                                    | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$ 8,550         | \$ 8,162              | \$ 8,703               | \$ 8,906                  | + \$203                           | 2.3%              |
| 11.3 Other than full-time permanent             | 211              | 224                   | 212                    | 217                       | + 5                               | 2.4%              |
| 11.5 Other personnel compensation               | 6                | 89                    | 6                      | 6                         | 0                                 | 0.0%              |
| 12.1 Civilian personnel benefits                | 2,291            | 2,367                 | 2,305                  | 2,371                     | + 66                              | 2.9%              |
| 13.0 Benefits for former employees              | 100              | 100                   | 0                      | 0                         | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$11,158</b>  | <b>\$10,942</b>       | <b>\$11,226</b>        | <b>\$11,500</b>           | <b>+ \$274</b>                    | <b>2.4%</b>       |
| 21.0 Travel & transportation of persons         | 60               | 49                    | 60                     | 61                        | + 1                               | 1.7%              |
| 22.0 Transportation of things                   | 8                | 3                     | 9                      | 9                         | 0                                 | 0.0%              |
| 23.3 Communication, utilities & misc charges    | 49               | 47                    | 50                     | 51                        | + 1                               | 2.0%              |
| 24.0 Printing & reproduction                    | 25               | 20                    | 25                     | 25                        | 0                                 | 0.0%              |
| 25.1 Advisory & assistance services             | 65               | 66                    | 65                     | 66                        | + 1                               | 1.5%              |
| 25.2 Other services                             | 1,648            | 1,872                 | 1,662                  | 1,681                     | + 19                              | 1.1%              |
| 25.3 Other purch of gds & services from gov acc | 12               | 5                     | 6                      | 6                         | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment       | 617              | 516                   | 621                    | 714                       | + 93                              | 15.0%             |
| 26.0 Supplies & materials                       | 27               | 18                    | 27                     | 28                        | + 1                               | 3.7%              |
| 31.0 Equipment                                  | 2,681            | 2,663                 | 2,697                  | 2,775                     | + 78                              | 2.9%              |
| 42.0 Insurance claims & indemnities             | 0                | 11                    | 0                      | 0                         | 0                                 | 0.0%              |
| <b>Total, Non-Pay</b>                           | <b>\$ 5,192</b>  | <b>\$ 5,270</b>       | <b>\$ 5,222</b>        | <b>\$ 5,416</b>           | <b>+ \$194</b>                    | <b>3.7%</b>       |
| <b>Total, Law Library</b>                       | <b>\$16,350</b>  | <b>\$16,212</b>       | <b>\$16,448</b>        | <b>\$16,916</b>           | <b>+ \$468</b>                    | <b>2.8%</b>       |

**Law Library**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| Fiscal 2013 Continuing Resolution Base                     | 96                            | \$16,448        |
| Non-recurring Costs  | 0                             | 0               |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                 |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 158             |
| Annualization of April 2013 pay raise @ .5%                |                               | 58              |
| Within-grade increases                                     |                               | 54              |
| Transit Subsidy Increase from \$230 to \$245               |                               | 4               |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>274</b>      |
| Price Level Changes  |                               | 194             |
| Program Increases  | 0                             | 0               |
| Net Increase/Decrease                                      | 0                             | \$ 468          |
| <b>Total Budget</b>  | <b>96</b>                     | <b>\$16,916</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                      | <b>- 350</b>    |
| <b>Total Appropriation</b>                                 | <b>96</b>                     | <b>\$16,566</b> |

# Law Library

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of **\$16.916 million** for the Law Library program in fiscal 2014, an increase of \$0.468 million, or 2.8 percent, over fiscal 2013. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PFA | Fiscal 2012   |          |                    |          | Fiscal 2013 CR Base | Fiscal 2014 Request |    | Fiscal 2013/2014 Net Change |    | Percent Change |      |
|-------------------|---------------|----------|--------------------|----------|---------------------|---------------------|----|-----------------------------|----|----------------|------|
|                   | Spending Plan |          | Actual Obligations |          |                     | FTE                 | \$ | FTE                         | \$ |                |      |
|                   | FTE           | \$       | FTE                | \$       |                     |                     |    |                             |    |                |      |
| LAW               | 96            | \$16,350 | 90                 | \$16,213 | 96                  | \$16,448            | 96 | \$16,916                    | 0  | \$468          | 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 foreign and international jurisdictions. LAW has amassed the world's largest collection of authoritative legal sources, including more than 2.8 million volumes and 2.5 million micro-format 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, and attorneys at federal agencies. LAW's 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 international trade and tariffs, immigration reform, and other significant legal issues.

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 is a key player in the future development of **Congress.gov**, the new legislative information system for the Congress and 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; research and collection guides which focus on legal research techniques, events and issues; and a forum for the exchange of online legal sources.

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 2012 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 the entire collection to Class K. Additionally, it provided instruction to public users and improved navigation for searching the THOMAS and beta **Congress.gov** databases. LAW began to implement its strategic plan and detailed business plan for a virtual

law library which will 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 initiated an effort to provide coordinated Library of Congress training to members of Congress and their staff. LAW also demonstrated strong emphasis on engagement with constituents 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 to employ Web 2.0 strategies and social media capabilities, thereby showcasing the unique features of its web site content.

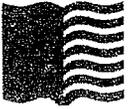
### Fiscal 2013 Priority Activities

In fiscal 2013, LAW will focus on developing plans and collaborative arrangements to add digitized content to **Congress.gov** and support the continued development of this next generation legislative information system. LAW also will continue to pursue efforts to complete the classification of all remaining volumes to Class K, albeit at a slower pace because of reduced funding. Working within the broader Library of Congress web enhancement initiative, LAW will launch **LAW.gov**, incorporating selected LAW content such as the Guide to Law Online.

LAW will test with selected congressional offices a Library of Congress-wide coordinated training. LAW will pursue its long-term strategic plan and business plan initiatives to produce multi-jurisdictional legal information aligned with Library of Congress-wide web initiatives, affording the Congress and other constituents the benefits of more timely, targeted, and complete legal knowledge.

### Fiscal 2014 Priority Activities

In fiscal 2014, LAW will continue to classify the remaining 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 will be less secure and will not be fully accessible to scholars, practitioners, and the general public. LAW will solicit and analyze feedback from the Library's training program for Members of the Congress and staff and implement enhancements where needed. LAW will begin to establish **LAW.gov** as the vehicle for disseminating information on and providing access to digital legal materials, research and development, preservation standards, guidelines, and best practices. The Library will work with the Architect of the Capitol on the construction of a vault to secure more than 50 percent of LAW's rare legal materials in a temperature and humidity controlled environment.



# Office of Support Operations

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Office of Support Operations Resource Summary (Dollars in Thousands)

| Appropriation/PPA                          | Fiscal 2012      |                 |                       |                 | Fiscal 2013<br>CR Base |                 | Fiscal<br>2014<br>Request |                 | Fiscal<br>2013/2014<br>Net Change |                | Percent<br>Change |
|--|------------------|-----------------|-----------------------|-----------------|------------------------|-----------------|---------------------------|-----------------|-----------------------------------|----------------|-------------------|
|  | Spending<br>Plan |                 | Actual<br>Obligations |                 | FTE                    | \$              | FTE                       | \$              | FTE                               | \$             |                   |
|  | FTE              | \$              | FTE                   | \$              |                        |                 |                           |                 |                                   |                |                   |
| OSO - Basic                                | 41               | \$13,084        | 40                    | \$12,964        | 41                     | \$13,164        | 41                        | \$13,423        | 0                                 | \$259          | 2.0%              |
| HRS  | 61               | 9,511           | 57                    | 9,464           | 61                     | 9,569           | 61                        | 9,796           | 0                                 | 227            | 2.4%              |
| ISS  | 148              | 28,056          | 152                   | 28,141          | 148                    | 28,228          | 148                       | 28,884          | 0                                 | 656            | 2.3%              |
| <b>Total, Office of Support Operations</b> | <b>250</b>       | <b>\$50,651</b> | <b>249</b>            | <b>\$50,569</b> | <b>250</b>             | <b>\$50,961</b> | <b>250</b>                | <b>\$52,103</b> | <b>0</b>                          | <b>\$1,142</b> | <b>2.2%</b>       |

**Office of Support Operations**  
**Summary By Object Class**  
(Dollars in Thousands)

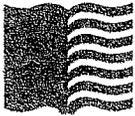
| Object Class                                    | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$19,619         | \$18,839              | \$20,040               | \$20,507                  | + \$ 467                          | 2.3%              |
| 11.3 Other than full-time permanent             | 32               | 101                   | 32                     | 33                        | + 1                               | 3.1%              |
| 11.5 Other personnel compensation               | 405              | 393                   | 407                    | 417                       | + 10                              | 2.5%              |
| 12.1 Civilian personnel benefits                | 5,725            | 5,797                 | 5,760                  | 5,945                     | + 185                             | 3.2%              |
| 13.0 Benefits for former personnel              | 300              | 300                   | 0                      | 0                         | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$26,081</b>  | <b>\$25,430</b>       | <b>\$26,239</b>        | <b>\$26,902</b>           | <b>+ \$ 663</b>                   | <b>2.5%</b>       |
| 21.0 Travel & transportation of persons         | 66               | 39                    | 66                     | 67                        | + 1                               | 1.5%              |
| 22.0 Transportation of things                   | 2                | 6                     | 2                      | 2                         | 0                                 | 0.0%              |
| 23.1 Rental payments to GSA                     | 3,207            | 3,234                 | 3,226                  | 3,556                     | + 330                             | 10.2%             |
| 23.2 Rental payments to others                  | 11               | 38                    | 11                     | 0                         | - 11                              | -100.0%           |
| 23.3 Communication, utilities & misc charges    | 561              | 472                   | 564                    | 399                       | 165                               | - 29.3%           |
| 24.0 Printing & reproduction                    | 138              | 130                   | 139                    | 141                       | + 2                               | 1.4%              |
| 25.1 Advisory & assistance services             | 393              | 722                   | 396                    | 402                       | + 6                               | 1.5%              |
| 25.2 Other services                             | 7,758            | 8,427                 | 7,821                  | 7,938                     | + 117                             | 1.5%              |
| 25.3 Other purch of gds & services from gov acc | 1,950            | 1,470                 | 1,947                  | 1,978                     | + 31                              | 1.6%              |
| 25.4 Operation & maintenance of facilities      | 7,058            | 6,861                 | 7,101                  | 7,207                     | + 106                             | 1.5%              |
| 25.6 Medical care                               | 20               | 20                    | 20                     | 20                        | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment       | 1,607            | 1,475                 | 1,617                  | 1,652                     | + 35                              | 2.2%              |
| 26.0 Supplies & materials                       | 289              | 259                   | 291                    | 296                       | + 5                               | 1.7%              |
| 31.0 Equipment                                  | 1,511            | 1,986                 | 1,521                  | 1,543                     | + 22                              | 1.4%              |
| <b>Total, Non-Pay</b>                           | <b>\$24,570</b>  | <b>\$25,139</b>       | <b>\$24,722</b>        | <b>\$25,201</b>           | <b>+ \$ 479</b>                   | <b>1.9%</b>       |
| <b>Total, Office of Support Operations</b>      | <b>\$50,651</b>  | <b>\$50,569</b>       | <b>\$50,961</b>        | <b>\$52,103</b>           | <b>+ \$1,142</b>                  | <b>2.2%</b>       |

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**Office of Support Operations - Basic**  
**Analysis of Change**  
(Dollars in Thousands)

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|  | Fiscal 2014<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| Fiscal 2013 Continuing Resolution Base                     | 41                            | \$13,164        |
| Non-recurring Costs  | 0                             | 0               |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                 |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 87              |
| Annualization of April 2013 pay raise @ .5%                |                               | 32              |
| Within-grade increases                                     |                               | 30              |
| Transit Subsidy Increase from \$230 to \$245               |                               | 3               |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>152</b>      |
| Price Level Changes  |                               | 107             |
| Program Increases  | 0                             | 0               |
| Net Increase/Decrease                                      | 0                             | \$ 259          |
| <b>Total Budget</b>  | <b>41</b>                     | <b>\$13,423</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                      | <b>0</b>        |
| <b>Total Appropriation</b>                                 | <b>41</b>                     | <b>\$13,423</b> |



# 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 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|--|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|  | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                           | \$4,512          | \$4,029               | \$4,539                | \$4,645                   | + \$106                           | 2.3%              |
| 11.3 Other than full-time permanent                | 10               | 0                     | 10                     | 11                        | + 1                               | 10.0%             |
| 11.5 Other personnel compensation                  | 355              | 101                   | 357                    | 365                       | + 8                               | 2.2%              |
| 12.1 Civilian personnel benefits                   | 1,083            | 1,112                 | 1,090                  | 1,127                     | + 37                              | 3.4%              |
| <b>Total, Pay</b>                                  | <b>\$5,960</b>   | <b>\$5,242</b>        | <b>\$5,996</b>         | <b>\$6,148</b>            | <b>+ \$152</b>                    | <b>2.5%</b>       |
| 21.0 Travel & transportation of persons            | 54               | 38                    | 55                     | 55                        | 0                                 | 0.0%              |
| 22.0 Transportation of things                      | 1                | 5                     | 1                      | 1                         | 0                                 | 0.0%              |
| 23.3 Communication, utilities & misc charges       | 171              | 166                   | 172                    | 175                       | + 3                               | 1.7%              |
| 24.0 Printing & reproduction                       | 29               | 23                    | 29                     | 29                        | 0                                 | 0.0%              |
| 25.1 Advisory & assistance services                | 41               | 124                   | 41                     | 42                        | + 1                               | 2.4%              |
| 25.2 Other services                                | 3,308            | 3,779                 | 3,330                  | 3,380                     | + 50                              | 1.5%              |
| 25.3 Other purch of gds & services from gov acc    | 414              | 187                   | 415                    | 421                       | + 6                               | 1.4%              |
| 25.4 Operation & maintenance of facilities         | 0                | 36                    | 0                      | 0                         | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment          | 1,478            | 1,368                 | 1,487                  | 1,509                     | + 22                              | 1.5%              |
| 26.0 Supplies & materials                          | 164              | 151                   | 165                    | 168                       | + 3                               | 1.8%              |
| 31.0 Equipment                                     | 1,464            | 1,845                 | 1,473                  | 1,495                     | + 22                              | 1.5%              |
| <b>Total, Non-Pay</b>                              | <b>\$7,124</b>   | <b>\$7,722</b>        | <b>\$7,168</b>         | <b>\$7,275</b>            | <b>+ \$107</b>                    | <b>1.5%</b>       |
| <b>Total, Office of Support Operations - Basic</b> | <b>\$13,084</b>  | <b>\$12,964</b>       | <b>\$13,164</b>        | <b>\$13,423</b>           | <b>+ \$259</b>                    | <b>2.0%</b>       |

**Office of Support Operations - Basic**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| Fiscal 2013 Continuing Resolution Base                     | 41                            | \$13,164        |
| Non-recurring Costs  | 0                             | 0               |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                 |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 87              |
| Annualization of April 2013 pay raise @ .5%                |                               | 32              |
| Within-grade increases                                     |                               | 30              |
| Transit Subsidy Increase from \$230 to \$245               |                               | 3               |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>152</b>      |
| Price Level Changes  |                               | 107             |
| Program Increases  | 0                             | 0               |
| Net Increase/Decrease                                      | 0                             | \$ 259          |
| <b>Total Budget</b>  | <b>41</b>                     | <b>\$13,423</b> |
| Total Offsetting Collections                               | 0                             | 0               |
| <b>Total Appropriation</b>                                 | <b>41</b>                     | <b>\$13,423</b> |

# Office of Support Operations – Basic

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of **\$13.423 million** for the Office of Support Operations – Basic in fiscal 2014, an increase of \$0.259 million, or 2 percent, over fiscal 2013. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2012      |          |                       |          | Fiscal 2013<br>CR Base |          | Fiscal<br>2014<br>Request |          | Fiscal<br>2013/2014<br>Net Change |       | Percent<br>Change |
|-------------------|------------------|----------|-----------------------|----------|------------------------|----------|---------------------------|----------|-----------------------------------|-------|-------------------|
|                   | Spending<br>Plan |          | Actual<br>Obligations |          |                        |          |                           |          |                                   |       |                   |
|                   | FTE              | \$       | FTE                   | \$       | FTE                    | \$       | FTE                       | \$       | FTE                               | \$    | %                 |
| OSO_BASIC         | 41               | \$13,084 | 40                    | \$12,964 | 41                     | \$13,164 | 41                        | \$13,423 | 0                                 | \$259 | 2.0%              |

## 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, emergency preparedness, and asset protection; diversity management; 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.

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 strategically directed 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 values inclusiveness and equality.

**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 operations.

The OSO Basic budget covers the operations of OSO management and administration, OSEP, and OIC.

## Fiscal 2012 Priority Activities

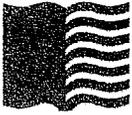
In fiscal 2012, OSO completed an independent assessment of its program offices to refine business processes, integrate best practices, implement performance management and staff development, and identify technology improvements. OSEP continued to focus on safeguarding the Library's staff, collections, and facilities, including testing off-site continuity of operations activities, enhancing the Emergency Preparedness Program, and implementing security controls in ID badging and background checks. OIC collaborated with managers and supervisors to implement the Library's Multi-Year Affirmative Employment Program Plan (MYAEMP), integrated diversity management into the Library's human capital management program, and drafted an action plan to guide workplace modifications.

### **Fiscal 2013 Priority Activities**

In fiscal 2013, OSO will refine and integrate business processes and administrative programs, including financial management, acquisitions planning, and automation strategy. OSO will focus on streamlining processes, enhancing staff competencies, centralizing work functions, and integrating IT solutions to maximize the ability to meet program needs in the current budgetary environment. OIC will collaborate with stakeholders on drafting a strategic vision for workplace diversity and modification and update the multi-year affirmative employment plan. OSEP will focus on evaluating and improving security controls to protect Library collections and assets, managing the Library's personnel security and employment suitability programs, and overseeing emergency preparedness readiness and staff training.

### **Fiscal 2014 Priority Activities**

In fiscal 2014, OSO will focus on sustaining support operations of the Library's programs within available resources by implementing an integrated, cross-functional approach to providing customer service. This includes IT innovation, expanding staff capability and capacity, and implementing new business models for acquiring goods and services. OIC will continue to implement the updated MYAEEP to reflect the Library's strategic vision for workplace diversity and modification. OSEP will focus on continuing multi-year assessments and implementing security controls to protect special format collections, overseeing compliance with federal laws and regulations governing personnel security and employment suitability, and conducting continuity of operations training and readiness.



# Human Resources Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Human Resources Services Summary By Object Class (Dollars in Thousands)

| Object Class                                    | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$5,036          | \$5,133               | \$5,142                | \$5,262                   | + \$120                           | 2.3%              |
| 11.3 Other than full-time permanent             | 0                | 27                    | 0                      | 0                         | 0                                 | 0.0%              |
| 11.5 Other personnel compensation               | 0                | 90                    | 0                      | 0                         | 0                                 | 0.0%              |
| 12.1 Civilian personnel benefits                | 1,643            | 1,713                 | 1,653                  | 1,718                     | + 65                              | 3.9%              |
| 13.0 Benefits for former employees              | 75               | 75                    | 0                      | 0                         | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$6,754</b>   | <b>\$7,038</b>        | <b>\$6,795</b>         | <b>\$6,980</b>            | <b>+ \$185</b>                    | <b>2.7%</b>       |
| 21.0 Travel & transportation of persons         | 10               | 0                     | 10                     | 10                        | 0                                 | 0.0%              |
| 22.0 Transportation of things                   | 1                | 1                     | 1                      | 1                         | 0                                 | 0.0%              |
| 23.3 Communication, utilities & misc charges    | 19               | 9                     | 19                     | 20                        | + 1                               | 5.3%              |
| 24.0 Printing & reproduction                    | 34               | 38                    | 34                     | 35                        | + 1                               | 2.9%              |
| 25.1 Advisory & assistance services             | 143              | 270                   | 144                    | 146                       | + 2                               | 1.4%              |
| 25.2 Other services                             | 1,215            | 1,117                 | 1,225                  | 1,244                     | + 19                              | 1.6%              |
| 25.3 Other purch of gds & services from gov acc | 1,301            | 985                   | 1,306                  | 1,325                     | + 19                              | 1.5%              |
| 26.0 Supplies & materials                       | 5                | 5                     | 5                      | 5                         | 0                                 | 0.0%              |
| 31.0 Equipment                                  | 29               | 1                     | 30                     | 30                        | 0                                 | 0.0%              |
| <b>Total, Non-Pay</b>                           | <b>\$2,757</b>   | <b>\$2,426</b>        | <b>\$2,774</b>         | <b>\$2,816</b>            | <b>+ \$ 42</b>                    | <b>1.5%</b>       |
| <b>Total, Human Resources Services</b>          | <b>\$9,511</b>   | <b>\$9,464</b>        | <b>\$9,569</b>         | <b>\$9,796</b>            | <b>+ \$227</b>                    | <b>2.4%</b>       |

**Human Resources Services**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |                |
|--|-------------------------------|----------------|
|  | FTE                           | Amount         |
| Fiscal 2013 Continuing Resolution Base                     | 61                            | \$9,569        |
| Non-recurring Costs  | 0                             | 0              |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 116            |
| Annualization of April 2013 pay raise @ .5%                |                               | 34             |
| Within-grade increases                                     |                               | 31             |
| Transit Subsidy Increase from \$230 to \$245               |                               | 4              |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>185</b>     |
| Price Level Changes  |                               | 42             |
| Program Increases  | 0                             | 0              |
| Net Increase/Decrease                                      | 0                             | \$ 227         |
| <b>Total Budget</b>  | <b>61</b>                     | <b>\$9,796</b> |
| Total Offsetting Collections                               | 0                             | 0              |
| <b>Total Appropriation</b>                                 | <b>61</b>                     | <b>\$9,796</b> |

# Human Resources Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of **\$9.796 million** for Human Resources Services in fiscal 2014, an increase of \$0.227 million, or 2.4 percent, over fiscal 2013. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2012      |         |                       |         | Fiscal 2013<br>CR Base |         | Fiscal<br>2014<br>Request |         | Fiscal<br>2013/2014<br>Net Change |       | Percent<br>Change |
|-------------------|------------------|---------|-----------------------|---------|------------------------|---------|---------------------------|---------|-----------------------------------|-------|-------------------|
|                   | Spending<br>Plan |         | Actual<br>Obligations |         | FTE                    | \$      | FTE                       | \$      | FTE                               | \$    | %                 |
|                   | FTE              | \$      | FTE                   | \$      |                        |         |                           |         |                                   |       |                   |
| OSO_HRS           | 61               | \$9,511 | 57                    | \$9,464 | 61                     | \$9,569 | 61                        | \$9,796 | 0                                 | \$227 | 2.4%              |

## 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 2012 Priority Activities

In fiscal 2012, HRS provided support for the separations of 186 staff under the VERA/VSIP programs. HRS partnered with Library senior managers to implement the Library's *FY 2011-2016 Human Capital Management Plan* (HCMP). The HCMP emphasized strategic alignment, accountability, leadership and knowledge management, results-oriented performance culture, and talent and acquisition management. This included initiatives to enhance supervisory selection, training and development, performance management, and communication with senior leadership. HRS supported the Library's continuity of operations (COOP) requirements through workplace flexibilities.

### Fiscal 2013 Priority Activities

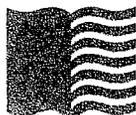
In fiscal 2013, HRS will continue its leadership role with the Library's Human Capital Planning Board (HCPB), ensuring that the Library meets the performance requirements of the HCMP. HRS also will collaborate with Library leaders to communicate decisions and provide clear guidance on change management and transformational efforts. HRS will continue to link performance management systems to the Library's strategic goals and the annual plans of individual organizations. HRS will work to strengthen Library workplace flexibilities and support COOP requirements. In addition, HRS will enhance supervisory training and development by developing 1) a training catalog of targeted online courses and other relevant learning resources indexed by supervisory competency and 2) a questionnaire that supervisors can use to evaluate their own performance in core competencies, with results linked to recommended resources in the training catalog.

### Fiscal 2014 Priority Activities

In fiscal 2014, HRS will enhance the Library's succession planning management efforts, helping service units identify areas of vulnerability, providing training and development solutions, and implementing a phased retirement program, thereby enhancing mentoring and training of employees who could be filling the positions of more senior employees. HRS will support the Library's mission requirements through workforce augmentation, realignment, and streamlined processes. HRS will provide performance management guidance and training to managers and supervisors, develop master recruitment plans, and create human resources tools and handbooks. HRS will promote the competencies

of collaboration and innovation in all Library-wide staff development programs. The HCPB also will continue to help management increase disability awareness and

improve and implement remedies to meet accessibility and workplace modification needs among managers and staff.



# Integrated Support Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Integrated Support Services Summary By Object Class (Dollars in Thousands)

| Object Class                                    | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$10,071         | \$9,678               | \$10,359               | \$10,600                  | + \$241                           | 2.3%              |
| 11.3 Other than full-time permanent             | 21               | 74                    | 21                     | 22                        | + 1                               | 4.8%              |
| 11.5 Other personnel compensation               | 50               | 203                   | 50                     | 51                        | + 1                               | 2.0%              |
| 12.1 Civilian personnel benefits                | 2,999            | 2,971                 | 3,017                  | 3,100                     | + 83                              | 2.8%              |
| 13.0 Benefits for former personnel              | 225              | 225                   | 0                      | 0                         | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$13,366</b>  | <b>\$13,151</b>       | <b>\$13,447</b>        | <b>\$13,773</b>           | <b>+ \$326</b>                    | <b>2.4%</b>       |
| 21.0 Travel & transportation of persons         | 1                | 1                     | 1                      | 1                         | 0                                 | 0.0%              |
| 22.0 Transportation of things                   | 0                | 0                     | 0                      | 0                         | 0                                 | 0.0%              |
| 23.1 Rental payments to GSA                     | 3,207            | 3,234                 | 3,227                  | 3,556                     | + 329                             | 10.2%             |
| 23.2 Rental payments to others                  | 11               | 38                    | 11                     | 0                         | 11                                | -100.0%           |
| 23.3 Communication, utilities & misc charges    | 370              | 298                   | 373                    | 205                       | 168                               | -45.0%            |
| 24.0 Printing & reproduction                    | 75               | 69                    | 76                     | 77                        | + 1                               | 1.3%              |
| 25.1 Advisory & assistance services             | 209              | 328                   | 211                    | 214                       | + 3                               | 1.4%              |
| 25.2 Other services                             | 3,236            | 3,530                 | 3,265                  | 3,314                     | + 49                              | 1.5%              |
| 25.3 Other purch of gds & services from gov acc | 235              | 298                   | 227                    | 232                       | + 5                               | 2.2%              |
| 25.4 Operation & maintenance of facilities      | 7,058            | 6,824                 | 7,101                  | 7,208                     | + 107                             | 1.5%              |
| 25.6 Medical care                               | 20               | 20                    | 20                     | 20                        | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment       | 130              | 107                   | 130                    | 143                       | + 13                              | 10.0%             |
| 26.0 Supplies & materials                       | 120              | 103                   | 121                    | 123                       | + 2                               | 1.7%              |
| 31.0 Equipment                                  | 18               | 140                   | 18                     | 18                        | 0                                 | 0.0%              |
| <b>Total, Non-Pay</b>                           | <b>\$14,690</b>  | <b>\$14,990</b>       | <b>\$14,781</b>        | <b>\$15,111</b>           | <b>+ \$330</b>                    | <b>2.2%</b>       |
| <b>Total, Integrated Support Services</b>       | <b>\$28,056</b>  | <b>\$28,141</b>       | <b>\$28,228</b>        | <b>\$28,884</b>           | <b>+ \$656</b>                    | <b>2.3%</b>       |

**Integrated Support Services**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| Fiscal 2013 Continuing Resolution Base                     | 148                           | \$28,228        |
| Non-recurring Costs  | 0                             | 0               |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                 |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 184             |
| Annualization of April 2013 pay raise @ .5%                |                               | 68              |
| Within-grade increases                                     |                               | 63              |
| Transit Subsidy Increase from \$230 to \$245               |                               | 11              |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>326</b>      |
| Price Level Changes  |                               | 330             |
| Program Increases  | 0                             | 0               |
| Net Increase/Decrease                                      | 0                             | \$ 656          |
| <b>Total Budget</b>  | <b>148</b>                    | <b>\$28,884</b> |
| Total Offsetting Collections                               | 0                             | 0               |
| <b>Total Appropriation</b>                                 | <b>148</b>                    | <b>\$28,884</b> |

# Integrated Support Services

## LIBRARY OF CONGRESS, SALARIES AND EXPENSES

### FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of **\$28.884 million** for Integrated Support Services in fiscal 2014, an increase of \$0.656 million, or 2.3 percent, over fiscal 2013. This increase supports mandatory pay related and price level increases.

#### Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2012      |          |                       |          | Fiscal 2013<br>CR Base |          | Fiscal<br>2014<br>Request |          | Fiscal<br>2013/2014<br>Net Change |       | Percent<br>Change |
|-------------------|------------------|----------|-----------------------|----------|------------------------|----------|---------------------------|----------|-----------------------------------|-------|-------------------|
|                   | Spending<br>Plan |          | Actual<br>Obligations |          |                        |          |                           |          |                                   |       |                   |
|                   | FTE              | \$       | FTE                   | \$       | FTE                    | \$       | FTE                       | \$       | FTE                               | \$    | %                 |
| OSO_ISS           | 148              | \$28,056 | 152                   | \$28,141 | 148                    | \$28,228 | 148                       | \$28,884 | 0                                 | \$656 | 2.3%              |

### PROGRAM OVERVIEW

Integrated Support Services (ISS) is responsible for the Library's long range facility and space utilization planning. ISS manages and oversees day-to-day facility operations, 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 staff, visitors and the collections.

#### Fiscal 2012 Priority Activities

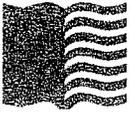
In fiscal 2012, ISS focused on long-term collection storage solutions through implementing the *Library of Congress Fiscal Year 2011 – 2016 Facility Plan*, which supports the *Library's 2011–2016 Strategic Plan*. ISS continued to oversee the multi-year renovation of the Library Services Acquisitions and Bibliographic Access space, implemented the Asset Management Tracking System, and provided essential facility design, construction support, and management of leased space. ISS collaborated with Library Services to transport to Ft. Meade designated special collection materials and identified suitable interim space to accommodate collection materials in the Library's Capitol Hill facilities. ISS coordinated the completion of general and program records schedules for 50 percent of Library divisions/offices, and drafted a memorandum of understanding with the National Archives and Records Management for transfer of the records. ISS supported the AOC in executing fire and life safety projects and egress improvements.

#### Fiscal 2013 Priority Activities

In fiscal 2013, ISS will focus on implementing the *Library of Congress Fiscal Year 2011–2016 Facility Plan* and provide essential facility design and construction support. ISS will continue to work with Library Services to transport collections to Ft. Meade and the Landover Center Annex. ISS will implement workforce adjustments and alignments to achieve mission priorities and increase efficiency. ISS will implement a pilot program for digitizing records to improve accessibility and preservation. ISS will implement a Library-wide standardized approach to fixed asset inventory management and implement service level agreements with customers to ensure accountability and effective resource allocation.

#### Fiscal 2014 Priority Activities

In fiscal 2014, ISS will focus on implementing the *Library of Congress Fiscal Year 2011–2016 Facility Plan* and provide essential facility design and construction support. ISS will initiate the implementation of Digital Records Management software. ISS will expand its integrated workplace management system to include a Demand Work Order module for managing routine service requests. ISS will support the Library's day-to-day operating requirements through workforce augmentation, technology enhancements, and the refinement of processes as needed. ISS will assess the suitability of available space for interim storage of collection materials in the Library's Capitol Hill and off-site facilities. ISS will continue to work with the AOC in support of Library buildings and grounds, including life safety projects, the power supply enhancement in the data center in the James Madison Building, and egress improvements.



# 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 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$1,694          | \$1,528               | \$1,704                | \$1,744                   | + \$40                            | 2.3%              |
| 11.3 Other than full-time permanent             | 57               | 69                    | 57                     | 58                        | + 1                               | 1.8%              |
| 11.5 Other personnel compensation               | 114              | 104                   | 114                    | 117                       | + 3                               | 2.6%              |
| 12.1 Civilian personnel benefits                | 498              | 489                   | 502                    | 516                       | + 14                              | 2.8%              |
| <b>Total, Pay</b>                               | <b>\$2,363</b>   | <b>\$2,190</b>        | <b>\$2,377</b>         | <b>\$2,435</b>            | <b>+ \$58</b>                     | <b>2.4%</b>       |
| 21.0 Travel & transportation of persons         | 9                | 1                     | 9                      | 9                         | 0                                 | 0.0%              |
| 23.3 Communication, utilities & misc charges    | 6                | 7                     | 6                      | 6                         | 0                                 | 0.0%              |
| 24.0 Printing & reproduction                    | 9                | 8                     | 9                      | 10                        | + 1                               | 11.1%             |
| 25.1 Advisory & assistance services             | 355              | 399                   | 358                    | 363                       | + 5                               | 1.4%              |
| 25.2 Other services                             | 21               | 23                    | 22                     | 22                        | 0                                 | 0.0%              |
| 25.3 Other purch of gds & services from gov acc | 1                | 1                     | 0                      | 0                         | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment       | 5                | 5                     | 5                      | 5                         | 0                                 | 0.0%              |
| 26.0 Supplies & materials                       | 13               | 10                    | 13                     | 14                        | + 1                               | 7.7%              |
| 31.0 Equipment                                  | 5                | 29                    | 5                      | 5                         | 0                                 | 0.0%              |
| <b>Total, Non-Pay</b>                           | <b>\$ 424</b>    | <b>\$ 483</b>         | <b>\$ 427</b>          | <b>\$ 434</b>             | <b>+ \$ 7</b>                     | <b>1.6%</b>       |
| <b>Total, Office of the Inspector General</b>   | <b>\$2,787</b>   | <b>\$2,673</b>        | <b>\$2,804</b>         | <b>\$2,869</b>            | <b>+ \$65</b>                     | <b>2.3%</b>       |

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**Office of Inspector General**  
**Analysis of Change**  
(Dollars in Thousands)

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|  | Fiscal 2014<br>Agency Request |         |
|--|-------------------------------|---------|
|  | FTE                           | Amount  |
| <b>Fiscal 2013 Continuing Resolution Base</b>              | 16                            | \$2,804 |
| <b>Non-recurring Costs</b>                                 | 0                             | 0       |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |         |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 33      |
| Annualization of April 2013 pay raise @ .5%                |                               | 12      |
| Within-grade increases                                     |                               | 12      |
| Transit Subsidy Increase from \$230 to \$245               |                               | 1       |
| <b>Total, Mandatory Pay and Related Costs</b>              | 0                             | 58      |
| <b>Price Level Changes</b>                                 |                               | 7       |
| <b>Program Increases</b>                                   | 0                             | 0       |
| Net Increase/Decrease                                      | 0                             | \$ 65   |
| <b>Total Budget</b>  | 16                            | \$2,869 |
| <b>Total Offsetting Collections</b>                        | 0                             | 0       |
| <b>Total Appropriation</b>                                 | 16                            | \$2,869 |

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# Office of the Inspector General

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of **\$2.869 million** for the Office of the Inspector General in fiscal 2014, an increase of \$0.065 million, or 2.3 percent, over fiscal 2013. This increase supports mandatory pay related and price level increases.

### Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2012      |         |                       |         | Fiscal 2013<br>CR Base |         | Fiscal<br>2014<br>Request |         | Fiscal<br>2013/2014<br>Net Change |      | Percent<br>Change |
|-------------------|------------------|---------|-----------------------|---------|------------------------|---------|---------------------------|---------|-----------------------------------|------|-------------------|
|                   | Spending<br>Plan |         | Actual<br>Obligations |         | FTE                    | \$      | FTE                       | \$      | FTE                               | \$   | %                 |
|                   | FTE              | \$      | FTE                   | \$      |                        |         |                           |         |                                   |      |                   |
| OIG               | 16               | \$2,787 | 15                    | \$2,673 | 16                     | \$2,804 | 16                        | \$2,869 | 0                                 | \$65 | 2.3%              |

## 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, and other relevant areas and formally reports to the Congress semiannually. OIG's mission and focus is to detect and prevent fraud, waste, abuse, and mismanagement in Library programs and operations and to provide recommendations to improve economy, efficiency, and effectiveness.

OIG operates through an Audits Division and an Investigations Division. The Audits Division conducts financial and performance audits of Library programs and operations and may conduct other types of reviews, such as inspections. This division assists the Library in efficiently and effectively managing its operations by providing constructive recommendations for policy and 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), and the Open World Leadership Center (a separate legislative branch agency). The division focuses on areas of topical interest, particularly those presenting special challenges. OIG's audit work is subject to a triennial peer review by the Council of the Inspectors General on Integrity and Efficiency (CIGIE), the consortium of all federal statutory inspectors general located in executive and legislative branch departments and agencies. The latest review yielded an unqualified ("clean") opinion with no suggestions for improvement. The Audits Division includes highly trained auditors, a certified internal

auditor, two certified information systems auditors, an information technology (IT) professional, and three certified public accountants.

The Investigations Division performs administrative, civil, and criminal investigations concerning fraud, conflict of interest, and other misconduct involving Library employees, contractors, and grantees. It also operates a confidential "hotline," available to both Library staff and the public. Some administrative investigations are referred to Library management for action, and civil and criminal investigations are referred to the Department of Justice for possible prosecution. 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 special agents and analysts who are trained in law enforcement principles and practices and IT forensics.

OIG's budgetary resources are primarily dedicated to payroll costs, supporting 16 FTEs in fiscal 2012. Approximately 12 percent of total funding is allotted to procuring and overseeing the annual audit of the Library's financial statements. The audit is key to supporting the Library's ability to cross-service other legislative branch agencies with its financial management system.

### Fiscal 2012 Priority Activities

During fiscal 2012, OIG directed its audit emphasis to activities where improvements in fiscal oversight would ensure the Library made the best use of its funding. The Audits Division conducted audits to review the security of the Library's computer systems and networks, controls in the Librarian's documents and correspondence

software application, the state of fire suppression systems safeguarding the collections, collections security and management of the Asian Division, and the functioning of the contracting office, which resulted in a hearing by a subcommittee of the Committee on House Administration. The Audits Division also performed a follow-up audit on its 2009 audit of IT strategic planning to determine the status of management's progress in implementing previous significant audit report recommendations. In other reviews, the division created an evaluation tool for assessing overseas field office operations, evaluated the work flows and related systems of internal control of the Library's Integrated Library System for acquisition of collections materials, reviewed the lapsing of \$3 million in fiscal 2011 funds, and analyzed a contractor's claim against the Library. During fiscal 2012, the Inspector General became the Vice Chair of the CIGIE Audit Committee.

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 and networks, a contract award complaint, conflict of interest, external hacking of the Copyright Office's computers, government travel card abuse, financial fraud, the defacement of Library books by a researcher, theft, and other misconduct. An investigation concluded in fiscal 2012 resulted in the recovery of \$1 million in overbilling by a Library contractor.

In addition to the audit testimony, the OIG responded to two formal Congressional inquiries in fiscal 2012.

### **Fiscal 2013 Priority Activities**

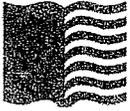
In fiscal 2013, OIG's audit emphasis includes key program areas such as collections development; plans for a new multi-purpose facility; warehousing and logistics; contracts management; performance budgeting; cloud computing and computer virtualization; IT development, operations, and security; and other matters. The Audits Division is continuing to ensure that Library funds are expended in the most beneficial manner, with a focus on internal controls to diminish opportunities for waste, fraud, abuse, and mismanagement. Also, the

Audits Division is continuing one of its core functions, to oversee the annual audit of the Library's financial statements. The Investigations Division is continuing to direct attention toward responding to hotline complaints, employee misconduct, and violations of laws, regulations, and ethics rules.

The Library's fiscal 2012 appropriation included a 3.9 percent reduction to the OIG's fiscal 2011 funding level. This funding level has resulted in the OIG having to postpone filling one vacancy in the Audits Division and one-half FTE in the Investigations Division, perhaps indefinitely. 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 2013, the OIG expects to operate with either 15.5 or 16.5 FTEs instead of 18 FTEs. The decrease in FTEs will reduce the number of audits and investigations that can be performed and available funding for experts and consultants.

### **Fiscal 2014 Priority Activities**

The OIG plans to continue its emphasis in fiscal 2014 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, abuse, and mismanagement. The division will direct its audit plan toward program and operating areas that expend the greatest share of the Library's resources, including IT purchases and management, warehousing and logistics, collections management, and security. Special emphasis will be given to the Library's top management challenges: facilities, IT infrastructure, performance budgeting, and contracting. The Investigations Division will continue its 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 2014 funding levels near the fiscal 2012 and 2013 levels will cause the OIG to operate with fewer staff and limited funding to hire any needed experts and consultants, resulting in fewer audits and investigations and potentially the inability to conduct reviews of highly technical areas, such as evaluating the Library's IT security defenses.



# COPYRIGHT OFFICE, SALARIES AND EXPENSES

## Copyright Office, S&E Resource Summary (Dollars in Thousands)

| Appropriation/PPA          | Fiscal 2012      |                 |                       |                 | Fiscal 2013<br>CR Base |                 | Fiscal<br>2014<br>Request |                 | Fiscal<br>2013/2014<br>Net Change |                | Percent<br>Change |
|----------------------------|------------------|-----------------|-----------------------|-----------------|------------------------|-----------------|---------------------------|-----------------|-----------------------------------|----------------|-------------------|
|                            | Spending<br>Plan |                 | Actual<br>Obligations |                 |                        |                 |                           |                 |                                   |                |                   |
|                            | FTE              | \$              | FTE                   | \$              | FTE                    | \$              | FTE                       | \$              | FTE                               | \$             | %                 |
| COP Basic                  | 439              | \$45,075        | 369                   | \$44,434        | 439                    | \$45,167        | 439                       | \$46,238        | 0                                 | \$1,071        | 2.4%              |
| COP Licensing Division     | 30               | 5,109           | 21                    | 4,799           | 30                     | 5,109           | 30                        | 5,209           | 0                                 | 100            | 2.0%              |
| COP Royalty Judges         | 6                | 1,466           | 6                     | 1,253           | 6                      | 1,473           | 6                         | 1,505           | 0                                 | 32             | 2.2%              |
| <b>Total, COP, S&amp;E</b> | <b>475</b>       | <b>\$51,650</b> | <b>396</b>            | <b>\$50,486</b> | <b>475</b>             | <b>\$51,749</b> | <b>475</b>                | <b>\$52,952</b> | <b>0</b>                          | <b>\$1,203</b> | <b>2.3%</b>       |

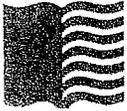
**Copyright Office, Salaries and Expenses**  
**Summary By Object Class**  
(Dollars in Thousands)

| Object Class                                    | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$30,856         | \$30,443              | \$32,005               | \$32,742                  | + \$737                           | 2.3%              |
| 11.3 Other than full-time permanent             | 222              | 228                   | 222                    | 227                       | + 5                               | 2.3%              |
| 11.5 Other personnel compensation               | 25               | 5                     | 26                     | 27                        | + 1                               | 3.8%              |
| 11.5A Staff Awards <sup>1</sup>                 | 219              | 185                   | 220                    | 225                       | + 5                               | 2.3%              |
| 11.8 Special personal services payment          | 0                | 14                    | 0                      | 0                         | 0                                 | 0.0%              |
| 12.1 Civilian personnel benefits                | 8,885            | 8,965                 | 8,904                  | 9,162                     | + 258                             | 2.9%              |
| 13.0 Benefits for former personnel              | 1,100            | 1,093                 | 25                     | 25                        | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$41,307</b>  | <b>\$40,933</b>       | <b>\$41,402</b>        | <b>\$42,408</b>           | <b>+ \$1,006</b>                  | <b>2.4%</b>       |
| 21.0 Travel & transportation of persons         | 215              | 151                   | 215                    | 218                       | + 3                               | 1.4%              |
| 22.0 Transportation of things                   | 6                | 19                    | 6                      | 6                         | 0                                 | 0.0%              |
| 23.2 Rental payments to others                  | 305              | 350                   | 305                    | 310                       | + 5                               | 1.6%              |
| 23.3 Communication, utilities & misc charges    | 682              | 516                   | 682                    | 692                       | + 10                              | 1.5%              |
| 24.0 Printing & reproduction                    | 327              | 319                   | 327                    | 332                       | + 5                               | 1.5%              |
| 25.1 Advisory & assistance services             | 163              | 163                   | 163                    | 165                       | + 2                               | 1.2%              |
| 25.2 Other services                             | 5,870            | 5,201                 | 5,902                  | 5,992                     | + 90                              | 1.5%              |
| 25.3 Other purch of gds & services from gov acc | 958              | 673                   | 930                    | 944                       | + 14                              | 1.5%              |
| 25.7 Operation & maintenance of equipment       | 535              | 657                   | 535                    | 584                       | + 49                              | 9.2%              |
| 26.0 Supplies & materials                       | 218              | 181                   | 218                    | 221                       | + 3                               | 1.4%              |
| 31.0 Equipment                                  | 1,064            | 1,323                 | 1,064                  | 1,080                     | + 16                              | 1.5%              |
| <b>Total, Non-Pay</b>                           | <b>\$10,343</b>  | <b>\$ 9,553</b>       | <b>\$10,347</b>        | <b>\$10,544</b>           | <b>+ \$197</b>                    | <b>1.9%</b>       |
| <b>Total, Copyright Office, S&amp;E</b>         | <b>\$51,650</b>  | <b>\$50,486</b>       | <b>\$51,749</b>        | <b>\$52,952</b>           | <b>+ \$1,203</b>                  | <b>2.3%</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.

**Copyright Office, Salaries and Expenses**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| Fiscal 2013 Continuing Resolution Base                     | 475                           | \$51,749        |
| Non-recurring Costs  | 0                             | 0               |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                 |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 578             |
| Annualization of April 2013 pay raise @ .5%                |                               | 213             |
| Within-grade increases                                     |                               | 185             |
| Transit Subsidy Increase from \$230 to \$245               |                               | 30              |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>1,006</b>    |
| Price Level Changes  |                               | 197             |
| Program Increases  | 0                             | 0               |
| Net Increase/Decrease                                      | 0                             | \$ 1,203        |
| <b>Total Budget</b>  | <b>475</b>                    | <b>\$52,952</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                      | <b>- 33,619</b> |
| <b>Total Appropriation</b>                                 | <b>475</b>                    | <b>\$19,333</b> |



# Copyright Basic

COPYRIGHT OFFICE, SALARIES AND EXPENSES

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

| Object Class                                    | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$28,212         | \$27,849              | \$29,307               | \$29,982                  | + \$675                           | 2.3%              |
| 11.3 Other than full-time permanent             | 222              | 227                   | 222                    | 227                       | + 5                               | 2.3%              |
| 11.5 Other personnel compensation               | 210              | 185                   | 211                    | 216                       | + 5                               | 2.4%              |
| 12.1 Civilian personnel benefits                | 8,148            | 8,213                 | 8,165                  | 8,402                     | + 237                             | 2.9%              |
| 13.0 Benefits for former personnel              | 1,050            | 1,043                 | 25                     | 25                        | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$37,842</b>  | <b>\$37,517</b>       | <b>\$37,930</b>        | <b>\$38,852</b>           | <b>+ \$922</b>                    | <b>2.4%</b>       |
| 21.0 Travel & transportation of persons         | 205              | 145                   | 205                    | 208                       | + 3                               | 1.5%              |
| 22.0 Transportation of things                   | 4                | 3                     | 4                      | 4                         | 0                                 | 0.0%              |
| 23.2 Rental payments to others                  | 305              | 350                   | 305                    | 310                       | + 5                               | 1.6%              |
| 23.3 Communication, utilities & misc charges    | 657              | 496                   | 657                    | 666                       | + 9                               | 1.4%              |
| 24.0 Printing & reproduction                    | 245              | 275                   | 245                    | 249                       | + 4                               | 1.6%              |
| 25.1 Advisory & assistance services             | 163              | 163                   | 163                    | 165                       | + 2                               | 1.2%              |
| 25.2 Other services                             | 4,254            | 4,287                 | 4,283                  | 4,348                     | + 65                              | 1.5%              |
| 25.3 Other purch of gds & services from gov acc | 50               | 55                    | 25                     | 25                        | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment       | 522              | 544                   | 522                    | 570                       | + 48                              | 9.2%              |
| 26.0 Supplies & materials                       | 183              | 163                   | 183                    | 186                       | + 3                               | 1.6%              |
| 31.0 Equipment                                  | 645              | 436                   | 645                    | 655                       | + 10                              | 1.6%              |
| <b>Total, Non-Pay</b>                           | <b>\$ 7,233</b>  | <b>\$ 6,917</b>       | <b>\$ 7,237</b>        | <b>\$ 7,386</b>           | <b>+ \$149</b>                    | <b>2.1%</b>       |
| <b>Total, Copyright Basic</b>                   | <b>\$45,075</b>  | <b>\$44,434</b>       | <b>\$45,167</b>        | <b>\$46,238</b>           | <b>+ \$1,071</b>                  | <b>2.4%</b>       |

**Copyright Basic  
Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| Fiscal 2013 Continuing Resolution Base                     | 439                           | \$45,167        |
| Non-recurring Costs  | 0                             | 0               |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                 |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 529             |
| Annualization of April 2013 pay raise @ .5%                |                               | 195             |
| Within-grade increases                                     |                               | 170             |
| Transit Subsidy Increase from \$230 to \$245               |                               | 28              |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>922</b>      |
| Price Level Changes  |                               | 149             |
| Program Increases  | 0                             | 0               |
| Net Increase/Decrease                                      | 0                             | \$ 1,071        |
| <b>Total Budget</b>  | <b>439</b>                    | <b>\$46,238</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                      | <b>- 28,029</b> |
| <b>Total Appropriation</b>                                 | <b>439</b>                    | <b>\$18,209</b> |

# Copyright Basic

## COPYRIGHT OFFICE SALARIES AND EXPENSES

### FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of **\$46.238 million** for Copyright Basic in fiscal 2014, partially offset by copyright fee collections of \$28.029 million. The increase of \$1.071 million, or 2.4 percent, over fiscal 2013 supports mandatory pay related and price level increases. The Copyright Office is requesting the restoration of \$2 million in base funding. 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. The fiscal 2013 Continuing Resolution contains the same language. 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 2013, Copyright Office estimates the no-year fund balance will be exhausted. Restoration of this funding in fiscal 2014 will be critical to the Office's ability to operate.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2012      |          |                       |          | Fiscal 2013<br>CR Base |          | Fiscal<br>2014<br>Request |          | Fiscal<br>2013/2014<br>Net Change |         | Percent<br>Change |
|-------------------|------------------|----------|-----------------------|----------|------------------------|----------|---------------------------|----------|-----------------------------------|---------|-------------------|
|                   | Spending<br>Plan |          | Actual<br>Obligations |          |                        |          |                           |          |                                   |         |                   |
|                   | FTE              | \$       | FTE                   | \$       | FTE                    | \$       | FTE                       | \$       | FTE                               | \$      | %                 |
| COP_BASIC         | 439              | \$45,075 | 369                   | \$44,434 | 439                    | \$45,167 | 439                       | \$46,238 | 0                                 | \$1,071 | 2.4%              |
| Offsetting Coll.  |                  | -30,029  |                       | 0        |                        | -30,029  |                           | -28,029  |                                   | 2,000   | -6.7%             |
| COP_BASIC Appr.   | 439              | \$15,046 | 369                   | \$44,434 | 439                    | \$15,138 | 439                       | \$18,209 | 0                                 | \$3,071 | 20.3%             |

### PROGRAM OVERVIEW

The work of the Copyright Office is enumerated in the Copyright Act and other provisions of Title 17 of the United States Code (U.S.C.). This work includes administering public services related to the Nation's copyright registration system (see 17 U.S.C. §408), and providing policy expertise and advice to the U.S. Congress through studies, legislative proposals, and public meetings (see 17 U.S.C. §708).

The work of the U.S. Copyright Office is critical to promoting and disseminating American works of authorship and in sustaining large and small businesses in the information, entertainment, and technology sectors. In addition to administering copyright registration, the Office records licenses and assignments of copyright, provides public databases of copyright information, and administers the mandatory deposit provisions of the law. In fiscal 2012, the Copyright Office managed the deposit of 636,430 copies of creative works for the Library's collections which it would otherwise have had to purchase, valued at approximately \$30 million. (See Appendix G.)

The Register of Copyrights and Director of the Office is, by statute, the principal advisor to the Congress on issues of domestic and international copyright policy. The

Register and the Copyright Office 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, and works with the White House, and other executive branch agencies, including the Department of Justice, on critical copyright matters and enforcement policy.

The Copyright Basic appropriation covers the following specific activities: (1) the examination of creative works of authorship submitted for registration; (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 the 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 an outsized 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 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.

The majority of the Office's budget comes from fees it collects for copyright registration and related services. In terms of appropriated dollars, the \$15 million provided to the Office in recent years has been more than offset by the \$30 million value of deposits provided by the Office to the Library of Congress collections, for the benefit of the Nation. Appropriated dollars also ensure the availability of the public database of copyright information that is essential to copyright research and transactions in the marketplace. Because copyright registration is not required by law, the fees set by the Office must take into account the objectives of the overall copyright system, including the goal of facilitating or incentivizing as complete and useful a database of copyright information as possible for use by the general public and by those engaged in marketplace transactions of assigning, licensing, and investing in copyrighted works. Copyright registration is to the benefit of the users of copyrighted works as much as it is to the authors who may seek registration.

### **Fiscal 2012 Priority Activities**

On October 25, 2011, the Register of Copyrights announced the Office's priorities and special projects through October 2013 in a comprehensive document that sets forth the significant statutory duties of the Copyright 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 has been using this document as a road map to improve the quality and efficiency of its services subject to the availability of budgetary resources. The priorities portion of the 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, international copyright issues in collaboration with the World Intellectual Property Organization, and other issues of concern to Congress. The projects portion of the document explains initiatives designed to improve operations and public services, including: technical upgrades to electronic registration, increased public outreach and copyright education, and reengineering of the copyright recordation division. These projects are critical as the Copyright Office must keep pace with the technology and legal developments of the outside world. That is, it must have the capacity to receive a digital film through its online registration system, but it must also have a regulatory framework sufficient to respond to 21st century authorship, such as procedures for registering web sites. On this latter point, the Office is engaged in producing a major revision of its *Compendium of Copyright Office Practices*, the authoritative publication for Copyright Office examiners, the public, and the courts regarding registration law and regulations.

In fiscal 2012, the Copyright Office released two policy reports on pre-1972 sound recording and mass digitization, respectively. In addition, the Copyright Office has formally engaged in public comment in support of two ongoing legislative policy activities: remedies for small claims and copyright office fees. Further reports and notices will be released in fiscal 2013 and the first quarter of fiscal 2014 in support of the initiatives set forth in the priorities document.

The Register testified before the House Judiciary Committee and, with legal and policy staff, supported a number of Congressional Offices through expert advice and analysis on numerous domestic and international topics. The Copyright Office participated in major negotiations at the World Intellectual Property Organization and with major trading partners including a major treaty to protect performers in the context of audio-visual works, held in June 2012 in Beijing, and several rounds of negotiations for the Trans-Pacific Partnership. On the litigation front, the Department of Justice called upon the Copyright Office on several important cases, including Supreme Court appeals *Golan v. Holder* and *Kirtsaeng v. John Wiley and Sons*, respectively.

During fiscal 2012, the Copyright Office registered 511,539 claims. The public embraced the Office's electronic system, filing approximately 85 percent of claims electronically; the average processing time for processing electronic claims was between two and three months.

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. The Copyright Office has focused on digitizing the Copyright Card Catalog and, as of September 2012, more than 22.5 million cards have been digitized. 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.

### Fiscal 2013 Priority Activities

In fiscal 2013, the Copyright Office will reset its policy priorities in collaboration with the Congress, focusing on a number of major issues from orphan works to music licensing and any other priorities of the Congress. The Copyright Office will deliver to the Congress legislative recommendations on orphan works, library exceptions, mass digitization policy, and finalize its analysis of small claims solutions for copyright owners. The Office also will release portions of the revised *Compendium of Copyright Office Practices* during fiscal 2013 for review by professional bar associations. 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 and a treaty for persons who are blind or have print disabilities.

The Office also is continuing its research and analysis of the Register's special projects, preparing for additional public outreach and preliminary conclusions. Each of these projects relates directly to the stewardship and effective operation of the Nation's copyright registration and recordation systems in the 21st century, and will inform the Copyright Office's focus and strategies for fiscal years 2014–2018. For example, the Copyright

Office will continue its comprehensive evaluation of the technical aspects of registration and recordation in fiscal 2013, including crafting a strategy to address certain technology, portal and processing issues in part by studying and consulting with stakeholders and experts. 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. These efforts have engaged many kinds of stakeholders, from technology experts to authors, musicians, publishers, and producers.

The Copyright Office will deliver a fee study to the Congress in fiscal 2013 and address the implementation of a revised fee schedule and associated practices, as appropriate. This follows research and public consultation in fiscal 2011 and 2012. Finally, working with the Library, the Register will implement a major reorganization of the Copyright Office divisions and workload, in order to better use resources, create updated jobs, and align the mission of the Office to the 21st century.

### Fiscal 2014 Priority Activities

In October 2013, the Copyright Office will conclude the research and analysis phase in support of the Register's priorities and special projects. The Copyright Office will develop a strategic plan for fiscal years 2014–2018, in conjunction with the Library-wide strategic planning process, to implement the recommendations of staff and both internal and external stakeholders. As budget allows, the Copyright Office will begin to implement the recommendations, including reengineering of the recordation program, upgrades to electronic registration, and making digitized records searchable via the Internet.

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 continue its long-term work with the Congress on a number of major policy issues, domestic and international.



# Copyright Licensing Division

COPYRIGHT OFFICE, SALARIES AND EXPENSES

## Copyright Licensing Division Summary By Object Class (Dollars in Thousands)

| Object Class                                    | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$1,786          | \$1,746               | \$1,836                | \$1,879                   | + \$43                            | 2.3%              |
| 11.5 Other personnel compensation               | 30               | 9                     | 30                     | 31                        | + 1                               | 3.3%              |
| 11.8 Special personal services payment          | 0                | 14                    | 0                      | 0                         | 0                                 | 0.0%              |
| 12.1 Civilian personnel benefits                | 508              | 506                   | 508                    | 522                       | + 14                              | 2.8%              |
| 13.0 Benefits for former personnel              | 50               | 50                    | 0                      | 0                         | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$2,374</b>   | <b>\$2,325</b>        | <b>\$2,374</b>         | <b>\$2,432</b>            | <b>+ \$58</b>                     | <b>2.4%</b>       |
| 21.0 Travel & transportation of persons         | 7                | 4                     | 7                      | 7                         | 0                                 | 0.0%              |
| 22.0 Transportation of things                   | 1                | 0                     | 1                      | 1                         | 0                                 | 0.0%              |
| 23.3 Communication, utilities & misc charges    | 16               | 16                    | 16                     | 16                        | 0                                 | 0.0%              |
| 24.0 Printing & reproduction                    | 12               | 10                    | 12                     | 13                        | + 1                               | 8.3%              |
| 25.2 Other services                             | 1,392            | 838                   | 1,392                  | 1,416                     | + 24                              | 1.7%              |
| 25.3 Other purch of gds & services from gov acc | 848              | 596                   | 848                    | 858                       | + 10                              | 1.2%              |
| 25.7 Operation & maintenance of equipment       | 12               | 108                   | 12                     | 13                        | + 1                               | 8.3%              |
| 26.0 Supplies & materials                       | 33               | 15                    | 33                     | 33                        | 0                                 | 0.0%              |
| 31.0 Equipment                                  | 414              | 887                   | 414                    | 420                       | + 6                               | 1.4%              |
| <b>Total, Non-Pay</b>                           | <b>\$2,735</b>   | <b>\$ 2,474</b>       | <b>\$2,735</b>         | <b>\$2,777</b>            | <b>+ \$42</b>                     | <b>1.5%</b>       |
| <b>Total, Licensing Division</b>                | <b>\$5,109</b>   | <b>\$4,799</b>        | <b>\$5,109</b>         | <b>\$5,209</b>            | <b>+ \$100</b>                    | <b>2.0%</b>       |

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**Copyright Licensing Division**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |         |
|--|-------------------------------|---------|
|  | FTE                           | Amount  |
| <b>Fiscal 2013 Continuing Resolution Base</b>              | 30                            | \$5,109 |
| <b>Non-recurring Costs</b>                                 | 0                             | 0       |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |         |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 33      |
| Annualization of April 2013 pay raise @ .5%                |                               | 12      |
| Within-grade increases                                     |                               | 11      |
| Transit Subsidy Increase from \$230 to \$245               |                               | 2       |
| <b>Total, Mandatory Pay and Related Costs</b>              | 0                             | 58      |
| <b>Price Level Changes</b>                                 |                               | 42      |
| <b>Program Increases</b>                                   | 0                             | 0       |
| <b>Net Increase/Decrease</b>                               | 0                             | \$ 100  |
| <b>Total Budget</b>  | 30                            | \$5,209 |
| <b>Total Offsetting Collections</b>                        | 0                             | - 5,209 |
| <b>Total Appropriation</b>                                 | 30                            | \$0     |

# Copyright Licensing Division

COPYRIGHT OFFICE, SALARIES AND EXPENSES

## FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of **\$5.209 million** in offsetting collection authority for the Copyright Licensing Division in fiscal 2014, an increase of \$0.100 million, or 2 percent, over fiscal 2013. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2012      |         |                       |         | Fiscal 2013<br>CR Base |         | Fiscal<br>2014<br>Request |         | Fiscal<br>2013/2014<br>Net Change |       | Percent<br>Change |
|-------------------|------------------|---------|-----------------------|---------|------------------------|---------|---------------------------|---------|-----------------------------------|-------|-------------------|
|                   | Spending<br>Plan |         | Actual<br>Obligations |         | FTE                    | \$      | FTE                       | \$      | FTE                               | \$    |                   |
| COP_LIC           | 30               | \$5,109 | 21                    | \$4,799 | 30                     | \$5,109 | 30                        | \$5,209 | 0                                 | \$100 | 2.0%              |
| Offsetting Coll.  |                  | -5,109  |                       | 0       |                        | -5,109  |                           | -5,209  |                                   | -100  | 2.0%              |
| COP_LIC Appr.     | 30               | 0       | 21                    | 4,799   | 30                     | 0       | 30                        | 0       | 0                                 | 0     | 0.0%              |

## PROGRAM OVERVIEW

The Copyright Office, through its Licensing Division (Licensing), participates in the administration of certain compulsory and statutory license provisions of the Copyright Act (Title 17 U.S.C.), 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 2012 Priority Activities

In fiscal 2012, Licensing continued to devote budgetary and staff resources to implementing its reengineered processes and a new technology system. The division piloted the cable statement of account submission system in September. The pilot allows for automation of both SA1-2 short forms and the SA3 long form Statements of Account. When the implementation is complete, Licensing expects reengineering to have improved service to customers and enhanced public records availability.

During fiscal 2012, Licensing collected nearly \$312 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 \$835 million in royalties according to voluntary agreements among claimants or as a result of determinations of the Copyright Royalty Judges. This level of distribution was significantly higher than historical distribution levels.

## Fiscal 2013 Priority Activities

In fiscal 2013, Licensing will continue implementing and refining the reengineered processes and technology system. Licensing will show the cable statement of account submission pilot to key stakeholders and work to enhance further the automation of the more complex SA3 forms. In addition, Licensing will work to implement its cable statement of account post submission workflows, including statement of account examination and statement of account revisions and amendments.

Finally, Licensing will continue to collect and distribute royalty fees and examine documents.

### **Fiscal 2014 Priority Activities**

In fiscal 2014, Licensing will continue implementing and refining the reengineered processes and technology

system. Licensing will implement the financial management components of the cable royalty system and begin work on automation of its satellite, digital audio recording technology (DART), and notice 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 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$ 857           | \$ 849                | \$ 862                 | \$ 882                    | +\$20                             | 2.3%              |
| 11.5 Other personnel compensation               | 4                | -4                    | 4                      | 4                         | 0                                 | 0.0%              |
| 12.1 Civilian personnel benefits                | 230              | 246                   | 232                    | 238                       | + 6                               | 2.6%              |
| <b>Total, Pay</b>                               | <b>\$1,091</b>   | <b>\$1,091</b>        | <b>\$1,098</b>         | <b>\$1,124</b>            | <b>+\$26</b>                      | <b>2.4%</b>       |
| 21.0 Travel & transportation of persons         | 2                | 1                     | 2                      | 2                         | 0                                 | 0.0%              |
| 22.0 Transportation of things                   | 1                | 16                    | 1                      | 1                         | 0                                 | 0.0%              |
| 23.3 Communication, utilities & misc charges    | 9                | 4                     | 9                      | 9                         | 0                                 | 0.0%              |
| 24.0 Printing & reproduction                    | 70               | 34                    | 70                     | 71                        | + 1                               | 1.4%              |
| 25.2 Other services                             | 224              | 76                    | 224                    | 228                       | + 4                               | 1.8%              |
| 25.3 Other purch of gds & services from gov acc | 61               | 23                    | 61                     | 61                        | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment       | 1                | 5                     | 1                      | 1                         | 0                                 | 0.0%              |
| 26.0 Supplies & materials                       | 2                | 3                     | 2                      | 3                         | + 1                               | 50.0%             |
| 31.0 Equipment                                  | 5                | 0                     | 5                      | 5                         | 0                                 | 0.0%              |
| <b>Total, Non-Pay</b>                           | <b>\$ 375</b>    | <b>\$ 162</b>         | <b>\$ 375</b>          | <b>\$ 381</b>             | <b>+\$ 6</b>                      | <b>1.6%</b>       |
| <b>Total, Copyright Royalty Judges</b>          | <b>\$1,466</b>   | <b>\$1,253</b>        | <b>\$1,473</b>         | <b>\$1,505</b>            | <b>+\$32</b>                      | <b>2.2%</b>       |

**Copyright Royalty Judges  
Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |                |
|--|-------------------------------|----------------|
|  | FTE                           | Amount         |
| Fiscal 2013 Continuing Resolution Base                     | 6                             | \$1,473        |
| Non-recurring Costs  | 0                             | 0              |
| Mandatory Pay and Related Costs:                           |                               |                |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 15             |
| Annualization of April 2013 pay raise @ .5%                |                               | 6              |
| Within-grade increases                                     |                               | 5              |
| Transit Subsidy Increase from \$230 to \$245               |                               | 0              |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>26</b>      |
| Price Level Changes  |                               | 6              |
| Program Increases  | 0                             | 0              |
| Net Increase/Decrease                                      | 0                             | \$ 32          |
| <b>Total Budget</b>  | <b>6</b>                      | <b>\$1,505</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                      | <b>- 381</b>   |
| <b>Total Appropriation</b>                                 | <b>6</b>                      | <b>\$1,124</b> |

# Copyright Royalty Judges

COPYRIGHT OFFICE, SALARIES AND EXPENSES

## FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of **\$1.505 million** for the Copyright Royalty Judges in fiscal 2014, partially offset by copyright royalty fee collections of \$0.381 million. The increase of \$0.032 million, or 2.2 percent, over fiscal 2013 supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2012      |         |                       |         | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request |    | Fiscal<br>2013/2014<br>Net Change |    | Percent<br>Change |      |
|-------------------|------------------|---------|-----------------------|---------|------------------------|---------------------------|----|-----------------------------------|----|-------------------|------|
|                   | Spending<br>Plan |         | Actual<br>Obligations |         |                        | FTE                       | \$ | FTE                               | \$ |                   | %    |
|                   | FTE              | \$      | FTE                   | \$      |                        |                           |    |                                   |    |                   |      |
| COP_CRJ           | 6                | \$1,466 | 6                     | \$1,253 | 6                      | \$1,473                   | 6  | \$1,505                           | 0  | \$32              | 2.2% |
| Offsetting Coll.  |                  | -375    |                       | 0       |                        | -375                      |    | -381                              |    | -6                | 1.6% |
| COP_CRJ           | 6                | \$1,091 | 6                     | \$1,253 | 6                      | \$1,098                   | 6  | \$1,124                           | 0  | \$26              | 2.4% |

## PROGRAM OVERVIEW

The Copyright Royalty Judges (CRJs) participate in the administration of certain provisions of the Copyright Act (Title 17 U.S.C.). Chapter 8 of the Act establishes the Copyright Royalty Board and authorizes the CRJs to determine rates and terms for the compulsory licenses established by the Act. The CRJs also adjudicate distribution of royalties that the licensees pay.

The CRJs conduct evidentiary hearings and issue findings of fact and conclusions of law pertaining to rates and terms of compulsory statutory licenses and the distribution of cable, satellite, and digital audio recording technology (DART) licensing fees. The CRJs consult with the Register of Copyrights (Register) on novel questions of copyright law and on determinations that impose operational responsibilities on the Copyright Office. Under title 17, the Register may also publish an opinion regarding the CRJs' resolution of material questions of substantive law if the Register determines the CRJs have made an error of law. The Register's opinion is prospectively binding on the CRJs.

### Fiscal 2012 Priority Activities

In fiscal 2012, the CRJs devoted resources to compliance with statutory deadlines for rate and distribution proceedings. The CRJs completed hearings on rates and terms for section 112 and section 114 licenses for pre-existing satellite services and satellite digital audio radio services, and initiated a section 112 rate proceeding for ephemeral licenses for business establishment services. The CRJs commenced proceedings for section 115 licenses for making and distributing physical and digital

phonorecords and published the parties' agreed rates and terms. Participants in the section 118 proceedings relating to licenses for noncommercial educational broadcasting services also reached agreement and the CRJs published the agreed rates and terms. The CRJs completed a hearing on partial distribution of almost \$500 million in Phase I cable and satellite royalties.

Statutory licenses resulted in the collection of nearly \$312 million in royalties. CRJs directed a record distribution of over \$835 million to copyright owners. CRJs devoted resources to three distribution proceedings in fiscal 2012.

Semiannually, CRJs solicit, receive, evaluate, and process claims filed for distributions from royalty funds. In fiscal 2012, CRJs received approximately 600 claims for cable funds, 300 for satellite funds, and 40 for DART funds.

In fiscal 2012, CRJs also continued their ongoing review of copyright regulations in chapter III, title 37 of the Code of Federal Regulations (CFR).

### Fiscal 2013 Priority Activities

The CRJs will issue final determinations of rates and terms for preexisting subscription and satellite digital audio radio services, noncommercial educational broadcasting services, and the making and distributing of physical and digital phonorecords to meet statutory deadlines. The CRJs will issue a final determination in remand proceedings for section 112 and 114 licenses for webcasting services for the 2011-15 license periods. CRJs will conduct hearings and issue a final determination in the proceeding to determine Phase II distributions of cable royalties for the fund years 2000-03. The CRJs will

continue to focus on distributing royalty funds to the copyright owners. The CRJs will continue to review the procedural regulations governing CRJs' proceedings to streamline and standardize the proceedings.

### **Fiscal 2014 Priority Activities**

The Copyright Act (Title 17 U.S.C.) provides that the CRJs set royalty rates and terms for staggered terms. The terms for the various categories of compulsory licenses

are staggered; consequently, the CRJs initiate and resolve proceedings every year for different licensors. Fiscal 2014 will be the time to finalize rates for business establishment services' ephemeral licenses. The CRJs will also initiate rate proceedings for webcasters' licenses under sections 112 and 114 of the Act and commence rate proceedings for new subscription services. The CRJs engage in distribution proceedings on a continuing basis and will encourage and authorize as many distributions of royalties as possible.



# CONGRESSIONAL RESEARCH SERVICE,

## SALARIES AND EXPENSES

### Congressional Research Service, Salaries and Expenses Summary By Object Class (Dollars in Thousands)

| Object Class   | Fiscal 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|--|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|  | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                               | \$ 72,232        | \$ 72,185             | \$ 73,228              | \$ 74,888                 | + \$1,660                         | 2.3%              |
| 11.3 Other than full-time permanent                    | 1,700            | 1,486                 | 1,710                  | 1,749                     | + 39                              | 2.3%              |
| 11.5 Other personnel compensation                      | 4                | 3                     | 4                      | 4                         | 0                                 | 0.0%              |
| 11.5A Staff Awards <sup>1</sup>                        | 500              | 470                   | 503                    | 514                       | + 11                              | 2.2%              |
| 11.8 Special personal services payment                 | 0                | 32                    | 0                      | 0                         | 0                                 | 0.0%              |
| 12.1 Civilian personnel benefits                       | 19,555           | 19,536                | 19,675                 | 20,183                    | + 508                             | 2.6%              |
| 13.0 Benefits for former personnel                     | 560              | 565                   | 10                     | 10                        | 0                                 | 0.0%              |
| <b>Total, Pay</b>                                      | <b>\$94,551</b>  | <b>\$94,277</b>       | <b>\$95,130</b>        | <b>\$97,348</b>           | <b>+ \$2,218</b>                  | <b>2.3%</b>       |
| 21.0 Travel & transportation of persons                | 121              | 88                    | 121                    | 123                       | + 2                               | 1.7%              |
| 22.0 Transportation of things                          | 1                | 0                     | 1                      | 1                         | 0                                 | 0.0%              |
| 23.3 Communication, utilities & misc charges           | 364              | 340                   | 366                    | 371                       | + 5                               | 1.4%              |
| 24.0 Printing & reproduction                           | 21               | 15                    | 21                     | 22                        | + 1                               | 4.8%              |
| 25.1 Advisory & assistance services                    | 1,257            | 1,484                 | 1,265                  | 1,284                     | + 19                              | 1.5%              |
| 25.2 Other services                                    | 2,875            | 2,488                 | 2,922                  | 2,967                     | + 45                              | 1.5%              |
| 25.3 Other purch of gds & services from gov acc        | 84               | 101                   | 56                     | 56                        | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment <sup>1</sup> | 1,414            | 1,247                 | 1,422                  | 1,575                     | + 153                             | 10.8%             |
| 26.0 Supplies & materials                              | 3,290            | 3,445                 | 3,310                  | 3,360                     | + 50                              | 1.5%              |
| 31.0 Equipment   | 2,812            | 3,182                 | 2,830                  | 2,872                     | + 42                              | 1.5%              |
| <b>Total, Non-Pay</b>                                  | <b>\$ 12,239</b> | <b>\$ 12,390</b>      | <b>\$ 12,314</b>       | <b>\$ 12,631</b>          | <b>+ \$ 317</b>                   | <b>2.6%</b>       |
| <b>Total, CRS, S&amp;E</b>                             | <b>\$106,790</b> | <b>\$106,667</b>      | <b>\$107,444</b>       | <b>\$109,979</b>          | <b>+ \$2,535</b>                  | <b>2.4%</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, Salaries and Expenses**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2014<br>Agency Request |           |
|--|-------------------------------|-----------|
|  | FTE                           | Amount    |
| <b>Fiscal 2013 Continuing Resolution Base</b>              | 651                           | \$107,444 |
| <b>Non-recurring Costs</b>                                 | 0                             | 0         |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |           |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 1,313     |
| Annualization of April 2013 pay raise @ .5%                |                               | 484       |
| Within-grade increases                                     |                               | 388       |
| Transit Subsidy Increase from \$230 to \$245               |                               | 33        |
| <b>Total, Mandatory Pay and Related Costs</b>              | 0                             | 2,218     |
| <b>Price Level Changes</b>                                 |                               | 317       |
| <b>Program Increases</b>                                   | 0                             | 0         |
| <b>Net Increase/Decrease</b>                               | 0                             | \$ 2,535  |
| <b>Total Budget</b>  | 651                           | \$109,979 |
| <b>Total Offsetting Collections</b>                        | 0                             | 0         |
| <b>Total Appropriation</b>                                 | 651                           | \$109,979 |

# Congressional Research Service

CONGRESSIONAL RESEARCH SERVICE SALARIES AND EXPENSES

## FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of **\$109.979 million** for the Congressional Research Service in fiscal 2014, an increase of \$2.535 million, or 2.4 percent, over fiscal 2013. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

|                   | Fiscal 2012      |           |                       |           | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change |           | Percent<br>Change |
|-------------------|------------------|-----------|-----------------------|-----------|------------------------|---------------------------|-----------------------------------|-----------|-------------------|
|                   | Spending<br>Plan |           | Actual<br>Obligations |           |                        |                           | FTE                               | \$        |                   |
| Appropriation/PPA | FTE              | \$        | FTE                   | \$        | FTE                    | \$                        | FTE                               | \$        | %                 |
| CRS               | 651              | \$106,790 | 616                   | \$106,667 | 651                    | \$107,444                 | 651                               | \$109,979 | 0 \$2,535 2.4%    |

## PROGRAM OVERVIEW

The Congressional Research Service (CRS) provides the Congress with timely, objective, authoritative, and confidential research and analysis in aid of its legislative, oversight and representational functions. Members of the House and Senate, congressional committees, and office and committee staff are the beneficiaries of CRS' efforts. This client base numbered more than 15 thousand as of the 112th Congress.

CRS assists the Congress at every stage of the legislative process, from the early considerations that precede bill drafting to committee hearings and floor debates and the oversight of enacted laws. CRS provides written CRS Reports on major policy issues on the legislative agenda. Acting as a pooled staff resource, CRS experts interact with the Congress by providing tailored, confidential memoranda in response to inquiries, personalized briefings and consultations, expert testimony, seminars and programs, and materials in response to individual requests. CRS also maintains a 24/7 web site that affords the Congress access to its reports, analytical and information resources, and mechanisms to contact CRS experts, place requests, and access other resources and services.

The Congress relies on CRS to marshal interdisciplinary resources, encourage critical thinking, and create innovative frameworks to help legislators develop sound legislative options and make decisions that will guide and shape present and future national policy.

### Fiscal 2012 Priority Activities

In fiscal 2012, CRS, like the rest of the Library, faced the government's fiscal challenges, which resulted in staff

reductions of more than 40 positions through separation/early retirement incentives and limited hiring to replace departures. The reductions necessitated broadening the portfolios of existing staff and exploring opportunities for collaborative approaches to providing research and analytic support to Congress. CRS managed to maintain an array of CRS Reports on issues before the Congress, prepared tailored memoranda, conducted briefings of Member and committee staff, and presented seminars and programs on policy issues and congressional processes and procedures and staff training.

It was necessary to mobilize resources across CRS for analysis of major issues affecting the legislative agenda such as turmoil in the Middle East, implementation of health care and financial regulation reform, and global fiscal and economic uncertainty. CRS also supported congressional oversight and investigations and provided accessible legal and policy analysis of the implications of the landmark Supreme Court decision on the constitutionality of the Affordable Care Act.

CRS organized its web site (**CRS.gov**) around the major issues before the Congress, identifying more than 160 issues and maintaining menus of products that address these issues. Legal Sidebars – shorter analytical treatments of current legal developments relevant to the legislative agenda – also were introduced on the web site. CRS offered this prototype product and the enhancement of the personalization functionality of the CRS web site in response to client demand for more accessible and timely research and analysis. CRS also continued development work to enhance the search capacity of **CRS.gov** which, along with the subscription capability introduced in fiscal 2011, will enable greater personalization of the web site resources for congressional

clients. CRS also collaborated Library-wide to accomplish the initial beta release of **Congress.gov**, a significant step toward the Library's fiscal 2014 goal to replace two legacy systems – the Legislative Information System (LIS) and THOMAS – with a single modern legislative information system.

With almost 90 percent of its budget devoted to payroll, the fiscal 2012 budget required a significant reduction in staffing and research materials, staff development, and information technology investments. Budgetary pressures are particularly acute in the area of technology investment, as CRS must stay aligned with the tools and services available to its congressional clients and maintain relevance in a fast-moving technology environment.

### **Fiscal 2013 Priority Activities**

CRS will continue its support for the full range of legislative issues and congressional needs within a constrained budget. Hiring limitations will require replacing only the most critical vacated positions, and there will be increased emphasis on working more efficiently and streamlining product and service offerings. CRS launched its legislative planning process for the 113th Congress early in the fall and plans a robust array of products aligned around the major issues facing the Congress. These products will be designed to serve the range of congressional staff needs at particular stages of the legislative process. Staff also will be able to avail themselves of enhanced personalization and search capabilities on the web site to better focus on the most relevant products, services, and expertise for their needs. CRS will consolidate its outreach operations to achieve

efficiencies in informing the Congress of products and services and receiving feedback on its work. CRS is exploring new ways to deliver content and training and orientation material to clients and will refine client management, web analytics, and management information tools to focus the work and provide content in ways compatible with congressional staff needs and the tools they currently use. Access to CRS experts will be more transparent, thereby further strengthening consultative relationships.

### **Fiscal 2014 Priority Activities**

CRS will continue to support the legislative agenda and provide products and services within a constrained budget environment and responding to critical staff departures by acquiring more broadly focused expertise, thereby permitting the widest possible coverage of issues on the legislative agenda. CRS will continue to examine its workforce to achieve efficiencies and the right balance of skills necessary to serve congressional needs.

CRS will focus its technology investment on providing products and services on platforms and in formats most compatible with those utilized by congressional clients. Efficiencies are achievable through the creation of web-based resources that are widely available to clients in different formats, and in the development of broadcast capabilities that reach larger audiences and permit more flexibility of access to CRS programs and training.

CRS outreach and client-relation management efforts will be refined to better gauge demand, reduce duplication, and ensure that CRS focuses its work on the most important legislative issues and client needs.



# 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 2012      |                       | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|------------------|-----------------------|------------------------|---------------------------|-----------------------------------|-------------------|
|   | Spending<br>Plan | Actual<br>Obligations |                        |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$ 8,202         | \$ 8,089              | \$ 8,353               | \$ 8,542                  | + \$189                           | 2.3%              |
| 11.3 Other than full-time permanent             | 327              | 329                   | 329                    | 337                       | + 8                               | 2.4%              |
| 11.5 Other personnel compensation               | 12               | 4                     | 12                     | 12                        | 0                                 | 0.0%              |
| 11.5A Staff Awards <sup>1</sup>                 | 20               | 11                    | 20                     | 20                        | 0                                 | 0.0%              |
| 12.1 Civilian personnel benefits                | 2,231            | 2,237                 | 2,244                  | 2,304                     | + 60                              | 2.7%              |
| 13.0 Benefits for former personnel              | 103              | 104                   | 3                      | 3                         | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$10,895</b>  | <b>\$10,774</b>       | <b>\$10,961</b>        | <b>\$11,218</b>           | <b>+ \$257</b>                    | <b>2.3%</b>       |
| 21.0 Travel & transportation of persons         | 207              | 173                   | 209                    | 212                       | + 3                               | 1.4%              |
| 22.0 Transportation of things                   | 47               | 50                    | 47                     | 48                        | + 1                               | 2.1%              |
| 23.1 Rental payments to GSA                     | 1,813            | 2,130                 | 1,824                  | 1,937                     | + 113                             | 6.2%              |
| 23.3 Communication, utilities & misc charges    | 308              | 56                    | 310                    | 314                       | + 4                               | 1.3%              |
| 24.0 Printing & reproduction                    | 960              | 949                   | 966                    | 980                       | + 14                              | 1.4%              |
| 25.1 Advisory & assistance services             | 900              | 1,059                 | 906                    | 919                       | + 13                              | 1.4%              |
| 25.2 Other services                             | 5,545            | 5,534                 | 5,583                  | 5,667                     | + 84                              | 1.5%              |
| 25.3 Other purch of gds & services from gov acc | 62               | 68                    | 59                     | 60                        | + 1                               | 1.7%              |
| 25.4 Operation & maintenance of facilities      | 40               | 27                    | 40                     | 41                        | + 1                               | 2.5%              |
| 25.5 Research and Development Contracts         | 45               | 34                    | 45                     | 46                        | + 1                               | 2.2%              |
| 25.7 Operation & maintenance of equipment       | 36               | 36                    | 36                     | 36                        | 0                                 | 0.0%              |
| 25.8 Subsistence and Support of Persons         | 35               | 71                    | 35                     | 36                        | + 1                               | 2.9%              |
| 26.0 Supplies & materials                       | 244              | 112                   | 245                    | 249                       | + 4                               | 1.6%              |
| 31.0 Equipment                                  | 29,537           | 29,327                | 29,718                 | 30,164                    | + 446                             | 1.5%              |
| <b>Total, Non-Pay</b>                           | <b>\$39,779</b>  | <b>\$39,626</b>       | <b>\$40,023</b>        | <b>\$40,709</b>           | <b>+ \$686</b>                    | <b>1.7%</b>       |
| <b>Total, BBPH, S&amp;E</b>                     | <b>\$50,674</b>  | <b>\$50,400</b>       | <b>\$50,984</b>        | <b>\$51,927</b>           | <b>+ \$943</b>                    | <b>1.8%</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 2014<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| Fiscal 2013 Continuing Resolution Base                     | 128                           | \$50,084        |
| Non-recurring Costs  | 0                             | 0               |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                 |
| Locality-based comparability pay raise January 2014 @ 1.8% |                               | 153             |
| Annualization of April 2013 pay raise @ .5%                |                               | 56              |
| Within-grade increases                                     |                               | 45              |
| Transit Subsidy Increase from \$230 to \$245               |                               | 3               |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>257</b>      |
| Price Level Changes  |                               | 686             |
| Program Increases  | 0                             | 0               |
| Net Increase/Decrease                                      | 0                             | \$ 943          |
| <b>Total Budget</b>  | <b>128</b>                    | <b>\$51,927</b> |
| Total Offsetting Collections                               | 0                             | 0               |
| <b>Total Appropriation</b>                                 | <b>128</b>                    | <b>\$51,927</b> |

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# Books for the Blind and Physically Handicapped

BOOKS FOR THE BLIND AND PHYSICALLY HANDICAPPED, SALARIES AND EXPENSES

## FISCAL 2014 BUDGET REQUEST

The Library is requesting a total of **\$51.927 million** for the National Library Service for the Blind and Physically Handicapped in fiscal 2013, an increase of \$0.943 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 2012      |          |                       |          | Fiscal 2013<br>CR Base | Fiscal<br>2014<br>Request |     | Fiscal<br>2013/2014<br>Net Change |    | Percent<br>Change |      |
|-------------------|------------------|----------|-----------------------|----------|------------------------|---------------------------|-----|-----------------------------------|----|-------------------|------|
|                   | Spending<br>Plan |          | Actual<br>Obligations |          |                        | FTE                       | \$  | FTE                               | \$ |                   |      |
|                   | FTE              | \$       | FTE                   | \$       | FTE                    |                           |     |                                   |    | \$                | FTE  |
| NLS/BBPH          | 128              | \$50,674 | 105                   | \$50,400 | 128                    | \$50,984                  | 128 | \$51,927                          | 0  | \$943             | 1.8% |

## PROGRAM OVERVIEW

The Library of Congress, as directed by 2 U.S.C. 135a-135b as amended, administers a free national reading program for residents of the United States and for U.S. citizens living abroad who cannot use standard print materials because of blindness and visual, physical, or other disabilities. This is the only public library service that is available to these patrons. 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 more than 800 thousand reader accounts 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 2012 PRIORITY ACTIVITIES

The focus of the program in fiscal 2012 was on book production and development of the digital magazine program. NLS produced an average of 808 copies each of 2 thousand new digital talking books (DTBs).

Conversion of the analog cassette book collection to digital format continued, with contracts in place for 4,800 analog titles. Work continued to convert and add music instruction materials, books produced by network libraries, and foreign language titles to the Braille and Audio Reading Download (BARD) system. NLS awarded contracts for the transition of the cassette-based magazine program to a digital-based program and

for a survey to define more clearly the reading habits, technological capabilities, and preferences of patrons, as well as individuals and institutions that are eligible for the program but do not yet participate. NLS completed and submitted to the Congress a study of NLS products and services for future operations. NLS also began to explore the feasibility of books-on-demand duplication services.

## FISCAL 2013 PRIORITY ACTIVITIES

NLS will analyze the demographic survey initiated in fiscal 2012 to gain a better understanding of the needs of its user communities. Targets for book production are for 800 copies each of 2,100 new digital talking books and up to 45 copies each of 500 braille titles. Conversion of legacy analog cassette books will continue as funding allows, and the distribution of magazines on digital flash cartridge will be implemented. NLS also will implement programs for the recycling/reuse of flash memory cartridges. In addition, NLS will participate in an international braille literacy initiative and 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 which was designed in 2005, necessitates a design update. The design update will begin in fiscal 2013 and will explore the delivery of audio books directly to the player via the Internet. NLS will explore software applications for consumer electronic devices, such as tablets and mobile telephones, to broaden the availability of NLS books for patrons. These devices are expected to constitute a small but growing segment of

book circulation. Based on the results of the study and planning conducted in fiscal 2012, NLS will evaluate and implement the books-on-demand project.

#### **FISCAL 2014 PRIORITY ACTIVITIES**

In fiscal 2014, NLS will make use of the information gathered in the demographic survey to identify individuals, groups, and institutions for further outreach efforts. Targets for book production remain unchanged from fiscal 2013, to contract for the production of 2,100 audio titles and 500 braille titles. The conversion of the legacy catalog of analog titles will continue as funding permits. Development of the design update of the

digital talking-book machine will continue, involving the further refinement of processes and technologies identified in fiscal 2013. Work will continue on making program offerings accessible through a variety of formats, including downloads through the BARD web site and newly developed accessibility on Apple or Android-based smart phones. NLS will complete the conversion of the data systems which collect information from the network of cooperating libraries and identify additional legacy software systems for upgrades and conversion to modern platforms and technologies. NLS also will develop specifications for a refreshable braille reading device and develop revised specifications for braille certification, formats, and production.



# REIMBURSABLE FUNDS

## Reimbursable Funds Summary by Object Class (Dollars in Thousands)

| Object Class                                    | Fiscal 2012<br>Actual<br>Obligations | Fiscal 2013<br>CR Base | Fiscal 2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|--------------------------------------|------------------------|------------------------|-----------------------------------|-------------------|
| 11.1 Full-Time Permanent                        | \$10                                 | \$76                   | \$50                   | \$26                              | - 34.2%           |
| 11.3 Other than Full-Time Permanent             | 1                                    | 30                     | 11                     | 19                                | - 63.3%           |
| 11.5 Other Personnel Compensation               | 0                                    | 33                     | 20                     | 13                                | - 39.4%           |
| 12.1 Civilian Personnel Benefits                | 3                                    | 3                      | 4                      | + 1                               | 33.3%             |
| <b>Total Pay</b>                                | <b>\$14</b>                          | <b>\$142</b>           | <b>\$85</b>            | <b>- \$57</b>                     | <b>- 40.1%</b>    |
| 21.0 Travel and Transportation of Persons       | 106                                  | 20                     | 114                    | + 94                              | 470.0%            |
| 22.0 Transportation of Things                   | 2                                    | 0                      | 0                      | 0                                 | 0.0%              |
| 23.1 Rental Payments to GSA                     | 14                                   | 0                      | 0                      | 0                                 | 0.0%              |
| 23.3 Communication, Utilities, & Misc Charges   | 0                                    | 9                      | 0                      | 9                                 | - 100.0%          |
| 24.0 Printing and Reproduction                  | 4                                    | 0                      | 5                      | + 5                               | 0.0%              |
| 25.1 Advisory and Assistance Services           | 663                                  | 789                    | 800                    | + 11                              | 1.4%              |
| 25.2 Other Services                             | 214                                  | 55                     | 300                    | + 245                             | 445.5%            |
| 25.3 Other Purch of gds & services from gov acc | 444                                  | 308                    | 614                    | + 306                             | 99.4%             |
| 25.4 Operation and Maintenance of Facilities    | 0                                    | 50                     | 0                      | 50                                | - 100.0%          |
| 25.7 Operation and Maintenance of Equipment     | 41                                   | 40                     | 25                     | 15                                | 37.5%             |
| 25.8 Subsistence & Support of Persons           | 1                                    | 0                      | 0                      | 0                                 | 0.0%              |
| 26.0 Supplies and Materials                     | 25                                   | 31                     | 36                     | + 5                               | 16.1%             |
| 31.0 Equipment                                  | 182                                  | 556                    | 321                    | 235                               | 42.3%             |
| 41.0 Grants, Subsidies, & Contributions         | 162                                  | 0                      | 200                    | + 200                             | 0.0%              |
| 44.0 Refunds                                    | 14                                   | 0                      | 0                      | 0                                 | 0.0%              |
| <b>Total Non-Pay</b>                            | <b>\$1,872</b>                       | <b>\$1,858</b>         | <b>\$2,416</b>         | <b>+ \$ 567</b>                   | <b>30.0%</b>      |
| <b>Total, Obligational Authority</b>            | <b>\$1,886</b>                       | <b>\$2,000</b>         | <b>\$2,500</b>         | <b>+ \$ 500</b>                   | <b>25.0%</b>      |

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**Reimbursable Funds  
Analysis of Change  
(Dollars in Thousands)**

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|  | Fiscal 2014<br>Agency Request |                |
|--|-------------------------------|----------------|
|  | FTE                           | Amount         |
| Obligational Authority, Fiscal 2013 Base         | 4                             | \$2,000        |
| Program/Project/Activity Increases/Decreases     | 0                             | + 500          |
| <b>Total Obligational Authority, Fiscal 2014</b> | <b>4</b>                      | <b>\$2,500</b> |

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## Overview

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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.

The net program increase is primarily due to various agencies participating in the annual National Book Festival. It also includes estimates for other short-term reimbursable agreements with federal customers.

## Obligational Authority

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In fiscal 2014, the Library is requesting obligational authority of **\$2.5 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** – The Library provides for legal research, opinions, and advisory support from the Law Library of Congress.
- **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.
- **The National Endowment for the Humanities, Institute of Museum and Library Services, and National Endowment for the Arts** – The Library provides support and promotes the participation of these and other government agencies in the annual National Book Festival event spearheaded by the Library of Congress.



# REVOLVING FUNDS

## Revolving Funds Summary by Object Class (Dollars in Thousands)

| Object Class                                    | Fiscal 2012<br>Actual<br>Obligations | Fiscal 2013<br>CR Base | Fiscal 2014<br>Request | Fiscal<br>2013/2014<br>Net Change | Percent<br>Change |
|---|--------------------------------------|------------------------|------------------------|-----------------------------------|-------------------|
| 11.1 Full-Time Permanent                        | \$6,085                              | \$10,110               | \$10,290               | + \$180                           | 1.8%              |
| 11.3 Other than Full-Time Permanent             | 187                                  | 326                    | 354                    | + 28                              | 8.6%              |
| 11.5 Other Personnel Compensation               | 258                                  | 1,016                  | 599                    | 417                               | 41.0%             |
| 12.1 Civilian Personnel Benefits                | 1,784                                | 3,213                  | 3,227                  | + 14                              | 0.4%              |
| <b>Total Pay</b>                                | <b>\$8,314</b>                       | <b>\$14,665</b>        | <b>\$14,470</b>        | <b>- \$195</b>                    | <b>- 1.3%</b>     |
| 21.0 Travel and Transportation of Persons       | \$221                                | \$425                  | \$438                  | + \$13                            | 3.1%              |
| 22.0 Transportation of Things                   | 293                                  | 558                    | 581                    | + 23                              | 4.1%              |
| 23.3 Communication, Utilities, & Misc Charges   | 250                                  | 532                    | 555                    | + 23                              | 4.3%              |
| 24.0 Printing and Reproduction                  | 220                                  | 841                    | 844                    | + 3                               | 0.4%              |
| 25.1 Advisory and Assistance Services           | 1,777                                | 2,240                  | 2,287                  | + 47                              | 2.1%              |
| 25.2 Other Services                             | 47,731                               | 85,664                 | 89,868                 | + 4,194                           | 4.9%              |
| 25.3 Other Purch of gds & services from gov acc | 1,964                                | 3,416                  | 3,127                  | 289                               | 8.5%              |
| 25.7 Operation and Maintenance of Equipment     | 107                                  | 205                    | 300                    | + 95                              | 46.3%             |
| 25.8 Subsistence and Support of Persons         | 0                                    | 40                     | 2                      | 38                                | 95.0%             |
| 26.0 Supplies and Materials                     | 998                                  | 1,468                  | 1,650                  | + 182                             | 12.4%             |
| 31.0 Equipment                                  | 31,957                               | 66,733                 | 68,891                 | + 2,158                           | 3.2%              |
| 44.0 Refunds                                    | 100                                  | 171                    | 76                     | 95                                | 55.6%             |
| 94.0 Financial Transfers                        | 0                                    | 0                      | 0                      | 0                                 | 0.0%              |
| <b>Total Non-Pay</b>                            | <b>\$85,618</b>                      | <b>\$162,293</b>       | <b>\$168,609</b>       | <b>+ \$6,316</b>                  | <b>3.9%</b>       |
| <b>Total, Obligational Authority</b>            | <b>\$93,932</b>                      | <b>\$176,968</b>       | <b>\$183,079</b>       | <b>+ \$6,121</b>                  | <b>3.5%</b>       |

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**Revolving Funds  
Analysis of Change**  
(Dollars in Thousands)

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|  | Fiscal 2014<br>Agency Request |                  |
|--|-------------------------------|------------------|
|  | FTE                           | Amount           |
| Obligational Authority, Fiscal 2013 Base         | 104                           | \$176,968        |
| Mandatory Pay and Related Costs                  | 1                             | 428              |
| Program/Project/Activity Increases/Decreases     | 0                             | 5,693            |
| Net Increase/Decrease                            | 1                             | \$ 6,121         |
| <b>Total Obligational Authority, Fiscal 2014</b> | <b>105</b>                    | <b>\$183,079</b> |

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## Overview

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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 2014, total obligational authority of **\$183.079 million** is requested for the Library's revolving fund programs, a net increase of \$6.121 million over fiscal 2013. This reflects a net decrease of \$.194 million in pay and a net increase of \$6.315 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 procurement services.

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## Obligational Authority

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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 374 thousand pieces were acquired through this program in fiscal 2012. In fiscal 2014, the Library is requesting obligational authority of **\$6.197 million** for the Cooperative Acquisitions Program.

### 2 U.S.C. 182a

- 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 2014, the Library is requesting obligational authority of **\$348 thousand** for the activities of the Duplication Services Revolving Fund.

### 2 U.S.C. 182b

- 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 2014, the Library is requesting obligational authority of **\$346 thousand** for Decimal Classification editorial activities.

- Gift Shop Operations supports retail sales activities of the Library. In fiscal 2014, the Library is requesting obligational authority of **\$3.168 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 2014, the Library is requesting obligational authority of **\$2.705 million** for these activities.
- The Special Events and Public Programs Revolving Fund (SEPP) supports staff expenses and other costs associated with the coordination of Congressional, outside organization, and Library-sponsored events, such as the annual National Book Festival Gala, meetings of the James Madison Council, and the award ceremony for the Gershwin Prize in Popular Music. In fiscal 2014, the Library is requesting obligational authority of **\$3.371 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 2014, the Library is requesting obligational authority of **\$160.298 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 2014, the Library is requesting obligational authority of **\$6.392 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 2014, 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 2014, the Library is requesting obligational authority of **\$36 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 2014, the Library is requesting obligational authority of **\$176 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 2014, 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 2014, the Library is requesting obligational authority of **\$32 thousand** for Music Division activities.



# APPENDICES

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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 2012, the AFC acquired 133,183 items comprising 58 new collections and collection accruals documenting expressive culture in the United States and around the world. In particular, the center received 96 audio cassettes, 88 digital audio recordings, and 655 digital images from James Delahoussaye's documentation of the Atchafalaya River Basin, Louisiana; approximately 450 audiotapes, 3,000 photographs, and accompanying manuscript material documenting the music and other traditions of various peoples in Sudan in the 1960s from Roxanne Carlisle; 10 7-inch open reel audio tapes of recorded music from the 1951 Mountain Dance and Folk Festival, Asheville, North Carolina; approximately 400 photographs and 5 linear inches of manuscripts from ethnographic photographer Peggy Fleming's work in Kabul, Afghanistan in 2003; 15,380 digital manuscript files, 4,991 CD-R audio discs, 2,537 digital sound files, and 9,129 digital image files accruing to the StoryCorps collection; approximately 16 linear feet (26,000 items) of correspondence, field notes, ephemera, and writings, 550 open reel tapes and audiocassettes, 100 wire recordings, 1,200 black and white photo prints, 1,268 digital image files (scans of contact sheets), and 1,800 motion picture film and audio items from documentarian and artist John Cohen.

In fiscal 2012, the AFC produced (and occasionally co-sponsored with other Library divisions) a total of 20 public programs, including 8 Homegrown Concerts, 6 Benjamin Botkin Lectures, and a symposium titled "The Stations That Spoke Your Language: Radio and the Yiddish American Cultural Renaissance."

The AFC awarded the second round of Archie Green Fellowships to support original field research in the area of occupational folklore to five recipients. During fiscal 2012, the AFC benefited from the work of 4 interns, 1 volunteer, and 1 Junior Fellow, who among them provided 1,572 hours of work for the Library. The Center also 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 in meetings of the United Nations Educational, Scientific and Cultural Organization, the World Intellectual Property Organization (WIPO), and the Organization of American States. The AFC produced a second cultural documentation training program for indigenous communities in Jamaica once again in collaboration with WIPO and the Center for Documentary Studies at Duke University. The AFC's Field School for Cultural Documentation was held at George Mason University (GMU) in Fairfax, Virginia in collaboration with GMU's folklore program and provided training in documentary methods for graduate and undergraduate students.

AFC also continued its work on both the Veterans History Project and the Civil Rights History Project. The latter 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. Within three years the nation faces the convergence of three commemorative anniversaries spanning the end of World War II through the early years of the Vietnam War: the 50<sup>th</sup> anniversary of the beginning of the Vietnam War (2012); the 60<sup>th</sup> anniversary of the end of the Korean War (2013); and the 70<sup>th</sup> anniversary of the end of World War II (2015).

VHP used fiscal 2012 to prepare collections development programs with this commanding opportunity in sight. In

recognition of the commemoration period of the Vietnam War, VHP launched a Vietnam Veterans Collections Initiative with an inaugural ceremony at which Senator Chuck Hagel and his brother Professor Tom Hagel donated over 30 hours of personal interviews. To sum up his experience of VHP, Tom Hagel said "When we think of war...we think of it as a unitary subject: *the* Vietnam War. And in a historic way that's true. But there are *millions* of Vietnam Wars. If you were a clerk typist stationed in Saigon or up on the DMZ, or some other unit with some other type of job, your Vietnam War would be totally different from ours. And that's important to tell... It gives a more complete, realistic picture of that experience. That's the value of this Project."

Additionally, VHP continued to inspire participation, and instruct volunteer interviewers in order to recruit collections from WWI through the conflicts in Iraq and Afghanistan. Having amassed over 84,000 collections VHP receives over 100 new collections per week, and currently has over 12,000 collections digitized. More than 4,500 new collections were added in fiscal 2012.

During fiscal 2012, VHP staff presented at 65 events, speaking to encourage collections development particularly of identified gaps such as women, and veterans of underserved conflicts and diverse backgrounds. Programs VHP hosted were also designed to bridge collections gaps including: an historic panel discussion on the role of women in the Persian Gulf War; a collaborative effort with the Smithsonian Institution to gather interviews at the National Book Festival, including a WWII Tuskegee Airman, 3 Chaplains and female veteran of Afghanistan; and a book talk, *Ship of Miracles*, in cooperation with the Department of Defense 60<sup>th</sup> Anniversary of the Korean War Commission.

VHP remains the largest oral history project in the country, drawing public participation that increasingly meets the elevated standards of the Library of Congress, as evidenced by a steady decrease in dispositions. Reliant on volunteers to gather collections, the Project works closely with individuals, organizations and members of Congress in their efforts on behalf of VHP collections development. In Florida, VHP worked on the ground with six universities that integrate VHP into courses, conduct interviews, and/or run full-fledged centers for the Project. With a veteran population that is 75 percent wartime veterans, this effort is invaluable for developing high caliber collections. In Texas, also with high veteran population density, VHP continued collaboration with American Red Cross Chapters, the Texas Court Reporters Association, the State Veterans Administration and the Daughters of the American Revolution among others to

train interviewers and provide opportunities for veterans to tell their stories, with particular focus on veterans of Latino/Hispanic and Spanish speaking backgrounds.

Working with nearly 200 Congressional offices to help them provide this constituent service, VHP held commemorative submission events, training sessions for volunteer interviewers, individual briefings on how to participate, and instructional video conferences with educators and other groups. Of particular success were efforts with the offices of Senator Lautenberg (NJ), and Speaker Boehner (OH-8). Additionally, VHP provided reference support for 10 offices. VHP cooperated nationally in programs with educational institutions, libraries, professional organizations, communities, federal agencies, and veterans groups. Examples include the Department of Health and Human Services, the Securities and Exchange Commission, the Department of Justice, the United States Department of Defense Commemorative Commissions, the American Red Cross, the Vietnam Veterans Memorial Foundation, ePALS Inc., the Pritzker Military Library, and as always the Department of Veterans Affairs.

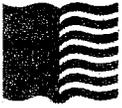
VHP placed online three installments of its popular series of web presentations, *Experiencing War*, launching for the first time a multi-year, four-part series on a single conflict: Vietnam. In addition to the over 800 collections served via the American Folklife Center Reading Room, VHP staff responded to 775 reference inquiries through Question Point; 788 inquiries through the general account; and provided 200 copies of audio-visual collections at no cost to researchers and family members of veterans, many 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 2012 include: maintaining the existing web portal that provides public access to detailed information about extant recorded interviews with participants in the Civil Rights Movements that are housed in over 1,200 archives, libraries, museums, and other repositories around the country; receiving, processing and preserving over 50 new interviews recorded in high-definition video 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. For the Project,

AFC developed and launched an innovative web-based collaborative cataloging tool and database that allows its partners to provide the Library with descriptive information about the interviews from off-site locations.



## 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 1962 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 35 including its American field director, the office processes and catalogs materials acquired before sending them to Washington, DC and the 45 MECAP participants.

While the Egyptian revolution continued to keep the office's host country in turmoil, parliamentary and presidential elections saw the rise of a Muslim Brotherhood-led government. Office staff worked with State Department and CODELS to monitor

these elections; this also afforded the office the extra opportunity to acquire campaign-related ephemera to add to the Library's collections. The office implemented a web archiving project to harvest web sites from the Egyptian presidential elections. Staff made several acquisition trips this year, visiting Algeria, Kuwait, Oman, Saudi Arabia, Tunisia, Qatar, and United Arab Emirates. In cataloging matters, the office gained independence for Islam and Literature, sending over 300 shelf-ready books directly to Washington. Staff enthusiastically began RDA training in the last quarter of fiscal 2012 using video conferencing equipment to enable live training sessions to take place with Washington. On January 22, 2012, amid a crowd of well-wishers from Egypt's cultural, government and non-government organizations, Cairo Overseas Office celebrated its 50th anniversary with an open house for Embassy Cairo Mission members, followed by a reception at night at the Ambassador's residence for distinguished guests and friends of the office.

Fiscal 2012 statistics are as follows:

- Acquired 9,907 books for the Library of Congress
- Acquired 24,895 books for MECAP participants
- Acquired 504 items in special formats (maps, music, and videos/DVDs) for the Library of Congress
- Acquired 795 special format items for MECAP participants
- Maintained active subscriptions for 3,188 newspaper and journal titles for the Library of Congress
- Acquired 44,362 pieces of newspaper and journal titles for the Library of Congress
- Acquired 43,669 serial and newspaper issues for MECAP participants
- Created 8,758 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, the office shifted operations to Pakistan's capital, Islamabad. The office serves as a regional center for processing materials acquired from Pakistan, Afghanistan, Iran, and non-commercial materials from Tajikistan. Political unrest,

ensorship, war, poverty, and general lack of standards in publishing regularly challenge the office as staff carry out its mission to collect and preserve resources. The office serves the nation's scholars through its Cooperative Acquisitions Program (CAP) offered to libraries and research institutions; at present, the office serves 39 research libraries.

The office acquires newly published books and journals on all subjects and formats including maps, DVDs, and CDs. In fiscal 2012, the office added electronic resources to the formats it actively acquires and catalogs. Expert librarians direct the acquisitions effort using acquisitions trips as well as an extensive network of vendors to acquire materials. In addition to English, the office acquires materials in Urdu, Punjabi, Pushto, Sindhi, Persian, Balochi, Seraiki, Brahui, Kashmiri, Hindko, Khowar, Gujuri, Burushaski, and Kalami. 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 2012 statistics are as follows:

- Acquired 27,363 items for the Library of Congress
- Of the total items acquired 22,744 were newspaper and journal issues for the Library of Congress (paid and gift/exchange)
- Of the total items acquired 1,153 were gift or exchange
- Of the total items acquired 4,553 were monographic books for the Library of Congress (purchase and gift/exchange)
- Of the total items acquired 429 were special formats (maps, music, and videos/DVDs)
- Of the total items acquired 35 PDF documents for long-term access in the Library of Congress repository
- Created 7,243 new and original bibliographic records for the materials acquired
- Upgraded and imported 819 bibliographic records from OCLC

- Created and updated 5,755 Name Authority Records
- Expanded subject access by creating 14 new subject headings and 16 new classification numbers
- Expanded access to contents by creating 139 Digital Table of Contents (DTC) for monographs
- Shipped 20 bound serial volumes as shelf-ready to Library of Congress
- Acquired 27,230 items for academic libraries in the CAP program

### Jakarta, Indonesia, Field Office

The Library of Congress office in Jakarta, Indonesia, opened in 1963 and consists of a staff of 50, including an American director. With representative offices in Bangkok, Kuala Lumpur, Manila, and Yangon, the Jakarta office is responsible for bibliographic control and the acquisition of research materials for the Library and 35 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 the only office to have a digital unit and one of two overseas offices that have a microformat preservation operation. Under the U.S. House Democracy Partnership (HDP), 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.

The Jakarta Office increased its efforts to acquire and digitize printed texts as there were no digital acquisitions as recently as 1998. The office is able to provide congressional and Library staff with access to digital materials. With assistance and guidance from headquarters, it is able to transfer the overseas digital data to Washington, DC. With LC Washington several intellectual property challenges were solved, but there are still challenges that inhibit providing digital data to CAPSEA participants comprehensively. 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. Regional vernacular printed titles have expanded as the level of education in the region and democratic practices have spread, however, the Office has become stricter in its selection of printed texts. This is reflected in the high percentage of non-English materials cataloged.

In fiscal 2012, the office reviewed operations to support a zero-based budget environment while expanding a digital orientation to mesh with the Bibliographic Framework Transition Initiative to meet Legislative Branch and participant needs. The office used performance metrics to provide quantifiable measurements for improving quality assurance management.

Fiscal 2012 selected statistics are as follows:

- Acquired 70,953 pieces for the Library of Congress
- Acquired 75,130 for CAPSEA participants
- Acquired 17,791 monographs for the Library of Congress
- Acquired 34,200 books for CAP participants
- Acquired more than 1,590 born digital items for the Library of Congress
- Acquired 188 cartographic pieces for the Library of Congress
- Created 640 Digitized Table of Contents (DTC)
- Created 370 meta-data cataloging records for digital materials for the Library of Congress
- Created 14,495 bibliographic records for the materials acquired
- Completed 1,872 acquisitions visits for the Library of Congress and CAP participants
- Produced 364 reels of microform for the Library of Congress
- Reformatted 1,230,145 pages of analog and digital materials for the Library of Congress
- Sent more than 2,500 electronic items to congressional and CRS staff
- Sent out 159 acquisitions circulars to CAP participants
- Created 14,495 bibliographic records for materials acquired

### 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.

From 1991-2011, the office 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 just over 51,000 indexed citations that would otherwise be unknown to scholars for research. Due to budget constraints and changing research needs, the index ceased at the end of fiscal 2011. An agreement was drafted with another institution that is interested in incorporating the database into its own database, *AfricaBib* and is pending.

New services added to the office's portfolio include serials check-in into ILS (holdings and item) for all categories except Law, preservation checks for acidity, independence for whole book cataloging in the social sciences and indigenous African languages.

More than 500 electronic news reports from Ethiopia and Kenya and 225 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 28,288

newspaper and gazette issues were received and checked-in. Some 582,674 newspaper pages were collated and shipped to the Library of Congress New Delhi Office, the Library of Congress in Washington, and CRL/CAMP.

The Nairobi Office continued to contribute to the digitized table of contents (DTCO) project. In fiscal 2012, the office selected 619 titles for the DTCO Project, an increase of 5% over fiscal 2011.

The office is staffed with 24 employees, including an American director.

Fiscal 2012 statistics are as follows:

- Acquired 36,786 pieces for the Library of Congress
- Acquired 61,208 pieces for AfriCAP participants
- Acquired 3,276 books for the Library of Congress
- Acquired 28,288 newspapers and gazettes for the Library of Congress
- Acquired 4,509 other serials for the Library of Congress
- Created 3,849 new bibliographic records for materials acquired for the Library of Congress
- Created or modified 1,680 authority records
- Created 1,484 serials holdings records in ILS

### 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 45 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 69 LES in New Delhi; 6 LES in three sub offices, 13 packers on contract in New Delhi; an American Director and Deputy Director. The staff have expertise in: Awadhi, Assamese, Bengali, Bhojpur, 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 and 8 Bibliographic Representatives in the region send publications to the offices in New Delhi, Colombo, Dhaka and Kathmandu 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 239 newspapers, 29 periodicals, and 20 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 2012 statistics are as follows:

- Acquired 16,654 books for the Library of Congress
- Acquired 62,738 books for SACAP participants
- Acquired 1,004 items in special formats (maps, music, and videos/DVDs) for the Library of Congress
- Acquired 2,194 special format items for SACAP participants
- Acquired 48,018 issues of newspapers, journals and gazettes for the Library of Congress
- Acquired 64,325 serial and newspaper issues for SACAP participants
- Created 10,444 bibliographic records in 26 languages for materials acquired
- Reformatted 2,163,756 pages of newspapers, periodicals, gazettes, pamphlet collection and monographs
- Produced 5,839 microfilm reels (master negatives, printing negatives, and positives) for the Library of Congress
- Produced 4,729 master microfiches and 2,681 diazo prints

### 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. The 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 Cooperative Acquisitions Program (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 2012 statistics are as follows:

- Acquired 6,472 books for the Library of Congress
- Acquired 150 books for NLM
- Acquired 784 items in special formats (microfilm, maps, music, and videos/DVDs) for the Library of Congress
- Acquired 582 CDs for CAP participants
- Acquired 9,716 newspaper and journal pieces for the Library of Congress
- Acquired 7,926 serial and newspaper issues for CAP participants
- Created 4,175 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         | 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         | 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<br>& 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 Library of Medicine                                 | X     | X     | X        | X     | X         | X      |
|                       | University of Maryland                                       |       |       | X        |       |           |        |
| Massachusetts         | Boston University  |       |       |          | X     |           |        |
|                       | Harvard University   | X     |       | X        | X     | X         | X      |
|                       | Harvard Law Library  | X     | X     | X        |       | X         |        |

**Library of Congress  
Cooperative Acquisitions Program Participants by State and Country**

|                | Participant  | India | Egypt | Pakistan | Kenya | Indonesia | Brazil |
|----------------|--|-------|-------|----------|-------|-----------|--------|
| Michigan       | Harvard Middle Eastern Division                      | X     | X     | X        |       |           |        |
|                | 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     |           | 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        |       |           |        |
|                | 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     | 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     | X        |       |           | X      |
| Tennessee      | Vanderbilt University                                |       |       |          |       |           | X      |
| Texas          | Rice University                                      |       |       |          |       |           | X      |
|                | University of Texas                                  | X     |       | X        |       | X         | X      |
| Utah           | Brigham Young University                             |       | X     |          |       |           | X      |

**Library of Congress  
Cooperative Acquisitions Program Participants by State and Country**

|                                    | Participant   | India     | Egypt     | Pakistan  | Kenya     | Indonesia | Brazil    |
|------------------------------------|---|-----------|-----------|-----------|-----------|-----------|-----------|
|                                    | 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,<br/>United States</b> | <b>80 participants</b>  | <b>42</b> | <b>35</b> | <b>36</b> | <b>30</b> | <b>24</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<br>Sachsen-Anhalt               |           |           | X         |           |           |           |
| Japan                              | Institute Of Developing Economies                                 |           |           |           |           | X         |           |
|                                    | Kyoto University, Center for Southeast<br>Asian Studies           |           |           |           |           | X         |           |
|                                    | National Diet Library   |           |           |           |           | X         |           |
| Lebanon                            | American University of Beirut                                     |           | X         |           |           |           |           |
| Morocco                            | King Abdul Aziz al-Saood Foundation                               |           | X         |           |           |           |           |
| The Netherlands                    | Peace Palace Library  |           | X         |           |           |           |           |
|                                    | Royal Institute of Linguistics                                    |           |           |           |           | X         |           |
| Saudi Arabia                       | National Center for Financial and<br>Economic Information (NCFEI) |           | X         |           |           |           |           |
| Qatar                              | Northwestern University in Qatar Library                          |           | X         |           |           |           |           |
| Singapore                          | Institute for South East Asian Studies                            |           |           |           |           | X         |           |
|                                    | Singapore National Library Board                                  |           |           |           |           | X         |           |
| Switzerland                        | International Labor Organization                                  |           | X         |           |           |           |           |
| United Kingdom                     | Bodleian Libraries  | X         |           |           |           |           |           |
|                                    | British Library   |           | X         |           |           |           |           |
|                                    | University of Essex   |           |           |           |           |           | X         |
|                                    | University of Exeter  |           | X         |           |           |           |           |
| <b>Subtotal, Foreign</b>           | <b>26 participants</b>  | <b>3</b>  | <b>11</b> | <b>3</b>  | <b>1</b>  | <b>11</b> | <b>2</b>  |
| <b>TOTAL</b>                       | <b>106 participants</b>   | <b>45</b> | <b>46</b> | <b>39</b> | <b>31</b> | <b>35</b> | <b>40</b> |



## APPENDIX C: Acquisition of Library Materials by Source Fiscal 2008 – Fiscal 2012

| Acquisition of Library Materials by Source Fiscal 2008 - Fiscal 2012 |                  |                  |                  |                  |                  |
|--|------------------|------------------|------------------|------------------|------------------|
| Source   | Pieces           |                  |                  |                  |                  |
|  | Fiscal 2008      | Fiscal 2009      | Fiscal 2010      | Fiscal 2011      | Fiscal 2012      |
| <b>Purchases:</b>  |                  |                  |                  |                  |                  |
| Appropriated - GENPAC/LAW  | 1,171,227        | 723,390          | 888,496          | 1,883,489        | 711,363          |
| Appropriated Other   | 17,848           | 27,686           | 27,323           | 11,485           | 15,337           |
| Gift and Trust Funds   | 7,326            | 8,382            | 164,202          | 7,987            | 8,086            |
| <b>Total Purchases</b>   | <b>1,196,401</b> | <b>759,458</b>   | <b>1,080,021</b> | <b>1,902,961</b> | <b>734,786</b>   |
| <b>Non-Purchases:</b>  |                  |                  |                  |                  |                  |
| Exchange   | 145,981          | 125,228          | 126,998          | 122,954          | 112,104          |
| Government Transfers   | 77,511           | 84,146           | 322,511          | 72,982           | 97,237           |
| Gifts  | 1,511,181        | 847,945          | 1,005,407        | 1,556,198        | 1,918,974        |
| Cataloging in Publication/PCN  | 87,479           | 83,551           | 113,877          | 101,942          | 95,313           |
| Copyright Deposits   | 526,508          | 739,364          | 814,243          | 708,583          | 636,430          |
| <b>Total Non-Purchases</b>   | <b>2,348,660</b> | <b>1,880,234</b> | <b>2,383,036</b> | <b>2,560,659</b> | <b>2,860,058</b> |
| <b>Total All Acquisitions</b>  | <b>3,545,061</b> | <b>2,639,692</b> | <b>3,463,057</b> | <b>4,463,620</b> | <b>3,594,844</b> |



## APPENDIX D:

### Library of Congress Mass Deacidification Project Fiscal 2002 – Fiscal 2012

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The Library's Mass Deacidification Project will stabilize more than 8.5 million bound volumes and at least 30 million pages of manuscripts over a 30-year period (Fiscal 2002-2032). Deacidification is an economical approach to keeping some bound volumes and manuscripts pages 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 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 volumes (book equivalents) and 8 million sheets of manuscript materials from the Library's collections. The Library initiated a second 5-year contract, effective January 1, 2011, which should ensure saving 1.25 million volumes and approximately 5 million sheets of at-risk acidic, paper-based Library materials by the end of 2015.

In fiscal 2012, the preservation directorate mass deacidified 258,087 volumes through contracted commercial deacidification (at Preservation Technologies,

L.P.'s 'Bookkeeper' facility in Pennsylvania) and 846,900 manuscript sheets with equipment installed in the James Madison Building. This was over the annual goal to treat a minimum of 250 thousand volumes and slightly under the annual minimum requirement to deacidify at least 1 million sheets of unbound materials. The decrease in the number of sheets treated was the direct result of the on-site sheet equipment being inoperable for a period of time while the contractor made necessary repairs.

During the past ten years, the Library has averaged deacidification of approximately 296 thousand volumes per year and more than 1 million sheets per year, and is therefore slightly ahead of its 30-year goal to treat 8.5 million volumes and 30 million manuscript sheets during the life of the project. The production goal for each succeeding year will continue to achieve deacidification of an average of 250 thousand volumes and at least 1 million sheets of manuscript materials. Current projections are that the Library will treat an additional 5 million volumes and almost 20 million sheets of unbound materials in the remaining 20 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.

| <b>Deacidification Treatment Fiscal 2002 - Fiscal 2012</b><br>(Dollars in Thousands) |                            |                    |                          |
|--|----------------------------|--------------------|--------------------------|
| <b>Fiscal Year</b>   | <b>Collections Treated</b> |                    | <b>Total Obligations</b> |
|  | <b>Books</b>               | <b>Manuscripts</b> |                          |
| 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   | 258,087                    | 846,900            | 6,681                    |
| 2013-2032  |                            |                    | \$171,083                |
| <b>Total, Actual and Estimated Thirty-Year Mass Deacidification Program Cost</b>     |                            |                    | <b>\$228,211</b>         |



## APPENDIX E: Teaching with Primary Sources (TPS)

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### Overview

Through the Library's Office of Strategic Initiatives' (OSI) Teaching with Primary Sources program (TPS), Library staff and institutional partners deliver professional development to assist teachers as they use the Library's digitized primary sources to enrich their classroom instruction. These primary sources, when embedded in inquiry-based instruction, help build students' content knowledge, critical thinking, and analysis skills.

The TPS program continues to explore and implement a variety of tools for disseminating the program content. In fiscal 2012, TPS and its institutional partners presented the program to 27,140 teachers from 378 Congressional Districts, 86 percent coverage of the 441 Congressional Districts nationwide.

### Professional Development

In fiscal 2012, TPS delivered professional development to teachers from 98 districts and conducted 28 institutes, workshop, and presentation sessions for 1,259 teachers. The program continued its collaboration with PBS Teacherline, the premier provider of high quality online professional development, and reached nearly 200 teachers nationally through a 45-hour online course entitled, *Teaching with Primary Sources from the Library of Congress*.

### The Summer Teacher Institutes

In fiscal 2012, TPS streamlined its processes for organizing and delivering the Summer Institutes and identified efficiencies that reduced the program's cost while improving quality.

The Library offered five five-day Summer Teacher Institutes. Two focused on specific Library collections, the World Digital Library and the Civil War. Educators from diverse educational settings – library/media specialists, classroom teachers, school administrators, and curriculum developers – took part in the institutes. Of the 242 educators who applied, 129 were accepted, representing 33 states.

During the five-day institutes, educators learned best practices for using the Library's digitized primary sources in the classroom. Working with educational specialists as

well as experts from several Library programs, including the Geography and Maps, Manuscripts, and Prints and Photographs divisions and the World Digital Library and Copyright Office. World Digital Library, participants engaged in hands-on activities that can be implemented easily in their instructional setting. They also gained a better understanding of the teaching resources available through the Library's web site for teachers. Participants were required to develop a Primary Source Project Plan to be implemented in their educational setting.

The institutes have been important "entrées" for developing relationships with outstanding educators. Institute attendees often continue to contribute to the program through the TPS Network, the Teacher in Residence Program, and other formal and informal interactions. This year, the head of Library Services for the District of Columbia Public Schools attended a Summer Teacher Institute session, and the Executive Director of National History Day observed a session, offering opportunities for further professional development through a large local school district and a peer organization.

### Conferences

TPS exhibited at national education conferences in order to reach the K-12 population. In fiscal 2012, Educational Outreach streamlined its outreach activities. The Library presented 13 papers and/or sessions and exhibited at 10 national education conferences reaching more than 65 thousand attendees.

### The Educational Consortium

The TPS Education Consortium, consisting of 28 universities, school districts, and educational foundations in 17 states, assisted the Library in the design and delivery of the TPS program.

Three members of the TPS Educational Consortium – Waynesburg University in Pennsylvania, Illinois State University and the Metropolitan State College of Denver – coordinate regional TPS activity in the East, Midwest and West. These regional coordinators identify sub-grantees (school districts, cultural institutions, library systems, universities, and other educational organizations). Through the regional program, 159

organizations have delivered TPS programming to teachers in 43 states and the District of Columbia.

In fiscal 2012, the Library's Consortium members delivered 979 professional development events that reached 25,881 teachers in 317 congressional districts.

TPS staff continued to consult with the TPS Advisory Mentor Group - 19 master teachers and librarians who are assisting in the development of the Teachers Network, an online platform for alumni of TPS programs to collaborate on using the Library's digitized primary sources in their classrooms. A beta test of the platform began in fiscal 2012.

#### Teacher Tools and Digital Initiatives

The Library's teacher blog, *Teaching with the Library of Congress*, published more than 100 new posts. The blog promotes practical strategies for the effective use of the Library's online collections, spotlighting items from the collections that are especially well suited for classroom use. The purpose of this blog is to help locate the Library centrally in the national educational conversation on the use of primary sources. The blog has been received well by teachers and the K-12 community at large and has sparked discussion both on-site and off. ASCD, the nation's leading teacher staff development organization, wrote "this lovingly curated blog distinguishes itself both in the deep well of content it exposes and the classroom-ready context it offers for it", and individual posts have been cited in articles in educational journals.

TPS recognized that the Library's online primary sources and critical-thinking-based K-12 philosophy mesh closely with the new Common Core State Standards and began aligning its online teacher resources accordingly. This alignment and an improved Search by Standards tool launched in October 2012.

TPS also launched two lesson plans focusing on the Library's international collections: *The Alaska Purchase: Debating the Sale from Russian and U.S. Perspectives*, and *A Russian Settlement in Alaska: A Community at the Meeting of Frontiers*. In addition, the first Primary Source Set in a series on the Civil War was released: *The Civil War: The Nation Moves Towards War, 1850-61*. Primary source sets are among the most used teacher resources offered, enabling teachers to find primary sources on the most frequently taught topics and to integrate them into classroom teaching.

#### LOC Box

In its second year, the LOC Box (*pronounced "Lock Box"*) field trip program again was booked to capacity. Students from grades four to six and their teachers/chaperones

work in teams to explore the Library's historic Thomas Jefferson Building. The program served 56 percent more students, with 1,736 students from 30 schools in the Washington, DC metro area participating. Library staff members were invited to present on a panel showcasing this unique program at the American Alliance of Museums conference in Minneapolis in April 2012.

#### National Book Festival

TPS exhibited in the Library of Congress Pavilion at this year's National Book Festival. Building with the themes "Books that Changed America" and "The Power of Primary Sources...and Books", staff showcased primary source sets and web features that connected with the Book Festival authors and topics. TPS shared information with more than 500 teachers and school librarians, securing 342 new subscribers for the TPS blog. The TPS Teacher in Residence delivered a gallery talk on available resources to attending educators.

#### Teacher in Residence

Since 2000, the TPS has recruited teachers in residence to work on-site as they help teachers incorporate the Library's digitized primary sources into high-quality instruction. In fiscal 2012, Education Outreach selected Earnestine Sweeting, a fifth grade teacher from PS 153, the Helen Keller School, in New York City (the Bronx). Her presence at the Library was featured in several national media, including *Roll Call* and *American Teacher* from the American Federation of Teachers. Ms. Sweeting conducted 23 events, reaching out to local schools as well as presenting to other educators at national conferences.

#### Future Program Growth and Development

TPS is recognized as a key participant in the national conversation on K-12 education and TPS involvement will continue to be sought for conference panels, program boards, educational publications, and other forums where primary-source-based learning is discussed. Plans for fiscal 2013 include:

- Develop scope and planning documents for a nationally recognized advisory council and research possible candidates.
- Plan messaging materials for a variety of channels; develop and test pilot products.
- Develop planning documents for a contest or award to publicize the efforts of teachers who have been successful at teaching with primary sources, to raise the visibility of the program.

To ensure that TPS best practices for teaching with primary sources are embedded in a sustained way in

the nation's school systems, the program will build and implement a train-the-trainer program for professional development facilitators and teacher coaches. Plans for fiscal 2013 include:

- Begin development of in-person training curriculum for trainers.
- Research possible curriculum and delivery systems for ongoing professional development/training for these trainers, as well as communications systems.

TPS will develop and distribute teacher tools and other content that promotes a core set of strategies for effective teaching and learning with primary sources in a wide range of educational environments. Plans for fiscal 2013 include:

- Research and complete use cases and feature set for tablet-based tool that enables the effective use of LC primary sources in a wide range of teaching environments.
- Publish Library of Congress teacher resources on a significant scale, on the platform of another national K-12 institution or organization, and identify additional partners for 2014.
- Launch Twitter account and leverage it as a distribution and promotional channel for Library of Congress teacher content. Identify additional social media or other emerging channels for future adoption.
- Release an online interactive platform for teachers for the sharing of strategies and content related to effective classroom use of the Library's primary sources.



## APPENDIX F:

### Copyright Office Records Digitization Project Report of Accomplishments Fiscal 2012

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#### Preservation

As of September 30, 2012, the project scanned, performed quality assurance review, and migrated to long-term managed storage a total of 22,517,365 assignment and registration card images from the Copyright Card Catalog. In addition, all 667 volumes of the Catalog of Copyright Entries, a published index of registrations from 1891 to 1977, have been scanned via the Internet Archive, reviewed for quality by Information & Records Division staff, and are now available online for the public on the Internet Archive web site.

#### Public Access

The Access Working Group, comprised of staff from the Information & Records Division, CTO and OSI, has been studying various options for converting and organizing the data in the historical records including the following:

- Optical character recognition (OCR) as an alternative to keyboarding
- Crowdsourcing as a means for data capture and for distinguishing and parsing types of data
- Search and display in the style of the Library's new Project One
- Facets for narrowing search results
- Combined searching with post-1977 Copyright records
- A virtual Copyright Card Catalog as an interim way to make the records available online
- Search result formats that show images of the source records as well as Copyright facts and other metadata

With assistance from Library Services and ITS, the group has built a demonstration model database using Voyager software to serve as a reference model to discern how the data might be organized, indexed and displayed. The model has records from both pre-1978 and post-1977.

Sixteen posts have been published on the project blog with in-depth descriptions of the records and our progress towards converting and indexing them. 102 comments have been received with 28% of them about the notion of a virtual card catalog. The post about the latter received more positive comments than any other and seemed to indicate that a virtual catalog would be well received by public users.

Two Requests for Information (RFIs) were published on FebBizOpps to obtain information from software and service providers about crowdsourcing and the building of virtual card catalogs. Three vendors expressed interest in our crowdsourcing needs. Crowdsourcing can be used to capture data or it can be used as a means for refining data coming from OCR or a combination of both. The vendors have foundation systems upon which they build workflows tailored to a customer's needs. They support data verification through double or triple blind data capture. They also construct human intelligence tasks (HITs) through which persons in the crowd are asked to make decisions about very specific alternatives all contributing toward classification and cleansing of data. Two vendors responded to the RFI about a virtual card catalog and two other companies expressed interest in that requirement after the due date.

A group of volunteers from several divisions within the Copyright Office have been studying the content found in the 1971 to 1977 registration cards in order to define patterns that would enable identification of specific data among the text. The

card content consists of alphanumeric text strings, but signposts such as the copyright notice symbol © or the classification prefixes used with registration numbers or the relative location of text strings, can enable the identification of the index terms found

in the card headers. This information will establish the feasibility of parsing the data through algorithms and/or crowdsourcing and will facilitate the building of crowdsourcing workflows.



## APPENDIX G:

### Copyright Office – Estimated Value of Materials Transferred to the Library in Fiscal 2012

#### Copyright Office, Salaries and Expenses

#### Estimated Value of Materials Transferred to the Library of Congress in Fiscal 2012 (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>191,929</b>               | <b>107,651</b>                   | <b>299,580</b>          |                    | <b>\$14,288,334</b>        |
| Book - hardbound                                      | 92,701                       | 26,603                           | 119,304                 | \$87.15            | [10,397,344]               |
| Book - softbound                                      | 78,535                       | 21,222                           | 99,757                  | 35.09              | [ 3,500,473]               |
| e-books (Pro Quest)                                   | 20,693                       | 59,826                           | 80,519                  | 4.85               | [ 390,517]                 |
| <b>Serials<sup>2</sup></b>                            | <b>63,611</b>                | <b>211,204</b>                   | <b>274,815</b>          |                    | <b>7,929,713</b>           |
| Periodicals <sup>3</sup>                              | 63,556                       | 201,844                          | 265,400                 | 49.76              | [ 7,923,782]               |
| Newspapers  | 55                           | 9360                             | 9,415                   | 1.05               | [ 5,931]                   |
| <b>Microforms</b>                                     | <b>26</b>                    | <b>2,728</b>                     | <b>2,754</b>            |                    | <b>358,805</b>             |
| Microfilm   | 0                            | 2,728                            | 2,728                   | 131.47             | [ 358,650]                 |
| Microfiche  | 26                           | 0                                | 26                      | 5.95               | [ 155]                     |
| <b>Motion Pictures</b>                                | <b>11,645</b>                | <b>26</b>                        | <b>11,671</b>           |                    | <b>6,567,017</b>           |
| Film - 35 mm/70 mm/IMAX                               | 427                          | 21                               | 448                     | 11,914.97          | [ 5,337,907]               |
| Film - 16 mm  | 4                            | 0                                | 4                       | 1,500.00           | [ 6,000]                   |
| Videotape   | 11,214                       | 5                                | 11,219                  | 108.13             | [ 1,213,110]               |
| <b>CD/DVDs</b>  | <b>40,841</b>                | <b>1995</b>                      | <b>42,836</b>           | <b>25.00</b>       | <b>1,070,900</b>           |
| <b>Printed Music</b>                                  | <b>2,310</b>                 | <b>1233</b>                      | <b>3,543</b>            | <b>56.32</b>       | <b>199,542</b>             |
| <b>Maps</b>   | <b>411</b>                   | <b>114</b>                       | <b>525</b>              | <b>44.11</b>       | <b>23,168</b>              |
| <b>Prints, Posters, Photographs, and Works of Art</b> | <b>633</b>                   | <b>73</b>                        | <b>706</b>              | <b>35.77</b>       | <b>25,254</b>              |
| <b>Total</b>  | <b>311,406</b>               | <b>325,024</b>                   | <b>636,430</b>          |                    | <b>\$30,462,723</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 2009 – Fiscal 2014**  
(Dollars in Thousands)

| Authority/Obligations  | 2009<br>Actual  | 2010<br>Actual  | 2011<br>Actual  | 2012<br>Actual  | 2013<br>Estimate | 2014<br>Estimate |
|--|-----------------|-----------------|-----------------|-----------------|------------------|------------------|
| <b>Receipt Authority:</b>  |                 |                 |                 |                 |                  |                  |
| Offsetting collections   | \$27,099        | \$27,799        | \$27,359        | \$26,797        | \$30,029         | \$28,029         |
| Royalties credited to Licensing<br>appropriation from Cable, Satellite, and DART | 4,169           | 5,172           | 5,266           | 5,109           | 5,109            | 5,209            |
| Royalties credited to CRJ<br>appropriation from Cable, Satellite, and DART       | 395             | 151             | 137             | 375             | 375              | 381              |
| Estimated value of materials<br>transferred to the Library                       | 32,298          | 32,885          | 31,060          | 30,453          | 31,000           | 31,000           |
| <b>Total Receipt Authority</b>   | <b>\$63,961</b> | <b>\$66,007</b> | <b>\$63,822</b> | <b>\$62,734</b> | <b>\$66,513</b>  | <b>\$64,619</b>  |
| <b>Obligations:</b>  |                 |                 |                 |                 |                  |                  |
| Pay  | \$39,717        | \$43,259        | \$43,436        | \$40,933        | \$41,402         | \$42,408         |
| Other Obligations  | 8,610           | 10,132          | 9,013           | 9,553           | 10,347           | 10,544           |
| <b>Total Obligations</b>   | <b>\$48,327</b> | <b>\$53,391</b> | <b>\$52,449</b> | <b>\$50,486</b> | <b>\$51,749</b>  | <b>\$52,952</b>  |
| <b>RATIO of Receipt Authority to Obligations</b>                                 | <b>132%</b>     | <b>124%</b>     | <b>122%</b>     | <b>124%</b>     | <b>129%</b>      | <b>122%</b>      |



# LIBRARY OF CONGRESS FISCAL 2014 APPROPRIATION LANGUAGE

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## A. Administrative Provisions

### 1. Section 1401 – 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 .....\$ 2,500,000

Revolving Funds .....\$ 183,079,000

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. 1401. (a) IN GENERAL.—For fiscal year 2014, the obligational authority of the Library of Congress for the activities described in subsection (b) may not exceed \$185,579,000.

(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 2014, 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 1402 – Librarian of Congress – Transfer Authority

The following is the proposed administrative provision:

#### TRANSFER AUTHORITY

SEC. 1402. (a) IN GENERAL.—Amounts appropriated for fiscal year 2013 for the Library of Congress may be transferred during fiscal year 2014 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 2014 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...\$433,830,000 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 2014 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 \$6,350,000...

*Provided further,* That of the total amount appropriated, \$7,119,000 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, \$52,952,000, of which not more than \$28,029,000, to remain available until expended, shall be derived from collections during fiscal year 2014...

*Provided further,* That not more than \$5,590,000 shall be derived from collections during fiscal year 2014...

*Provided further,* That the total amount available for obligation shall be reduced by the amount by which collections are less than \$33,619,000...

*Provided further,* That not more than \$6,500 may be expended, on the certification of the Librarian of Congress, in connection with official representation and reception expenses for activities of the International Copyright Institute and for copyright delegations, visitors, and seminars:...

**Justification:** The Library is requesting an increase of \$2,250 in the authority level, from \$4,250 to \$6,500, for official representation and reception activities. The current authority level of \$4,250 has been in place since fiscal 2000. The absence of any change in this expenditure cap in fourteen years has made it increasingly difficult to maintain the International Copyright Training program (International Copyright Institute).

### 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)...\$109,979,000...

### 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), \$51,927,000...



# ARCHITECT OF THE CAPITOL – LIBRARY BUILDING AND GROUNDS

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## Overview

The Library Buildings and Grounds (LB&G) jurisdiction is responsible for the maintenance, repair and 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 (LOC) buildings and grounds. Facilities include: Thomas Jefferson Building; James Madison Memorial Building; John Adams Building; and LOC Special Facilities Center, which includes the Little Scholars child development center; the Congressional campus at Fort Meade, Maryland; and the National Audio-Visual Conservation Center located in Culpeper, Virginia.

## Fiscal 2014 Budget Request

AOC is requesting \$77.016 million in fiscal 2014 for the Library Buildings and Grounds (LB&G) account. This reflects an increase of \$29.853 million from the fiscal 2013 continuing resolution base of \$47.163 million.

The LB&G budget is presented in two sections: (1) Operating Budget and (2) capital multi-year projects

The following highlights each section:

### Operating Budget \$26.155 million

The Operating Budget of the Library Buildings and Grounds (LB&G) appropriation funds all costs associated with the care, maintenance and operation of LOC buildings and grounds, with the exception of cleaning services.

### Capital Multi-Year Projects \$50.861 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.

Projects include the following:

#### West Main Pavilion Egress Stair G & Freight Elevator [\$11 million]

An egress study of the Thomas Jefferson Building (TJB) documented insufficient enclosed stairwells and exits. This project will construct a new masonry exit stair, a new freight elevator and an exhaust shaft in the southwest courtyard of the TJB.

#### Fire Door Improvements, Phase II [\$3.781 million]

This is Phase II of a three phase project for the LOC. This phase addresses approximately 80 interior door assemblies by replacing the doors with fire-rated replicas and infilling existing cast iron frames with grout. It will also change the swing direction of approximately 30 interior door assemblies currently swinging in the incorrect egress direction.

#### Direct Digital Controls Upgrade, Phase II [\$3.676 million]

This is Phase II of a three phase program designed to convert a total of 30 JMMB air handlers to digital controls. This design-build project replaces antiquated pneumatic controls on 11 JMMB air handling units with new direct digital controls. The new controls will be integrated into the Building Automation System for centralized control, monitoring, energy management, and operational trending.

**Elevator Modernization** [\$3.053 million]

This is the final part of a multi-year phased program to upgrade and modernize the elevators in the LOC buildings. This phase includes the JMMB and the James Adam Building. The incorporation of digital controls will decrease the chances of stranding passengers, reduce wait times, and increase reliability. Additionally, the mechanical/electrical room will be upgraded to provide improved ventilation.

**Collection Storage Module 5** [\$5 million]

The book storage facility complex at Fort Meade, MD accommodates the Library's expanding collections of books, manuscripts, prints, maps, cultural and other copyrighted materials. This project is required to support the overflow of Library of Congress books and bound periodicals temporarily stored on Capitol Hill. Also includes security and fire protection systems, customized collection storage shelving, integrated fire safety systems, and dedicated Heating Ventilation and Air Conditioning (HVAC) systems for permanent long term collection storage.

**Infrastructure UPS Upgrades, Main Data Center** [\$16.528 million]

This project will provide new infrastructure to increase available conditioned power in the JMMB Data Center. This increase is necessary to meet the requirement of LOC information technology infrastructure with respect to new technologies and future growth. This will replace the existing and aging Uninterruptable Power Supply (UPS) with a more reliable and maintainable UPS system.

**Fire Alarm and Audibility Upgrade** [\$.693 million]

An updated intelligible voice evacuation system is required to provide reliable partial or building-wide notification utilizing clear direction and information to the building occupants during an emergency. This project will focus on the design and functionality of a new voice-paging, evacuation and messaging system to replace the existing outdated and deficient system for the JMMB.

**HVAC Installation, Main Data Center, JMMB** [\$5.130 million]

This construction project will provide new infrastructure to increase the cooling capacity in the JMMB's Data Center. This increase is required to meet the LOC's growing IT mission.

**Minor Construction** [\$2 million]

Reflects the required amount to sustain the necessary level of service for unforeseen construction and repair projects of the LB&G appropriation.

# BUDGET JUSTIFICATION

Fiscal Year 2014



U.S. GOVERNMENT PRINTING OFFICE

782 North Capitol Street, NW, Washington, DC 20541

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OFFICIAL | DIGITAL | SECURE

March 1, 2013

The Honorable Rodney Alexander  
Chairman  
Subcommittee on Legislative Branch Appropriations  
Committee on Appropriations  
U.S. House of Representatives  
Washington, DC 20515

The Honorable Jeanne Shaheen  
Chairwoman  
Subcommittee on Legislative Branch Appropriations  
Committee on Appropriations  
U.S. Senate  
Washington, DC 20150

Dear Chairman Alexander and Chairwoman Shaheen:

I have the honor to transmit herewith the appropriations request of the U.S. Government Printing Office (GPO) for FY 2014.

Our request includes the Congressional Printing and Binding Appropriation and the Salaries and Expenses Appropriation of the Superintendent of Documents, which fund 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 production and procurement of information products and services for Federal agencies, 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 \$128.5 million for FY 2014, an increase of just 1.2% over current funding, which as you know is our continued appropriations from FY 2012 plus 0.612% as provided by P. L. 112-175. Our continuing program of cost-cutting activities has made this funding request possible. Reflecting congressional priorities for increased use of digital formats to supplant printed products, our request includes a proposed decrease of \$11.5 million in the Congressional Printing and Binding Appropriation, an increase limited to \$609,000 in the Salaries and Expenses of the Superintendent of Documents, and an increase of \$12.4 million in appropriations to the Revolving Fund, primarily for investment in digital technology products and services. There are also unexpended balances from prior year appropriations that we will request to be transferred forward to cover projected workload requirements, which will also reduce our need for new funds.

GPO's appropriations request for FY 2014 will enable us to:

- meet projected requirements for GPO's congressional printing and binding operations during FY 2014;
- fund the operation of GPO's statutory information dissemination programs and provide investment funds for necessary information dissemination projects; and
- continue the development of our Federal Digital System, which provides free public access to digital congressional and agency information; implement other improvements to our IT and facilities infrastructure; and invest in more efficient equipment supporting congressional work.

**Congressional Printing and Binding Appropriation** We are requesting \$79,736,000 for this account, representing a decrease of \$11,519,000 from the level of funding currently provided for FY 2013.

We estimate that total congressional printing and binding requirements for FY 2013 will be \$89,671,000, based on historical data. Last year, with the approval of the Appropriations Committees, we transferred \$9,935,000 in prior year unexpended balances of this account to the Revolving Fund, where it remains available to fund Congressional Printing and Binding requirements, reducing our requirement for new funding to our requested level of \$79,736,000. Any additional unobligated prior year balances will be requested for transfer to the Revolving Fund.

House Report 112-148, accompanying the Legislative Branch Appropriations bill for FY 2012, requires the presentation of budget requirements for FY 2014 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 2014 include a price level increase of \$1,503,000, based on an average 2% increase due to projected increases in printing costs. They also included a projected \$1,227,000 in volume increases, due principally to business and committee calendars, the *Congressional Record*, congressional bills, and other workload categories. Funding for the 2012 edition of the *U.S. Code* is not included in our requirements for FY 2014.

**Salaries and Expenses Appropriation of the Superintendent of Documents** We are requesting \$35,823,000 for this account, an increase of \$609,000 over the current FY 2013 level. 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 minimum levels, as directed by House Report 112-148.



Our total requirements for FY 2014 are projected to be \$39,323,000. This includes \$3,500,000 in projects to upgrade and enhance the Integrated Library System (\$2,100,000), development of the National Bibliographic Records Inventory (\$700,000), and the second phase of an inventory and preservation process related to FDLR collections currently stored at GPO facilities (\$700,000). However, at this date there is approximately \$3.5 million in remaining unexpended balances from the Salaries and Expenses Appropriation from FY 2008. We expect to request the authority to transfer these funds to the Revolving Fund to cover these project costs.

Our requested funding covers mandatory pay and related cost increases of \$266,000. Merit and other pay increases are included for 114 FTE's, the same level as FY 2013. In addition, the requested funding covers projected price level increases of \$343,000, including ongoing systems maintenance and FDsys operating expenses.

**Revolving Fund** We are requesting \$12,919,000 for this account, to remain available until expended, to fund essential investments in information technology development, digital equipment, and facilities repair. Our request represents an increase of \$12,416,000 over the level of funding currently provided for this account for FY 2013.

The request includes \$7,449,000 for information technology development, including \$6,534,000 to continue developing FDsys, \$500,000 to modernize GPO's data center, and \$415,000 for Oracle business system improvements. These IT projects include components that will have a direct impact on the provision of digital information production and dissemination services for Congress. In addition, we are requesting \$4,000,000 to purchase and install a digital bindery line for congressional work, and \$1,470,000 to continue with elevator repairs and renovate a rooftop training room that is currently leaking water onto recently renovated elevators.

Chairman Alexander and Chairwoman Shaheen, we look forward to working with you and your Subcommittees in your consideration of our appropriations request for FY 2014.

Sincerely,

DAVITA VANCE-COOKS  
Acting Public Printer

Enclosure

cc: The Honorable Debbie Wasserman Schultz  
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 and Results of FY 12 Operations

The Government Printing Office (GPO) is the OFFICIAL, DIGITAL, SECURE resource for producing, procuring, cataloging, indexing, authenticating, disseminating, and preserving the official information products of the Federal Government.

Under Title 44 of the *U.S. Code*, GPO is responsible for the production and distribution of information products for all three branches of the Government, including the official publications of Congress and the White House, U.S. passports for the Department of State, and the official publications of other Federal agencies and the courts. Once primarily a printing operation, we are now a publishing operation and we now carry out our mission using an expanding range of digital as well as conventional formats. Total GPO employment today is about 1,900.

Along with sales of publications in digital and tangible formats to the public, GPO supports openness and transparency in Government by providing permanent public access to Federal Government information at no charge through our Federal Digital System (FDsys, at [www.fdsys.gov](http://www.fdsys.gov)), which today makes more than 800,000 Federal titles available online from both GPO's servers and links to servers in other agencies, and sees more than 37 million documents downloaded every month. We also provide public access to Government information through partnerships with approximately 1,200 libraries nationwide participating in the Federal Depository Library Program.

In addition to GPO's Web site, [www.gpo.gov](http://www.gpo.gov), we communicate with the public routinely via Twitter [twitter.com/USGPO](https://twitter.com/USGPO), YouTube <http://www.youtube.com/user/gpoprinter>, Facebook <http://www.facebook.com/USGPO>, and most recently Pinterest <http://pinterest.com/usgpo/>.

**History** GPO first opened its doors for business on March 4, 1861, the same day Abraham Lincoln was inaugurated as the 16th President. Our mission can be traced to the requirement in Article I, section 5 of the Constitution that "each House shall keep a journal of its proceedings and from time to time publish the same." We have produced and distributed the official version of every great American state paper—and an uncounted number of other Government publications—since Lincoln's time, including the Emancipation Proclamation, the legislative publications and acts of Congress, Social Security cards, Medicare and Medicaid information, census forms, tax forms, citizenship forms, military histories ranging from the *Official Records of the War of the Rebellion* to the latest accounts of our forces in Afghanistan, the 9/11 Commission Report, Presidential inaugural addresses, and Supreme Court opinions.

**Technology Transformation** GPO has continually transformed itself throughout its history by adapting to changing technologies. In the ink-on-paper era, this meant moving from hand-set to machine typesetting, from slower to high-speed presses, and from hand to automated bookbinding. These changes were significant for their time. Yet they pale by comparison with the transformation that accompanied our incorporation of electronic information technologies, which began 50 years ago in 1962 when the Joint Committee on Printing directed the agency to develop a new system of computer-based composition. That order led to the development

of GPO's first electronic photocomposition system, which by the early 1980's had completely supplanted machine-based hot metal typesetting. Following the enactment of the GPO Electronic Information Access Enhancement Act in 1993, the databases generated by our composition system were uploaded to the Internet via GPO's first Web site, GPO Access, vastly expanding the agency's information dissemination capabilities. Those functions continue today with FDsys on a more complex and comprehensive scale.

As a result of these sweeping technology changes, GPO is now fundamentally different from what it was as recently as a generation ago. We are smaller, leaner, and equipped with digital production capabilities that are the bedrock of the information systems relied upon daily by Congress, Federal agencies, and the public to ensure open and transparent Government in the digital era. Our technology transformation is continuing with the development of new ways of delivering Government information, including apps and bulk data download files.

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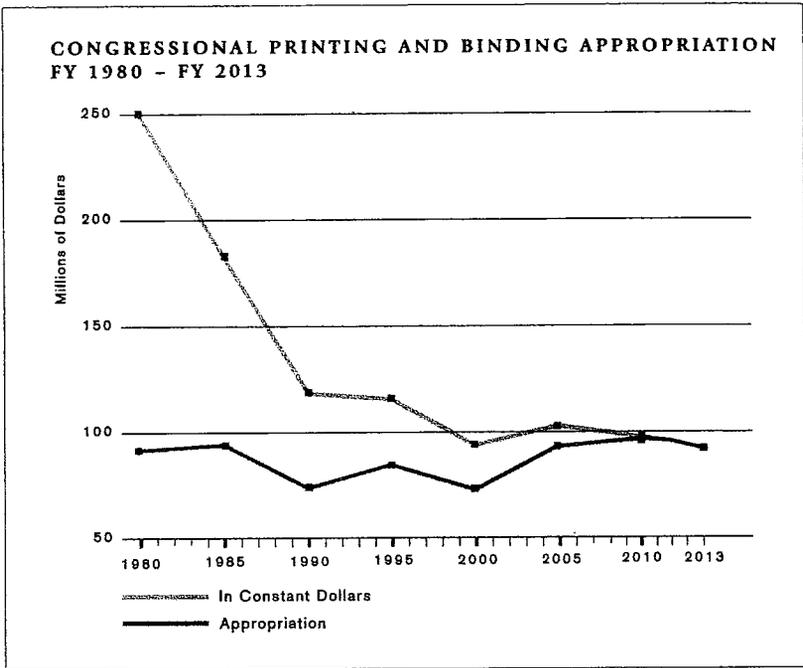
## **GPO and Congress**

For the Clerk of the House, the Secretary of the Senate, and the committees of the House and the Senate, GPO produces the documents and publications required by the legislative and oversight processes of Congress. This includes, but is not restricted to the daily *Congressional Record*, bills, reports, legislative calendars, hearings, committee prints, and documents, as well as stationery, franked envelopes, memorials and condolence books, programs and invitations, phone books, and the other products needed to conduct business of Congress. We also detail expert staff to support the information product requirements of House and Senate committees and congressional offices such as the House and Senate Offices of Legislative Counsel.

Today the activities associated with creating congressional information databases comprise the vast majority of the work funded by our annual Congressional Printing and Binding Appropriation. In addition to using these databases to produce printed products as required by Congress, GPO uploads them to the Internet via FDsys, and they are the source of the apps we build for congressional information. Our advanced digital authentication system, supported by public key infrastructure (PKI), is an essential component for assuring the digital security of congressional documents.

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

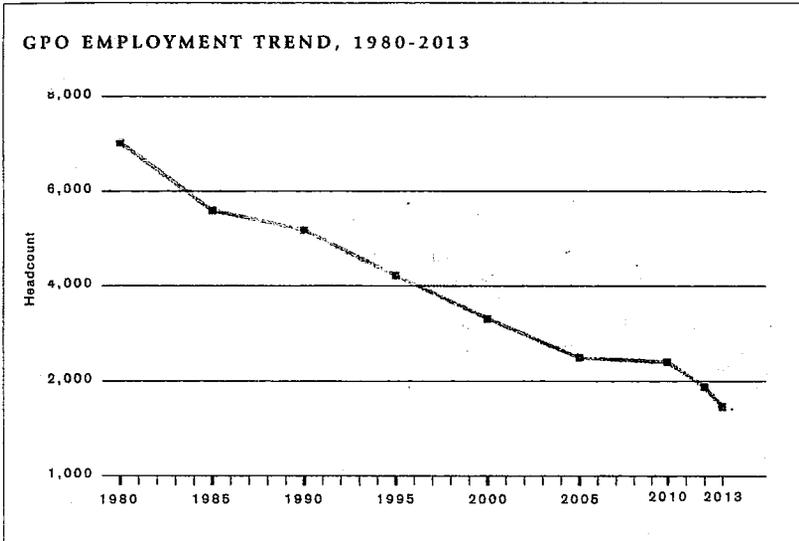
**GPO Cuts the Cost of Congressional Work** The use of electronic information technologies by GPO has been a principal contributor to lowering the cost, in real economic terms, of congressional information products. In FY 1980—as we began replacing hot metal typesetting with electronic photocomposition—the appropriation for our Congressional Printing and Binding Appropriation was \$91.6 million, the equivalent in today's dollars of \$255.9 million. By comparison, our approved funding for FY 2013 under the current continuing resolution is \$91.3 million, a reduction of nearly two-thirds in constant dollar terms.



Productivity increases resulting from technology have enabled us to make substantial reductions in staffing requirements while continuing to improve services for Congress. In 1980, GPO employment was approximately 6,450. Today, we have approximately 1,900 employees on board, representing a 31-year reduction of 4,550, or more than 70%. This is the smallest GPO workforce of any time in the past century.

**Highlights of FY 2012 Congressional Work** In 2012, we introduced our first app, the *Mobile Member Guide*, which provided the public with quick, easy access to information on Members of the 112th Congress. We also collaborated with LOC for the creation of an iPad app for the daily *Congressional Record*. Late in the year, we made *United States Policy and Supporting Positions*, or the *Plum Book* as it is popularly known, available for the first time as an app.

At the direction of the House Appropriations Committee, and in support of the task force on bulk data established by House report 112-511, we have begun making House bills available in XML bulk data format, beginning with the 113th Congress. Making information available in this format permits data to be reused and repurposed not only for print output but for conversion into ebooks, apps, and other forms of content delivery, including data mashups and other analytical



tools by third party providers, which contribute to openness and transparency in Government. For users for whom access to the authenticated versions of congressional and other Government publications is critically important, we make available digitally-signed files in PDF format that match the printed document. We are currently working with LOC to make additional information available in XML bulk data format.

About a year ago we started work on the requirements for the 2013 Presidential inauguration, under the direction of the Joint Congressional Committee on Inaugural Ceremonies. We designed and produced approximately 80 different products for the event, including invitations, tickets, signs, pins, and other items that supported the organization and conduct of the inaugural ceremonies. We also produced secure credentials for the event.

### **GPO and Federal Agencies**

Federal agencies are major generators of information content, and GPO produces their information products for official use and public access. Federal agencies and the public also rely on a growing variety of secure credentials produced by GPO, including travelers holding U.S. passports, frequent U.S. border crossers, Medicare beneficiaries in Puerto Rico, and other users. Our digital systems support key Federal agency publications, including the annual *Budget of the U.S. Government* and the *Federal Register* and associated products. As it does for congressional documents, our digital authentication system, supported by public key infrastructure (PKI), assures the digital security of agency documents.

**Highlights of FY 2012 Agency Operations** In 2012 we made the *Budget of the U.S. Government* available for the first time as a mobile app. The app had more than 53,000 visits in the first 24 hours. For this work, we received a Digital Government Achievement Award from the Center for Digital Government, which recognizes outstanding web sites and applications developed by Federal, state, and local Government agencies. With the Office of the Federal Register, we also developed an app for the *Public Papers of the President*. This app has search capabilities allowing users to access content about the President by searching by date, category, and subject, as well as a geolocation feature providing users with access to the most recent content near their location.

A major document that GPO produces is the U.S. passport for the Department of State, which we have been responsible for since 1926. At one time no more than a conventionally printed document, the U.S. passport since 2005 has incorporated a digital chip and antenna array capable of carrying biometric identification data. With other security printing features, this document—which we produce in Washington, DC, as well as a remote facility in Mississippi—is now the most secure identification credential obtainable. We also now offer a line of secure identification smart cards to support the credentialing requirements of Federal agencies. Our secure credential unit has been certified as the only government-to-government provider of credentials meeting the requirements of Homeland Security Presidential Directive 12 (HSPD-12).

In 2012, we passed the milestone of producing the 75 millionth electronic passport. We also received direction from the Department of State to proceed with the necessary investment in equipment and infrastructure to begin producing the next generation passport in 2015. During the year, we were approved by the Joint Committee on Printing to expand our card production operations to our facility in Mississippi. This new capability will be brought online in 2013.

**Partnership with Industry** Other than congressional and inherently governmental work such as the *Federal Register*, the *Budget*, and secure and intelligent documents, we produce virtually all other Federal agency information product requirements via contracts in partnership with the private sector printing and information product industry. This work currently amounts to nearly \$350 million annually. Approximately 16,000 individual firms are registered to do business with GPO, the vast majority of whom are small businesses averaging 20 employees per firm. Contracts are awarded on a purely competitive basis; there are no set-asides or preferences in contracting other than what is specified in law and regulation, including a requirement for Buy American. This partnership provides great economic opportunity for the private sector.

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## **GPO and Open, Transparent Government**

Producing and distributing the official publications and information products of the Government fulfills an informing role originally envisioned by the Founders, as James Madison once said:

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

GPO operates a variety of programs that provide the public with “the means of acquiring” Government information that Madison spoke of.

**Federal Depository Library Program** GPO administers the Federal Depository Library Program, whose legislative antecedents date back 200 years to 1813. Across those years, depository libraries have served as critical links between “We the People” and the information made available by Federal Government. GPO provides the libraries with information products in digital and, in some cases, tangible formats, and the libraries in turn make these available to the public at no charge while providing additional help and assistance to depository library users. The program today serves millions of Americans through a network of approximately 1,200 public, academic, law, and other libraries located across the Nation, averaging nearly 3 per congressional district. Once primarily involving the distribution of printed and microfiche products, the FDLP today is primarily digital, supported by FDsys and other digital resources.

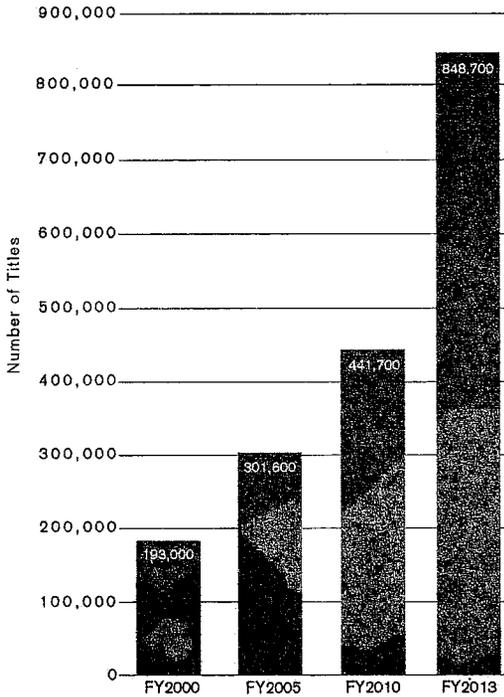
A major FDLP effort during the year was the State Forecasting Project, a collaborative research project between GPO and depository libraries, which surveyed all depository libraries to assess the current conditions of the program. Primary issues identified in the survey included budget constraints, use of physical space, staffing, and collection scope changes. GPO received responses from 775 depository libraries in 38 states. Results from this initiative will serve as a blueprint for developing a new national plan for the future of the FDLP.

**Federal Digital System** FDsys provides the majority of congressional and Federal agency content to the FDLP as well as other online users. This system has reduced the cost of providing public access to Government information significantly when compared with print, while expanding public access dramatically through the Internet. Public utilization of FDsys has grown to more than 400 million document retrievals by the end of FY 2012. Currently, the system provides access to over 800,000 individual titles from all three branches of the Government, the only system of its kind in operation today.

We are continually adding collections to FDsys to provide increased public access to Government information. In 2012, we had the opportunity to make audio content available for the first time on FDsys. The National Archives and Records Administration (NARA) asked us to host the audio tape recordings of communications between the White House and Air Force One following the assassination of President John F. Kennedy. As a result of hosting the audio recordings, there were a record number of visits to FDsys over a five-day period.

**GPO Achieves Savings in Information Dissemination** In FY 1995, the year that GPO’s 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 2014, we are proposing to fund this function at \$8.6 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 cost to pay for the establishment and operation of its online information dissemination operations, provided today through FDsys, achieving additional savings for the taxpayers and vastly expanding public access to Government information. When fully operational, FDsys will achieve further savings and even broader public access to Government information.

**NUMBER OF TITLES AVAILABLE ONLINE THROUGH GPO**  
 (includes titles on GPO servers and titles linked from GPO)  
 FY 2000 – FY 2013



**Publication and Information Sales Program** Along with the FDLP and FDSys, which are no-fee public access programs, we provide public access to official Federal information through e-commerce public sales featuring secure ordering through an online bookstore, a bookstore at GPO headquarters in Washington, DC, and partnerships with the private sector to offer Federal publications as ebooks. Our presence in the ebook market continues to grow. We entered into two important agreements in 2012 with Barnes & Noble and Apple to make popular Government titles such as the *Public Papers of the President-Barack Obama*, the *Financial Crisis Inquiry Report*, and *Ponziomtum: How Scam Artists are Ripping Off America* available as ebooks. We now have agreements with Apple, Google's eBookstore, Barnes & Noble, OverDrive, Ingram, Zinio, and other online vendors to sell Federal ebooks and magazines.

**Reimbursable Distribution Program** We operate distribution programs for the information products of other Federal agencies on a reimbursable basis, including General Services Administration (GSA) Consumer Information Center publications, from warehouses in Pueblo, CO, and Laurel, MD.

**GPO and Social Media** We use Facebook, Twitter, YouTube, and a book blog to share information about GPO news and events, and to promote specific publications and products. By the end of 2012, we had 2,000 likes on Facebook, 4,300 followers on Twitter, and 64,000 views across nearly 50 videos on YouTube. Our book blog, Government Book Talk, focuses on increasing the awareness of new and classic Federal publications through reviews and discussions. Recently, we started up a presence on Pinterest.

## 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

printing ordered from GPO both by law and by other congressional requisitions, as well as the responsibility for estimating the anticipated volume of congressional printing 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 printing. The appropriation is not available for expenditure for any purposes other than congressional printing. While GPO does its best to estimate the volume of congressional printing 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 congressional requisitions fall short of GPO's estimate, there will be a balance remaining in the Congressional Printing and Binding Appropriation at the end of the year. Under the language of GPO's appropriations legislation, such balances are eligible for transfer to GPO's Revolving Fund, where they can be used only for the purposes for which they were originally appropriated, with the approval of the House and Senate appropriations committees. 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. Like the Congressional Printing and Binding Appropriation, any unobligated balances remaining in this account may be transferred to GPO's Revolving Fund, where they can be used only for the purposes for which they were originally appropriated, with the approval of the House and Senate appropriations committees.

**FY 2012 Financial Results** For FY 2012, revenue totaled \$713.8 million, and the total operating expenses charged against GPO's budget were \$708.6 million, excluding Other Operating Expenses. Other Operating Expense was a \$2.4 million adjustment to increase GPO's long-term workers' compensation liability. Funds appropriated directly by Congress provided \$114.5 million (including funds from the Congressional Printing and Binding and Salaries and Expenses appropriations, along with appropriations to the Revolving Fund), or about 16% 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 net income of \$5.2 million for the year, before Other Operating Expense, and net income of \$2.9 million after.

The largest single component of GPO's annual expenses is procured printing. In FY 2012, the cost of procured printing totaled \$314.2 million, or about 44% of total expenses. The second largest component was personnel compensation and benefits. These totaled \$207.0 million in FY 2012, or about 29% of all expenses.

## FY 2014 Appropriations Request

GPO's total appropriations request of \$128.5 million for FY 2014 will enable us to:

- meet projected requirements for GPO's congressional printing and binding operations during FY 2014;
- fund the operation of GPO's statutory information dissemination programs and provide investment funds for necessary information dissemination projects; and
- continue the development of FDsys, implement other improvements to our IT and facilities infrastructure, and invest in more efficient equipment supporting congressional work.

Our request represents an increase of \$1.5 million, or 1.2%, over the level of funding provided for FY 2013 in the current continuing resolution (P.L. 112-175), which fixes GPO's funding at our FY 2012 level plus 0.612%. Significantly, our request proposes a \$11.5 million decrease in Congressional Printing and Binding, and an increase of \$12.4 million in investments in continued growth for our digital systems, transitioning our binding line to a digital system, and necessary IT and infrastructure repairs.

**Congressional Printing and Binding Appropriation** We are requesting \$79,736,000 for this account, representing a decrease of \$11,519,000 from the level of funding currently provided for FY 2013.

We estimate that total congressional printing and binding requirements for FY 2013 will be \$89,671,000, based on historical data. Last year, with the approval of the Appropriations Committees, we transferred \$9,935,000 in prior year unexpended balances of this account to the Revolving Fund, where it remains available to fund Congressional Printing and Binding requirements, reducing our requirement for new funding to our requested level of \$79,736,000. Any additional unobligated prior year balances will be requested for transfer to the Revolving Fund.

House Report 112-148, accompanying the Legislative Branch Appropriations bill for FY 2012, requires the presentation of budget requirements for FY 2014 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 2014 include a price level increase of \$1,503,000, based on an average 2% increase due to projected increases in printing costs. They also included a projected \$1,227,000 in volume increases, due principally to business and committee calendars, the Congressional Record, congressional bills, and other workload categories. Funding for the 2012 edition of the U.S. Code is not included in our requirements for FY 2014.

**Salaries and Expenses Appropriation of the Superintendent of Documents** We are requesting \$35,823,000 for this account, an increase of \$609,000 over the current FY 2013 level. 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 minimum levels, as directed by House Report 112-148.

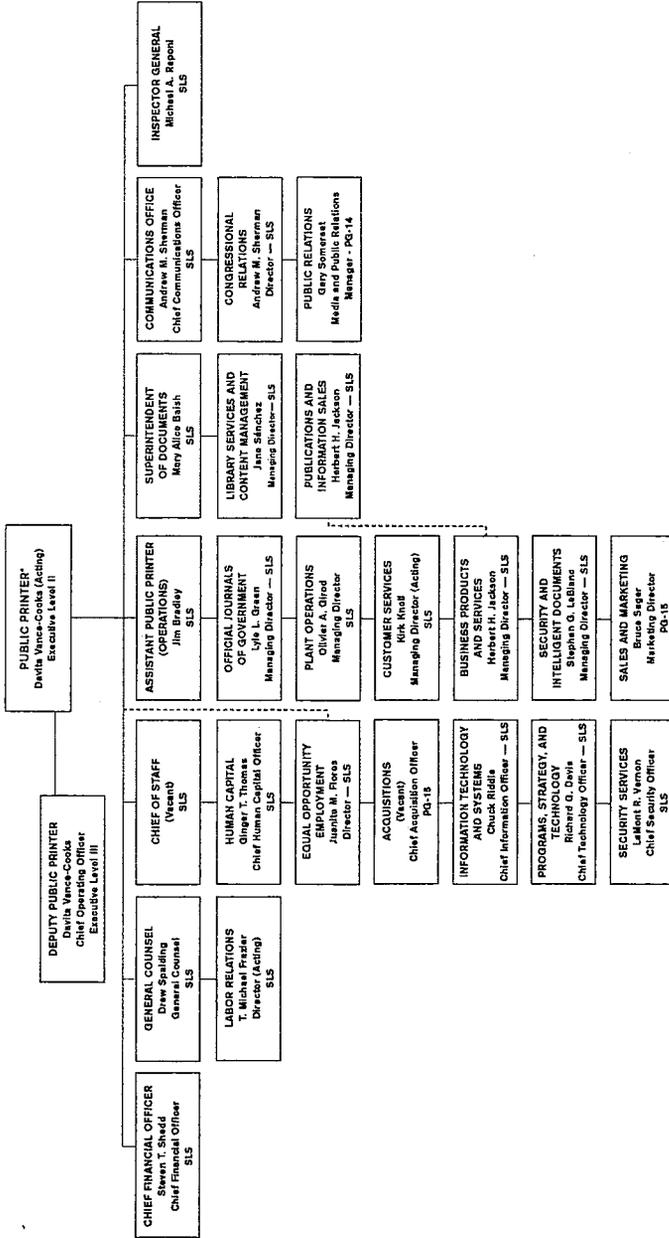
Our total requirements for FY 2014 are projected to be \$39,323,000. This includes \$3,500,000 in projects to upgrade and enhance the Integrated Library System (\$2,100,000), development of the National Bibliographic Records Inventory (\$700,000), and the second phase of an inventory and preservation process related to FDLR collections currently stored at GPO facilities (\$700,000). However, at this date there is approximately \$3.5 million in remaining unexpended balances from the Salaries and Expenses Appropriation from FY 2008. We expect to request the authority to transfer these funds to the Revolving Fund to cover these project costs.

Our requested funding covers mandatory pay and related cost increases of \$266,000. Merit and other pay increases are included for 114 FTE's, the same level as FY 2013. In addition, the requested funding covers projected price level increases of \$343,000, including ongoing systems maintenance and FDsys operating expenses.

**Revolving Fund** We are requesting \$12,919,000 for this account, to remain available until expended, to fund essential investments in information technology development, digital equipment, and facilities repair. Our request represents an increase of \$12,416,000 over the level of funding currently provided for this account for FY 2013.

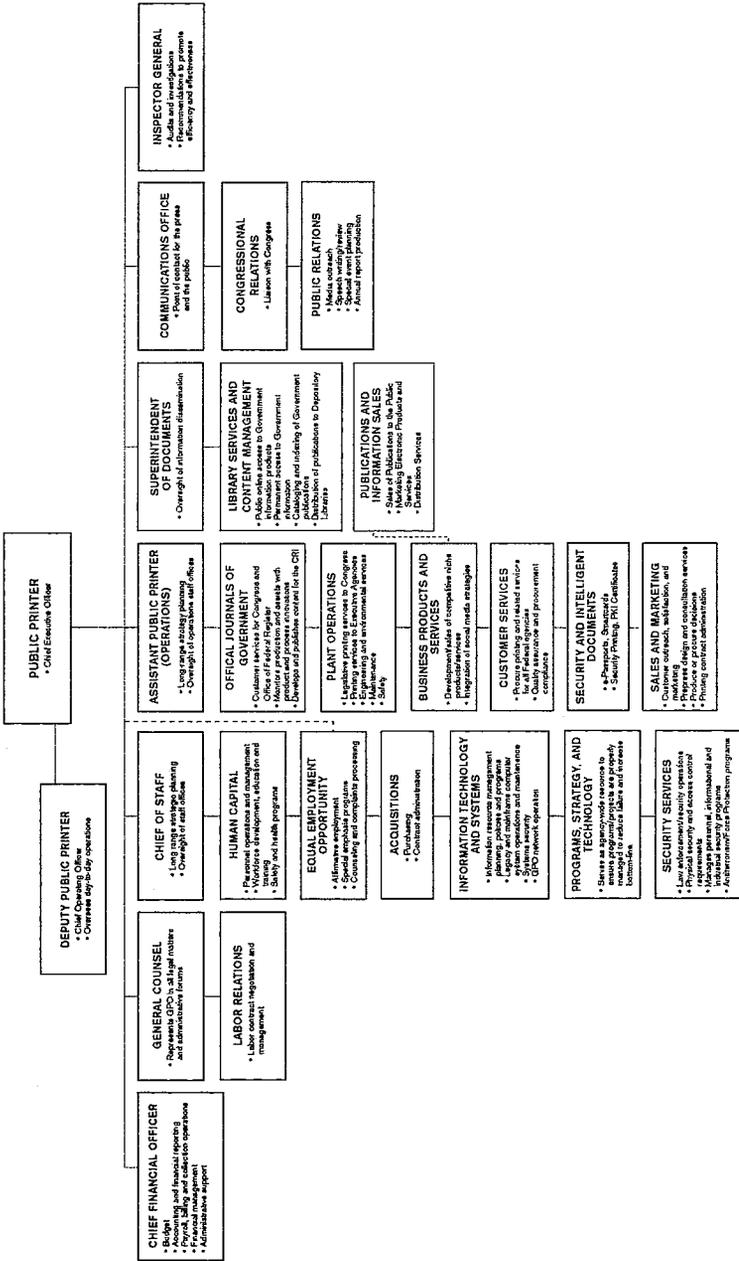
The request includes \$7,449,000 for information technology development, including \$6,534,000 to continue developing FDsys, \$500,000 to modernize GPO's data center, and \$415,000 for Oracle business system improvements. These IT projects include components that will have a direct impact on the provision of digital information production and dissemination services for Congress. In addition, we are requesting \$4,000,000 to purchase and install a digital bindery line for congressional work, and \$1,470,000 to continue with elevator repairs and renovate a rooftop training room that is currently leaking water onto recently renovated elevators.

# GPO ORGANIZATIONAL CHART



\* The Public Printer's annual rate of pay is Executive Level II.  
The Acting Public Printer is being paid at the Executive Level III annual rate, the level established by law for the Deputy Public Printer.

# GPO FUNCTIONS BY ORGANIZATION



## GPO STAFFING INFORMATION

As Of September 30, 2012

| <b>Business Unit</b>                    | <b>1-8</b> | <b>9-12</b> | <b>13-15</b> | <b>SLS</b> | <b>Executive</b> | <b>Wage Grade</b> | <b>Total</b> |
|---|------------|-------------|--------------|------------|------------------|-------------------|--------------|
| Acquisitions                            | 6          | 9           | 7            | 0          | 0                | 0                 | 22           |
| Business Products and Services          | 31         | 41          | 14           | 1          | 0                | 12                | 99           |
| Chief of Staff                          | 0          | 1           | 0            | 0          | 0                | 0                 | 1            |
| Communications Office                   | 0          | 1           | 6            | 1          | 0                | 0                 | 8            |
| Customer Services                       | 30         | 89          | 39           | 0          | 0                | 10                | 168          |
| Equal Employment Opportunity            | 2          | 2           | 3            | 0          | 0                | 0                 | 7            |
| Chief Financial Officer                 | 25         | 46          | 47           | 2          | 0                | 2                 | 112          |
| General Counsel                         | 1          | 4           | 5            | 3          | 0                | 0                 | 13           |
| Human Capital                           | 13         | 22          | 20           | 1          | 0                | 0                 | 56           |
| Information Technology and Systems      | 3          | 24          | 73           | 2          | 0                | 0                 | 102          |
| Inspector General                       | 0          | 4           | 9            | 1          | 0                | 0                 | 14           |
| Library Services and Content Management | 9          | 43          | 27           | 2          | 0                | 7                 | 88           |
| Official Journals Of Government         | 4          | 13          | 13           | 1          | 0                | 51                | 82           |
| Operations Support                      | 6          | 2           | 7            | 0          | 0                | 173               | 188          |
| Plant Operations                        | 26         | 57          | 54           | 3          | 0                | 540               | 680          |
| Programs, Strategy, and Technology      | 0          | 4           | 18           | 1          | 0                | 0                 | 23           |
| Public Printer                          | 0          | 5           | 1            | 1          | 1                | 0                 | 8            |
| Sales and Marketing                     | 0          | 8           | 3            | 0          | 0                | 0                 | 11           |
| Security                                | 37         | 11          | 4            | 0          | 0                | 0                 | 52           |
| Security and Intelligent Documents      | 13         | 5           | 25           | 1          | 0                | 104               | 148          |
| <b>Grand Total</b>                      | <b>206</b> | <b>381</b>  | <b>375</b>   | <b>20</b>  | <b>1</b>         | <b>899</b>        | <b>1,882</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 1,882 employees, as of September 30, 2012.

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 2012<br><u>Actual</u> | FY 2013<br><u>P.L. 112-175</u> | FY 2014<br><u>Request</u> | FY 2013/2014<br><u>Net Change</u> |
|--|--------------------------|--------------------------------|---------------------------|-----------------------------------|
| Congressional Printing<br>and Binding                | \$ <u>90,700</u>         | \$ <u>91,255</u>               | \$ <u>79,736</u>          | \$ <u>(11,519)</u>                |
| Superintendent of Documents<br>Salaries and Expenses |                          |                                |                           |                                   |
| By Law Distribution                                  | 350                      | 352                            | 358                       | 6                                 |
| Cataloging and Indexing                              | 10,500                   | 10,564                         | 10,747                    | 183                               |
| Federal Depository Library                           | 23,100                   | 23,242                         | 23,643                    | 401                               |
| International Exchange                               | <u>1,050</u>             | <u>1,056</u>                   | <u>1,075</u>              | <u>19</u>                         |
| Total Appropriation                                  | <u>35,000</u>            | <u>35,214</u>                  | <u>35,823</u>             | <u>609</u>                        |
| Revolving Fund                                       | <u>500</u>               | <u>503</u>                     | <u>12,919</u>             | <u>12,416</u>                     |
| Total Appropriations                                 | <u>\$ 126,200</u>        | <u>\$ 126,972</u>              | <u>\$ 128,478</u>         | <u>\$ 1,506</u>                   |

FY 2013 based on P.L. 112-175, Continuing Appropriations Act

US GOVERNMENT PRINTING OFFICE  
**Staffing Summary – FTE's**

| <u>Appropriation Title</u>                           | <u>FY 2012<br/>Actual</u> | <u>FY 2013<br/>Approved</u> | <u>FY 2014<br/>Request</u> | <u>2013/2014<br/>Change</u> |
|--|---------------------------|-----------------------------|----------------------------|-----------------------------|
| Congressional Printing<br>and Binding                | <u>          </u>         | <u>          -</u>          | <u>          -</u>         | <u>          -</u>          |
| Superintendent of Documents<br>Salaries and Expenses |                           |                             |                            |                             |
| By Law Distribution                                  | 1                         | 1                           | 1                          |                             |
| Cataloging and Indexing                              | 28                        | 28                          | 28                         |                             |
| Federal Depository Library                           | 63                        | 80                          | 80                         |                             |
| International Exchange                               | <u>3</u>                  | <u>5</u>                    | <u>5</u>                   | <u>-</u>                    |
| Total Appropriation                                  | <u>95</u>                 | <u>114</u>                  | <u>114</u>                 | <u>          </u>           |
| Revolving Fund                                       | <u>1,825</u>              | <u>1,796</u>                | <u>1,796</u>               | <u>-</u>                    |
| Total Agency   | <u>1,920</u>              | <u>1,910</u>                | <u>1,910</u>               | <u>-</u>                    |

## GPO MISSION, GOALS, OBJECTIVES

### Mission Statement

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*Keeping America Informed* by producing, protecting, preserving, and distributing the official publications and information products of the Federal Government.

### Vision

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Continue to Transform Ourselves into a Digital Information Platform and Provider of Secure Credentials

### About GPO

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Established in 1861, GPO's mission can be traced to the requirement in Article I of the Constitution that Congress keep a journal of its proceedings and from time to time publish the same. GPO's inplant production and printing procurement operations produce the official publications of Congress, the White House, and Federal agencies. GPO's information dissemination programs provide public access to the official publications and information of the Government in both digital and printed formats through an official Web site ([www.fdsys.gov](http://www.fdsys.gov)), a partnership with Federal depository libraries nationwide, and both online and bookstore sales. Total GPO employment today is approximately 1,900.

Congressional printing and information services are the primary function of GPO's inplant facility in Washington, DC. In addition to the Congressional Record containing the daily proceedings of Congress, GPO produces bills, hearings, reports, and other legislative documents, in digital and print formats, as required by the Senate and House of Representatives and their committees. GPO's inplant facility also produces the daily Federal Register and Code of Federal Regulations, and the annual Budget of the U.S. Government, as well as U.S. passports and other secure Federal credentials. GPO has an additional facility in Mississippi for passport production.

GPO provides centralized operations for the procurement of information products for the entire Government, purchasing approximately \$400 million annually from private sector vendors nationwide for Federal agency customers. About 75% of all the products ordered annually from GPO (other than passports and secure credentials) are procured from the private sector, including Social Security cards, census and tax forms, and Medicaid and Medicare materials. GPO's procurement program provides great economic opportunity for the private sector. The majority of the firms GPO deals with are small businesses of 20 employees or less. The total number of contractors registered to do business with GPO is approximately 16,000.

GPO's primary information dissemination program involves a partnership with 1,200 Federal depository libraries nationwide, or about three (3) per congressional district. Today, the partnership is predominantly electronic, but tangible formats are distributed where online equivalents are not available. GPO's Federal Digital System (FDSys) Web site provides access to approximately 680,000 documents online,

with more than 13 million documents downloaded every month. GPO also provides for public sale of Government publications via its traditional and online bookstores, and offers eBooks through partnerships with multiple vendors, and has recently introduced a variety of mobile apps of key Federal documents.

GPO operates on a revolving fund basis, like a business. Only 16% of GPO's funding comes from direct appropriation to cover the cost of congressional work and the depository library program and supporting distribution programs. All other revenues to GPO are reimbursements from agencies for work performed or sales of publications to the public.

For more information, please visit [www.gpo.gov](http://www.gpo.gov). Follow GPO on Twitter <http://twitter.com/USGPO>, YouTube <http://www.youtube.com/user/gpoprinter>, and Facebook <http://www.facebook.com/pages/US-Government-Printing-Office/1625928971264547v=wall>.

### Core Values

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GPO's core values define our character. These values transcend product and market cycles, management trends, technological change, and individual leaders. Over the years, GPO has developed new product lines, employed new strategies, reengineered processes, and significantly restructured the organization yet the core values have remained intact.

#### Commitment

GPO has had the privilege of *Keeping America Informed* for over 150 years. It continues that long tradition by providing an uncompromised dedication to authentic, fast, and reliable service.

#### Customer Service

GPO has a customer-centric approach and has agency-wide procedures, policies, and activities in place to ensure we are meeting customers' needs and exceeding their expectations.

#### Dependability

GPO is a trusted source of Federal information and works to deliver quality goods and services on time.

#### Diversity

GPO is dedicated to diversity in every aspect of the business. Our commitment to diversity helps serve customers better and provides a positive work environment for employees. GPO is committed to promoting and supporting an inclusive environment that provides to all employees the chance to work to their full potential.

#### Integrity

GPO's employees believe that honesty and the highest ethics form the cornerstone of the organization and create an environment of trust.

#### Teamwork

GPO employees treat one another with dignity and respect and communicate openly. GPO's environment fosters collaboration and innovation while maintaining individual accountability. The agency partners with the Government and the private sector to provide the best value to customers.

## Situational Analysis

GPO continues to transform itself into a digital information platform and provider of secure credentials in an environment of constantly changing technology and fiscal constraints. GPO's customers are involved in the digital world and understand technological change. It is important that GPO fosters an environment that embraces change and innovation which leads to new products and services, new methods, and new ways of thinking.

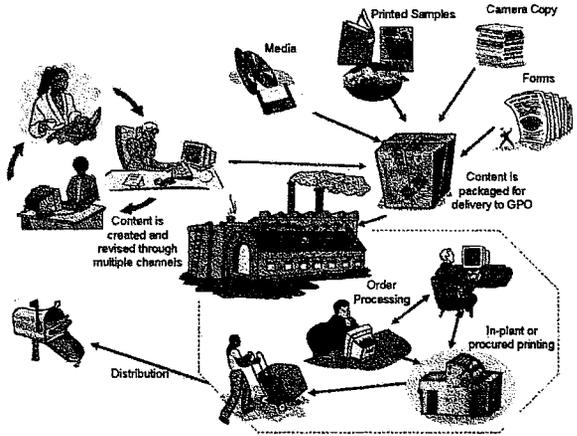
For much of GPO's history, the mission of *Keeping America Informed* was accomplished through the production of conventional ink-on-paper. GPO would receive content in multiple formats from multiple channels, print or procure the work, and deliver it to customers in a timely and cost-effective manner. This process continues today, but the demand for printed publications has declined while there has been exponential growth in digital requirements. GPO has changed to anticipate and accommodate those requirements.

Today, we estimate that approximately 97% of all Federal Government documents are born digital. Many of these documents are published to the Web and not printed.

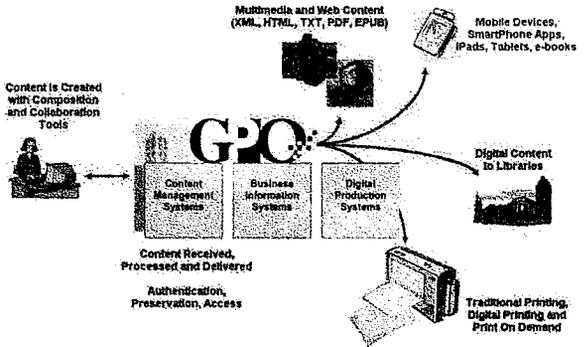
As a result, the content received from Congress and Federal agencies needs to be managed through a life cycle process that supports the primary requirement to make the digital version of publications permanently available online, and to print only when required or otherwise necessary.

Today, GPO is transforming its business model to a content-centric model, focusing on managing content for customer and public use today and tomorrow. GPO uses its extensive experience and expertise with digital systems to provide both permanent public access to Government information in a variety of formats and the most efficient and effective means for printing when required, all within a secure setting that is responsive to its customers' needs.

## Print-Centric Model



## Content-Centric Model



## I. Satisfying Our Stakeholders

### A. It's all About the Customer

#### Objective

Develop internal processes and procedures that develop an internal organizational culture in which exceptional service, delivery and customer satisfaction are encouraged and rewarded.

- GPO will work to understand, anticipate, and meet the needs of customers. GPO will provide world-class customer service together with product innovation through a wide range of print and technology vehicles.
- GPO is dedicated to providing products that deliver results and will recognize employees who exceed customers' expectations.
- GPO will continue to utilize our expertise in printing and information technologies to educate our customers so that they can take advantage of GPO Products and Services

#### 2013 Efforts

1. **GPO-Express Customer Satisfaction Survey** — Sales and Marketing will conduct the second, annual, comprehensive GPO-Express Customer Satisfaction Survey and provide benchmark data to Customer Services.
2. **Federal Depository Library Program (FDLP) National Plan** — Library Services and Content Management (LSCM) will complete the intermediate analysis of state action plans as well as individual library and state forecasts, and will begin building the foundation of a new FDLP National Plan collaboratively with Federal depository librarians.
3. **Customer Services Satisfaction Survey** — Customer Services will enhance services provided to customers based on best practices and customer feedback from the FY11 Customer Services Satisfaction Survey.
4. **Enhanced Outreach and Communication with Customers** — GPO will expand communication capabilities for all stakeholders. Key initiatives include but are not limited to:
  - **GPO Web Site** — Business Products and Services will redesign GPO's external website.
  - **Marketing Collateral** — To reflect the current and evolving positioning of GPO's products and services, a suite of new marketing collateral materials will be created. These materials will emphasize how GPO is continuing to serve the emerging digital requirements of our customer community.
  - **GPO Open House** — Business Products and Services will sponsor a GPO Open House to inform Agency Customers of GPO products and services. The Open House will have representation from all GPO Business Units and will include various workshop sessions.
  - **GPO Road Shows** — Sales and Marketing will enhance the FY13 Road Show content and presentation experience

to highlight GPO's continuing transformation into a provider of digital publishing alternatives.

- **Increased Understanding of Customer Requirements** — Security and Intelligent Documents (SID) will develop coordinated outreach strategies to better understand customer requirements and to educate current and potential customers on SID's product and service offerings.

### 5. Customer Education Initiatives — Customers will be educated on the vast array of GPO products and services. Key initiatives include but are not limited to:

- **Customer Training and Remote Learning** — Sales and Marketing will develop a series of remote learning courses to meet the needs of Regional Agency Customers on topics related to GPO's services in support of digital publishing alternatives.
- **Expanded Course Offerings** — Sales and Marketing will increase the breadth of course offerings that incorporate hands-on, application specific and practical skills that allow the customer to see an immediate return on their investment.
- **FDsys Training Initiative** — Library Services and Content Management will continue its vigorous FDsys Training Initiative, launching several new FDsys educational video modules ranging from advanced searching to tracking legislation. Library Services and Content Management will expand its e-Learning platform to:
  - Create new educational offerings and curriculum development beyond FDsys;
  - Offer collaborative training developed by partner agencies within the FDLP community, facilitated by GPO; and,
  - Extend the use of our e-Learning platform to the FDLP community for cross-community training and sharing best practices.
- **Smart Card and Credential Customers** — Security and Intelligent Documents will provide training, education, and tours for current and potential card and secure credential customers to help them better understand our business offerings.

### B. Open and Transparent

#### Objective

Build on GPO's ongoing commitment to an open and transparent government.

- GPO will continue to provide authentic information to the American public through a variety of print and technology vehicles efficiently and securely.
- GPO will become a key innovator and leader in the Presidential mandate of transparency (White House Open Government Initiative). Realizing that participation, and collaboration form the cornerstone of an open government, GPO will utilize all available technology to assist Federal agencies in disseminating information about their operations in a fast, secure, and permanent manner.

## 2013 Efforts

1. **Mobile Applications** — Programs Strategy and Technology will develop new ways for users to interact with FDsys content by providing mobile-optimized access to FDsys and enabling direct interfacing with FDsys through Application Programming Interfaces (APIs).
2. **Library Tools** — Library Services and Content Management will redesign the FDLP Desktop and Ben's Guide to U.S. Government Web sites to provide a more integrated, streamlined, user-centric tool for the FDLPs and the general public.

**C. Enhance Strategic Partnerships****Objective**

Enhance strategic partnerships to gain flexibility, build effective networks, and manage processes to meet customer demands and expectations.

- Develop the agency-wide synergies and flexibilities to continuously strive for quality, availability, and efficiency in the delivery of products and services. GPO will also work to improve its internal culture and business process to ensure mutual support and growth to customers and employees.
- GPO will continuously work on strengthening purposeful collaboration with internal and external customers that will create more efficient and effective programs and processes.

## 2013 Efforts

1. **New Strategic Partners** — Library Services and Content Management will continue to work with strategic partners, including the Department of Treasury, the Library of Congress, and the Administrative Office of the U.S. Courts to fully implement FDsys ingest/collection processing and increase public access to digitized collections of high value to the American public.
2. **Library Community** — Library Services and Content Management will host the annual Depository Library Council in October 2012 and an Interagency meeting in August 2013.
3. **State Department** —
  - Security and Intelligent Documents will work as part of the Next Generation Passport Committee system to develop a future US passport.
  - Security and Intelligent Documents will continue to work as a team member with Department of State (DOS) on the Engineering Change Committee that addresses any changes to processes, procedures, or products.
  - Security and Intelligent Documents will participate in the annual training of the DOS Consular Affairs Office of Fraud Prevention Officers.
4. **Smart Card and Credential Customers** — Security and Intelligent Documents will work closely with Federal Agency Customers to provide a wide range of smart card credential products and services in the areas of design, printing, manufacturing, personalization and fulfillment.

5. **On-Line Paper Store** — Through a strategic partnership with a private-sector company, Plant Operations will maintain an on-line tool for any Government Customer to procure paper products of good quality and fair price.
6. **Leasing Agreements** — Plant Operations will continue supporting strategic partnerships with Federal partners to establish leasing agreements for consolidated GPO space.
7. **Interagency Council** — GPO hosts and participates in the Interagency Council on Printing and Publications Services (ICPPS) meetings which are held throughout the year.
8. **Reimbursable Distribution Program** — Business Products and Services will work closely with Agency Customers to provide storage and distribution services. Business Products and Services will also identify new customers requiring assistance with storage and distribution.
9. **Digitization of Documents** — Customer Services will work with Federal Customers to assist them in complying with the President's mandate to digitize all of their documents to the highest degree possible.

**II. Strengthening Our Organizational Foundation****A. Right Tools****Objective**

Anticipate, plan and equip GPO to provide products and services to customers.

- In order to provide quality service to customers, GPO must invest in employees and technology. GPO will focus on the creation of first-rate, system-wide solutions that meet customer requirements and exceed customer expectations. GPO will improve processes and technology to ensure that solutions are scalable, available, cost-effective, and secure.
- Technology investments will be in direct relationship with GPO business goals, resulting in excellent customer service, strong partnerships, secure infrastructures, and cost-effective performance.

## 2013 Efforts

1. **Automated Procurement System** — Acquisition Operations will acquire an Automated Procurement System.
2. **Acquisition Plans** — Acquisition Operations will enhance relationships and communication with Business Units and develop acquisition plans.
3. **Modernization of Legacy Applications** — Information Technology and Systems will continue to work with Business Units to modernize legacy applications to ensure application support and improve system capabilities. This effort includes, but is not limited to the Automated Procurement System, the Depository Selections Information Management System (DSIMS), Acquisitions Classification and Shipment Information Systems (ACSIS) and various sales systems.
4. **Full Deployment of XML Publication** — Plant Operations will pursue the implementation of a state-of-the-art

composition tool to replace MicroComp, a 30-year old locator-based system that does not support today's Extended Markup Language (XML) data standard.

5. **Secure Document Materials Testing (SDMT) Laboratory** — Plant Operations will continue the positioning of the SDMT Laboratory in the growing market of digital printed product testing and evaluation for secure documents.
6. **Advanced Manufacturing** — Within the limits of available funding, Plant Operations will continue relying on a balanced approach when investigating next-generation technologies for its production operations.
7. **Vehicle Fleet Tracking** — Consistent with industry leaders, Plant Operations' fleet vehicles will be upgraded with GPS tracking devices to study and optimize routes, and to provide real-time utilization.
8. **Infrastructure Management** — Plant Operations will support GPO's transition to a digital information factory with an emphasis on the following:
  - The Computerized Maintenance Management System (CMMS) will be upgraded to track more effectively all infrastructure and equipment maintenance/installation project work (i.e., labor and material costs, estimated and actual costs).
  - Facilities modifications and upgrades will be put into place to support the installation of digital manufacturing technologies such as new e-Passport production lines, relocation of the Digital Print Center and support the Agency's vision for new tenants.
  - Digital physical security system upgrades will be installed to include a comprehensive state-of-the-art fire alarm and emergency alert system, DVR-enabled camera systems, biometric access and motion sensors systems to secure production areas, and foster both product and employee safety.
9. **Industry Certifications** — Plant Operations will maintain IDEAlliance's *High Quality Government Printer* designation through annual G7 Master Printer certification for GRACoL, Proof and Sheet-fed Offset Printing. Plant Operations will maintain yearly compliance with the Graphic Arts Industry Color Viewing Standard ISO3664:2009; and secure re-certification as Institutional Member of the Library Binding Institute demonstrating compliance with ANSI/NISO/LBI Library Binding Standard Z39.78-2000. The business unit will obtain additional certifications as appropriate.
10. **Performance Metrics** — Plant Operations will rely on and enhance quantitative operational metrics to measure organizational performance. These metrics are well established and cover volume of work, rework, safety, machine utilization, labor utilization, and environmental impact.
11. **Lean Manufacturing** — Plant Operations will continue implementation of lean manufacturing techniques to streamline and simplify operations throughout the business unit, especially 5S.
12. **Program Management Support** — Programs Strategy and Technology will continue to provide management support, business process reengineering and management of key agency strategic programs which improves organization's business performance.

13. **Security Services** — Security Services will conduct security assessments and implement strategies to mitigate potential risks to ensure a safe and secure environment for GPO employees, tenants, and visitors.

14. **GPO Data Center Consolidation and Modernization** — Information Technology and Systems will begin a modernization project to update the GPO data center environment to meet current and future technology requirements.

## B. Maintain Fiscal Responsibility

### Objective

Utilize a cost effective and collaborative approach in managing GPO's Business processes to help the Agency achieve its strategic initiatives and ensure continued financial stability.

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### 2013 Efforts

1. **Sequestration** — Manage the fiscal impact of sequestration (if it occurs) to ensure the continued provision of mission-critical products and services for Congress, Federal agencies, and the public.
2. **Five Year Capital Plan** — GPO will maintain a rolling, five-year capital plan which addresses GPO's mission and strategic objectives.
3. **Expense Management** — GPO will continue to effectively manage operating expenses.
4. **Financial Management** — GPO will effectively and efficiently manage GPO's financial resources to maximize the Agency's cash flow.
5. **Performance Ratios** — Plant Operations will continue benchmarking its financial performance against applicable National Association of Printing Leadership (NAFL) Management Plus Ratios.

## C. Environmental Stewardship

### Objective

Continue to integrate the application of environmental values into GPO processes and support environmental stewardship through effective implementation of "green initiatives."

- GPO is committed to working toward a more sustainable future and providing a safer, healthier environment to future generations. GPO will continue to introduce programs that include recycling, reducing energy consumption, reducing GPO's carbon footprint, and provide Federal customers with environmentally-friendly printing alternatives.
- GPO will remain committed to creating a sustainable environment that prioritizes agency actions based on return on investment. GPO will continue with initiatives regarding paper consumption, petroleum products utilization, energy expenditures, emissions, and other areas that have reduced its footprint on the environment. GPO is developing additional plans to incorporate this direction well into the future.

## 2013 Efforts

1. **Environmental Compliance** — Human Capital will develop an improved process for ensuring environmental compliance and will develop programs and processes that emphasize safety, health and fitness.
2. **Recycled Paper** — Acquisition Operations will continue to procure recycled paper that contains postconsumer fiber that meets or exceeds the Environmental Protection Agency (EPA) regulations, Joint Committee on Printing (JCP) specifications, and the President's Executive Order on Recycled Paper. We will also ensure that materials and supplies procured are environmentally friendly and minimize energy consumption.
3. **Green Initiatives** — Plant Operations will continue to integrate the application of environmental values into processes and support environmental stewardship through fiscally responsible and effective implementation of green initiatives.

**D. COOP Operations****Objective**

Develop appropriate plans to provide for the continuation of GPO's essential functions and operations during a wide range of all-hazards emergencies.

At GPO, COOP enables continuation of essential functions of government printing and passport production operations for Congress, government agencies and the State Department in the event of a national security or isolated emergency affecting GPO facilities in Washington, DC. GPO's business continuity plan assures the ability for GPO to publish Congressional Documents, the *Congressional Record*, the *Federal Register*, and production of U.S. Passports and Smart Cards.

## 2013 Efforts

1. **COOP Exercises** — Official Journals of Government will conduct COOP exercises with the House/Senate and Office of the Federal Register, as well as internal GPO COOP exercises and training. Plant Operations will continue to actively exercise COOP capabilities through staged events in which the business unit will utilize an offsite location to test organizational and IT capabilities.
2. **COOP Support** — Plant Operations will maintain enhanced strategic partnerships with entities within all three branches of government to support their COOP needs and in some cases to serve as an emergency response area.
3. **FDsys** — Programs Strategy and Technology will continue to upgrade and enhance FDsys COOP to keep hardware and software synchronous with the primary FDsys instance, ensuring a quick failover process with minimal impact to stakeholders.
4. **Card Personalization** — Security and Intelligent Documents will establish a Card Personalization COOP in Sennis.

**III. Offering Products and Services****A. Statutory Foundation - Title 44 U.S.C.****Objective**

The mission of the GPO is rooted in legislation codified in Title 44 U.S.C. We will continue to use technology and best practices to ensure the most efficient and effective provision of mission-critical products and services for Congress, Federal agencies, and the public.

- Determine and pursue eligible work not being handled by GPO.
- Aggressively market GPO goods and services.

## 2013 Efforts

1. **Expertise in Information Dissemination** — GPO will market our expertise and leadership with new contracting vehicles in data conversion and media development, promoting GPO as a preferred provider to help Federal agencies meet Presidential initiatives related to information dissemination.
2. **FDsys Services Model** — GPO will market FDsys service capabilities to other Federal agencies
3. **eBooks** — GPO will market and promote its eBook services to other Federal agencies. Symposiums on eBook trends and conversion training will also be offered.
4. **Technology** — GPO will make strategic investments that will result in more efficient and effective operation of GPO's production, procurement, and information dissemination programs.

**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, [\$83,632,000] \$79,736,000: *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. *Note.—A full-year 2013 appropriation for this account was not enacted at the time the budget was prepared; therefore, this account is operating under a continuing resolution (P.L. 112-175).*

**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 2014 is \$79,736,000. A total of \$89,671,000 is required to cover congressional printing and binding requirements for FY 2014. Of this amount, prior-year transfers to the GPO revolving fund of \$9,935,000 are available for the purposes of this account. The requirements for the Congressional Printing and Binding Appropriation for FY 2014 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 2,350 copies are printed daily. About 2,034 copies are charged to the Congressional Printing and Binding Appropriation, including about 728 copies distributed without charge to recipients designated by Senators. The copies that are not charged to the Congressional Printing and Binding Appropriation are delivered and charged to Government departments on requisitions and to the Superintendent of Documents for sale to subscribers. On-line access to an electronic *Congressional Record* database was initiated in 1994 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 266 sets are printed as the permanent bound edition of the *Record*. About 104 of these sets are for congressional use and charged to the Congressional Printing and Binding Appropriation. The remaining 162 sets are for public sale, charged to departments on requisition, or distributed to regional Federal depository libraries. An estimated 25,900 pages will be required in FY 2014 and the cost will be approximately \$25,105,000.

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 \$6,240,000 will be required in FY 2014 for approximately 31,400 pages.

C. United States Code. The 2012 edition of The United States Code and supplements is a set of case bound books containing the general and permanent laws of the United States. It is prepared and published every six years under authority of Title 2, U.S. Code, Section 285b by the Office of the Law Revision Counsel of the House of Representatives. The United States Code and supplements 2012 edition will be prepared and published in FY 2013.

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 2014 is \$16,948,000 for about 101.9 million units.

E. Details to Congress. This item includes the cost for GPO employees detailed to Congress. The estimated cost for FY 2014 is \$4,099,000 for 75,900 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 \$1,520,000 will be needed in FY 2014 for approximately 10,300 million envelopes, at a cost of \$1,049,000 and 4,900 million franks at a cost of \$471,000.

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 \$4,303,000 will be required in FY 2014 for approximately 36,400 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 2014 is \$6,264,000 for approximately 194,000 pages.

I. Committee Reports. This item covers printed reports of congressional committees on pending legislation which carry a congressional number. An estimated \$2,172,000 will be needed for about 47,100 pages in FY 2014.

J. Documents. This heading includes all classes of Senate and House documents ordered printed by Congress which carry a congressional number, such as annual reports, engineers' reports, special reports made by Government departments in response to resolutions, supplemental and deficiency estimates of appropriations, etc. The estimate for FY 2014 is \$1,684,000 for about 55,700 pages.

K. Hearings. This item covers all hearings before House and Senate committees. The estimate for FY 2014 is \$20,411,000 for approximately 285,400 pages.

L. Committee Prints. This item includes publications printed for the internal use of committees on pending legislation. The estimate for FY 2014 is \$925,000 for 26,300 pages.

**CONGRESSIONAL PRINTING AND BINDING APPROPRIATION**  
 Base Budget Review (Detail by Activity)  
 (Dollars in Thousands)

| Category                                    | 2012<br>Actual  | 2013<br>Estimate | 2014<br>Estimate | Change            |
|---|-----------------|------------------|------------------|-------------------|
| A. Congressional Record Publications:       |                 |                  |                  |                   |
| Daily Record:                               |                 |                  |                  |                   |
| Data Preparation.....                       | \$12,331        | \$13,278         | \$14,387         | \$1,109           |
| Printing.....                               | 6,073           | 6,540            | 7,086            | 546               |
| Subtotal.....                               | 18,404          | 19,818           | 21,473           | 1,655             |
| Record Index.....                           | 1,748           | 2,198            | 2,047            | (151)             |
| Record Indexers.....                        | 1,525           | 1,545            | 1,585            | 40                |
| Subtotal.....                               | 21,677          | 23,561           | 25,105           | 1,544             |
| B. Miscellaneous Publications.....          | 5,562           | 5,938            | 6,240            | 302               |
| C. U.S. Code.....                           |                 | 3,542            |                  | (3,542)           |
| D. Miscellaneous Printing and Services..... | 19,326          | 16,950           | 16,948           | (2)               |
| E. Details to Congress.....                 | 4,077           | 4,126            | 4,099            | (27)              |
| F. Document Env. and Franks.....            | 1,496           | 1,009            | 1,520            | 511               |
| G. Calendars.....                           | 3,240           | 2,085            | 4,303            | 2,218             |
| H. Bills, Resolutions, & Amdts.....         | 5,731           | 5,301            | 6,264            | 963               |
| I. Committee Reports.....                   | 2,239           | 1,916            | 2,172            | 256               |
| J. Documents.....                           | 1,506           | 1,623            | 1,684            | 61                |
| K. Hearings.....                            | 20,789          | 19,819           | 20,411           | 592               |
| L. Committee Prints.....                    | 937             | 1,071            | 925              | (146)             |
| Total Obligations.....                      | 86,580          | 86,941           | 89,671           | 2,730             |
| Surplus/(Shortfall).....                    | 4,120           | 4,314            | (9,935)          | (14,249)          |
| Appropriation.....                          | <u>\$90,700</u> | <u>\$91,255</u>  | <u>\$79,736</u>  | <u>(\$11,519)</u> |

Note: Prior-year transfers to the GPO revolving fund of \$9,935,000 are available for the purposes of this account.

Table 2  
**CONGRESSIONAL PRINTING AND BINDING APPROPRIATION**  
 Detailed Analysis of Change

| CALCULATION OF BASE                    |                   |
|--|-------------------|
| Staff                                  | Amount<br>(\$000) |
| -                                      | \$91,255          |
| 2014 REQUEST                           |                   |
| A. Price Level Changes                 | \$1,503           |
| 1 Daily Congressional Record:          |                   |
| 1a. Data Preparation                   | 293               |
| 1b. Printing                           | 144               |
| Subtotal                               | 437               |
| 2. Congressional Record Index          | 42                |
| 3. Congressional Record Indexers       | 40                |
| 4. Miscellaneous Publications          | 127               |
| 5. Miscellaneous Printing and Services | 97                |
| 6. Document Envelopes and Franks       | 31                |
| 7. Business & Committee Calendars      | 88                |
| 8. Bills, Resolutions, and Amendments  | 128               |
| 9. Committee Reports                   | 44                |
| 10. Documents                          | 34                |
| 11. Hearings                           | 416               |
| 12. Committee Prints                   | 19                |
| -                                      | 19                |

Table 2  
**CONGRESSIONAL PRINTING AND BINDING APPROPRIATION**  
 Detailed Analysis of Change (Cont.)

| CALCULATION OF BASE                          |                |
|--|----------------|
| Staff  | Amount (\$000) |
| B. Program Type Changes                      | (\$13,022)     |
| 1. Activity                                  | 1,227          |
| a. Daily Congressional Record:               |                |
| 1. Data Preparation                          | 816            |
| 2. Printing                                  | 402            |
| Subtotal                                     | 1,218          |
| 3. Record Index                              | (193)          |
| b. Miscellaneous Publications                | 175            |
| c. U.S. Code                                 | -              |
| d. Misc. Printing & Services                 | (3,542)        |
| e. Details to Congress                       | (99)           |
| f. Details to Congress                       | (27)           |
| g. Document Env. & Franks                    | 480            |
| h. Calendars                                 | 2,131          |
| i. Bills, Resolutions, & Amdts.              | -              |
| j. Bills, Resolutions, & Amdts.              | 835            |
| k. Committee Reports                         | -              |
| l. Committee Reports                         | 212            |
| m. Documents                                 | -              |
| n. Documents                                 | 27             |
| o. Hearings                                  | 175            |
| p. Committee Prints                          | (165)          |
| 2. Estimated Change - in Surplus/(Shortfall) | (14,249)       |
| II. Net Change                               | -              |
| III. Appropriation 2014                      | (11,519)       |
|  | -              |
|  | \$79,736       |

**CONGRESSIONAL PRINTING AND BINDING**

Explanation of Changes Shown on Table 2

|  | Staff | Amount<br>(\$000) |
|--|-------|-------------------|
| <b>A. PRICE LEVEL CHANGES</b>  |       |                   |
| The average 2 percent increase is due to increases in printing costs.  | -     | \$1,503           |
| <b>B. PROGRAM TYPE CHANGES</b>   |       |                   |
| <b>1. Activity (Volume)</b>  | -     | 1,227             |
| <b>a. Congressional Record Publications:</b>   |       |                   |
| <b>1. Daily Record</b><br>This 6.1 percent increase is computed based on historical data.                        |       | 1,218             |
| <b>2. Record Index</b><br>This 8.8 percent decrease is computed based on historical data.                        |       | (193)             |
| <b>b. Miscellaneous Publications</b><br>This 3.0 percent increase is computed based on historical data.          |       | 175               |
| <b>c. U. S. Code</b><br>2012 edition, produced every 6 years   | -     | (3,542)           |
| <b>d. Miscellaneous Printing and Services</b><br>This 0.6 percent decrease is computed based on historical data. |       | (99)              |
| <b>e. Details to Congress</b><br>This 0.7 percent decrease is computed based on historical data.                 | -     | (27)              |

**CONGRESSIONAL PRINTING AND BINDING**  
Explanation of Changes Shown on Table 2

| C. PROGRAM TYPE CHANGES  | Staff | Amount (\$000) |
|--|-------|----------------|
| 1. Activity (Volume)   |       |                |
| f. Documents Envelopes and Franks<br>This 47.6 percent increase is computed based on historical data.    |       | 480            |
| g. Business and Committee Calendars<br>This 102.2 percent increase is computed based on historical data. |       | 2,131          |
| h. Bills, Resolutions, & Amendments<br>This 15.8 percent increase is computed based on historical data.  |       | 835            |
| i. Committee Reports<br>This 11.1 percent increase is computed based on historical data.                 |       | 212            |
| j. Documents<br>This 1.6 percent increase is computed based on historical data.                          |       | 27             |
| k. Hearings<br>This 0.9 percent increase is computed based on historical data.                           |       | 175            |
| l. Committee Prints<br>This 15.4 percent decrease is computed based on historical data.                  | -     | (165)          |
| 2. Estimated Change in Shortfall Requirement   | -     | (14,249)       |
| Total Changes  | -     | (\$11,519)     |

**CONGRESSIONAL PRINTING AND BINDING APPROPRIATION**By Object Class  
(In Thousands)

| Object Class                  | 2012<br>Actual | 2013<br>Estimate | 2014<br>Estimate | Change     |
|-------------------------------|----------------|------------------|------------------|------------|
| 24 Printing &<br>Reproduction | \$90,700       | \$91,255         | \$79,736         | (\$11,519) |

**CONGRESSIONAL PRINTING AND BINDING APPROPRIATION**Analysis of Change to Budget Base  
(In Thousands)

| Object Class                  | Price<br>Level<br>Changes | Program<br>Type<br>Changes | Total<br>Changes |
|-------------------------------|---------------------------|----------------------------|------------------|
| 24 Printing &<br>Reproduction | \$1,503                   | (\$13,022)                 | (\$11,519)       |

**CONGRESSIONAL PRINTING AND BINDING APPROPRIATION**  
**Estimated Cost Per Unit by Category**

| Category                                    | Unit*          | 2012 | 2013 | 2014 |
|---|----------------|------|------|------|
| <b>A. Congressional Record Program:</b>     |                |      |      |      |
| Daily Record:                               |                |      |      |      |
| Data Preparation.....                       | Page.....      | 536  | 544  | 555  |
| Printing.....                               | Page.....      | 264  | 268  | 274  |
| Subtotal.....                               | Page.....      | 800  | 812  | 829  |
| Record Index.....                           | Page.....      | 380  | 386  | 394  |
| Record Indexers.....                        | Hours.....     | 85   | 86   | 88   |
| B. Miscellaneous Publications.....          | Page.....      | 192  | 195  | 199  |
| C. U.S. Code.....                           | Page.....      |      | 69   |      |
| D. Miscellaneous Printing and Services .... | 1,000 items... | 161  | 165  | 166  |
| E. Details to Congress.....                 | Hours.....     | 54   | 54   | 54   |
| F. Document Env. and Franks.....            | 1,000 items... | 97   | 98   | 100  |
| G. Calendars.....                           | Page.....      | 114  | 116  | 118  |
| H. Bills, Resolutions, & Amdts.....         | Page.....      | 31   | 32   | 32   |
| I. Committee Reports.....                   | Page.....      | 45   | 45   | 46   |
| J. Documents.....                           | Page.....      | 29   | 30   | 30   |
| K. Hearings.....                            | Page.....      | 69   | 70   | 72   |
| L. Committee Prints.....                    | Page.....      | 34   | 34   | 35   |

\* 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 2,350 copies, the total production cost is 17 cents per copypage, including copies ordered by agencies, depository libraries, and for sale to the public. The rider rate for printing additional copies is 1.3 cents per copypage.

**CONGRESSIONAL PRINTING AND BINDING APPROPRIATION**  
Volume Increase or Decrease

| Category                                | Unit             | 2012    |   | 2013    |   | 2014    |   |
|---|------------------|---------|---|---------|---|---------|---|
|   |                  | Total   | Increase/(Decrease)<br>Quantity Percent | Total   | Increase/(Decrease)<br>Quantity Percent | Total   | Increase/(Decrease)<br>Quantity Percent |
| <b>A. Congressional Record Program:</b> |                  |         |   |         |   |         |   |
| Daily Record:                           |                  |         |   |         |   |         |   |
| Data Preparation.....                   | Page.....        | 23,000  | 1,400 6.1                               | 24,400  | 1,500 6.1                               | 25,900  | 6.1                                     |
| Printing.....                           | Page.....        | 23,000  | 1,400 6.1                               | 24,400  | 1,500 6.1                               | 25,900  | 6.1                                     |
| Record Index.....                       | Page.....        | 4,600   | 1,100 23.9                              | 5,700   | (500) (8.8)                             | 5,200   | (8.8)                                   |
| Record Indexers.....                    | Hours.....       | 18,000  | 0 0.0                                   | 18,000  | 0 0.0                                   | 18,000  | 0.0                                     |
| Miscellaneous Publications.....         | Page.....        | 29,000  | 1,500 5.2                               | 30,500  | 900 3.0                                 | 31,400  | 3.0                                     |
| C. U.S. Code.....                       | Page.....        |         |   | 51,500  | (51,500) (100.0)                        |         | (100.0)                                 |
| D. Miscellaneous Printing and Services  | 1,000 items..... | 120,400 | (17,900) (14.9)                         | 102,500 | (600) (0.6)                             | 101,900 | (0.6)                                   |
| E. Details to Congress.....             | Hours.....       | 75,500  | 900 1.2                                 | 76,400  | (500) (0.7)                             | 75,900  | (0.7)                                   |
| F. Document Env. and Franks.....        | 1,000 items..... | 15,500  | (5,200) (33.5)                          | 10,300  | 4,900 47.6                              | 15,200  | 47.6                                    |
| G. Calendars.....                       | Page.....        | 28,400  | (10,400) (36.6)                         | 18,000  | 18,400 102.2                            | 36,400  | 102.2                                   |
| H. Bills, Resolutions, & Amdts.....     | Page.....        | 183,900 | (16,300) (8.9)                          | 167,600 | 26,400 15.8                             | 194,000 | 15.8                                    |
| I. Committee Reports.....               | Page.....        | 50,300  | (7,900) (15.7)                          | 42,400  | 4,700 11.1                              | 47,100  | 11.1                                    |
| J. Documents.....                       | Page.....        | 51,600  | 3,200 6.2                               | 54,800  | 900 1.6                                 | 55,700  | 1.6                                     |
| K. Hearings.....                        | Page.....        | 301,175 | (18,275) (6.1)                          | 282,900 | 2,500 0.9                               | 285,400 | 0.9                                     |
| L. Committee Prints.....                | Page.....        | 27,600  | 3,500 12.7                              | 31,100  | (4,800) (15.4)                          | 26,300  | (15.4)                                  |

**CONGRESSIONAL BILLINGS FOR COMMITTEES BY CATEGORY**  
 FY 2012, as of September 30, 2012

| House Committee                     | Daily Comm. Exp. | Record Index | Record Index Increases | Misc. Publs. | Misc. PMS | Detaila   | Doc. Env. | Doc. Franks | Calendars | Bills | Reports | Documents | Hearings   | Prints  | Committee TOTALS |
|-------------------------------------|------------------|--------------|------------------------|--------------|-----------|-----------|-----------|-------------|-----------|-------|---------|-----------|------------|---------|------------------|
| U.S. House of Representatives       | 9,620,025        | 1,034,539    |                        | 27,827       | 1,824,470 | 6,854     | 320,975   |             |           |       |         |           | 8,450      | 5,450   | 12,843,144       |
| Clerk of The House                  |                  |              |                        | 209,756      | 2,245,264 | 69,174    | 270,300   | 341,842     | 2,100,319 |       | 44,339  | 389       | 10,647     | 2,623   | 5,285,232        |
| House Members                       |                  |              |                        | 1,739        | 789       |           | 86,921    |             |           |       |         |           |            |         | 96,017           |
| H Agriculture                       |                  |              |                        | 45,132       | 325,489   | 88,130    |           |             | 8,739     |       |         |           | 199,923    | 851     | 237,636          |
| H Appropriations                    |                  |              |                        | 23,764       | 73,592    | 189,702   |           |             |           |       |         |           | 3,652,770  | 246,630 | 4,271,630        |
| H Banking and Financial Services    |                  |              |                        | 13,300       |           |           |           |             |           |       |         |           | 489,146    | 61,377  | 943,581          |
| H Education and the Workforce       |                  |              |                        | 39,100       |           |           |           |             | 14,778    |       |         |           | 704,863    | 12,727  | 748,487          |
| H International Relations           |                  |              |                        | 1,875        | 115,928   |           |           |             |           |       |         |           | 169,861    | 2,089   | 210,929          |
| H Government Reform                 |                  |              |                        | 199,752      | 96,066    |           |           |             |           |       |         |           | 449,034    | 38,987  | 695,625          |
| H Administration                    |                  |              |                        | 70,796       |           |           |           |             |           |       |         |           | 881,985    | 1,531   | 1,177,813        |
| H Resources                         |                  |              |                        | 15,537       |           |           |           |             |           |       |         |           | 37,867     | 1,531   | 110,214          |
| H Commerce                          |                  |              |                        | 220,489      | 138,076   |           |           | 19,251      |           |       |         |           | 158,890    | 3,464   | 197,142          |
| H Industry                          |                  |              |                        | 103,973      |           |           |           | 24,368      |           |       |         |           | 1,219,450  |         | 1,651,993        |
| H Transportation and Infrastructure |                  |              |                        | 62,561       | 88,010    |           |           |             |           |       |         |           | 532,408    | 27,377  | 683,759          |
| H Rules                             |                  |              |                        | 273          | 591       |           |           |             | 15,115    |       |         |           | 592,398    | 689     | 723,655          |
| H Science                           |                  |              |                        | 52,595       | 73,602    |           |           |             |           |       |         |           | 6,094      | 57,755  | 79,829           |
| H Veterans Affairs                  |                  |              |                        | 1,435        | 239,927   |           |           |             |           |       |         |           | 254,944    | 7,263   | 388,395          |
| H Ways and Means                    |                  |              |                        | 13,015       | 100,773   |           |           |             | 15,603    |       |         |           | 90,460     | 1,533   | 346,155          |
| H Small Business                    |                  |              |                        | 9,024        |           |           |           |             |           |       |         |           | 12,500     | 300     | 624,465          |
| H Security and Coop. in Europe      |                  |              |                        | 4,875        | 81,972    |           |           |             |           |       |         |           | 159,063    |         | 187,089          |
| H Standards of Official Conduct     |                  |              |                        | 28,944       | 44,991    |           |           |             |           |       |         |           | 36,543     |         | 125,392          |
| H Office of Char/Adm. Offices       |                  |              |                        | 80,989       | 60,051    |           |           |             |           |       |         |           | 209,627    | 21,046  | 88,402           |
| H Budget                            |                  |              |                        | 298          | 5,655     |           |           |             |           |       |         |           | 41,300     | 34,002  | 81,759           |
| H Legislative Council               |                  |              |                        | 37           | 331,182   |           |           |             |           |       |         |           | 504        |         | 331,219          |
| H Homeland Security                 |                  |              |                        | 5,254        | 40,105    | 85,374    |           |             | 12,342    |       |         |           | 214,033    | 6,248   | 383,696          |
| H Intelligence                      |                  |              |                        | 64,603       | 12,138    |           |           |             |           |       |         |           | 3,722      |         | 10,127           |
| H U.S. China Econ. Sec. Rev.        |                  |              |                        | 508,398      | 1,966,176 | 1,308,746 | 677,766   | 341,842     | 2,210,667 | 0     | 57,728  | 210,687   | 10,193,017 | 641,946 | 32,768,877       |
| Total House                         | 9,620,025        | 1,034,539    | 0                      | 508,398      | 5,656,176 | 1,308,746 | 677,766   | 341,842     | 2,210,667 | 0     | 57,728  | 210,687   | 10,193,017 | 641,946 | 32,768,877       |

**CONGRESSIONAL BILLINGS FOR COMMITTEES BY CATEGORY**  
 FY 2012, as of September 30, 2012

| Senate<br>Committees             | Daily<br>Cong. Rec. | Record<br>Index | Misc.<br>Pub. | Misc.<br>P&S | Misc.<br>Details | Doc.<br>Env. | Doc.<br>Fk. | Calendars | Bills   | Reports | Docs.   | Hearings  | Prints  | TOTALS     |
|----------------------------------|---------------------|-----------------|---------------|--------------|------------------|--------------|-------------|-----------|---------|---------|---------|-----------|---------|------------|
|                                  |                     |                 |               |              |                  |              |             |           |         |         |         |           |         |            |
| U. S. Senate                     | 7,123,850           | 755,642         | 4,454         | 394,908      |                  |              |             |           |         |         |         |           |         | 1,925,001  |
| Secretary of Senate              |                     |                 |               | 1,391,823    | 376,668          |              |             |           |         | 34,676  | 85,129  | 2,139     |         | 3,084,209  |
| Senate Members                   |                     |                 |               | 2,719,649    |                  | 384,364      |             |           |         |         |         |           |         |            |
| S. Secretary-Sergeant at Arms    |                     |                 |               | 859,449      | 90,720           |              |             |           |         |         |         | 150,326   |         | 859,449    |
| S. Agr., Nutrition & Forestry    |                     |                 |               |              |                  |              |             |           |         |         |         |           |         | 241,046    |
| S. Appropriations                |                     |                 | 28,402        | 26,556       | 366,253          |              |             |           |         |         |         |           |         | 797,873    |
| S. Armed Services                |                     |                 |               | 79,229       |                  |              |             |           | 710     |         |         |           |         | 416,636    |
| S. Banking, Housing & Urban Aff. |                     |                 |               | 3,503        | 155,763          |              |             |           |         |         |         |           |         | 511,863    |
| S. Comm., Sci. & Transportation  |                     |                 |               | 8,580        | 86,782           | 107,172      |             |           |         |         |         |           |         | 765,318    |
| S. Finance                       |                     |                 |               | 2,861        | 34,457           | 176,146      |             | 16,596    |         | 190     |         | 362,970   |         | 619,826    |
| S. Foreign Relations             |                     |                 |               | 62,436       | 67,959           | 166,266      |             | 6,799     |         | 780     |         | 187,687   |         | 593,196    |
| S. Homeland Sec. & Gov. Aff.     |                     |                 |               | 2,416        | 96,304           | 92,266       |             | 9,314     |         |         |         | 649,078   |         | 856,980    |
| S. Energy & Natural Resources    |                     |                 |               | 3,510        | 26,096           | 192,024      |             | 15,343    |         |         |         | 163,374   |         | 475,058    |
| S. Judiciary                     |                     |                 |               | 54,892       | 92,826           |              |             |           |         |         |         | 871,943   |         | 818,651    |
| S. Health, Edu., Lb. & Pensions  |                     |                 |               | 1,863        | 6,490            | 65,692       |             |           |         | 3,152   |         | 98,593    |         | 313,198    |
| S. Environ. & Public Works       |                     |                 |               | 9,509        | 123,228          |              |             |           |         |         |         | 159,376   |         | 294,819    |
| S. Rules and Administration      |                     |                 |               | 3,359        |                  |              |             |           |         |         | 240,391 | 89,271    | 59,239  | 391,349    |
| S. Democratic Policy             |                     |                 |               | 1,689        |                  |              |             |           |         |         |         |           |         | 1,669      |
| S. Republican Policy             |                     |                 |               | 1,700        | 2,974            |              |             |           |         |         |         |           |         | 4,673      |
| S. Small Business & Entrepr.     |                     |                 |               | 10,931       |                  |              |             |           |         |         |         | 56,624    |         | 67,555     |
| S. Aging                         |                     |                 |               | 23,769       |                  |              |             |           |         |         |         | 104,396   |         | 128,165    |
| S. Ethics                        |                     |                 |               | 10,819       |                  |              |             |           |         |         |         |           |         | 10,819     |
| S. Veterans Affairs              |                     |                 |               | 28,946       | 96,984           |              |             | 5,068     |         |         |         | 86,022    |         | 217,019    |
| S. Legislative Counsel           |                     |                 |               | 9,443        | 342,612          |              |             |           |         |         |         |           |         | 352,056    |
| S. Sergeant at Arms              |                     |                 |               | 285,640      | 129,889          |              |             | 4,482     |         |         |         |           |         | 420,031    |
| S. Budget                        |                     |                 |               | 13,732       | 64,368           |              |             |           |         |         |         | 21,975    | 40,822  | 140,897    |
| S. Legal Counsel                 |                     |                 |               | 2,846        |                  |              |             |           |         |         |         |           |         | 2,846      |
| S. Intelligence                  |                     |                 |               | 599          | 1,393            |              |             | 2,058     |         |         |         | 48,658    |         | 3,056      |
| S. Indian Affairs                |                     |                 |               | 23,885       | 88,128           |              |             |           |         |         |         | 80,815    |         | 55,964     |
| Total Senate                     | 7,123,850           | 755,642         | 0             | 9,093,148    | 2,891,136        | 364,394      | 0           | 1,492,598 | 196,156 | 131,448 | 355,700 | 4,543,437 | 575,873 | 24,590,612 |

**CONGRESSIONAL BILLINGS FOR COMMITTEES BY CATEGORY**  
 FY 2012, as of September 30, 2012

|                                   | Daily Cong. Rec. | Record Index | Record Inclusions | Misc. Pubs. | Misc. PPS  | Details   | Doc. Env. | Doc. Franks | Calendars | Bills     | Reports   | Documents | Hearings   | Committee Prints | TOTALS     |
|-----------------------------------|------------------|--------------|-------------------|-------------|------------|-----------|-----------|-------------|-----------|-----------|-----------|-----------|------------|------------------|------------|
| Joint Committees                  |                  |              |                   |             |            |           |           |             |           |           |           |           |            |                  |            |
| Joint Committee On Printing       |                  |              |                   |             |            |           |           |             |           |           |           | 240       | 63,945     |                  | 66,715     |
| Joint Economic Committee          |                  |              |                   | 7,099       |            |           |           |             |           |           |           | 186       |            | 145,123          | 173,714    |
| Joint Committee on Taxation       |                  |              |                   | 28,411      |            |           |           |             |           |           |           |           | 33,410     |                  | 33,532     |
| Joint Select Com. on Deficit Red. |                  |              |                   | 122         |            |           |           |             |           |           |           |           |            |                  | 122        |
| Joint Com. on Inaug. Cerem.       |                  |              |                   | 11,216      |            |           |           |             |           |           |           |           |            |                  | 11,216     |
| Total Joint Committees            | 0                | 0            | 0                 | 91,345      | 46,818     | 0         | 0         | 0           | 0         | 0         | 0         | 420       | 122,725    | 145,123          | 406,432    |
| Miscellaneous                     |                  |              |                   |             |            |           |           |             |           |           |           |           |            |                  |            |
| Bylaw                             | 1,337,612        |              | 1,522,632         | 2,370,019   | 6,354,480  | 141,210   |           |             |           | 5,291,076 | 1,947,617 | 1,714,100 |            | 34,800           | 20,713,447 |
| Ambassador of the Congo           | 0                | 0            | 0                 | 212,168     | 31,689     |           |           |             | 21,217    |           |           | 0         | 10,808     |                  | 275,882    |
| Cong. Exe. Com. on China          |                  |              |                   | 881         |            | 17,820    |           |             |           |           |           |           | 51,670     | 26,053           | 65,724     |
| S. Commission on Narcotics        |                  |              |                   | 11,980      | 4,384      |           |           |             |           |           |           |           |            |                  | 16,794     |
| Total Miscellaneous               | 1,337,612        | 0            | 1,522,632         | 2,593,566   | 6,391,354  | 159,030   | 0         | 0           | 21,217    | 5,291,076 | 1,947,617 | 1,714,100 | 62,678     | 56,853           | 21,109,617 |
| TOTALS                            | 18,081,387       | 1,700,151    | 1,522,632         | 3,571,882   | 16,497,617 | 4,064,812 | 1,642,160 | 341,842     | 3,724,172 | 5,487,831 | 2,136,794 | 2,280,717 | 14,919,857 | 1,422,682        | 78,664,738 |

Note: Includes billing adjustments.

## DETAILS TO CONGRESS AS OF SEPTEMBER 30, 2011 AND 2012

|   | 2011      | 2012      |
|---|-----------|-----------|
| <b>SENATE COMMITTEES</b>                            |           |           |
| Agriculture, Nutrition, & Forestry.....             | 1         | 1         |
| Appropriations.....                                 | 4         | 2         |
| Banking, Housing, & Urban Affairs.....              | 2         | 2         |
| Budget.....   | 1         | 1         |
| Commerce, Science, & Transportation.....            | 1         | 1         |
| Energy & Natural Resources.....                     | 2         | 2         |
| Finance.....  | 2         | 2         |
| Foreign Relations.....                              | 2         | 2         |
| Homeland Security & Governmental Affairs.....       | 1         | 1         |
| Health, Education, Labor, & Pensions.....           | 1         | 1         |
| Indian Affairs.....                                 | 1         | 1         |
| Judiciary.....                                      | 1         | 1         |
| Veterans' Affairs.....                              | 1         | 1         |
| Environment & Public Works.....                     | 2         | 2         |
| Total Senate Committees.....                        | <u>22</u> | <u>20</u> |
| <b>HOUSE COMMITTEES</b>                             |           |           |
| Oversight & Government Reform.....                  | 1         | 1         |
| Homeland Security.....                              | 1         | 1         |
| Armed Services.....                                 | 2         | 2         |
| Energy & Commerce.....                              | 2         | 2         |
| Agriculture.....                                    | 1         | 1         |
| Total House Committees.....                         | <u>7</u>  | <u>7</u>  |
| <b>MISCELLANEOUS</b>                                |           |           |
| House Legislative Counsel.....                      | 4         | 4         |
| Congressional Research Service.....                 | 1         | 1         |
| Senate Enrolling Clerk.....                         | 1         | 1         |
| Senate Legislative Counsel.....                     | 4         | 3         |
| Senate Official Reporters.....                      | 1         | 1         |
| Senate Service Department.....                      | 1         | 1         |
| House Enrolling Clerk.....                          | 1         | 1         |
| Senate Docutech Room.....                           | 1         | 1         |
| Commission on Security & Cooperation in Europe..... | 1         | 2         |
| Total Miscellaneous.....                            | <u>14</u> | <u>13</u> |
| <b>SUMMARY</b>                                      |           |           |
| Senate Committees.....                              | 22        | 20        |
| House Committees.....                               | 7         | 7         |
| Miscellaneous.....                                  | <u>14</u> | <u>13</u> |
|   | <u>43</u> | <u>40</u> |

**OFFICE OF SUPERINTENDENT OF DOCUMENTS**  
**SALARIES AND EXPENSES**  
Including Transfer of Funds  
Fiscal Year 2014

**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, [\$34,728,000] *\$35,823,000*:

*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 [2011 and] 2012 *and 2013* 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. *Note.—A full-year 2013 appropriation for this account was not enacted at the time the budget was prepared; therefore, this account is operating under a continuing resolution (P.L. 112-175).*

**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 (FDLP); (2) cataloging and indexing Government publications; (3) distribution of Government publications to the International Exchange Service (IES); and (4) distribution of certain Government publications to Members of Congress and other Government agencies, as mandated by law.

A total of \$35,823,000 is requested for Fiscal Year 2014. This is an increase of \$609,000 from the FY 2013 continuing resolution amount. The agency received approval in FY 2013 to transfer \$3,732,289 from prior-year appropriations to fund activities under their account. The agency is seeking \$3,500,000 in transfer funds for FY 2014 based on the availability of prior-year funds.

The FY 2014 request includes funding for 114 full-time equivalents (FTEs). This is the same FTE level as FY 2013. This appropriation request was developed using a flat-line budget approach with the addition of inflation and adjustments made for mandatory personnel costs. A description of the budget methodology used as well as descriptions of

Methodology:

Budgeted amounts were derived from using the FY 2013 funding CR levels with inflation for all non-personnel compensation. Personnel compensation was based on expected personnel needs plus a factor for mandatory pay and related costs. Additional projects were presented that had been identified as important to the library program and community including the creation of a National Bibliographic Records Inventory, update and enhancements to the Integrated Library System (ILS) and to inventory materials stored at various GPO warehouse facilities to determine the suitability of the items for inclusion in the FDLP. The agency is seeking transfer funds to cover the additional program expenses.

Federal Depository Library Program (FDLP)

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 approximately 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 2012, approximately 6,000 tangible titles were distributed to Federal depository libraries, totaling almost 1.5 million copies distributed. In keeping with the direction of the Legislative Appropriations Act for FY 1996, GPO has made significant progress toward the FDLP becoming a predominantly electronic information dissemination program. The total number of Federal Government information collections available to the public online via FDsys is approximately 50, with almost 8 million searchable documents. In addition, in FY 2012, GPO harvested and linked to over 50,000 titles and information resources housed on GPO servers and on agency web sites through the online Catalog of U.S. Government. 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 2014 funding requested 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 \$23,643,000.

In addition to the above activities for FY 2014, \$700,000 is being requested in transfer funds to conduct a Tangible Documents Inventory at GPO's Laurel Warehouse and Main Building to assist in a project to increase the availability of legacy publications to the public. The inventory of legacy GPO documents will provide a mechanism for decision making about the materials and how to make them accessible to the public moving forward. The inventory will gather detailed information about the publications, which will allow for decisions on the best use of these materials regarding their potential digitization. This initiative will expand access to historic Government documents through Federal depository libraries and to the public.

#### Cataloging and Indexing Program (C&I)

Under the requirements of Title 44, U.S.C., §1710-1711, 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 ([catalog.gpo.gov](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. A request of \$10,747,000 is being submitted that is based on an analysis of work that remains to be completed on these projects.

In addition to the on-going work listed above, it has been identified that the need exists to upgrade and enhance GPO's Integrated Library System (ILS) into a next generation system. The ILS, and its public face, the Catalog of U.S. Government Publications, provide access for depository libraries and public users to bibliographic information and metadata about Federal publications, including links to available electronic versions. The ILS strives to be a "comprehensive index of public documents," supporting the Cataloging and Indexing Program, derived from the statutory requirements for cataloging and indexing codified in Title 44 U.S.C. §1710-1711 and Title 44 U.S.C. §4101(a). The upgrade will also serve to augment GPO's Cataloging Record Distribution Program, thus enhancing services to all the Federal depository libraries, who particularly value the metadata and bibliographic records available from the ILS. The request aligns with the last option year of the current ILS contract, and covers replacement and hosting of the system as well as software support for one year and four option years. A next generation ILS will increase the level of services and functionality provided to all users including GPO staff, the American public and depository libraries while increasing the value of the money spent on system support and maintenance.

A request of \$2,100,000 in transfer money is being sought to accomplish the conversion of the ILS into a next generation system with greater capabilities to serve the library community and the public.

Additionally, a request of \$700,000 is being made to enhance access to publications of the U.S. Government by continued development of the National Bibliographic Records Inventory of Federal FDLP and C&I program publications. This initiative of the C&I program was developed from recommendations from stakeholders in the FDLP community. GPO projects currently in process directly contribute to this effort to provide bibliographic access to current and historic documents published by all three branches of Government. Projects include: GPO's historic shelf list transcription and digitization projects, cooperative cataloging projects, and identification of bibliographic information for known sets of fugitive publications. The continuation of this initiative will enhance and improve the ease of access to documents in FDLP libraries and on agency websites through the Catalog of U.S. Government Publications (CGP) ([catalog.gpo.gov](http://catalog.gpo.gov)).

#### International Exchange Program (IES)

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 2014 requested funding to be allocated for this is \$1,075,000. These funds will be utilized for the physical distribution of materials to foreign governments, personnel expenses to carry out the distribution and coordination with Library of Congress, and printing costs. This request is an \$19,000 increase from last year's request due to inflation.

#### 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 Library of Congress (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 2014 requested funding for this program is \$358,000. 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 \$6,000 over last year's request due to inflation.

**US GOVERNMENT PRINTING OFFICE  
SUPERINTENDENT OF DOCUMENTS  
SALARIES AND EXPENSES**  
Analysis of Change 2013 to 2014  
(Dollars in Thousands)

|   | 2014<br>Agency Request |           |
|---|------------------------|-----------|
|   | FTE                    | Amount    |
| FY 2013*  | 114                    | \$ 35,214 |
| FY 2014   |                        |           |
| Mandatory Pay and Related Costs                             |                        |           |
| Annualization of pay raise for FY 2014                      |                        | 168       |
| Within-grade increases for FY 2014                          |                        | 98        |
| Total Mandatory Pay and Related Costs                       |                        | 266       |
| Total Price Level Changes                                   |                        | 343       |
| Program/Project/Activity Increases for FY 2014              |                        |           |
| Upgrade and enhance Integrated Library System (ILS)         |                        | 2,100     |
| Development of National Bibliographic Records Inventory     |                        | 700       |
| Inventory/Preservation Process of FDLP Collection (Phase 2) |                        | 700       |
| Subtotal Program/Project/Activity Increases for FY 2014     |                        | 3,500     |
| Transfer Request for FY 2014 - FY 2008 Balance**            |                        | (\$3,500) |
| Total Net Change  | -                      | 609       |
| Total 2014 Appropriation                                    | 114                    | \$ 35,823 |

\* Based on Continuing Appropriations Act, 2013 PL 112-175

\*\* 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 2012<br>Actual (1) | FY 2013<br>CR (P.L. 112-175) (2) | FY 2014<br>Requested (3) | FY 2013/2014<br>Net Change |        |
|---------------------------------------|-----------------------|----------------------------------|--------------------------|----------------------------|--------|
| <b>Breakdown by Program</b>           |                       |                                  |                          |                            |        |
| By-Law Distribution                   | \$ 350                | \$ 352                           | \$ 358                   | \$ 6                       | (4)    |
| Cataloging and Indexing               | 10,500                | 10,564                           | 10,747                   | 183                        | (4)    |
| Federal Depository Library            | 23,100                | 23,242                           | 23,643                   | 401                        | (4)    |
| International Exchange                | 1,050                 | 1,056                            | 1,075                    | 19                         | (4)    |
| <b>Total Appropriation</b>            | <b>\$ 35,000</b>      | <b>\$ 35,214</b>                 | <b>\$ 35,823</b>         | <b>\$ 609</b>              |        |
| <b>Breakdown by Object Class</b>      |                       |                                  |                          |                            |        |
| 11 Personnel Compensation             | \$ 8,031              | \$ 9,528                         | \$ 9,776                 | \$ 248                     | (5)    |
| 12 Personnel Benefits                 | 2,273                 | 2,817                            | 2,835                    | 18                         | (6)    |
| 31 Travel                             | 71                    | 97                               | 98                       | 1                          | (7)    |
| 22 Transportation of Things           | 778                   | 988                              | 1,003                    | 15                         | (7)    |
| 23 Rents Communications and Utilities | 85                    | 111                              | 113                      | 2                          | (7)    |
| 24 Printing and Reproduction          | 8,360                 | 8,500                            | 8,628                    | 128                        | (7)    |
| 25 Other Services                     | 15,200                | 12,546                           | 12,734                   | 188                        | (7)(8) |
| 26 Supplies and Materials             | 177                   | 613                              | 622                      | 9                          | (7)    |
| 31 Equipment                          | 25                    | 14                               | 14                       | 0                          | (7)    |
| <b>Total Appropriation</b>            | <b>\$ 35,000</b>      | <b>\$ 35,214</b>                 | <b>\$ 35,823</b>         | <b>\$ 609</b>              |        |

- (1) Actual and obligated expenditures against the 2012 S&E Appropriation through 09/30/12. 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 FDLP's Migration and Modernization of FDLP Legacy Systems that were not covered by FY 2012 funds.
- (2) In addition to appropriated fund (Continuing Appropriation Act 2013, P.L. 112-175), \$3.73M in transferred funds were requested to cover printing U.S. Code edition, automation of the manual depository process and FDSPs permanent storage that were not covered by FY 2013 funds.
- (3) Requested amount is based on FY 2013 CR levels with inflation for all non-salary categories. Personnel compensation was calculated based on staffing needs, inflation and appropriate work days for the year. The agency is expecting to request \$3.5M in transfer funds to cover additional program expenses including upgrading and enhancing the Integrated Library System (ILS) to a next generation system (\$2.1M), development of a National Bibliography Records Inventory (\$700k) and performing the 2nd phase of an inventory and preservation process related to FDLP collections currently stored at GPO facilities (\$700k).
- (4) Reflects salary and price level increases.
- (5) Amount reflects the funding of merit and pay increases for 114 FTEs for FY 2014.
- (6) Reflects anticipated benefit expenditures based on Personnel Compensation figure.
- (7) Reflects price level increase.
- (8) Includes price level increases for Workers Compensation, Shared Services, and on-going systems maintenance including FDSPs operating expenses.

**US GOVERNMENT PRINTING OFFICE  
REVOLVING FUND  
Fiscal Year 2014**

**Proposed Appropriations Language:**

For payment to the Government Printing Office Revolving Fund, [\$7,840,000,] \$12,919,000, to remain available until expended, for information technology development, *digital equipment*, 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. *Note.—A full-year 2013 appropriation for this account was not enacted at the time the budget was prepared; therefore, this account is operating under a continuing resolution (P.L. 112-175).*

**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. These 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 more than 2,000 private sector firms in all 50 states every year through various types of procurement vehicles tailored to the specific needs of customers. 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 offering them more flexibility in choosing and working directly with vendors.

GPO's in-plant facility provides electronic and tangible print products in support of the information and day-to-day business 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 are the *Federal Register*, the *Code of Federal Regulations*, passports (both in Washington, DC, and at our alternate production facility at the Stennis Space Center, MS), smart cards and other key Government documents, such as the annual *U.S. Budget*.

With a few exceptions, the paper used to produce the printed documents by GPO and its contractors meets or exceeds Federal recycled paper requirements and all GPO printing inks are manufactured from 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 ([bookstore.gpo.gov](http://bookstore.gpo.gov)). Free and 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 2014, GPO is requesting a total of \$12,919,000 for the Revolving Fund to remain available until expended, for the following projects:

#### Information Technology Projects

|  |                  |
|--|------------------|
| Data Center Modernization                | \$ 500,000       |
| FDsys Development                        | 3,900,000        |
| FDsys Support                            | 1,922,000        |
| FDsys Infrastructure                     | 400,000          |
| FDsys System Integration Testing Support | 312,000          |
| GBIS Program Support                     | 415,000          |
| Information Technology Total             | <u>7,449,000</u> |

#### Facilities Projects

|                              |                  |
|------------------------------|------------------|
| Replace Elevators 55 and 56  | 850,000          |
| Repair Rooftop Training Room | <u>620,000</u>   |
| Facilities Total             | <u>1,470,000</u> |

#### Digital Equipment

|   |                     |
|---|---------------------|
| Install Digital Bindery Line for Congressional Work | <u>4,000,000</u>    |
|   | <u>\$12,919,000</u> |

### Information Technology Projects

**Data Center Modernization (\$500,000)** This is to continue the modernization that we plan to start with already approved FY 2013 funds. Overall, it will help GPO to reduce infrastructure costs by avoiding the high costs of building infrastructure upgrades needed to sustain a datacenter at the main GPO building. It will also reduce our overall IT risks by putting our IT infrastructure in a more secure, stable hosting environment to ensure that GPO applications which directly support our customers (including Congress) continue to be highly available. Modernizing will also allow GPO to align with overall Federal data center consolidation initiatives that are mandated by OPM for Executive Branch agencies.

**FDsys Development (\$3,900,000)** Development funding is necessary for Web App, Repository, and Search components in order to maintain a consistent delivery of new features and functionality for FDsys and key stakeholders, including Congress, federal agencies, and the public.

**FDsys Support (\$1,922,000)** Support funding is necessary for Web Applications, Repository, and Search components in order to ensure the FDsys is properly maintained and fully operational.

**FDsys Infrastructure (\$400,000)** Infrastructure funding is necessary to ensure the hardware, storage and infrastructure components are in place to manage system performance as FDsys content and usage continues to grow.

**FDsys System Integration Testing Support (\$312,000)** Testing support funding is necessary to ensure FDsys development releases fully meet customer expectations and will fully integrate with and can be pushed to the production environment.

**GBIS Program Support (\$415,000)** Program support funding is needed in order to continue the gathering, analyzing, and documenting of functional requirements as well as recommend and propose solutions to support GBIS system enhancements and reports at GPO.

### Facilities Projects

**Replace Elevators 55 and 56 (\$850,000)** Elevators 55 and 56 are original to Building D and have been operating since 1938. These elevators, used to move production materials between floors, have reached the end of their life cycle. Modernizing Elevators 55 and 56 will also support GPO's efforts to attract new tenants as per Congressional and NAPA recommendations.

**Repair Rooftop Training Room (\$620,000)** This is one of several on-going roofing projects; this particular project is critical because of water leakage that could damage the newly installed elevators.

**Digital Equipment**

**Install Digital Bindery Line for Congressional Work (\$4,000,000)** This installation will replace a 30-year old adhesive binder and will be instrumental in maximizing efficiency for the production of Congressional and Office of Federal Register products.

**US GOVERNMENT PRINTING OFFICE  
REVOLVING FUND**  
Analysis of Change 2013 to 2014  
(Dollars in Thousands)

|  | FY 2014        |            |
|--|----------------|------------|
|  | Agency Request |            |
|  | FTE            | Amount     |
| Obligational Authority, FY 2013                            | 1,796          | \$ 699,299 |
| Non-recurring Costs - Equipment to be obligated in FY 2013 |                | (41,530)   |
| Mandatory Pay and Related Costs                            |                |            |
| Annualization of pay raise for FY 2014                     |                | 3,044      |
| Within-grade increases FY 2014                             |                | 1,787      |
| Total Mandatory Pay and Related Costs                      |                | 4,831      |
| Total Price Level Changes                                  | -              | 6,968      |
| Program/Project/Activity Increases for FY 2014             |                |            |
| Capital expenditures equipment, systems, and facilities    |                | 15,381     |
| Capital Expenditures to be funded by an Appropriation      |                |            |
| Data Center Modernization                                  |                | 500        |
| FDsys Development  |                | 3,900      |
| FDsys support  |                | 1,922      |
| FDsys infrastructure                                       |                | 400        |
| FDsys System Integration Testing Support                   |                | 312        |
| GBIS Program Support                                       |                | 415        |
| Replace Elevators 55 and 56                                |                | 850        |
| Repair rooftop training room                               |                | 620        |
| Install Digital Bindery Line for Congressional Work        | -              | 4,000      |
| Total Expenditures to be funded by an Appropriation        |                | 12,919     |
| Net change requested                                       |                | \$ (1,431) |
| Total Budget FY 2014                                       | 1,796          | 697,868    |
| Total Offsetting Collections                               |                | 684,949    |
| Total 2014 Appropriation                                   | -              | \$ 12,919  |

**US GOVERNMENT PRINTING OFFICE**  
**REVOLVING FUND**  
 Analysis of Change (Cont.)  
 (Dollars in Thousands)

| Object Class                           | FY 2012<br>Actual | FY 2013<br>Enacted | FY 2014<br>Request | FY 2013/2014<br>Net Change |
|--|-------------------|--------------------|--------------------|----------------------------|
| 11 Personnel Compensation              | \$ 139,209        | \$ 144,672         | \$ 148,289         | \$ 3,617                   |
| 12 Personnel Benefits                  | 48,105            | 48,546             | 49,759             | 1,213                      |
| 21 Travel                              | 673               | 960                | 974                | 14                         |
| 22 Transportation of Things            | 7,906             | 8,659              | 8,789              | 130                        |
| 23 Rents, Communications and Utilities | 15,372            | 17,517             | 17,780             | 263                        |
| 24 Printing and Reproduction           | 328,466           | 276,590            | 280,739            | 4,149                      |
| 25 Other Services                      | 31,850            | 28,818             | 29,251             | 433                        |
| 26 Supplies and Materials              | 103,591           | 132,007            | 133,987            | 1,980                      |
| 31 Equipment                           | 18,400            | 41,530             | 28,300             | (13,230)                   |
| Total Budget                           | \$ 693,572        | \$ 699,299         | \$ 697,868         | \$ (1,431)                 |

United States Government Accountability Office

# Fiscal Year 2014 Performance Budget





United States Government Accountability Office  
Washington, DC 20548

March 1, 2013

The Honorable Rodney Alexander  
Chair  
The Honorable Debbie Wasserman Schultz  
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 public. As the Congress and administration debate both the federal government's immediate priorities and how to address its long-term fiscal path, GAO's mission remains critical to help identify billions of dollars in cost-savings and revenue enhancements while recommending solutions to make government more efficient, effective, and responsive.

This letter transmits GAO's fiscal year 2014 budget request. Our request reflects zero-based budgeting principles and the results of GAO's efforts to achieve cost savings and efficiencies without sacrificing the quality of our work. Our request is also built on receiving fiscal year 2013 funding at the annualized continuing resolution (CR) funding level, at a minimum, which would allow us to begin our multiyear staffing strategy; fiscal year 2013 funding below this level will necessitate significant adjustments to our plan.

### **Fiscal Year 2013 Budget Environment**

Over the last two years, GAO has dramatically reduced its staffing level and operating costs in response to budget constraints. During this period, GAO's staffing level dropped by 350 full-time equivalents (FTE), which meant at the end of fiscal year 2012 we fell below 3,000 FTE for the first time since 1935 due to extremely limited hiring in the face of ongoing attrition. This significant reduction in our staffing level threatens our ability to adequately support the Congress in a timely manner.

Fiscal year 2012 provided many opportunities for GAO to address complex issues facing the Congress and the nation. We met these challenges and accomplished our objectives under constrained budget circumstances. However, it is imperative that we rebuild our staff capacity to a level that will enable us to optimize the benefits 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.

GAO's fiscal year 2013 budget estimates assume that we receive at least the fiscal year 2013 annualized CR funding level. This funding level will allow GAO to reinstate our hiring and retention programs to address succession planning and critical skill gaps and increase our overall staff capacity; however, if GAO does not receive at least the fiscal year 2013 CR funding level, our staffing level would continue to decline.

**Modest Increase in Fiscal Year 2014 Supports Enhanced Staff Capacity**

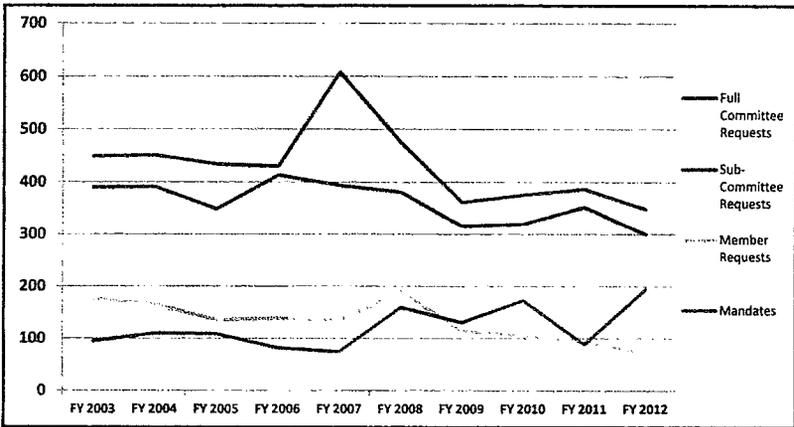
GAO is requesting an appropriation of \$524.3 million for fiscal year 2014—a modest increase of 1.9 percent to bolster our staff capacity and retain our highly skilled workforce. Our fiscal year 2014 budget request provides funding to support 3,098 FTE.

In fiscal year 2014, we plan to hold funding levels for other support costs at or below the fiscal year 2013 CR level, and provide funding for limited targeted investments in information technology and building infrastructure from savings within these accounts. We plan to offset our costs with \$44.6 million in receipts from rental income and reimbursements from program and financial audits, including rental income from a new tenant. In addition, we are seeking authority to 1) use available balances to fund workers' compensation costs; 2) shift the cost of tracking bid protest filings from taxpayers to the companies that make use of the bid protest process; and 3) repeal a recurring reporting requirement that provides diminishing returns for the Congress.

**Assisting the Congress and the Nation During Challenging Times**

GAO remains one of the best investments in the federal government, and our dedicated staff continues to deliver high quality results.<sup>1</sup> In fiscal year 2012 demand for our services remained high with 924 congressional requests and mandates. Our work covered a broad range of issues relevant to all Americans, including retirement security, foreclosure mitigation, national security, health care, transportation safety, counterterrorism, cybersecurity, and the debt limit. Our work supported 95 percent of all standing congressional committees and about 60 percent of their subcommittees.

Figure 1: Congressional Requests Received



<sup>1</sup> GAO's performance results can be found at: <http://www.gao.gov/about/perfaccountreport.html>. Our web site includes a summary of GAO's Fiscal Year 2012 Performance and Accountability Report as well as the complete report. The annual report informs the Congress and the American people about what we have achieved on their behalf with the funds entrusted to us.

During fiscal year 2012 we also issued our second report identifying duplication, overlap, cost-saving opportunities, and revenue enhancements. This report identified 51 additional areas where programs may be able to achieve greater efficiencies or become more effective, including agriculture, defense, economic development, education, energy, general government, health, homeland security, international affairs, science and the environment, and social services. We also issued a companion publication describing the extent to which progress was made in addressing the 81 areas identified in our 2011 report and launched a new content area on our website titled "Improving Efficiency and Effectiveness" to make this work more easily accessible to the public. We also issued 11 products in response to the Dodd-Frank Wall Street Reform and Consumer Protection Act on financial institutions and securities markets and several reports on insurance markets and publicly financed health insurance programs related to the Patient Protection and Affordable Care Act. In addition, we continued to regularly report the results of our work on the Troubled Asset Relief Program and the American Recovery and Reinvestment Act.

GAO's work yielded significant results across the government, including \$55.8 billion in financial benefits—a return of \$105 for every dollar invested in GAO. Examples of fiscal year 2012 financial benefits resulting from GAO recommendations implemented by Congress or federal agencies include:

- **\$12.4 billion from legislated reductions in payments to Medicare Advantage plans:** GAO analysis found that Medicare Advantage plans spent less on medical expenses than projected, thus gaining much higher profits than originally estimated;
- **\$8.0 billion from cancellation of NASA's Constellation program:** GAO questioned the project's affordability, acquisition strategy, and overall business plan;
- **\$4.5 billion from elimination of the ethanol excise tax credit for corn:** GAO found that this tax credit was duplicative of a federal renewable fuel standard that requires U.S. transportation fuels to contain certain volumes of biofuels, such as ethanol; and
- **\$3.1 billion from cancellation of DOD plans to lengthen South Korea tours of duty:** After conducting a GAO-recommended analysis of benefits, costs, and alternatives to a planned initiative to increase lengths of U.S. service members' tours in South Korea, DOD decided the initiative was unaffordable, avoiding \$3.1 billion in costs.

GAO also contributed to 1,440 program and operational benefits that helped to change laws, improve public services, and promote sound management throughout government. Examples include improving Social Security Administration performance goals and risk assessments in support of the disability claims process; addressing weaknesses in how agencies create and use the terrorist watchlist; and more robust planning for contractor demobilization and personnel accountability by the Department of Defense (DOD).

Senior GAO officials testified at 159 hearings on national and international issues, such as DOD weapon systems, protecting federal information systems, improving disability programs, and Medicare. To better serve our clients and the public, we expanded our presence in digital and social media, released GAO's iPhone application, and launched streaming video web chats with the public. We also continued our popular podcast audio series, recently releasing our 100th podcast. During the past year, 7,500 new people began getting GAO reports through our Twitter feed. More than 20,000 people now get GAO reports and testimonies daily on Twitter, surpassing for the first time the number that receive our daily email updates.

Every two years, GAO provides Congress with an update on its High Risk Series which highlights major programs that are at high risk for waste, fraud, abuse, and mismanagement or in need of broad reform to achieve greater efficiency, effectiveness, accountability, and sustainability. In fiscal year 2012, we issued 188 reports, delivered 55 testimonies to the Congress, and prepared several other products, such as briefings and presentations related to our High Risk work. These products spanned a wide range of issues such as the financial regulatory system, Medicare and Medicaid program integrity, DOD business systems, and federal oversight of food safety and medical products. Financial benefits resulting from this work totaled \$28.4 billion in fiscal year 2012.

In our February 2013 biennial update report we concluded sufficient progress has been made to remove the high-risk designation from two areas: Management of Interagency Contracting; and Internal Revenue Service Business Systems Modernization. We added the high-risk designation to two new areas: Limiting the Federal Government's Fiscal Exposure by Better Managing Climate Change Risks; and Mitigating Gaps in Weather Satellite Data. Our updated High Risk List identifies 30 troubled areas across government. Details on each high risk area can be found at <http://www.gao.gov/products/GAO-13-283>. A copy of the list is included as Enclosure I.

In addition, GAO's General Counsel provides legal decisions and other legal work. This included nearly 2,500 decisions on bid protests during fiscal year 2012, and ongoing appropriations law assistance to congressional committees on a number of matters, including interpretation of the Budget Control Act.

GAO's strategic plan for 2010 – 2015 describes our goals and strategies for supporting the Congress and the nation and identifies eight trends that provide context for the plan. Our strategic plan framework summarizes the global trends, as well as the strategic goals and objectives that guide our work (Enclosure II). To ensure that we are well positioned to meet the Congress's current and future needs, we have updated our 6-year strategic plan every 3 years, consulting extensively during the update with our congressional clients and other experts. In keeping with the GPRA Modernization Act of 2010, we plan to shift to a 4-year planning cycle. We issued an interim update to our plan in February 2012 and plan to issue the next full update in 2014.

Listed under each of our three external strategic goals are a few examples of the hundreds of studies GAO conducted in fiscal year 2012:

**Goal 1: *Provide Timely, Quality Service to the Congress and the Federal Government to Address Current and Emerging Challenges to the Well-Being and Financial Security of the American People***

- Improving the safety of medical devices;
- Addressing the needs of Black Lung workers; and
- Improving federal response to foreclosure impacts.

**Goal 2: *Provide Timely, Quality Service to the Congress and the Federal Government to Respond to Changing Security Threats and The Challenges of Global Interdependence***

- Encrypting the federal government's mobile technologies;
- Strengthening oversight of the student exchange visitor program;
- Monitoring the use of U.S. arms sent to Persian Gulf countries;
- Addressing DOD Financial Management Deficiencies; and
- Improving Management of DOD Joint Bases.

**Goal 3: Help Transform the Federal Government to Address National Challenges**

- Improving the effectiveness of higher education assistance;
- Identifying counterfeit parts that could enter the defense supply chain; and
- Enhancing understanding of debt-limit-related costs and issues.

We continually reach out to our congressional clients to ensure they recognize our financial 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. To free up resources for work on congressional priorities, during the second session of the 112th Congress we collaborated with the Congress to revise or repeal 12 of GAO's mandated recurring reporting requirements which had, over time, lost relevance or usefulness.

Our fiscal year 2014 budget request seeks repeal of a recurring reporting requirement that originally appeared in the Legislative Branch Appropriations section of the American Recovery and Reinvestment Act. This section requires bimonthly reviews of state and local use of Recovery Act funds. As the vast majority of Recovery Act funds have been spent, GAO's reviews in this area are providing diminishing returns for the Congress.

**Human Capital Challenges**

GAO depends on a talented, diverse, high-performing, and knowledge-based workforce to carry out our mission to support the Congress. Like other federal agencies, we are challenged to address several critical human capital management issues, while doing more with less. These issues include preparing for the retirement of executives and other senior managers, creating and maintaining a performance-based culture that helps to motivate and retain talented people, and implementing workplace practices that meet the needs of an ever-changing workforce in a fair and equitable manner.

Succession planning remains critical. In just 2 years, between 2010 and the end of fiscal year 2012, our FTE level had been reduced by more than 7 percent. During that time we had extremely limited hiring and, as a result, the number of entry-level staff is not sufficient to provide a pipeline of experienced staff in the future. Moreover, a significant proportion of GAO employees will be retirement eligible at the end of fiscal year 2013, including about 40 percent of our senior executive staff and about 25 percent of our supervisory analysts. These factors combine to make GAO's overarching human capital challenge one of ensuring that we have the capability to support the mission of the agency to serve the Congress with the right resources, where and when they are needed.

Fiscal year 2012 provided many opportunities for GAO to address complex issues facing the Congress and the nation. We met these challenges, accomplishing our objectives under constrained budget circumstances. However, it is imperative that we embark on a multiyear strategy to rebuild our staff capacity to a level that will enable us to optimize the benefits 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.

Depending on the final outcome of our budget, in fiscal year 2013 we plan to reinstate our hiring program to recruit entry-level staff and interns and fill critical vacancies. We also plan to increase funding—constrained in fiscal year 2012—for recruitment and retention programs, such as student loan repayment and performance-based recognition to 1) ensure our ability to attract, motivate, develop, and retain our highly skilled workforce; 2) address

succession planning and skill gaps; and 3) ensure our ability to compete with private sector firms, non-profit institutions, and other agencies who can offer these benefits. Our fiscal year 2014 budget request provides funds to support 3,098 FTE and continue these efforts.

### **Engagement Efficiency Challenge**

To manage our high workload in a time of declining budgets and staffing levels, we made it a priority to increase the efficiency of conducting our mission work. This effort focuses on improving the way we manage and conduct engagements, use our resources, and communicate our message. We have identified areas that can be streamlined or standardized to yield improvements in the efficiency of our work, in many cases improving quality, rather than sacrificing it. We made significant progress in fiscal year 2012, including:

- establishing a new Office of Continuous Process Improvement that reports to the Chief Operating Officer to focus exclusively on continuous process improvement and implement projects to improve efficiency;
- establishing an executive-level governance structure for prioritizing and directing process improvement initiatives;
- streamlining our final report review process by reducing documentation requirements and moving to electronic routing;
- revising report production standards and processes to clarify roles and expectations and improve publication efficiency; and
- incorporating efficiency-oriented behaviors into our new performance appraisal system.

A number of projects are under way, including:

- identifying changes to key steps and decision points in our engagement process to ensure resource investments on individual engagements are in line with congressional needs and needed scope of work;
- taking steps to more efficiently create content, standardize our review and fact-checking procedures within our rigorous quality assurance framework, as well as to distribute and publish our reports and content in multiple formats; and
- pursuing major enhancements to key engagement support and management systems to reduce rework and improve systems support and management information.

In fiscal year 2013 we will continue to identify other areas of opportunity for improved efficiency, and will continually prioritize how to use resources to ensure the most significant efficiency gains. In addition, we will develop performance metrics for the process improvement program to show the effect improvement initiatives are having on our operations.

## Operational Improvements Produce Results

GAO has aggressively reduced engagement and infrastructure support costs and reorganized our administrative support structure to enhance the overall efficiency of our operations. For instance, since fiscal year 2010 our cost for internal operations has decreased over 20 percent and our travel costs by almost 36 percent. Moreover, we are maintaining these reduced spending levels in fiscal year 2014. GAO continues to aggressively pursue opportunities to reduce our support costs, improve operational efficiency, and use technology to enhance worklife. Below are some examples of efforts initiated or underway to provide both short- and long-term benefits to the Congress and GAO.

- **Space Optimization Generates Additional Rental Income**

In fiscal year 2012, we completed activities to better optimize space in the GAO headquarters building and provide new revenue to help offset costs starting in fiscal year 2013. Of note, we closed the technical library in our headquarters building after analysis showed that advances in information research and access have dramatically changed the way we work. With a vast amount of research material online, the use of the physical library had decreased substantially. This closure released a significant amount of space which we have leased to the Department of Justice (DOJ) under a 10-year agreement. DOJ began occupying the space in January 2013.

- **Desktop Video-Conference Capability Increases Flexibility and Reduces Travel Costs**

Our pilot to bring video-conference capability to the computer desktops of our staff has been a success. Desktop video conferencing has allowed staff to conduct business more efficiently and effectively, while minimizing travel costs. The pilot determined that adding this capability to our workforce solutions enhances workforce flexibility and increases the effectiveness of our telework strategy.

- **Enhanced Telework/Workspace-Sharing Reduces Infrastructure Costs**

In fiscal year 2013, we expect to reduce our physical presence in several field offices resulting in savings of \$1.2 million in lease costs, with additional savings of \$900 thousand projected in fiscal year 2014. In fiscal year 2012, we implemented an enhanced telework pilot, including workspace sharing and hoteling components, to reduce infrastructure costs and enhance flexibility for employees by allowing them to spend more time working at home or at an alternate worksite. We provided affected staff a suite of tools for use at their alternate worksite to ensure their continued effectiveness and efficiency. A September 2012 survey of field office participants, as well as stakeholders working on engagements with staff who teleworked the majority of the time, yielded largely positive responses. Overall, survey responses were very positive with 88 percent of respondents expressing satisfaction with the pilot and another 8 percent neutral (neither satisfied nor dissatisfied).

Based on feedback from the participants in the pilot, we have also improved participant training, created a website to share lessons learned and gather feedback, and made other program changes to continuously strengthen this important initiative that is helping us reduce costs and improve flexibility for our staff, all while maintaining our standards for the quality of our work. We are expanding this capability to additional field offices throughout fiscal year 2013.

- **Filing Fees Will Fund Electronic Bid Protest System**

Our fiscal year 2014 budget request proposes new statutory authority to collect a filing fee from companies filing bid protests. The sole purpose of the filing fee would be to offset the cost of developing, implementing, and maintaining an electronic docketing system. We plan to collect a small filing fee, similar to other federal and state entities, which will shift the cost from taxpayers to the companies that directly benefit from the system.

For more than 80 years, GAO has provided an objective, independent, and impartial quasi-judicial forum for the resolution of disputes concerning the award of federal contracts. By law, GAO is required to resolve all protests within 100 calendar days from the date the protest is filed. GAO has experienced a significant increase in bid protest filings, from 1,411 filings in fiscal year 2007 to 2,475 filings in fiscal year 2012. Each bid protest includes not only the initial filing, but also numerous additional submissions, such as dismissal requests, agency reports, protester's comments and supplemental protests—the vast majority of which are transmitted via email to GAO's protest e-mail account. In fiscal year 2011, GAO received more than 16,000 protest-related e-mail messages, many of which contain time-sensitive material critical to the effective resolution of the protest within the 100-day statutory period.

GAO's current manual docketing system is a highly resource intensive administrative function that is outstripping available resources. An electronic filing system would make better use of available resources, minimize the potential for human error, and provide automatic and immediate notification to agencies that a protest has been filed at GAO. Such a system would also provide a useful service to the parties during the course of a protest since they could instantaneously access all public documents filed in a particular protest through a readily accessible web-based portal. In addition, implementation of an electronic filing system would address GAO's records management requirements by creating an electronic record at the conclusion of each bid protest. In short, an electronic filing system would improve GAO's ability to meet its statutory mandates related to the resolution of disputes concerning the award of federal contracts, ensure the rights of protesters, and provide an enhanced protest process for all parties.

- **Targeted Investments to Increase Efficiency**

In fiscal year 2014, we plan to implement targeted investments to improve the efficiency of our information technology infrastructure and building systems. For example, in fiscal year 2013, we will be piloting an effort to streamline and virtualize our information technology infrastructure that will reduce our maintenance and operating costs, improve system performance, increase data security, and increase availability of tools for staff—particularly our increasingly mobile workforce. In a virtualized environment, all GAO operating systems, applications, software, and data would be housed in a secure datacenter, rather than on a user's computer. In addition, we will continue progress towards upgrading building infrastructure heating and ventilation systems to ensure continued operation and efficiency. The funding for these essential investments will come from savings within these programs.

## Internal Efforts to Ensure Openness, Diversity and Fairness Continue

GAO continues to work hard to achieve its diversity and inclusiveness goals.<sup>2</sup> GAO's diversity efforts have been recognized both within the agency and externally. Most recently, in the 2012 best places to work list sponsored by the Partnership for Public Service—in which GAO ranked 2nd overall among mid-size federal agencies—we were rated number one in our support of diversity for the second year in a row. This important milestone notwithstanding, we realize that maintaining a work environment that supports a culture of inclusiveness is a dynamic and continuous process. We will continue to focus on diversity and inclusion, as it is a strategic goal that enhances our ability to fulfill our mission.

Additionally, in recognition of the importance of ensuring open lines of communication across GAO, I am intensifying communications with managers through several initiatives. This is particularly important as GAO addresses a number of external and internal challenges. For instance, the Executive Committee and I will meet regularly with individuals from all teams and staff offices. Every spring GAO will hold a town hall meeting so leadership can provide an update as to how the year is progressing and hear from staff directly, answering questions along the way. Of course, the Executive Committee and I will also monitor events and hold informational sessions or other discussions with employees as events warrant.

In fiscal year 2013, GAO implemented a new performance appraisal system designed to improve the fairness, consistency, and accuracy with which staff performance is evaluated. The new system emphasizes the use of communication, feedback, and staff development aligned with GAO's core values and mission. During the multi-year system development we used employee-driven lists as well as job analysis surveys for each GAO job series to craft the new competencies by which employees will be rated. Fourteen focus groups were conducted with staff at all levels to help design the new approach. Along with improving our performance culture, we see the new system as one more step to help address GAO's ongoing challenge to continue producing quality work in an environment characterized by reduced resources, shifting demands, and limited timeframes.

## Concluding Remarks

GAO is committed to providing the Congress timely, insightful analysis on congressional priorities and challenges facing the nation. Our proposed multiyear strategy to rebuild our staff capacity is a critical element in achieving this goal. Our fiscal year 2014 budget request seeks a modest increase to continue rebuilding GAO's staffing capacity while holding support costs at or below the fiscal year 2013 CR funding level. The requested funding will enable GAO to increase our efficiency, optimize the results that we achieve, and continue providing the nation with one of the best investments in the federal government.

I and all GAO employees value the opportunity to help the Congress improve government. Our planned work in fiscal years 2013 and 2014, which this proposal seeks to support,

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<sup>2</sup> We have two documents to help us monitor our progress and identify areas for improvement—our 2012-2015 Diversity and Inclusion Strategic Plan that focuses on 3 goals—(1) workforce diversity, (2) workplace inclusion and (3) sustainability, and our annual Workforce Diversity Plan which provides data on the composition of the workforce, information on outcomes from key human capital processes as well as views and suggestions from employees about the work environment.

continues that role. Along with continuing mandated work, monitoring agency progress addressing issues identified in our recently issued High Risk List update,<sup>3</sup> conducting annual financial audits, and issuing bid protests and other legal decisions, in fiscal year 2013, we plan to deliver our third report on overlap, duplication, and fragmentation across government, and continue work in critical areas such as:

- Medicare and Medicaid payment methods and program management;
- Health care provided to veterans and military families;
- Employment and training services to veterans;
- Federal climate change adaptation efforts;
- Energy efficiency programs, renewable energy initiatives, and oversight of unconventional oil and gas production;
- Federal farm safety net programs;
- The U.S. immigration system;
- Federal and international efforts to deter, detect, and thwart terrorists aiming to disrupt the international aviation and maritime systems;
- Readiness of our military;
- The safety and security of diplomatic facilities and personnel;
- Modernization of the nuclear security enterprise;
- Logistics and contractor support during the Afghanistan drawdown;
- Post-drawdown U.S. civilian presence in Afghanistan; and
- Assessment DOD's role in enhancing its cyber capabilities and reducing cyber vulnerabilities.

To ensure that we address the most important issues facing the Congress and the nation, we have been and will continue to reach out to our congressional clients to seek their input on the highest priority areas to obtain the maximum benefit in this resource-constrained environment.

I appreciate, as always, your careful consideration of our budget submission and look forward to discussing our fiscal year 2014 request with you.

Gene L. Dodaro  
Comptroller General  
of the United States

Enclosures

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<sup>3</sup> GAO's February 2013 update to the High Risk List can be found at: <http://www.gao.gov/products/GAO-13-283>.

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**GAO's High Risk List as of February 2013**


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**Strengthening the Foundation for Efficiency and Effectiveness**


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- Limiting the Federal Government's Fiscal Exposure by Better Managing Climate Change Risks *(new)*
  - Management of Federal Oil and Gas Resources
  - Modernizing the U.S. Financial Regulatory System and Federal Role in Housing Finance
  - 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**


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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
- 

**Ensuring Public Safety and Security**


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- Mitigating Gaps in Weather Satellite Data *(new)*
  - Strengthening Department of Homeland Security Management Functions
  - 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 Processes for Assessing and Controlling Toxic Chemicals
- 

**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
- 

**Assessing the Efficiency and Effectiveness of Tax Law Administration**


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- Enforcement of Tax Laws
- 

**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
-



# 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 Growth    Global Interdependence    Science and Technology    Networks and Virtualization    Shifting Roles of Government    Demographic and Societal Change

| Goals  | Objectives  |
|--|---|
| <p>Provide timely, quality service to the Congress and the Federal Government to...</p> <p>Address current and emerging challenges to the well-being and financial security of the American people and to...</p> <p>Respond to changing security threats and the challenges of global interdependence involving...</p> | <ul style="list-style-type: none"> <li>Health care needs</li> <li>Life-long learning</li> <li>Benefits and protections for workers, families, and children</li> <li>Financial security</li> <li>Effective system of justice</li> <li>Viable communities</li> <li>Stable financial system and consumer protection</li> <li>Stewardship of natural resources and the environment</li> <li>Infrastructure</li> </ul> |
| <p>Help transform the Federal Government to address national challenges by increasing...</p>   | <ul style="list-style-type: none"> <li>Homeland security</li> <li>Military capabilities and readiness</li> <li>U.S. foreign policy interests</li> <li>Global market forces</li> </ul>   |
| <p>Maximize the value of GAO by enabling quality, timely service to the Congress and being a leading practices Federal Agency in the areas of...</p>   | <ul style="list-style-type: none"> <li>Government's fiscal position and options for closing gap</li> <li>Fraud, waste, and abuse</li> <li>Major management challenges and program risks</li> <li>Efficiency, effectiveness, and quality</li> <li>Diverse and inclusive work environment</li> <li>Professional networks and collaboration</li> <li>Institutional stewardship and resource management</li> </ul>    |

## CORE VALUES

Accountability    Integrity    Reliability

Source: GAO

GAO Strategic Plan 2010-2015

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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 its goals and objectives to help improve government performance, accountability, and transparency.

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The overview provides a summary of GAO's staffing and funding request for fiscal year 2014, including the core principles that guided planning activities and how GAO plans to use its resources to accomplish its mission.

### **Summary Budget Schedules** ..... B-1

This section includes summary schedules displaying GAO's staffing and funding resources including actual costs for fiscal years 2010–2012, fiscal year 2013 estimates under the annualized Continuing Resolution funding level, and the fiscal year 2014 request. The schedules include:

- Resource summaries by program;
- Analyses of changes from fiscal year 2013 to 2014
  - By program, and
  - By object classification;
- Explanation of changes; and
- Resource summaries by object classification.

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| This section includes GAO's fiscal year 2014 performance plan consistent with the Government Performance and Results Act of 1993, as amended. It describes GAO's strategic planning process and provides information on GAO's goals, performance results for fiscal years 2009–2012, and describes performance measures and planned work for fiscal years 2013 and 2014. |             |

# Overview of Fiscal Year 2014 Budget Request

In light of GAO's commitment to minimize costs and improve efficiencies while maintaining the quality of support to the Congress, GAO is requesting an appropriation of \$524.339 million for fiscal year 2014—a modest increase of \$9.914 million or 1.9 percent more than the fiscal year 2013 annualized CR funding level of \$514.425 million—to bolster GAO's staff capacity and retain its highly skilled workforce. GAO also plans to offset costs with \$44.624 million in receipts from rental income, bid protest user fees, and reimbursements from program and financial audits. GAO's proposed budget authority of \$568.963 million provides the funding necessary to ensure that GAO can meet the highest priority needs of the Congress and produce results to help the federal

government deal effectively with its serious fiscal and other challenges.

GAO's fiscal year 2014 budget request supports an FTE level of 3,098, and provides funding for mandatory pay costs, staff recognition and benefits programs, and engagement support activities. These funds are essential to ensure GAO can provide staff meaningful benefits and appropriate resources, and helps ensure it can compete with other agencies, nonprofit institutions, and private firms who offer these benefits.

To free up resources for use on congressional priorities, GAO is also seeking authority to (1) use available balances to fund worker's compensation costs; (2) shift the cost of tracking bid protest filings from taxpayers to the companies that make use of the bid protest process; and (3) repeal a recurring reporting requirement that provides diminishing returns for the Congress.

A summary of GAO's funding sources for fiscal years 2010–2014 is shown in Table 1.

**Table 1: Fiscal Year 2010–2014 Funding Sources (dollars in thousands)**

| Funding Source                                  | Fiscal Year 2010 Actual |                  | Fiscal Year 2011 Actual |                  | Fiscal Year 2012 Actual |                  | Fiscal Year 2013 Estimate |                  | Fiscal Year 2014 Request |                  |
|---|-------------------------|------------------|-------------------------|------------------|-------------------------|------------------|---------------------------|------------------|--------------------------|------------------|
|   | FTE                     | Amount           | FTE                     | Amount           | FTE                     | Amount           | FTE                       | Amount           | FTE                      | Amount           |
| Salaries and Expenses Appropriation             |                         | \$556,325        |                         | \$546,075        |                         | \$511,201        |                           | \$514,425        |                          | \$524,339        |
| Non-legislative-branch appropriation            |                         | 21,804           |                         | –                |                         | –                |                           | –                |                          | –                |
| USCCR Inspector General activities <sup>a</sup> |                         | –                |                         | –                |                         | 250              |                           | 250              |                          | 250              |
| Bid protest user fee                            |                         | –                |                         | –                |                         | –                |                           | –                |                          | 450              |
| Reimbursements                                  |                         | 10,214           |                         | 6,648            |                         | 1,362            |                           | 9,556            |                          | 12,006           |
| Offsetting collections                          |                         | 10,892           |                         | 15,031           |                         | 20,840           |                           | 23,904           |                          | 31,918           |
| <b>Total resources</b>                          | <b>3,347</b>            | <b>\$599,235</b> | <b>3,212</b>            | <b>\$567,754</b> | <b>2,987</b>            | <b>\$533,653</b> | <b>2,975</b>              | <b>\$548,135</b> | <b>3,098</b>             | <b>\$568,963</b> |

<sup>a</sup> Funds transferred from the U.S. Commission on Civil Rights to fund Inspector General activities.

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### **Commission on Civil Rights Inspector General**

This amount for FY 2012-2014 represents funds transferred to GAO's Inspector General by the United States Commission on Civil Rights (USCCR) to cover costs related to also serving as the USCCR's inspector general.

### **Bid Protest User Fee**

This amount represents anticipated collections from companies who file bid protests, to offset the cost of developing, implementing, and maintaining an electronic docketing system to enable GAO to better meet its related statutory mandate, ensure the rights of protesters, and provide an enhanced protest process for all parties.

### **Reimbursements**

This amount represents anticipated reimbursements of GAO's costs incurred

primarily in conducting mandated program and financial audits of the Federal Housing Finance Agency, Consumer Financial Protection Bureau, Securities and Exchange Commission (SEC), Troubled Asset Relief Program, and operation of the Federal Accounting Standards Advisory Board.

### **Offsetting Collections**

This amount represents estimated funds available primarily from the U.S. Army Corps of Engineers and the Department of Justice for rental of space in the GAO headquarters building and financial audits of the Federal Deposit Insurance Corporation, Internal Revenue Service, Schedule of Federal Debt, and SEC.

### **Appropriations Language**

GAO's proposed appropriation bill language follows.

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**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, **\$524,339,000**: *Provided*, That, in addition, **\$31,918,000** 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.

ADMINISTRATIVE PROVISIONS  
FUNDS AVAILABLE FOR WORKERS COMPENSATION PAYMENTS

SEC. xxx (a) IN GENERAL.—Available balances of expired Government Accountability Office appropriations shall be available to the Government Accountability Office to make the deposit to the credit of the Employees' Compensation Fund required by section 8147(b) of title 5, United States Code.

(b) EFFECTIVE DATE.—This section shall apply with respect to appropriations for fiscal year 2013 and each fiscal year thereafter.

AUTHORITY FOR COMPTROLLER GENERAL TO COLLECT AND USE FEES FOR  
ELECTRONIC SYSTEM FOR FILING BID PROTESTS

SEC. xxx Section 3555(c) of title 31, United States Code, is amended,

(1) by inserting "(1)" after "(c)"; and

(2) by adding at the end the following new paragraph:

“(2) The Comptroller General may charge and collect fees for filing protests under this subchapter for the purpose of covering the costs of developing, maintaining, and operating an electronic system for filing such protests. The Comptroller General may retain and use such fees immediately and without fiscal year limitation for such purpose.”

GAO'S REPORTING RESPONSIBILITIES UNDER THE AMERICAN RECOVERY AND  
REINVESTMENT ACT OF 2009  
GOVERNMENT ACCOUNTABILITY OFFICE REVIEWS AND REPORTS

SEC. xxx. Section 901 of division A of the American Recovery and Reinvestment Act of 2009 (Public Law 111-5) is amended—

(1) in paragraph (a) (1) by striking “bimonthly” and inserting in its place “annual”; and

(2) in subsection (a) by adding at the end the following new paragraph: “(3) The Comptroller General shall conduct reviews and prepare reports under this subsection through October 1, 2014.”

## Summary of Resources by Program

A summary of GAO's resources by program is shown below. Additional information on each program, including fiscal year 2012 accomplishments, plans for fiscal years 2013 and 2014, and resource needs are included in the Budgetary Resources section of this document.

In fiscal years 2010–2012, GAO had extremely limited hiring in the face of ongoing attrition—resulting in a staffing level below 3,000 FTE for the first time since 1935—which threatens its ability to adequately support the Congress in a timely manner. Pending the final outcome of the 2013 budget of at least the level of the CR, in fiscal year 2013 GAO plans to reinstate hiring and retention programs to begin rebuilding staff capacity and address

succession planning and skill gaps. GAO's fiscal year 2014 budget request provides the needed funding to continue these essential activities.

During the last two years, GAO has aggressively reduced engagement support and infrastructure costs by over 28 percent and 20 percent, respectively. GAO has also reorganized its administrative support structure to enhance the overall efficiency of operations.

In fiscal year 2014, GAO plans to maintain these reduced spending levels while continuing to pursue opportunities to further reduce support costs and improve operational efficiency to ensure that GAO can meet the highest priorities of the Congress and optimize the results it achieves.

**Table 2: Fiscal Year 2010–2014 Summary of Resources by Program (dollars in thousands)**

| Program                       | Fiscal Year 2010 Actual |                  | Fiscal Year 2011 Actual |                  | Fiscal Year 2012 Actual |                  | Fiscal Year 2013 Estimate |                  | Fiscal Year 2014 Request |                  | Net Change Fiscal Year 2013/2014 |                 | Cumulative Change Fiscal Year 2010/2014 |                   |
|-------------------------------|-------------------------|------------------|-------------------------|------------------|-------------------------|------------------|---------------------------|------------------|--------------------------|------------------|----------------------------------|-----------------|---|-------------------|
|                               | FTE                     | Amount           | FTE                     | Amount           | FTE                     | Amount           | FTE                       | Amount           | FTE                      | Amount           | FTE                              | Amount          | FTE                                     | Amount            |
| Human capital                 | 3,347                   | \$463,657        | 3,212                   | \$455,008        | 2,997                   | \$428,452        | 2,975                     | \$438,026        | 3,098                    | \$462,733        | 123                              | \$24,707        | (249)                                   | (\$924)           |
|                               |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  | 4.1%                             | 5.6%            | (7.4%)                                  | (0.2%)            |
| Engagement support            |                         | 16,797           |                         | 11,182           |                         | 10,226           |                           | 11,938           |                          | 12,024           |                                  | 86              |   | (4,773)           |
|                               |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  | 0.7%            |   | (28.4%)           |
| Infrastructure operations     |                         | 118,781          |                         | 101,564          |                         | 94,975           |                           | 96,171           |                          | 94,206           |                                  | (1,965)         |   | (24,575)          |
|                               |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  | (2.0%)          |   | (20.7%)           |
| DOJ space build-out           |                         |                  |                         |                  |                         |                  |                           | 2,000            |                          | –                |                                  | (2,000)         |   |                   |
|                               |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  | (100.0%)        |   |                   |
| <b>Total budget authority</b> | <b>3,347</b>            | <b>\$599,235</b> | <b>3,212</b>            | <b>\$567,754</b> | <b>2,997</b>            | <b>\$533,653</b> | <b>2,975</b>              | <b>\$548,135</b> | <b>3,098</b>             | <b>\$568,963</b> | <b>123</b>                       | <b>\$20,825</b> | <b>(249)</b>                            | <b>(\$30,272)</b> |
|                               |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  | <b>4.1%</b>                      | <b>3.8%</b>     | <b>(7.4%)</b>                           | <b>(5.1%)</b>     |
| Offsets <sup>a</sup>          |                         | (42,910)         |                         | (21,679)         |                         | (22,452)         |                           | (33,710)         |                          | (44,624)         |                                  | (10,883)        |   | (1,406)           |
|                               |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  | 32.6%           |   | 3.3%              |
| <b>Appropriation</b>          |                         | <b>\$556,325</b> |                         | <b>\$546,075</b> |                         | <b>\$511,201</b> |                           | <b>\$514,425</b> |                          | <b>\$524,339</b> |                                  | <b>\$4,914</b>  |   | <b>(\$31,886)</b> |
|                               |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  | <b>1.6%</b>     |   | <b>(5.7%)</b>     |

<sup>a</sup> Includes reimbursements from program and financial audits, rental income, bid protest fees, funds transferred from the U.S. Commission on Civil Rights for Inspector General activities, and funds provided to GAO for mandated work.

## Summary of Requested Changes

GAO's Executive Committee has been guided by two core principles throughout this environment of constrained resources and fiscal austerity. First, GAO continues to seek ways to maximize its support to the Congress and the nation. Second, it has sought to minimize the impact on GAO staff. It is through their commitment, dedication, and expertise that GAO is able to provide a valuable service to the Congress and the nation.

GAO has carefully considered its resource requirements and made tradeoffs to ensure that it supports the mission of the agency to serve the Congress with the appropriate resources. GAO's budget request reflects zero-based budgeting principles and the results of the agency's efforts to achieve cost savings and efficiencies without sacrificing the quality of its work.

Since fiscal year 2010, GAO has reduced its internal operational costs by over 20 percent and its travel costs by nearly 36 percent. GAO plans to maintain these reduced funding levels in fiscal year 2014, and plans to fund limited, targeted investments in information technology and building infrastructure from savings within these programs. Investment in GAO's systems and building will help ensure its continued productivity and effectiveness and avoid more costly maintenance and repairs.

GAO is also continuing to explore other opportunities to enhance workforce and

budget flexibilities to help reduce infrastructure costs, provide staff more flexibility and increase effectiveness and efficiency, such as streamlining the engagement management process; expanding telework policies; reducing physical footprint in the field offices; expanding office-sharing; and virtualizing the information technology infrastructure. Each of these initiatives provides the opportunity to generate significant long-term financial benefits to GAO.

A summary of the requested changes in funding from fiscal year 2013 to 2014 is shown in table 3. Additional information on the components of these changes is included in the Summary Schedules section of this document.

### Pay-Related Costs

GAO's fiscal year 2014 budget request includes an increase of \$24.707 million to cover mandatory pay-related costs and other benefits to support its highly skilled workforce, and enable GAO to address succession planning and critical skill gaps. These costs primarily include:

- annualization of fiscal year 2013 staffing and pay actions;
- the January 2014 pay raise based on guidance from CBO and the LBFMC;
- performance-based pay increases in lieu of executive branch within-grade increases;<sup>1</sup>
- hiring to address succession planning needs, address skill gaps, and fill critical vacancies;

<sup>1</sup> 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 GAO's Human Capital Programs is included in section C.

- increases in employer benefits contributions programs, such as health benefits; and
- retention benefits, such as help in repaying student loans, to provide a more attractive benefit which will help improve staff participation and retention rates, and help ensure that GAO's benefits opportunities are commensurate with other professional services firms and federal agencies with whom it competes for talent.

### Non-Recurring Costs

GAO's fiscal year 2014 budget request includes a reduction of \$3.965 million achieved by streamlining our operations,

reducing discretionary spending, and leveraging technology to achieve greater efficiency.

### Program Changes

GAO's fiscal year 2014 budget request reflects a net reduction of \$10.828 million in program changes to help offset costs, including:

- reimbursements and revenue from program and financial audits; and
- estimated filing fees collected from companies filing bid protests to cover the cost of maintaining an electronic docketing system by shifting the system's cost from taxpayers to the companies filing bid protests.

**Table 3: Fiscal Year 2013–2014 Summary of Requested Changes (dollars in thousands)**

| Funding Source                           | FTE          | Amount                  |
|--|--------------|-------------------------|
| <b>FY 2013 Appropriation<sup>a</sup></b> | <b>2,975</b> | <b>\$514,425</b>        |
| <i>FY 2014 Changes:</i>                  |              |                         |
| Pay-related costs                        | 123          | 24,707                  |
| Non-recurring costs                      | –            | (3,965)                 |
| Program changes                          | –            | <u>(10,828)</u>         |
| <b>Total FY 2014 Changes</b>             | <b>123</b>   | <b>\$9,914</b>          |
| <b>FY 2014 Appropriation</b>             | <b>3,098</b> | <b><u>\$524,339</u></b> |

<sup>a</sup> Annualized continuing resolution level.

## Staffing Profile

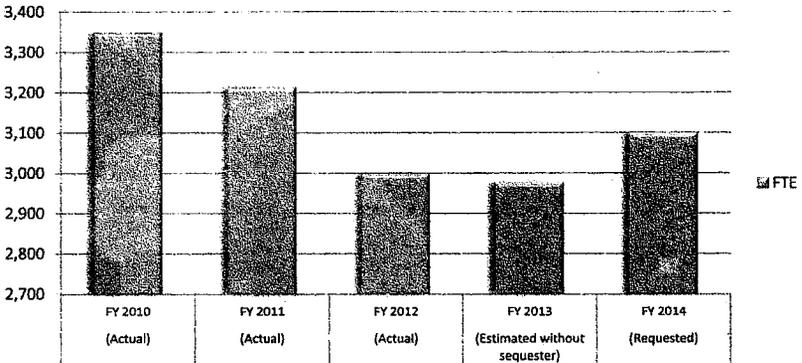
Over the last two years, GAO has dramatically reduced its staffing level and operating costs in response to budget constraints. At the end of fiscal year 2012, GAO's staffing level dropped below 3,000 full-time equivalent (FTE) staff for the first time since 1935 due to extremely limited hiring in the face of ongoing attrition. This significant reduction in staffing levels threatens GAO's ability to adequately support the Congress in a timely manner.

In fiscal year 2013, GAO has begun implementing a multiyear strategy to rebuild its staff capacity to 3,250 FTE—the optimal level in the current environment. Planned

staffing additions in fiscal years 2013 and 2014 will increase GAO's staffing level to 3,098 FTE, which is still 7.4 percent below the FTE level for fiscal year 2010. These staffing increases are predicated on receiving fiscal year 2013 funding of at least the annualized CR level. In fiscal year 2014 and beyond, it will be critical for GAO to continue efforts to rebuild its staff capacity to its target goal of 3,250 FTE to ensure that GAO has the depth, organizational agility, and broad-based skills needed to optimize its ability to contribute to the vast array of topics about which the Congress seeks GAO's analysis and advice.

A summary of GAO's staffing profile is shown in figure 1.

**Figure 1: Staffing Profile**



## Schedule A

**Government Accountability Office  
Resource Summary by Program**  
(dollars in thousands)

| Program                                    | Fiscal Year 2010<br>Actual |                  | Fiscal Year 2011<br>Actual |                  | Fiscal Year 2012<br>Actual |                  | Fiscal Year 2013<br>Estimate |                  | Fiscal Year 2014<br>Request |                  | Net Change Fiscal<br>Year 2013/2014 |                 | Cumulative Change<br>Fiscal Year 2010/2014 |                   |
|--|----------------------------|------------------|----------------------------|------------------|----------------------------|------------------|------------------------------|------------------|-----------------------------|------------------|-------------------------------------|-----------------|--|-------------------|
|  | FTE                        | Amount           | FTE                        | Amount           | FTE                        | Amount           | FTE                          | Amount           | FTE                         | Amount           | FTE                                 | Amount          | FTE  | Amount            |
| Human capital                              | 3,347                      | \$463,657        | 3,212                      | \$455,008        | 2,997                      | \$428,452        | 2,975                        | \$438,026        | 3,098                       | \$462,733        | 123                                 | \$24,707        | (249)                                      | (\$924)           |
| Engagement support                         |                            | 16,797           |                            | 11,182           |                            | 10,226           |                              | 11,938           |                             | 12,024           |                                     | 86              |  | (4,773)           |
| Infrastructure operations                  |                            | 118,781          |                            | 101,564          |                            | 94,975           |                              | 96,171           |                             | 94,206           |                                     | (1,965)         |  | (24,575)          |
| DOJ space build-out                        |                            |                  |                            | -                |                            |                  |                              | 2,000            |                             | -                |                                     | (2,000)         |  | -                 |
|  |                            |                  |                            |                  |                            |                  |                              |                  |                             |                  |                                     | (100.0%)        |  | 0.0%              |
| <b>Total budget authority</b>              | <b>3,347</b>               | <b>\$599,235</b> | <b>3,212</b>               | <b>\$567,754</b> | <b>2,997</b>               | <b>\$533,653</b> | <b>2,975</b>                 | <b>\$548,135</b> | <b>3,098</b>                | <b>\$569,963</b> | <b>123</b>                          | <b>\$20,828</b> | <b>(249)</b>                               | <b>(\$30,272)</b> |
|  |                            |                  |                            |                  |                            |                  |                              |                  |                             |                  |                                     | <b>4.1%</b>     | <b>3.8%</b>                                | <b>(7.4%)</b>     |
| Non-legislative-branch appropriations      |                            | (\$21,804)       |                            | \$ -             |                            | \$ -             |                              | \$ -             |                             | \$ -             |                                     | \$ -            |  | \$21,804          |
|  |                            |                  |                            |                  |                            |                  |                              |                  |                             |                  |                                     |                 |  | 100%              |
| USCCR Inspector General activities         |                            | -                |                            | -                |                            | (250)            |                              | (250)            |                             | (250)            |                                     | -               |  | (250)             |
|  |                            |                  |                            |                  |                            |                  |                              |                  |                             |                  |                                     |                 |  | 100%              |
| Bid protest fees                           |                            | -                |                            | -                |                            | -                |                              | -                |                             | (450)            |                                     | (450)           |  | (450)             |
|  |                            |                  |                            |                  |                            |                  |                              |                  |                             |                  |                                     | 0.0%            |  | 100%              |
| Reimbursements                             |                            | (10,214)         |                            | (6,648)          |                            | (1,362)          |                              | (9,556)          |                             | (12,006)         |                                     | (2,450)         |  | (1,792)           |
|  |                            |                  |                            |                  |                            |                  |                              |                  |                             |                  |                                     | 25.6%           |  | 17.5%             |
| Offsetting collections                     |                            | (10,892)         |                            | (15,031)         |                            | (20,840)         |                              | (23,904)         |                             | (31,918)         |                                     | (8,014)         |  | (21,026)          |
|  |                            |                  |                            |                  |                            |                  |                              |                  |                             |                  |                                     | 33.5%           |  | 193.0%            |
| <b>Salaries and expenses appropriation</b> | <b>3,347</b>               | <b>\$599,235</b> | <b>3,212</b>               | <b>\$546,075</b> | <b>2,997</b>               | <b>\$511,201</b> | <b>2,975</b>                 | <b>\$514,425</b> | <b>3,098</b>                | <b>\$524,339</b> | <b>123</b>                          | <b>\$9,914</b>  |  | <b>(\$31,986)</b> |
|  |                            |                  |                            |                  |                            |                  |                              |                  |                             |                  |                                     | <b>1.9%</b>     |  | <b>(5.7%)</b>     |

Additional information can be found on pages B-2–B-7 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 Actual |                  | Fiscal Year 2013 Estimate |                  | Fiscal Year 2014 Request |                  | Net Change Fiscal Year 2013/2014 |                  | Cumulative Change Fiscal Year 2010/2014 |                   |
|-------------------------------------|-------------------------|------------------|-------------------------|------------------|-------------------------|------------------|---------------------------|------------------|--------------------------|------------------|----------------------------------|------------------|---|-------------------|
|                                     | FTE                     | Amount           | FTE                     | Amount           | FTE                     | Amount           | FTE                       | Amount           | FTE                      | Amount           | FTE                              | Amount           | FTE                                     | Amount            |
| Human capital Salaries and benefits | 3,347                   | \$445,818        | 3,212                   | \$437,987        | 2,997                   | \$416,122        | 2,975                     | \$420,894        | 3,098                    | \$445,211        | 123                              | \$24,317         | (249)                                   | (\$607)           |
|                                     |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  | 4.1%                             | 5.8%             | (7%)                                    | (0.1%)            |
| Recruitment and retention           |                         | 9,187            |                         | 7,883            |                         | 4,442            |                           | 8,490            |                          | 8,790            |                                  | 300              |   | (397)             |
|                                     |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  | 3.5%             |   | (4.3%)            |
| Training and development            |                         | 4,666            |                         | 2,787            |                         | 3,274            |                           | 4,004            |                          | 4,004            |                                  | 0                |   | (662)             |
|                                     |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  | 0.0%             |   | (14.2%)           |
| Other compensation                  |                         | 3,986            |                         | 6,351            |                         | 4,614            |                           | 4,638            |                          | 4,728            |                                  | 90               |   | 742               |
|                                     |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  | 1.9%             |   | 18.6%             |
| <b>Subtotal</b>                     | <b>3,347</b>            | <b>\$463,657</b> | <b>3,212</b>            | <b>\$455,008</b> | <b>2,997</b>            | <b>\$428,452</b> | <b>2,975</b>              | <b>\$438,026</b> | <b>3,098</b>             | <b>\$462,733</b> | <b>123</b>                       | <b>\$24,707</b>  | <b>(249)</b>                            | <b>(\$824)</b>    |
|                                     |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  | <b>4.1%</b>                      | <b>5.6%</b>      | <b>(7.4%)</b>                           | <b>(0.2%)</b>     |
| Engagement support                  |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  |                  |   |                   |
| Travel                              |                         | \$13,779         |                         | \$8,657          |                         | \$7,417          |                           | \$8,838          |                          | \$8,838          |                                  | \$ -             |   | (\$4,941)         |
|                                     |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  | 0.0%             |   | (35.9%)           |
| Specialized data and expertise      |                         | 3,018            |                         | 2,525            |                         | 2,809            |                           | 3,100            |                          | 3,186            |                                  | 86               |   | 168               |
|                                     |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  | 2.8%             |   | 5.6%              |
| <b>Subtotal</b>                     |                         | <b>\$16,797</b>  |                         | <b>\$11,182</b>  |                         | <b>\$10,226</b>  |                           | <b>\$11,938</b>  |                          | <b>\$12,024</b>  |                                  | <b>\$88</b>      |   | <b>(\$4,773)</b>  |
|                                     |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  | <b>0.7%</b>      |   | <b>(38.4%)</b>    |
| Infrastructure operations*          |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  |                  |   |                   |
| Information technology              |                         | \$56,589         |                         | \$49,873         |                         | \$44,762         |                           | \$50,067         |                          | \$49,184         |                                  | (\$883)          |   | (\$7,405)         |
|                                     |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  | (1.8%)           |   | (13.1%)           |
| Building and security               |                         | 41,035           |                         | 36,359           |                         | 37,203           |                           | 33,520           |                          | 33,090           |                                  | (430)            |   | (7,945)           |
|                                     |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  | (1.3%)           |   | (19.4%)           |
| Administrative support services     |                         | 21,157           |                         | 15,332           |                         | 13,010           |                           | 12,584           |                          | 11,932           |                                  | (652)            |   | (9,225)           |
|                                     |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  | (5.2%)           |   | (43.6%)           |
| <b>Subtotal</b>                     |                         | <b>\$118,781</b> |                         | <b>\$101,564</b> |                         | <b>\$94,975</b>  |                           | <b>\$96,171</b>  |                          | <b>\$94,206</b>  |                                  | <b>(\$1,965)</b> |   | <b>(\$24,579)</b> |
|                                     |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  | <b>(2.0%)</b>    |   | <b>(20.7%)</b>    |
| DOJ space build-out                 |                         | \$ -             |                         | \$ -             |                         | \$ -             |                           | \$2,000          |                          | \$ -             |                                  | (\$2,000)        |   | \$ -              |
|                                     |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  | (100.0%)         |   | 0.0%              |
| <b>Total budget authority</b>       | <b>3,347</b>            | <b>\$599,235</b> | <b>3,212</b>            | <b>\$567,754</b> | <b>2,997</b>            | <b>\$533,653</b> | <b>2,975</b>              | <b>\$548,135</b> | <b>3,098</b>             | <b>\$568,963</b> | <b>123</b>                       | <b>\$20,828</b>  | <b>(249)</b>                            | <b>(\$30,272)</b> |
|                                     |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  | <b>4.1%</b>                      | <b>3.8%</b>      | <b>(7.4%)</b>                           | <b>(5.1%)</b>     |
| Offsets <sup>b</sup>                |                         | (\$42,910)       |                         | (\$21,679)       |                         | (\$22,452)       |                           | (\$33,710)       |                          | (\$44,624)       |                                  | (\$10,883)       |   | (\$1,406)         |
|                                     |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  | 32.6%            |   | 3.3%              |
| <b>Appropriation</b>                |                         | <b>\$556,325</b> |                         | <b>\$546,075</b> |                         | <b>\$511,201</b> |                           | <b>\$514,425</b> |                          | <b>\$524,339</b> |                                  | <b>\$9,914</b>   |   | <b>(\$31,886)</b> |
|                                     |                         |                  |                         |                  |                         |                  |                           |                  |                          |                  |                                  | <b>1.9%</b>      |   | <b>(5.7%)</b>     |

<sup>a</sup> Due to administrative streamlining, budgets for Information Technology and Administrative Support Services includes funding that was formerly budgeted under Knowledge Services.

<sup>b</sup> Includes reimbursements from program and financial audits, rental income, bid protest fees, funds transferred from the U.S. Commission on Civil Rights for Inspector General activities, and funds provided to GAO for mandated work.

## Schedule B

**Government Accountability Office  
Resource Summary  
Analysis of Changes by Program  
(dollars in thousands)**

| Program                                    | Fiscal Year<br>2013 Estimate | Fiscal Year 2014 Changes |                   |                   | Total Net<br>Change | Fiscal Year<br>2014 Request |
|--|------------------------------|--------------------------|-------------------|-------------------|---------------------|-----------------------------|
|  |                              | Pay<br>Related           | Non-<br>recurring | Program<br>Change |                     |                             |
| Human capital                              | \$438,026                    | \$24,707                 | \$                | \$                | \$24,707            | \$462,733                   |
| Engagement support                         | 11,938                       |                          |                   | 86                | 86                  | 12,024                      |
| Infrastructure operations                  | 96,171                       |                          | (1,965)           |                   | (1,965)             | 94,206                      |
| DOJ space build-out                        | 2,000                        |                          | (2,000)           |                   | (2,000)             | -                           |
| <b>Total budget authority</b>              | <b>\$548,135</b>             | <b>\$24,707</b>          | <b>(\$3,965)</b>  | <b>\$86</b>       | <b>\$20,828</b>     | <b>\$568,963</b>            |
| USCCR Inspector General activities         | (\$250)                      | \$                       | \$                | \$ -              | \$                  | (\$250)                     |
| Bki protest user fee                       |                              |                          |                   | (450)             | (450)               | (450)                       |
| Reimbursements                             | (9,556)                      |                          |                   | (2,450)           | (2,450)             | (12,006)                    |
| Offsetting collections                     | (23,904)                     |                          |                   | (8,014)           | (8,014)             | (31,918)                    |
| <b>Salaries and expenses appropriation</b> | <b>\$514,425</b>             | <b>\$24,707</b>          | <b>(\$3,965)</b>  | <b>(\$10,828)</b> | <b>\$9,914</b>      | <b>\$524,339</b>            |

Additional information can be found on pages B-4-B-7 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<br>2013 Estimate | Fiscal Year 2014 Changes |                   |                   | Total Net<br>Change | Fiscal Year<br>2014 Request |
|--|------------------------------|--------------------------|-------------------|-------------------|---------------------|-----------------------------|
|  |                              | Pay<br>Related           | Non-<br>recurring | Program<br>Change |                     |                             |
| <b>Human capital</b>                       |                              |                          |                   |                   |                     |                             |
| Salaries and benefits                      | \$420,894                    | \$24,317                 | \$                | \$                | \$24,317            | \$445,211                   |
| Recruitment and retention                  | 8,490                        | 300                      |                   |                   | 300                 | 8,790                       |
| Training and development                   | 4,004                        |                          |                   |                   |                     | 4,004                       |
| Other compensation                         | 4,638                        | 90                       |                   |                   | 90                  | 4,728                       |
| <b>Subtotal</b>                            | <b>\$438,026</b>             | <b>\$24,707</b>          | <b>\$ -</b>       | <b>\$ -</b>       | <b>\$24,707</b>     | <b>\$462,733</b>            |
| <b>Engagement support</b>                  |                              |                          |                   |                   |                     |                             |
| Travel                                     | \$8,838                      | \$                       | \$                | \$                | \$                  | \$8,838                     |
| Specialized data and expertise             | 3,100                        |                          |                   | 86                | 86                  | 3,186                       |
| <b>Subtotal</b>                            | <b>\$11,938</b>              | <b>\$ -</b>              | <b>\$ -</b>       | <b>\$86</b>       | <b>\$86</b>         | <b>\$12,024</b>             |
| <b>Infrastructure operations</b>           |                              |                          |                   |                   |                     |                             |
| Information technology                     | \$50,067                     | \$                       | (\$883)           | \$                | (\$883)             | \$49,184                    |
| Building and security services             | 33,520                       |                          | (430)             |                   | (430)               | 33,090                      |
| Administrative support services            | 12,584                       |                          | (652)             |                   | (652)               | 11,932                      |
| <b>Subtotal</b>                            | <b>\$96,171</b>              | <b>\$ -</b>              | <b>(\$1,965)</b>  | <b>\$ -</b>       | <b>(\$1,965)</b>    | <b>\$94,206</b>             |
| DOJ space build-out                        | \$2,000                      | \$                       | (\$2,000)         | \$ -              | (\$2,000)           | \$ -                        |
| <b>Total budget authority</b>              | <b>\$548,135</b>             | <b>\$24,707</b>          | <b>(\$3,965)</b>  | <b>\$86</b>       | <b>\$20,828</b>     | <b>\$568,963</b>            |
| <b>USCCR Inspector General activities</b>  |                              |                          |                   |                   |                     |                             |
| Bid protest user fee                       |                              |                          |                   | (\$450)           | (450)               | (450)                       |
| Reimbursements                             | (9,556)                      |                          |                   | (\$2,450)         | (2,450)             | (12,006)                    |
| Offsetting collections                     | (23,904)                     |                          |                   | (\$8,014)         | (8,014)             | (31,918)                    |
| <b>Salaries and expenses appropriation</b> | <b>\$514,425</b>             | <b>\$24,707</b>          | <b>(\$3,965)</b>  | <b>(\$10,828)</b> | <b>\$9,914</b>      | <b>\$524,339</b>            |

## Explanation of Changes by Program

### Pay-Related Costs

GAO's fiscal year 2014 budget request includes \$24.707 million to cover mandatory pay-related costs and other benefits to support a highly skilled workforce, continue the multiyear strategy to increase staff capacity, and enable GAO to address succession planning and skill gaps.

**Table 1a: Supplemental Data on Pay-Related Costs (dollars in thousands)**

| Program                               | Amount of change |
|---------------------------------------|------------------|
| 1. Salaries and benefits              |                  |
| 1a. Annualization                     | \$14,943         |
| 1b. Civilian pay raise                | 6,454            |
| 1c. Performance-based merit increases | 2,829            |
| 1d. Attrition                         | (14,824)         |
| 1e. Hiring                            | 14,429           |
| 1f. Promotions                        | 485              |
| 2. Recruitment and retention          |                  |
| 2a. Rewards and recognition           | 35               |
| 2b. Performance-based bonuses         | 34               |
| 2c. Student loan repayments           | 200              |
| 2d. Transit subsidy                   | 31               |
| 3. Other compensation                 |                  |
| 3a. Workers' compensation             | 36               |
| 3b. Differential pay                  | 16               |
| 3c. Separation payments               | 38               |
| <b>Total pay-related costs</b>        | <b>\$24,707</b>  |

#### Explanation of Changes

- 1a. Represents the amount needed to maintain the onboard staffing level at the start of fiscal year 2014 assuming no other changes in staffing or pay, i.e., to achieve the full-year (annualized) cost of fiscal year 2013 hiring and pay adjustments offset by savings from fiscal year 2013 retirements and attrition.
- 1b. Funds the cost of the anticipated January 2014 civilian pay raise at 1.8 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 localities.
- 1c. Funds the cost of performance-based merit increases to base pay in lieu of executive branch General Schedule-equivalent within-grade increases for staff covered under the banded pay systems.

- 1d. Reflects a reduction in salary and benefits costs from the projected retirement or attrition of 200 staff in fiscal year 2014.
- 1e. Funds the cost to continue the multiyear strategy to rebuild staff capacity—which is fully offset by savings from staff retirements and attrition. In fiscal year 2014, GAO plans to hire 305 permanent staff to address succession planning needs, address skill gaps, and fill critical vacancies.
- 1f. Provides a modest amount to competitively promote staff to fill succession planning needs and ensure that GAO has staff at the appropriate levels who can assume positions of more responsibility.
- 2a. Funds the cost of rewards and recognition programs for an increased staffing level.
- 2b. Funds the cost of performance-based merit increases paid to staff whose salary level exceeds the competitive level for their position as a bonus in lieu of executive-branch General Schedule equivalent within-grade pay increases.
- 2c. Provides funds to enable GAO to provide a more attractive student loan benefit which will help improve staff participation and retention rates, and help ensure that GAO's benefits opportunities are commensurate with other professional services firms and federal agencies with whom it competes for talent.
- 2d. Funds the cost of rate adjustments in transit benefits for a higher staffing level.
- 3a. Funds the cost of mandatory increases for workers' compensation from the Department of Labor.
- 3b. Funds the cost of annual rate adjustments in differential pay for staff assigned to overseas posts and employees who work more than 80 hours per pay period.
- 3c. Funds the cost of annual rate adjustments for leave payments to departing staff.

### Non-Recurring Costs

GAO's fiscal year 2014 budget request includes non-recurring costs of \$3.965 million achieved by streamlining operations, reducing discretionary spending, and leveraging technology to achieve greater efficiency.

**Table 1b: Supplemental Data on Non-Recurring Costs (dollars in thousands)**

| Program                            | Amount of change |
|------------------------------------|------------------|
| 1. Information technology          | (\$883)          |
| 2. Building and security services  | (430)            |
| 3. Administrative support services | (652)            |
| 4. DOJ space build-out             | (2,000)          |
| <b>Total non-recurring costs</b>   | <b>(\$3,965)</b> |

**Explanation of Changes**

1. Reflects a reduction in IT costs due to anticipated completion of projects related to new product development tools, changes in product dissemination methods, and improvements in network operations to improve data storage and processing.
2. Reflects a reduction in field office lease costs offset by funding needed to enhance headquarters building operating systems.
3. Reflects a reduction in contract support costs to assist in acquisition closeout activities and the transition of help desk support services to Department of Transportation's (DOT) Enterprise Services Center (ESC).
4. Reflects non-recurring costs related to completion of the space reconfiguration for the Department of Justice (DOJ) occupancy of the GAO headquarters building.

**Program Changes**

GAO's fiscal year 2014 budget request includes a net reduction of \$10.828 million in program changes to help offset costs.

**Table 1c: Supplemental Data on Program Changes (dollars in thousands)**

| Program                           | Amount of change  |
|-----------------------------------|-------------------|
| 1. Specialized data and expertise | \$86              |
| 2. Bid protest user fee           | (450)             |
| 3. Reimbursements                 | (2,450)           |
| 4. Offsetting collections         | (8,014)           |
| <b>Total program changes</b>      | <b>(\$10,828)</b> |

**Explanation of Changes**

1. Provides a modest increase of 2.8 percent over the fiscal year 2013 CR funding level to help ensure GAO's ability to obtain specialized data and critical expertise when not available within GAO or when needed within compressed timeframes to complete congressional requests and mandates, in lieu of hiring staff.
2. Reflects estimated filing fees collected from companies filing bid protests. The fees would cover the cost of maintaining an electronic docketing system, and would shift the system's cost from taxpayers to the companies filing bid protests.
3. Reflects an increase in reimbursements from program and financial audits available to help offset costs, including unobligated balances received in prior years.
4. Reflects an increase in revenue from rental income and financial audits available to help offset costs, including unobligated balances received in prior years.

## 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 Actual | Fiscal Year 2013 Estimate | Fiscal Year 2014 Request | Net Change Fiscal Year 2013/2014 | Cumulative Change Fiscal Year 2010/2014 |
|---|-------------------------|-------------------------|-------------------------|---------------------------|--------------------------|----------------------------------|---|
| 11.1 Full-time permanent staff                    | \$334,256               | \$333,666               | \$317,458               | \$317,502                 | \$333,627                | 5.1%                             | (0.2%)                                  |
| 11.3 Other than full-time permanent staff         | 23,588                  | 15,407                  | 11,007                  | 12,806                    | 13,953                   | 9.0%                             | (40.8%)                                 |
| 11.5 Other personnel compensation                 | 2,694                   | 2,640                   | 1,956                   | 4,267                     | 4,349                    | 1.9%                             | 61.4%                                   |
| 12.1 Civilian personnel benefits                  | 98,044                  | 99,142                  | 94,351                  | 99,167                    | 106,516                  | 7.4%                             | 8.6%                                    |
| 13.0 Benefits for former personnel                | 410                     | 1,366                   | 391                     | 280                       | 284                      | 1.4%                             | (30.7%)                                 |
| <b>Total pay-related</b>                          | <b>\$458,991</b>        | <b>\$452,221</b>        | <b>\$425,163</b>        | <b>\$434,022</b>          | <b>\$458,729</b>         | <b>5.7%</b>                      | <b>(0.6%)</b>                           |
| 21.0 Travel and transportation of persons         | \$13,826                | \$8,710                 | \$7,474                 | 8,897                     | \$8,897                  | -                                | (35.7%)                                 |
| 22.0 Transportation of things                     | 22                      | -                       | 15                      | -                         | -                        | -                                | (100.0%)                                |
| 23.1 Rental payments to GSA                       | 8,272                   | 8,831                   | 9,017                   | 7,811                     | 6,911                    | (11.6%)                          | (16.5%)                                 |
| 23.2 Rental payments to others                    | 61                      | 32                      | 9                       | 4                         | 4                        | -                                | (33.4%)                                 |
| 23.3 Communications, utilities, and misc. charges | 9,744                   | 8,298                   | 8,684                   | 8,105                     | 7,980                    | (1.5%)                           | (18.1%)                                 |
| 24.0 Printing and reproduction                    | 735                     | 195                     | 131                     | 126                       | 126                      | -                                | (82.9%)                                 |
| 25.1 Advisory and assistance services             | 4,657                   | 2,791                   | 3,303                   | 4,041                     | 4,041                    | -                                | (13.2%)                                 |
| 25.2 Other services                               | 24,041                  | 18,700                  | 16,813                  | 17,256                    | 16,686                   | (3.3%)                           | (30.8%)                                 |
| 25.3 Goods and services from government accounts  | 629                     | 688                     | 568                     | 648                       | 648                      | -                                | 3.0%                                    |
| 25.4 Operation and maintenance of facilities      | 11,273                  | 9,748                   | 7,488                   | 10,142                    | 10,142                   | -                                | (10.0%)                                 |
| 25.7 Operation and maintenance of equipment       | 44,509                  | 44,503                  | 43,130                  | 47,495                    | 46,737                   | (1.6%)                           | 5.0%                                    |
| 26.0 Supplies and materials                       | 1,790                   | 1,436                   | 1,269                   | 1,601                     | 1,604                    | 0.2%                             | (10.4%)                                 |
| 31.0 Equipment                                    | 13,706                  | 5,300                   | 490                     | 1,405                     | 1,405                    | -                                | (89.7%)                                 |
| 32.0 Land and structures                          | 6,969                   | 6,243                   | 9,921                   | 6,562                     | 5,033                    | (23.3%)                          | (27.8%)                                 |
| 42.0 Insurance claims and indemnities             | 10                      | 58                      | 178                     | 20                        | 20                       | -                                | 100.0%                                  |
| <b>Total non-pay-related</b>                      | <b>\$140,244</b>        | <b>\$115,533</b>        | <b>\$108,490</b>        | <b>\$114,113</b>          | <b>\$110,234</b>         | <b>(3.4%)</b>                    | <b>(21.4%)</b>                          |
| <b>Total budget authority</b>                     | <b>\$599,235</b>        | <b>\$567,754</b>        | <b>\$533,653</b>        | <b>\$548,135</b>          | <b>\$568,963</b>         | <b>3.8%</b>                      | <b>(5.1%)</b>                           |
| Non-legislative-branch appropriations             | (\$21,804)              | \$ -                    | \$ -                    | \$ -                      | \$ -                     | -                                | (100%)                                  |
| USCCR Inspector General activities                | -                       | -                       | (250)                   | (250)                     | (250)                    | -                                | 100%                                    |
| Bid protest user fee                              | -                       | -                       | -                       | -                         | (450)                    | 100.0%                           | 100.0%                                  |
| Reimbursements                                    | (10,214)                | (6,648)                 | (1,382)                 | (9,556)                   | (12,006)                 | 25.6%                            | 17.5%                                   |
| Offsetting collections                            | (10,892)                | (15,031)                | (20,840)                | (23,904)                  | (31,918)                 | 33.5%                            | 193.0%                                  |
| <b>Salaries and expenses appropriation</b>        | <b>\$556,325</b>        | <b>\$546,075</b>        | <b>\$511,201</b>        | <b>\$514,425</b>          | <b>\$524,339</b>         | <b>1.9%</b>                      | <b>(5.7%)</b>                           |

## Schedule B-2

**Government Accountability Office**  
**Resource Summary**  
**Analyses of Changes by Object Classification**  
*(dollars in thousands)*

| Object Classification                             | Fiscal Year 2013 Estimate | Fiscal Year 2014 Changes |                  |                   |                  | Fiscal Year 2014 Request |
|---|---------------------------|--------------------------|------------------|-------------------|------------------|--------------------------|
|   |                           | Pay Related              | Non-recurring    | Program Change    | Total Net Change |                          |
| 11.1 Full-time permanent staff                    | \$317,502                 | \$16,125                 | \$               | \$                | \$16,125         | \$333,627                |
| 11.3 Other than full-time permanent staff         | 12,806                    | 1,147                    |                  |                   | 1,147            | 13,953                   |
| 11.5 Other personnel compensation                 | 4,267                     | 82                       |                  |                   | 82               | 4,349                    |
| 12.1 Civilian personnel benefits                  | 99,167                    | 7,349                    |                  |                   | 7,349            | 106,516                  |
| 13.0 Benefits for former personnel                | 280                       | 4                        |                  |                   | 4                | 284                      |
| <b>Total pay-related</b>                          | <b>\$434,022</b>          | <b>\$24,707</b>          | <b>\$</b>        | <b>\$</b>         | <b>\$24,707</b>  | <b>\$458,729</b>         |
| 21.0 Travel and transportation of persons         | \$8,897                   | \$                       | \$               | \$                | \$               | \$8,897                  |
| 23.1 Rental payments to GSA                       | 7,811                     |                          | (900)            |                   | (900)            | 6,911                    |
| 23.2 Rental payments to others                    | 4                         |                          |                  |                   |                  | 4                        |
| 23.3 Communications, utilities, and misc. charges | 8,105                     |                          | (125)            |                   | (125)            | 7,980                    |
| 24.0 Printing and reproduction                    | 126                       |                          |                  |                   |                  | 126                      |
| 25.1 Advisory and assistance services             | 4,041                     |                          |                  |                   |                  | 4,041                    |
| 25.2 Other services                               | 17,256                    |                          | (656)            | 86                | (570)            | 16,686                   |
| 25.3 Goods and services from government accounts  | 648                       |                          |                  |                   |                  | 648                      |
| 25.4 Operation and maintenance of facilities      | 10,142                    |                          |                  |                   |                  | 10,142                   |
| 25.7 Operation and maintenance of equipment       | 47,495                    |                          | (758)            |                   | (758)            | 46,737                   |
| 28.0 Supplies and materials                       | 1,601                     |                          | 3                |                   | 3                | 1,604                    |
| 31.0 Equipment                                    | 1,405                     |                          |                  |                   |                  | 1,405                    |
| 32.0 Land and structures                          | 6,562                     |                          | (1,529)          |                   | (1,529)          | 5,033                    |
| 42.0 Insurance claims and indemnities             | 20                        |                          |                  |                   |                  | 20                       |
| <b>Total non-pay-related</b>                      | <b>\$114,113</b>          | <b>\$</b>                | <b>(\$3,965)</b> | <b>\$86</b>       | <b>(\$3,879)</b> | <b>\$110,234</b>         |
| <b>Total budget authority</b>                     | <b>\$548,135</b>          | <b>\$24,707</b>          | <b>(\$3,965)</b> | <b>\$86</b>       | <b>\$20,828</b>  | <b>\$568,963</b>         |
| USCCR Inspector General activities                | (\$250)                   | \$                       | \$               | \$                | \$               | (\$250)                  |
| Bid protest user fee                              |                           |                          |                  | (450)             | (450)            | (450)                    |
| Reimbursements                                    | (9,556)                   |                          |                  | (2,450)           | (2,450)          | (12,006)                 |
| Offsetting collections                            | (23,904)                  |                          |                  | (8,014)           | (8,014)          | (31,918)                 |
| <b>Salaries and expenses appropriation</b>        | <b>\$514,425</b>          | <b>\$24,707</b>          | <b>(\$3,965)</b> | <b>(\$10,828)</b> | <b>\$9,914</b>   | <b>\$524,339</b>         |

## Schedule C

**Government Accountability Office**  
**Detailed Analyses of Changes by Object Classification**  
**Fiscal Year 2013 to 2014**  
*(dollars in thousands)*

|   | FTE           | Amount           |
|---|---------------|------------------|
| Fiscal year 2013 budget authority               | 2,975         | \$548,135        |
| Adjustments to base                             |               |                  |
| A. Pay-related costs                            |               |                  |
| 1. Full-time permanent staff                    |               | \$16,125         |
| 2. Other than full-time permanent staff         |               | 1,147            |
| 3. Other personnel compensation                 |               | 82               |
| 4. Civilian personnel benefits                  |               | 7,349            |
| 5. Benefits for former personnel                |               | <u>4</u>         |
| Subtotal—Pay-related costs                      | 123           | \$24,707         |
| B. Non-Recurring costs                          |               |                  |
| 1. Rental payments to GSA                       |               | (900)            |
| 2. Communications, utilities, and misc. charges |               | (125)            |
| 3. Other services                               |               | (656)            |
| 4. Operation and maintenance of equipment       |               | (758)            |
| 5. Supplies and materials                       |               | 3                |
| 6. Lands and structures                         |               | <u>(1,529)</u>   |
| Subtotal—Non-recurring costs                    |               | (\$3,965)        |
| C. Program changes                              |               |                  |
| 1. Other services                               | <u>      </u> | <u>86</u>        |
| <b>Total changes to base</b>                    | <b>123</b>    | <b>\$20,628</b>  |
| Fiscal year 2014 budget authority               | 3,098         | \$568,963        |
| Less:   |               |                  |
| USCCR Inspector General activities              |               | (\$250)          |
| Bid protest user fee                            |               | (450)            |
| Reimbursements                                  |               | (12,006)         |
| Offsetting collections                          |               | (31,918)         |
| <b>Salaries and expenses appropriation</b>      | <b>3,098</b>  | <b>\$524,339</b> |

## 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., including number one in support of diversity, 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. GAO's human capital efforts align with its Strategic Plan and focus on attracting, retaining, motivating, and rewarding a results-oriented workforce while being fiscally responsible.

It is imperative that GAO continues to replenish its workforce to replace departing staff, address succession planning needs, and provide the benefits and tools needed to maintain a highly productive workforce. GAO's fiscal year 2014 budget request helps fund a multiyear effort to rebuild staff

capacity and provide meaningful rewards and recognition to attract and retain a skilled workforce to sufficiently meet the highest priority needs of the Congress and produce results to help the federal government deal effectively with its serious fiscal and other 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 staff capacity would be both prudent and wise to ensure GAO's ability to optimize the benefits yielded 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.

GAO's fiscal year 2014 budget request of \$462.7 million for human capital programs represents an increase of 5.6 percent over the fiscal year 2013 CR funding level, and a reduction of 0.2 percent since fiscal year 2010. As a knowledge-based organization, human capital costs represent about 81 percent of GAO's total costs. 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<br>Actual | Fiscal Year 2011<br>Actual | Fiscal Year 2012<br>Actual | Fiscal Year 2013<br>Estimate | Fiscal Year 2014<br>Request | Net Change<br>Fiscal Year<br>2013/2014 | Cumulative<br>Change<br>Fiscal Year<br>2010/2014 |
|---------------------------|----------------------------|----------------------------|----------------------------|------------------------------|-----------------------------|--|--|
| Salaries and benefits     | \$445,818                  | \$437,987                  | \$416,122                  | \$420,894                    | \$445,211                   | 5.8%                                   | (0.1%)   |
| Recruitment and retention | 9,187                      | 7,883                      | 4,442                      | 8,490                        | 8,790                       | 3.5%                                   | (4.3%)   |
| Training and development  | 4,666                      | 2,787                      | 3,274                      | 4,004                        | 4,004                       | —                                      | (14.2%)  |
| Other compensation        | 3,986                      | 6,351                      | 4,614                      | 4,638                        | 4,728                       | 1.9%                                   | 18.6%  |
| <b>Total</b>              | <b>\$463,657</b>           | <b>\$455,008</b>           | <b>\$428,452</b>           | <b>\$438,026</b>             | <b>\$462,733</b>            | <b>5.6%</b>                            | <b>(0.2%)</b>                                    |

## 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 Legislative Branch Financial Management Council (LBFMC).

GAO's fiscal year 2014 budget request includes funds to continue a multiyear effort to rebuild GAO's staff capacity to 3,250 FTE—the optimal level in the current environment that would help ensure that GAO can continue to provide insightful analyses on the most important priorities for congressional oversight.

In fiscal years 2010 through 2012, due to budget constraints, GAO has extremely limited hiring to replace only critical positions while experiencing continual losses through retirements and attrition. At the end of fiscal year 2012, for the first time since 1935, GAO's staffing level dropped below 3,000 FTE. This unfortunate, but

unavoidable, staffing retrenchment has negatively affected GAO's staffing level, and resulted in not replacing departing staff and addressing succession planning challenges and skill gaps.

In fiscal year 2013, pending the final outcome of GAO's budget, GAO plans to reinstate its hiring program to recruit entry-level staff and interns and fill critical vacancies. GAO plans to continue its recruiting efforts in fiscal year 2014, increasing planned FTE usage to 3,098. Table 2 summarizes GAO's staffing profile and related resources for fiscal years 2010-2014.

The requested funding increase of \$24.3 million supports an FTE level of 3,098 and funds the annualization of fiscal year 2013 workforce activity and pay actions, the January 2014 pay raise based on guidance from CBO and the LBFMC, performance-based merit salary increases equivalent to executive-branch within-grade increases, hiring to replace staff losses resulting from retirement and 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 projected savings from fiscal year 2014 attrition and leave-without-pay as summarized in Table 3 and discussed below.

**Table 2: Detail Budgetary Resources—Salaries and Benefits (dollars in thousands)**

| Salaries and Benefits                 | Fiscal Year 2010 Actual | Fiscal Year 2011 Actual | Fiscal Year 2012 Actual | Fiscal Year 2013 Estimate | Fiscal Year 2014 Request | Net Change Fiscal Year 2013/2014 | Cumulative Change Fiscal Year 2010/2014 |
|---------------------------------------|-------------------------|-------------------------|-------------------------|---------------------------|--------------------------|----------------------------------|---|
| Number of staff on board at year end  | 3,350                   | 3,134                   | 2,957                   | 3,087                     | 3,192                    | 3.4%                             | (4.7%)                                  |
| Number of full-time equivalents (FTE) | 3,347                   | 3,212                   | 2,997                   | 2,975                     | 3,098                    | 4.1%                             | (7.4%)                                  |
| Salaries and benefits cost            | \$445,818               | \$437,987               | \$416,122               | \$420,894                 | \$445,211                | 5.8%                             | (0.1%)                                  |

**Table 3: Summary of Requested Changes (dollars in thousands)**

| Activity                          | Amount          |
|-----------------------------------|-----------------|
| Annualization                     | \$14,943        |
| Civilian pay raise                | 6,454           |
| Performance-based merit increases | 2,829           |
| Hiring and attrition              | (394)           |
| Promotions                        | 485             |
| <b>Total</b>                      | <b>\$24,317</b> |

**Annualization** – GAO’s budget request includes \$14.943 million to maintain its onboard staffing level at the start of fiscal year 2014, assuming no other changes in staffing or pay, i.e., to fund the full-year (annualized) cost of fiscal year 2013 hiring and pay adjustments.

**Civilian pay raise** – GAO’s budget request includes \$6.454 million to fund the anticipated January 2014 civilian pay raise of 1.8 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** – GAO’s budget request includes \$2.829 million to fund the cost of performance-based merit salary increases provided to employees covered under the banded pay system in lieu of executive-branch within-grade pay increases.

GAO’s fiscal year 2014 budget request is based on historical data on the percentage of staff receiving such increases. 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 salaries are capped and cannot be increased are discussed in the Recruitment and Retention section.

**Hiring and attrition** – GAO’s budget request reflects a net reduction of \$394,000, which includes \$14.429 million to recruit entry-level staff, and fill critical vacancies, which is offset by savings of \$14.824 million from attrition of departing staff. GAO’s fiscal year 2014 workforce plan includes recruiting 305 permanent staff and assumes that GAO will lose 200 staff through retirement and attrition.

Planned hiring is essential to help ensure GAO’s ability to respond in a timely manner to congressional requests and workload demands, achieve the goals and objectives outlined in the strategic plan, meet succession-planning needs by developing the workforce to replace the knowledge and skills of expected retirements of more senior staff, and maintain the proper mix of skills and experience levels.

GAO’s estimated staff attrition is based on historical trends and key data, such as retirement eligibility. GAO also plans to maintain its intern program, which provides an opportunity for both GAO management and interns to assess performance, and has been a successful tool for attracting entry-level staff.

**Promotions** – GAO’s budget request includes \$485,000 to competitively promote staff to positions of more responsibility. GAO’s estimate is based on its 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.

## Recruitment and Retention

GAO's focus and priority continues to be on sustaining a diverse professional services organization that attracts, recruits, 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 it 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;
- rewards 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 GAO's disposal is an important factor in its ability to compete in the marketplace with other agencies, nonprofit institutions, and private sector firms to attract and retain high-performing employees.

Table 4 provides a summary of GAO's recruitment and retention programs for fiscal years 2010-2014.

GAO's fiscal year 2014 budget request of \$8.790 million includes funds to provide meaningful recruitment and retention benefits to help ensure GAO's ability to attract, recruit, reward and retain staff. The proposed fiscal year 2014 funding level represents a modest increase of 3.5 percent over the fiscal year 2013 CR funding level—yet remains more than 4 percent below fiscal year 2010 level for these essential programs.

### Rewards and Recognition Program

The Rewards and Recognition Program enables GAO to recognize and reward employees for their outstanding contributions toward achieving GAO's mission to support the Congress and the American people. This tool is essential to attract potential recruits and recognize, motivate, and retain a uniquely skilled, high-performing workforce.

**Table 4: Detail Budgetary Resources—Recruitment and Retention (dollars in thousands)**

| Recruitment and Retention   | Fiscal Year 2010 Actual | Fiscal Year 2011 Actual | Fiscal Year 2012 Actual | Fiscal Year 2013 Estimate | Fiscal Year 2014 Request | Net Change Fiscal Year 2013/2014 | Cumulative Change Fiscal Year 2010/2014 |
|-----------------------------|-------------------------|-------------------------|-------------------------|---------------------------|--------------------------|----------------------------------|---|
| Rewards and recognition     | \$2,245                 | \$2,078                 | \$686                   | \$1,887                   | \$1,922                  | 1.9%                             | (14.4%)                                 |
| Student loan repayment      | 3,136                   | 1,731                   | 1,200                   | 2,200                     | 2,400                    | 9.1%                             | (23.5%)                                 |
| Performance-based merit pay | 1,116                   | 1,215                   | 704                     | 1,706                     | 1,740                    | 2.0%                             | 55.9%                                   |
| Transit benefit             | 2,690                   | 2,859                   | 1,852                   | 2,697                     | 2,728                    | 1.1%                             | 1.4%                                    |
| <b>Total</b>                | <b>\$9,187</b>          | <b>\$7,883</b>          | <b>\$4,442</b>          | <b>\$8,490</b>            | <b>\$8,790</b>           | <b>3.5%</b>                      | <b>(4.3%)</b>                           |

In fiscal year 2012, GAO suspended monetary recognition due to funding constraints, and plans to restore this recognition form in fiscal year 2013 depending on the final outcome of the budget. In fiscal year 2014 GAO is requesting a modest increase of 1.9 percent to continue funding this benefit for an increased staffing level. GAO's proposed fiscal year 2014 funding level is more than 14 percent below the fiscal year 2010 funding level for this program.

### **Student Loan Repayment Program**

The Student Loan Repayment Program is an important tool that also facilitates GAO's ability to attract and retain a high-performing workforce. GAO offers payments to eligible, highly-qualified employees in general and special category positions that traditionally have been hard to fill. Staff who participate in the program receive the benefit in exchange for a 3-year employment commitment to remain at GAO.

Following several years of limited hiring and funding reductions, which reduced the average payment amount GAO could offer, applications for the program declined by 23 percent from fiscal year 2011 to 2012. In fiscal year 2012 GAO issued student loan repayments to lending institutions on behalf of 415 employees at a cost of \$1.2 million. Depending on the final outcome of the fiscal year 2013 budget, in fiscal year 2013 GAO plans to increase program funding to \$2.2 million to enable GAO to provide a more attractive benefit which will help improve staff participation and retention rates.

The increased funding will also help ensure that GAO's benefits opportunities are commensurate with other professional services firms and federal agencies with whom GAO competes for talent. GAO's fiscal year 2014 budget request includes \$2.4 million to provide sufficient funding for an increased staffing level. The fiscal year 2014 funding level remains almost 24

percent below the fiscal year 2010 funding level.

### **Performance Based Merit Pay**

GAO's budget request includes \$1.7 million to fund performance-based merit pay provided to staff covered under the banded pay system in lieu of executive-branch General Schedule equivalent within-grade pay 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 to base pay is discussed in the Salaries and Benefits section.

GAO's fiscal year 2014 budget request represents a slight increase of 2 percent over the fiscal year 2013 CR funding level due to higher salary rates and an increased number of staff. This estimate is based on the number and 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 by P.L. 109-59, which requires that most federal agencies within the National Capital Region, including GAO, implement a transit benefit program 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 almost 1,750 GAO headquarters and field employees.

In fiscal year 2012, GAO reduced program costs as a result of reduced staffing levels, lower commuting costs due to the expanded telework program, and the implementation of new software introduced by the Washington Metropolitan Area Transit

Authority (WMATA) for their SmartBenefits program, "SmartBenefits Autoload." The SmartBenefits Autoload software separately tracks federal transit benefits, parking, and personal funds; and credits unused benefits to agencies monthly.

GAO currently uses the Department of Transportation (DOT)/TRANServe as a fee-for-service organization to manage and distribute media for GAO's field offices. By fiscal year 2014, DOT/TRANServe will completely eliminate paper media and transition to electronic fare media (debit cards), that will offer enhanced internal controls to preserve the transit benefit and deter waste, fraud, and abuse.

GAO continues to reduce costs by administering its own SmartBenefits program for headquarters' staff via Metro's web-based program in lieu of DOT. This change continues to improve program administration and in fiscal year 2012, GAO saved approximately \$89,000 in administrative fees.

In January 2013, the maximum monthly allowance was increased by the American Taxpayer Relief Act to \$245 in calendar year 2013. The fiscal years 2013 and 2014 budget estimates reflect this increased allowance, as well as an increased staffing level. GAO continues to implement other changes to improve internal controls and increase employee awareness of program regulations.

**Training and Development**

The Training and Development Program plays an important role in GAO’s ability to attract and retain a highly skilled workforce. Training and development is also critical to ensuring continued growth of GAO’s highly skilled workforce.

GAO’s Learning Center provides basic and advanced skills training for all staff 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-provided training strengthens core competencies for staff in all career categories. In addition, the Learning Center manages the agency-wide mentoring program and oversees team and unit-based training events. Some staff also attend technical training and professional conferences sponsored by external providers, as appropriate.

GAO’s fiscal year 2014 budget request includes \$4 million to support these activities. In order to constrain costs, GAO is maintaining funding at the fiscal year 2013 CR funding level. Since fiscal year 2010, GAO has reduced program costs by more than 14 percent. In fiscal year 2012, GAO:

- Expanded the use of virtual learning to support the mentoring program and unit-led training;
- Supported GAO’s goal for a diverse workforce and an inclusive work environment by completing the rollout of the second part of the agency-wide diversity training, introducing three new diversity and inclusion workshops, and supporting implementation teams;

- Delivered several new courses to address the changing needs of the workforce, including:
  - Americans with Disabilities Act for Managers;
  - Prevention of Sexual Harassment Workshop for GAO Managers;
  - Managing Multiple Engagements (for Assistant Directors);
  - Working Effectively at a Distance; and
- Reduced the cost of providing executive leadership training by partnering with a local university.

GAO’s fiscal year 2014 budget for training and development provides funds to (1) develop new curricula to support continuous learning and growth, (2) help maintain and expand GAO’s leadership pipeline to fulfill succession plans, and (3) provide sufficient training offerings to enable staff to meet CPE requirements and maintain professional certifications. In fiscal years 2013 and 2014, GAO plans to:

- Continue migrating learning content from the physical to the virtual classroom to expand the accessibility of learning-on-demand and more efficiently utilize limited resources;
- Facilitate leadership discussions on how to Work Together Effectively at a Distance, and develop additional on-demand resources (e.g., tip sheets);
- Lead the agency’s mentoring program and expand participation; and
- Continue supporting workplace diversity and inclusion courses, conducting workshops for senior managers, and working with teams to help make the work environment more inclusive.

**Table 5: Detail Budgetary Resources—Training and Development (dollars in thousands)**

| Training and development | Fiscal Year 2010 Actual | Fiscal Year 2011 Actual | Fiscal Year 2012 Actual | Fiscal Year 2013 Estimate | Fiscal Year 2014 Request | Net Change Fiscal Year 2013/2014 | Cumulative Change Fiscal Year 2010/2014 |
|--------------------------|-------------------------|-------------------------|-------------------------|---------------------------|--------------------------|----------------------------------|---|
| Training and development | \$4,666                 | \$2,787                 | \$3,274                 | \$4,004                   | \$4,004                  | -                                | (14.2%)                                 |

**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.

The fiscal year 2014 funding level for this program represents a 1.9 percent increase above the fiscal year 2013 CR funding level, primarily due to increases in workers' compensation and 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 branch for unused

compensatory time, annual leave, and credit hours; and (3) cover the annuity of a retired Comptroller General. The increase covers annual adjustments in salary rates.

**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 for 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 years 2013 and 2014 covers annual adjustments in salary rates and staff presence in Afghanistan to support congressional requests and mandates.

**Table 6: Detail Budgetary Resources—Other Compensation (dollars in thousands)**

| Other Compensation    | Fiscal Year 2010 Actual | Fiscal Year 2011 Actual | Fiscal Year 2012 Actual | Fiscal Year 2013 Estimate | Fiscal Year 2014 Request | Net Change Fiscal Year 2013/2014 | Cumulative Change Fiscal Year 2010/2014 |
|-----------------------|-------------------------|-------------------------|-------------------------|---------------------------|--------------------------|----------------------------------|---|
| Separation payments   | \$2,291                 | \$4,517                 | \$2,923                 | \$2,817                   | \$2,859                  | 1.5%                             | 24.8%                                   |
| Workers' compensation | 1,162                   | 1,271                   | 1,033                   | 1,146                     | 1,182                    | 3.1%                             | 1.7%                                    |
| Differential pay      | 449                     | 563                     | 566                     | 675                       | 687                      | 1.8%                             | 53.0%                                   |
| Relocations           | 84                      | -                       | 92                      | -                         | -                        | -                                | (100.0%)                                |
| <b>Total</b>          | <b>\$3,986</b>          | <b>\$6,351</b>          | <b>\$4,614</b>          | <b>\$4,638</b>            | <b>\$4,728</b>           | <b>1.9%</b>                      | <b>18.6%</b>                            |

## Engagement Support

GAO's Engagement Support Programs provide funds to help 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 contract services which provide data and specialized expertise not readily available within GAO.

GAO's fiscal year 2014 funding level of \$12 million represents a modest increase of 0.7 percent over the fiscal year 2013 CR funding level. However, since fiscal year 2010 GAO has reduced its engagement support costs by over 28 percent, including a reduction in travel costs of nearly 36 percent. These reductions have helped enable GAO to manage costs in a constrained budget environment.

### Travel

Travel is an integral element of GAO's emphasis on the quality of its work. Audit and evaluation work must be sufficiently representative in scope and in the number and type of locations covered to assure the validity of GAO's conclusions and recommendations. Conducting original research through on-site visits, both domestically and internationally, is a fundamental way that GAO delivers value to the Congress and separates GAO products

from those of other research agencies. For example, since the beginning of fiscal year 2012, GAO has had a field presence in Afghanistan in support of its work mandated by the National Defense Authorization Acts, including examining the Department of Defense's plans for managing the drawdown of equipment, personnel, and contracts there and the development of U.S. plans for a post-2014 presence.

The fiscal year 2014 budget request holds funding constant at GAO's fiscal year 2013 CR level. GAO plans to absorb inflation and other cost increases by closely managing the need for travel. GAO will also achieve savings through the use of non-contract air fares agency-wide as an additional option for employees after a successful pilot program. The pilot found that the use of non-refundable fares when appropriate circumstances are met resulted in greater flexibility in booking less costly airfares.

GAO has instituted a number of best practices to ensure effective use of funds available for mission essential travel. Closer management review and analysis and enhancements to job management processes have helped reduce the need for travel. GAO continues to explore ways to reduce travel costs while maintaining the integrity of its work. For example, desktop video-conference capability implemented in fiscal year 2012 has enhanced communication between headquarters and field offices and GAO and its clients, and has reduced the need for travel.

**Table 1: Detail Budgetary Resources—Engagement Support (dollars in thousands)**

| Program                        | Fiscal Year 2010 Actual | Fiscal Year 2011 Actual | Fiscal Year 2012 Actual | Fiscal Year 2013 Estimate | Fiscal Year 2014 Request | Net Change Fiscal Year 2013/2014 | Cumulative Change Fiscal Year 2010/2014 |
|--------------------------------|-------------------------|-------------------------|-------------------------|---------------------------|--------------------------|----------------------------------|---|
| Travel                         | \$13,779                | \$8,657                 | \$7,417                 | \$8,838                   | \$8,838                  | —                                | (35.9%)                                 |
| Specialized data and expertise | 3,018                   | 2,525                   | 2,809                   | 3,100                     | 3,186                    | 2.8%                             | 5.6%                                    |
| <b>Total</b>                   | <b>\$16,797</b>         | <b>\$11,182</b>         | <b>\$10,226</b>         | <b>\$11,938</b>           | <b>\$12,024</b>          | <b>0.7%</b>                      | <b>(28.4%)</b>                          |

## ***Specialized Data and Expertise***

GAO uses contract services in support of audits and evaluations to obtain data and specialized expertise and assistance not readily available from GAO staff or when there is a need for expertise within a compressed time frame.

GAO's fiscal year 2014 budget request seeks a modest 2.8 percent increase over the fiscal year 2013 CR funding level to ensure its ability to obtain specialized data and expertise needed to conduct congressional engagements, cost analyses, and technology assessments.

GAO expects to continue to rely on external experts and advisors in disciplines related to

its work in physical infrastructure, pension simulations, health care, natural resources, economic analyses, and survey assistance rather than hiring permanent staff.

In fiscal year 2012, GAO used contract services to obtain data and provide expertise on audit engagements such as

- using expert panels convened by the National Academy of Sciences;
- providing software and engineering support to conduct simulation models on pension data;
- analyzing Medicare part B drug costs; 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. During fiscal 2012 GAO reorganized its administrative activities to gain operational efficiencies. The effect of these changes is reflected in the budget presentation below. Infrastructure Operations programs cover:

- information technology;
- building and security services; and
- administrative support services.

In fiscal year 2014, GAO is 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 2014 budget request for these programs represents a reduction of 2 percent below the fiscal year 2013 CR funding level, and a cumulative reduction of almost 21 percent or \$23 million below fiscal year 2010. These reductions are a result of GAO's continued commitment to streamlining infrastructure operations, while maintaining a high level of service.

Each infrastructure operations component is discussed in detail below.

**Table 1: Detail Budgetary Resources—Infrastructure Operations (dollars in thousands)**

| Program <sup>a</sup>            | Fiscal Year<br>2010<br>Actual | Fiscal Year<br>2011<br>Actual | Fiscal Year<br>2012<br>Actual | Fiscal Year<br>2013<br>Estimate | Fiscal Year<br>2014<br>Request | Net Change<br>Fiscal Year<br>2013/2014 | Cumulative<br>Change<br>Fiscal Year<br>2010/2014 |
|---------------------------------|-------------------------------|-------------------------------|-------------------------------|---------------------------------|--------------------------------|--|--|
| Information technology          | \$56,589                      | \$49,873                      | \$44,762                      | \$50,067                        | \$49,184                       | (1.8%)                                 | (13.1%)  |
| Building and security services  | 41,035                        | 36,359                        | 37,203                        | 33,520                          | 33,090                         | (1.3%)                                 | (19.4%)  |
| Administrative support services | 21,157                        | 15,332                        | 13,010                        | 12,584                          | 11,932                         | (5.2%)                                 | (43.6%)  |
| <b>Total</b>                    | <b>\$118,781</b>              | <b>\$101,564</b>              | <b>\$94,975</b>               | <b>\$96,171</b>                 | <b>\$94,206</b>                | <b>(2.0%)</b>                          | <b>(20.7%)</b>                                   |

<sup>a</sup> Due to administrative streamlining, budgets for Administrative support services includes funding for knowledge and information assets, services, and policies that were formerly budgeted under Knowledge Services. The fiscal years 2013 and 2014 budgets for information technology includes funding for preparing, publishing, and disseminating the results of GAO's work products that were formerly budgeted under Knowledge Services.

**Information Technology (IT)**

GAO's IT program supports GAO's mission, goals, and strategic objectives by:

- ensuring the availability of systems and information that provide a high level of customer service and usability;
- supporting a collaborative, geographically dispersed, and mobile workforce;
- enabling engagement solutions that support standard and common business approaches;
- exercising vigilance in IT security, disaster recovery, and continuity of operations;
- providing modern, reliable tools to help attract and retain talent; and
- reducing the total cost of operations and simplifying business processes.

The IT program includes funding to support maintenance, operation, and development of GAO's IT needs, including:

- telecommunications;
- software;
- equipment;
- systems operations and maintenance; and
- user support.

GAO's fiscal year 2014 budget request includes \$49.2 million—a reduction of 1.8 percent below the fiscal year 2013 CR

funding level—to ensure GAO's technology remains current to allow it to sufficiently conduct needed studies and evaluations of government programs and spending. In fiscal years 2013 and 2014, GAO plans to implement targeted investments in technology and systems. Periodic refresh and upgrade of enabling technology is critical to ensure the ability to improve productivity and effectiveness. However, the fiscal year 2014 funding level for IT programs remains more than 13 percent below fiscal year 2010.

In fiscal year 2012, GAO made progress on several activities which enhance staff efficiency and effectiveness, and streamline its operations, including:

- implementing Release 1 of the Engagement Management System (EMS), which consolidates several legacy applications into a single database, which is essential in GAO's efforts to streamline its processes to better serve the Congress;
- upgrading desktop application software suite from MS Office 2002 to MS Office 2007;
- enhancing the Financial Audit System to provide additional functionality;
- implementing a self-service capability to allow managers and staff to access the human resource system to enter transactions, access information, and streamline processing;

**Table 2: Detail Budgetary Resources—Information Technology (dollars in thousands)**

| Program                | Fiscal Year 2010 Actual | Fiscal Year 2011 Actual | Fiscal Year 2012 Actual | Fiscal Year 2013 <sup>a</sup> Estimate | Fiscal Year 2014 <sup>a</sup> Request | Net Change Fiscal Year 2013/2014 | Cumulative Change Fiscal Year 2010/2014 |
|------------------------|-------------------------|-------------------------|-------------------------|--|---------------------------------------|----------------------------------|---|
| Information technology | \$56,589                | \$49,873                | \$44,762                | \$50,067                               | \$49,184                              | (1.8%)                           | (13.1%)                                 |

<sup>a</sup> Includes funding for preparing, publishing, and disseminating the results of GAO's work products that were formerly budgeted under Knowledge Services.

- enhancing GAO's workforce planning tracking and reporting capabilities to automate workforce management activities;
- converting the SCOTS database from Access to Oracle, which improved employee security clearance monitoring capabilities, and provided web reporting to team security managers;
- completing a limited deployment of WiFi in GAO headquarters and three field offices to enable greater access to the Internet and GAO network;
- implementing web-based room reservation services as part of GAO's telework pilot in Boston and San Francisco;
- providing a limited deployment of Voice over Internet Protocol (VOIP) telephone services to GAO staff who are participating in the telework pilot;
- completing implementation of the Enterprise Storage Area Network (SAN) to improve storage capacity, backup, and recovery facilities; and
- piloting a desktop video-conferencing and document-sharing capability that reduces travel costs and improves communications.



*GAO staff utilize desktop video-conferencing to link GAO HQ and field staff and share information.*

GAO continually prioritizes IT activities to ensure it continues to achieve an appropriate return on investment. In fiscal year 2013, GAO significantly reduced program service levels and deferred or eliminated key initiatives to meet budgetary challenges. For example, GAO:

- reduced contract labor support for operations by \$2 million in areas such as help desk support and software engineering and development; and
- postponed planned initiatives, such as
  - software upgrades;
  - financial audit system upgrade;
  - human resource system enhancements; and
  - Wi-Fi expansion.

### **Targeted Investments Will Enhance Productivity and Timeliness**

In fiscal year 2014, GAO expects to invest in targeted enhancements to support an array of operations, including engagement support, human capital management, financial systems, and agency-wide technology management. These enhancements are expected to 1) reduce redundancy, 2) increase productivity, and 3) improve the timeliness of data and access to information.

### **Engagement Management System (EMS)**

In fiscal year 2014 GAO will continue its phased implementation of a web-based engagement management application that will consolidate several legacy applications and enhance its ability to access and manage engagement data used to respond to congressional requests and mandates.

**Streamlining Content Creation**

As part of its Engagement Efficiency Initiative, in fiscal year 2014 GAO plans to automate the creation, indexing, referencing, and publishing of GAO products. This undertaking will streamline tasks for nearly all analyst and audit staff, and result in significant savings by reducing cumbersome work practices due to current technologies in use, while maximizing the agility of GAO to produce multiple product formats.

**Performance and Learning Management Systems**

In fiscal year 2013, GAO plans to assess the feasibility of replacing its performance management and learning management systems with Treasury's Performance and Learning Management System in fiscal year 2014. The new system is expected to integrate course development, administrative functions, and training delivery with existing human resource functions.

**Electronic Official Personnel Records**

In fiscal year 2013, GAO plans to assess the feasibility of implementing the Office of Personnel Management's electronic solution, eOPF, to provide employees online access to personnel actions. The system will allow GAO to improve the timeliness and efficiency in providing information to staff, streamline manual processes, and

meet records management requirements. By implementing eOPF, GAO will eliminate the submission of retirement applications in paper form, provide staff with immediate visibility and access to their personnel transactions, and provide a better solution for continuity of operations and disaster recovery.

**Next Generation Travel Solution**

In fiscal year 2014, GAO will join most of the rest of the federal government in implementing GSA's next generation E-Gov Travel System 2 after the current GSA contract expires in November 2013.

**Virtual Desktop Infrastructure (VDI)**

In fiscal years 2013 and 2014, GAO plans to begin piloting a multiyear strategy to streamline and virtualize its information technology infrastructure that will reduce maintenance and operating costs, improve system performance, increase data security, and increase availability of tools for staff—particularly the increasingly mobile workforce. In the VDI environment, all GAO operating systems, applications, software packages, and data would be housed in a secure datacenter rather than on a user's desktop computer. GAO also plans to virtualize its servers, which will reduce the number of servers that it maintains in both headquarters and the field, and further reduce operating costs.

## Building and Security Services

For fiscal year 2014, GAO is 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 2014 funding level for these programs represents a reduction of 1.3 percent below the fiscal year 2013 CR funding level, and a cumulative reduction of almost \$8 million, or over 19 percent, below fiscal year 2010, which helped enable GAO to manage costs in a constrained budget environment.

### Facilities and Property Management

GAO operates and maintains the 2-million square-foot headquarters building through a commercial facilities management contract, and leases space for field offices. The headquarters building provides work space for approximately 4,200 staff from GAO, the U.S. Army Corps of Engineers, and beginning in January 2013, the Department of Justice.

GAO's fiscal year 2014 budget request provides funds to maintain base operations and invest in targeted initiatives to achieve operational efficiencies. The requested funding level is 1.6 percent below the fiscal year 2013 CR funding level.

Since fiscal year 2010, GAO has reduced its facilities and property management program costs by almost \$7.3 million or more than 22 percent. GAO's fiscal year 2012 investments enhanced energy efficiency and reduced energy costs in the GAO headquarters building, and enabled cost-saving measures in the field offices.

For example, in fiscal year 2012, GAO:

- began replacing the headquarters building's west-side air handling units which will provide increased energy efficiency, occupant comfort, and operational reliability, similar to the east-side replacement completed in the mid-1990s. GAO anticipates completion by August 2013;
- completed repairs to three sides of the headquarters building façade. GAO anticipates completing additional repairs by August 2013;
- began relocating the secure room in Boston which will allow GAO to reduce field office rent costs. GAO anticipates completion by April 2013;
- completed several repair and maintenance projects to ensure the continued reliable operation of the building equipment and infrastructure, including replacing variable frequency drives, water supply valves, and chiller controls, and preventive maintenance of the high-voltage electrical system;

**Table 3: Detail Budgetary Resources—Building and Security Services**  
(dollars in thousands)

| Program                            | Fiscal Year 2010 Actual | Fiscal Year 2011 Actual | Fiscal Year 2012 Actual | Fiscal Year 2013 Estimate | Fiscal Year 2014 Request | Net Change Fiscal Year 2013/2014 | Cumulative Change Fiscal Year 2010/2014 |
|------------------------------------|-------------------------|-------------------------|-------------------------|---------------------------|--------------------------|----------------------------------|---|
| Facilities and property management | \$33,025                | \$29,646                | \$30,706                | \$26,143                  | \$25,713                 | (1.6%)                           | (22.1%)                                 |
| Security                           | 8,010                   | 6,713                   | 6,497                   | 7,377                     | 7,377                    | —                                | (7.9%)                                  |
| <b>Total</b>                       | <b>\$41,035</b>         | <b>\$36,359</b>         | <b>\$37,203</b>         | <b>\$33,250</b>           | <b>\$33,090</b>          | <b>(1.3%)</b>                    | <b>(19.4%)</b>                          |

- relocated staff to optimize space usage in the headquarters building—providing sufficient space for a new tenant who will begin occupancy in January 2013;
- completed critical structural repairs to the G Street entrance ramp and other areas of the headquarters building; and
- began reducing the physical footprint in a number of field offices through increased teleworking, office sharing and hoteling—resulting in reduced field office rent costs.

In fiscal years 2013 and 2014, GAO plans to:

- complete the survey and design of the first floor heating, ventilation, and air conditioning (HVAC) system which will result in increased energy efficiency,

occupant comfort, and operational reliability;

- continue initiatives on a long-range asset management plan for critical repairs, end-of-life cycle replacements, and energy saving investments in the headquarters building infrastructure. Priority projects include a backup domestic water heater, chiller plant retrofit and upgrade, basement fan replacement, and implementation of the HVAC upgrade on the first floor; and
- continue activities to further reduce GAO's field office footprint and reduce lease costs. GAO estimates savings of \$1.2 million in fiscal year 2013 and an additional \$900 thousand for fiscal year 2014.



*After relocating GAO staff to other areas of the HQ building, construction began on the sixth floor to accommodate a new tenant, the Department of Justice, Executive Office for United States Trustees (DOJ). The construction costs are being paid by DOJ.*

## Security

The security program provides funds to help 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.

For fiscal year 2014, GAO is requesting funds to maintain base operations, the majority of which pertain to the guard force contract and security investigations for staff. The requested funding will cover a negotiated increase in the unionized guard force contract and inflationary increases for operational services, 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 lifecycle.

GAO proposes to maintain funding for fiscal year 2014 at the fiscal year 2013 CR funding level, and cover these increases from savings and efficiencies within the program. Since fiscal year 2010, GAO has reduced security program costs by almost 8 percent.

In fiscal year 2012, GAO:

- established an agreement with OPM to implement an e-Delivery system that will allow electronic transmission and storage of employee security investigations and reduce processing time;
- completed a blast analysis study of the GAO headquarters building and began developing a list of options;
- continued contractor and staff background investigations as a best practice to Homeland Security Presidential Directive HSPD-12; and
- completed the first in-house facilities security assessment, using Inter-Agency Security Committee standards, saving \$250,000 in contract costs by not outsourcing this effort.

In fiscal years 2013 and 2014, GAO plans to:

- complete the integration of the 11 field office electronic security systems with headquarters to centralize monitoring and reduce vendor costs;
- address all findings reported during the facility security assessment of the headquarters building and assess options for consideration;
- automate visitor processing by procuring and installing a Visitor Management System to improve the efficiency of the process;
- undergo a mass reissuance of expiring GAO building access badges to staff and contractors—an HSPD-12 best practice; and
- complete the G and H street lobby lockdown project to allow GAO to rapidly secure all doors during an immediate threat or natural disaster.

## Administrative Support Services

The Administrative Support Services program encompasses administrative costs for the day-to-day management of financial management systems and records, human capital operations, library services, 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.

GAO's 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.

GAO's library services program includes funds to support the research and information needs of GAO, including access

to a wide variety of electronic and print resources used to support GAO engagements and statutory requirements.

GAO's fiscal year 2014 budget request provides funds to maintain base operations and represents a reduction of 5.2 percent below the fiscal year 2013 CR funding level, and a cumulative reduction of almost \$9 million or 44 percent below fiscal year 2010 costs.

In fiscal year 2012, GAO continued to lead by example in federal financial management. GAO's independent auditor gave the agency an unqualified positive opinion on its financial statements, citing no material weaknesses or major compliance problems, and also provided a positive opinion on the effectiveness of its internal controls. In fiscal year 2012, GAO also:

- consolidated the Imaging Center and the Shared Services operations, transitioned the imaging operation from contract to GAO staff, reduced the number of Shared Services Centers from four to two, and transformed the two centers to self-service. This consolidation effort resulted in an approximate cost savings of \$450,000;
- completed the installation of E-postage software in the remaining 8 field offices and headquarters, which eliminated postage meter leasing, mail equipment, maintenance, and supplies, yielding a

**Table 4: Detail Budgetary Resources—Administrative Support Services**  
(dollars in thousands)

| Program <sup>a</sup>            | Fiscal Year<br>2010<br>Actual | Fiscal Year<br>2011<br>Actual | Fiscal Year<br>2012<br>Actual | Fiscal Year<br>2013a<br>Estimate | Fiscal Year<br>2014a<br>Request | Net Change<br>Fiscal Year<br>2013/2014 | Cumulative<br>Change<br>Fiscal Year<br>2010/2014 |
|---------------------------------|-------------------------------|-------------------------------|-------------------------------|----------------------------------|---------------------------------|--|--|
| Administrative support services | \$21,157                      | \$15,332                      | \$13,010                      | \$12,584                         | \$11,932                        | (5.2%)                                 | (43.6%)  |

<sup>a</sup> Includes funding for knowledge and information assets, services, and policies that were formerly budgeted under Knowledge Services.

savings of \$4,300, and improved accountability for reporting postage costs by location and users;

- replaced contract courier delivery service of GAO products to the Hill with GAO couriers, saving approximately \$50,000; and
- streamlined the Library Services program by reducing reliance on contractor support and federal staff by:
  - closing the technical library;
  - reducing the size of the law library;
  - streamlining the library collection;
  - renegotiating contract prices to reduce costs; and
  - expanding use of electronic resources.

GAO will continue to aggressively manage costs to absorb inflationary increases and monitor usage of electronic and print resources in order to ensure that relevant materials are available and underused subscriptions are cancelled; and renegotiate contract pricing as needed to ensure that GAO receives the best possible pricing while maintaining access to information necessary to conduct its work.

In fiscal years 2013 and 2014, GAO will:

- operationalize physical and electronic dispositions by performing disposition on an approved subset of records in the pre-electronic records management system;
- enhance GAO's Privacy Program, including privacy awareness activities, a

new website to provide staff information and updated guidance;

- consolidate two Shared Service Centers and the Imaging Center into a single center;
- provide 2-3 satellite self-service centers for basic supplies and access to network copiers with fax, print, and scanning capabilities;
- use virtual outreach technology to provide counseling and career transition services more efficiently;
- eliminate mailing paper notifications of personnel actions which will reduce costs and staff resources as GAO fully transitions to HR Connect, an automated personnel management system;
- eliminate on-site travel help desk support and transition to DOT/ESC, saving approximately \$500,000
- continue to work with DOT to implement operational refinements to Delphi and travel processes which will reduce financial management operating costs;
- continue to support DOT's Financial Management Business Transformation project which will position GAO to upgrade to the latest version of Delphi and comply with new Treasury systems for better cash management; and
- upgrade to the next generation of e-Gov Travel Systems through an agreement with GSA's solution provider.

## Fiscal Year 2014 Performance Plan

### ***GAO Supports Congressional Decision- making, Saves Resources, and Helps Improve Government***

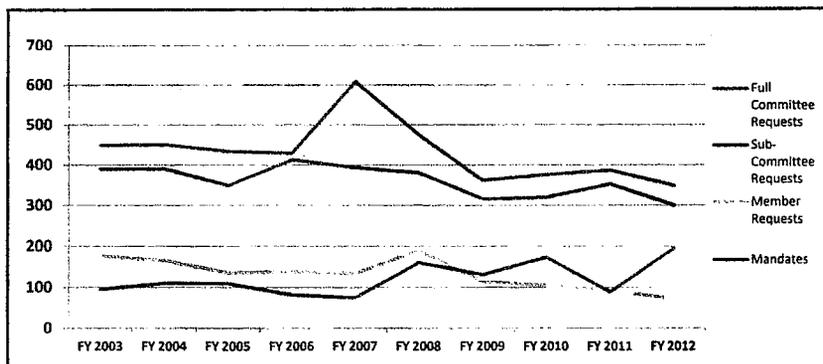
The Government Accountability Office (GAO) is the audit, evaluation, and investigative arm of the Congress; it exists to support the Congress in meeting its constitutional responsibilities and to help improve the performance and ensure accountability of the federal government for the benefit of the American people. As a legislative branch agency, GAO is exempt from many laws that apply to executive branch agencies. However, GAO generally holds itself to the requirements of many of the laws, including the Government Performance and Results Act (GPRA), as amended. Among other things, under GPRA, each agency must prepare an annual "performance plan covering each program activity set forth in the budget of such agency." This section of GAO's fiscal

year 2014 budget request constitutes its performance plan.

GAO is unique in its 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.

Once again GAO demonstrated its core values of accountability, integrity, and reliability, in ensuring that it continues to provide high-quality, high-value, and independent support to the Congress in ways that generate material benefits to the nation. 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. Figure 1, below, provides information on the number of congressional requests received by GAO each year by source over the past 10 years.

Figure 1: Congressional Requests Received



Even during the constrained budgetary environment seen this past year, GAO continues to be one of the best investments in the federal government. For example, in fiscal year 2012, GAO's work yielded significant results across the government, including financial benefits of \$55.8 billion—a return of \$105 for every dollar invested in GAO—and more than 1,440 other benefits that helped to change laws, improve services to the public, and promote sound management throughout government. In fiscal year 2012, about 80 percent of GAO's

recommendations had been adopted by the Congress and federal agencies within the last 4 years.

In addition, GAO issue-area experts testified 159 times before the Congress on a wide range of issues, such as military capabilities and readiness, the government's fiscal position, and health care needs and financing. A list of selected testimony topics presented by GAO in fiscal year 2012 is included in Table 1.

**Table 1: Selected Testimony Topics for Fiscal Year 2012**

|                |  |   |
|----------------|--|---|
| <b>Goal 1:</b> | <b><i>Address Current and Emerging Challenges to the Well-Being and Financial Security of the American People</i></b>  |   |
|                | <ul style="list-style-type: none"> <li>• DOD and VA Health Care Integration</li> <li>• Oversight of Medicaid Payments</li> <li>• Small Employers Challenges to Pension Plan Sponsorship</li> <li>• Retirement Security for Unemployed Older Workers</li> </ul> | <ul style="list-style-type: none"> <li>• Mortgage Finance Risk Management</li> <li>• Federal Real Property Management</li> <li>• Federal Reserve System's Emergency Assistance</li> <li>• FDA's Ability to Respond to Drug Shortages</li> </ul> |
| <b>Goal 2:</b> | <b><i>Respond to Changing Security Threats and the Challenges of Global Interdependence</i></b>  |   |
|                | <ul style="list-style-type: none"> <li>• National Nuclear Security Administration Management</li> <li>• Visa Waiver Program</li> <li>• Securing the Modernized Electricity Grid</li> </ul>   | <ul style="list-style-type: none"> <li>• TSA's Process for Vetting Foreign Flight Students</li> <li>• Support and Security Capabilities in Iraq</li> <li>• Joint Strike Fighter Restructuring</li> </ul>  |
| <b>Goal 3:</b> | <b><i>Help Transform the Federal Government to Address National Challenges</i></b>   |   |
|                | <ul style="list-style-type: none"> <li>• Arlington National Cemetery Contract Management</li> <li>• Fraud Prevention in Service-Disabled Veteran-Owned Small Business Program</li> <li>• Reducing Improper Payments</li> </ul>                                 | <ul style="list-style-type: none"> <li>• IRS's Opportunities to Improve the Taxpayer Experience</li> <li>• Social Security Administration Technology Modernization</li> <li>• Federal Workforce Challenges</li> </ul>                           |

## **GAO Services Integral to Congressional Priorities**

GAO's continued high performance is evidence of the critical role it plays in helping the Congress and the American people better understand important 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 securities markets and financial institutions, and several reports on insurance markets and publicly financed health insurance programs related to the Patient Protection and Affordable Care Act. Also, the Fiscal Year 2010 National Defense Authorization Act and the Enhanced Partnership with Pakistan Act of 2009 require GAO reviews of the assistance strategy for Pakistan, as well as U.S. campaign plans for Afghanistan, where GAO maintains an in-country presence.

In February 2012, GAO issued its second annual report (GAO-12-342SP) to the Congress in response to the Duplication Mandate, a statutory requirement that requires GAO to identify federal programs, agencies, offices, and initiatives—either within departments or government-wide—that have duplicative goals or activities and report annually to the Congress on the findings as well as actions to reduce such duplication.

The 2012 report identified 51 areas where programs may be able to achieve greater efficiencies or become more effective in providing government services. The 2012 report identified 32 duplication, overlap, and fragmentation issues, as well as 19 other areas that provide opportunities for cost savings and revenue enhancement. GAO plans to issue its third report in this series in April 2013. Ineffective acquisition practices and collaboration efforts in the Department of Defense's \$37.5 billion Unmanned Aircraft Systems acquisition portfolio; 20 different entities administering 160

programs, tax expenditures and other tools to support homeownership and rental housing; and information and coordination problems with four multi-billion dollar Federal Emergency Management Agency grant programs were among the 32 areas where GAO found evidence of duplication, overlap, or fragmentation.

Among the 19 additional opportunities GAO identified where agencies or the Congress could take action to either reduce the cost of government operations or enhance revenue collection for the Treasury, GAO found that the Centers for Medicare and Medicaid Services can better detect and recover billions of dollars of improper payments of claims; the Air Force can reduce its overall food service costs by millions of dollars annually by reviewing food service contracts and adjusting them when appropriate; and marketing the Department of Energy's excess uranium could provide billions in revenue for the government.

GAO's biennial High Risk Series identifies 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. The 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 2012, GAO issued 188 reports, delivered 55 testimonies to the Congress, and prepared numerous other products, such as briefings and presentations, related to the High Risk Series. In addition, GAO documented \$28.4 billion in financial benefits and 515 nonfinancial benefits related to high risk areas. Table 2 shows GAO's current High Risk List, updated in February 2013.

**Table 2: GAO's High Risk List as of February 2013*****Strengthening the Foundation for Efficiency and Effectiveness***

- Limiting the Federal Government's Fiscal Exposure by Better Managing Climate Change Risks (*new*)
- Management of Federal Oil and Gas Resources
- Modernizing the U.S. Financial Regulatory System and Federal Role in Housing Finance
- 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***

- Mitigating Gaps in Weather Satellite Data (*new*)
- Strengthening Department of Homeland Security Management Functions
- 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 Processes 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

***Assessing the Efficiency and Effectiveness of Tax Law Administration***

- Enforcement of Tax Laws

***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

## **GAO Hopes to Increase Staff Capacity to Meet Congressional Priorities**

GAO depends on a talented, diverse, high-performing, and knowledge-based workforce to carry out its mission in support of the Congress. GAO continues to include human capital, particularly succession planning and development, as one of its internal management challenges that could affect performance and progress toward goals.

Since fiscal year 2010, GAO has extremely limited hiring to a minimum number of critical positions in the face of continued attrition. At the end of fiscal year 2012, for the first time since 1935, GAO's staffing level dropped below 3,000 FTE. By the end of fiscal year 2012, GAO's FTE had been reduced by over 10 percent from the fiscal year 2010 level. GAO also faces significant succession challenges as more of its workforce, especially senior managers, become retirement eligible.

By the end of fiscal year 2013, 9 percent of GAO's total analysts, about 26 percent of supervisory analysts and 40 percent of senior executive staff will be eligible for retirement. Also, GAO projects losing 400 additional staff in fiscal years 2013 and 2014 through normal attrition. Therefore, it is essential that GAO be able to replace some of the lost staff capacity to avoid further erosion of its knowledge base and ensure it can continue to respond to the most pressing issues facing the nation.

In fiscal year 2013, GAO has begun implementing a multiyear strategy to rebuild staff capacity to 3,250 FTE—the optimal level in the current environment. Planned staffing additions in fiscal years 2013 and 2014 will increase GAO's staffing level to 3,098 FTE. These staffing increases are predicated on receiving fiscal year 2013 funding at the annualized Continuing Resolution (CR) level, at a minimum.

Over the last two years, GAO has actively reduced operating costs, improved efficiencies, and enhanced workforce and budget flexibilities. Since fiscal year 2010, GAO has reduced its internal support costs by nearly 21 percent and its travel costs by nearly 36 percent. GAO plans to maintain these reduced funding levels in fiscal year 2014.

For example, GAO optimized the space in its headquarters building which allowed it to lease space to the Department of Justice, thus securing an additional revenue source beginning in January 2013. In fiscal years 2012 and 2013, GAO explored additional cost-saving measures including:

- pursuing opportunities to reduce GAO's physical footprint in a number of its field offices through an enhanced telework pilot program, including office sharing and hoteling components, which reduce infrastructure costs starting in fiscal year 2013;
- expanding desktop video-conference capability and information sharing which enhanced communications and workforce flexibility, and avoided travel costs;
- exploring alternative ways to deliver products to the Congress and the public more efficiently and effectively;
- evaluating GAO's model for utilizing staff on engagements to enhance agility and responsiveness; and
- assessing opportunities to reengineer GAO's engagement-management process to identify areas that can be streamlined or standardized to yield improvements in the efficiency of its work without sacrificing quality.

In fiscal year 2014 and beyond, it will be critical for GAO to continue efforts to rebuild staff capacity to the target goal of 3,250 FTE to ensure that GAO has the depth, organizational agility, and broad-based skills needed to optimize its ability to contribute to the vast array of topics about which the Congress seeks analysis and advice.

In light of GAO's commitment to minimize costs and improve efficiencies while maintaining the quality of its support to the Congress, for fiscal year 2014 GAO is seeking an appropriation of \$524.3 million—a modest increase of 1.9 percent over its fiscal year 2013 annualized CR funding level.

The fiscal year 2014 budget request supports an FTE level of 3,098, funds mandatory pay costs, and provides essential funding for staff recognition and benefits programs and critical engagement support. These funds are essential to ensure GAO can provide staff meaningful benefits and appropriate resources, and helps ensure GAO can compete with other agencies, nonprofit institutions, and private firms who offer these benefits.

GAO also plans to fund limited, targeted investments in information technology and building infrastructure from savings within these programs. Investment in GAO's systems and building will help ensure continued productivity and effectiveness and avoid more costly maintenance and repairs.

A summary of GAO's funding sources is shown in Table 3. In addition to its appropriation request, GAO estimates that about \$12 million in reimbursements from

program and financial audits will be available to offset costs, including:

- program and financial audits of the Federal Housing Finance Agency (FHFA), the Consumer Financial Protection Bureau (CFPB), and the Securities and Exchange Commission (SEC);
- reviews of the Troubled Asset Relief Program (TARP); and
- operation of the Federal Accounting Standards Advisory Board.

In fiscal year 2014, GAO is also requesting authority to use \$31.9 million in offsetting collections, including:

- rental income from the U.S. Army Corps of Engineers and the U.S. Department of Justice for rental of space in the GAO headquarters building;
- financial audits of the Federal Deposit Insurance Corporation (FDIC), SEC, and the U.S. Department of the Treasury (IRS and the Schedule of Public Debt); and
- a proposal to collect a small filing fee from vendors to cover the cost to develop, maintain, and operate an electronic filing system for bid protests.

**Table 3: Fiscal Year 2010–2014 Sources of Funds (dollars in thousands)**

| Funding Source                                  | Fiscal Year 2010 Actual |                  | Fiscal Year 2011 Actual |                  | Fiscal Year 2012 Actual |                  | Fiscal Year 2013 Estimate |                  | Fiscal Year 2014 Request |                  |
|---|-------------------------|------------------|-------------------------|------------------|-------------------------|------------------|---------------------------|------------------|--------------------------|------------------|
|   | FTE                     | Amount           | FTE                     | Amount           | FTE                     | Amount           | FTE                       | Amount           | FTE                      | Amount           |
| Salaries and Expenses Appropriation             |                         | \$556,325        |                         | \$546,075        |                         | \$511,201        |                           | \$514,425        |                          | \$524,339        |
| Non-legislative-branch appropriation            |                         | 21,804           |                         |                  |                         |                  |                           |                  |                          |                  |
| USCCR Inspector General activities <sup>a</sup> |                         |                  |                         |                  |                         | 250              |                           | 250              |                          | 250              |
| Bid protest user fee                            |                         |                  |                         |                  |                         |                  |                           |                  |                          | 450              |
| Reimbursements                                  |                         | 10,214           |                         | 6,648            |                         | 1,362            |                           | 9,556            |                          | 12,006           |
| Offsetting collections                          |                         | 10,892           |                         | 15,031           |                         | 20,840           |                           | 23,904           |                          | 31,918           |
| <b>Total resources</b>                          | <b>3,347</b>            | <b>\$599,235</b> | <b>3,212</b>            | <b>\$567,754</b> | <b>2,997</b>            | <b>\$533,653</b> | <b>2,975</b>              | <b>\$548,135</b> | <b>3,098</b>             | <b>\$568,963</b> |

<sup>a</sup> Funds transferred from the U.S. Commission on Civil Rights to fund Inspector General activities.

## ***The Strategic Plan Illustrates the Wide Array of Issues That GAO Covers***

In February 2012, GAO issued an interim update to its strategic plan for fiscal years 2010 through 2015.<sup>1</sup> GAO plans to issue the next full update in 2014. GAO's strategic goals and objectives reflect the wide array of national and international issues that GAO covers in its mission to support the Congress.

In fiscal year 2012 GAO work supported 95 percent of all standing congressional committees and about 60 percent of their subcommittees. Consequently, the scope of GAO's work is broad-based which allows GAO 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. 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.

To fulfill its mission, GAO organizes and manages its resources to support four broad strategic goals. GAO's audit, evaluation, and investigative work is primarily aligned under the first three strategic goals. The first three goals include helping to address challenges to the well-being and financial security of the American people, responding to changing security threats and global interdependence, and transforming the federal government to address national challenges. Strategic Goal 4 is an internal goal focused on enhancing GAO's value through improving efficiency, effectiveness,

and quality, and institutional stewardship and resource management. Following is the list of GAO's three external strategic goals and the related strategic objectives.

### **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

<sup>1</sup> Our complete set of strategic planning and performance and accountability reports are available on our website at <http://www.gao.gov/sp.html>.

**Goal 3: Help Transform the Federal Government to Address National Challenges**

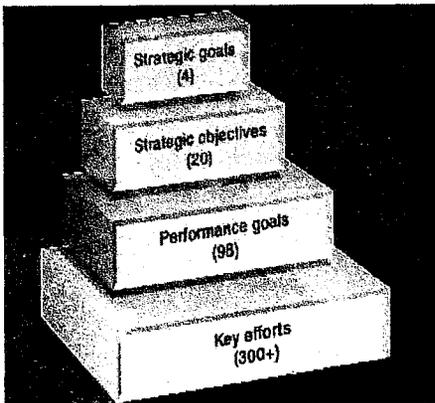
- Analyze the Government's Fiscal Position and Opportunities to Strengthen Approaches to Address the Current and Projected Fiscal Gap
- Improve Financial Management and Internal Controls to Prevent Fraud, Waste, and Abuse
- Support Congressional Oversight of Major Management Challenges and Program Risks

**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 GAO's 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

Figure 2: GAO's Strategic Planning Hierarchy

Each strategic goal is composed of strategic objectives, for which there are specific strategies taking the form of performance goals, each of which has a set of key efforts. The figure below illustrates this hierarchy and the text box on the right provides an example of structure of one of GAO's strategic goals. GAO's audit, evaluation, and investigative work is primarily aligned under the first three strategic goals, which span domestic and international issues affecting the lives of all Americans and influencing the extent to which the federal government serves the nation's current and future interests.



**Strategic Goal 1:** Provide Timely, Quality Service to the Congress and the Federal Government to Address Current and Emerging Challenges to the Well-being and Financial Security of the American People

**Strategic Objective:** Viable National Infrastructure

**Performance Goal:** Assess federal regulation of transportation safety and efforts to fund improvements in safety

**Key Efforts:**

- Assess federal oversight of aviation safety.
- Assess federal oversight of safety in highway, rail, pipeline, and other surface modes.
- Review the use of federal grants and other strategies to improve safety outcomes.

## **GAO's High Performance Due to Dedicated Workforce**

GAO achieves a high level of performance through the outstanding efforts of its professional, multidisciplinary, and diverse staff. Recognizing that GAO's accomplishments are a direct result of its dedicated workforce, GAO continuously strives to maintain a work environment that promotes employee well-being and productivity, and to serve as a leading-practices agency. In 2012, 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 2 in its overall rankings for all mid-sized agencies and number 1 in its valuing diversity ranking across the entire federal government.

### **Performance Measurement**

To help GAO determine how well it is meeting the needs of the Congress and maximizing its value as a leading-practices organization, GAO assesses its 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 the mission. To assess results, GAO measures financial benefits, other (nonfinancial) benefits, GAO recommendations implemented, and percentage of new products with recommendations.

**Client:** To judge how well GAO is serving the client, GAO measures the number of congressional hearings where GAO is asked to present expert testimony as well as GAO's timeliness in delivering products to the Congress.

**People:** As GAO's most important asset, people define GAO's character and capacity

to perform. A variety of data sources, including an internal survey, provide information to help measure how well GAO is attracting and retaining high-quality staff and how well GAO is developing, supporting, using, and leading staff.

**Internal operations:** GAO's mission and people are supported by internal administrative services, including information management, building management, knowledge, human capital, and financial management services. Through an internal customer satisfaction survey, GAO gathers information on how well the internal operations help employees get their jobs done and improve employees' quality of work life.

### **Setting Performance Targets**

To establish targets for all of GAO's measures, GAO considers its past performance, including recent patterns and 4-year rolling averages, as well as relevant upcoming events and external factors that influence its work. On the basis of this information, the teams and offices that are directly engaged in the work discuss with top executives their views of what GAO has 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.

Once approved by the Comptroller General, the targets become final and are presented in GAO's annual performance plan and budget. GAO may adjust these targets after they are initially published, when GAO's expected future work or level of funding warrants doing so. If GAO makes changes, the changed targets are included in later documents, such as in the annual GAO Performance and Accountability Report, and indicate that they have been changed.

An agency-wide summary of annual performance measures and targets for fiscal years 2009-2014 is included in Table 4.

For more details on how GAO measures performance, including details on fiscal year 2012 performance, please see the Fiscal

Year 2012 Performance and Accountability Report at [www.gao.gov/products/GAO-13-2SP](http://www.gao.gov/products/GAO-13-2SP).

**Table 4: Agency-wide Summary of Annual Measures and Targets**

| Performance measure                                | 2009<br>Actual | 2010<br>Actual | 2011<br>Actual | 2012<br>Actual   | 2013<br>Target | 2014<br>Target |
|--|----------------|----------------|----------------|------------------|----------------|----------------|
| <b>Results</b>                                     |                |                |                |                  |                |                |
| Financial benefits ( <i>dollars in billions</i> )  | \$43.0         | \$49.9         | \$45.7         | \$55.8           | \$44.0         | \$44.0         |
| Nonfinancial benefits                              | 1,315          | 1,361          | 1,318          | 1,440            | 1,200          | 1,200          |
| Past recommendations implemented                   | 80%            | 82%            | 80%            | 80%              | 80%            | 80%            |
| New products with recommendations                  | 68%            | 61%            | 68%            | 67%              | 60%            | 60%            |
| <b>Client</b>                                      |                |                |                |                  |                |                |
| Testimonies  | 203            | 192            | 174            | 159              | 170            | 170            |
| Timeliness <sup>a</sup>                            | 95%            | 95%            | 95%            | 95%              | 90%            | 90%            |
| <b>People</b>                                      |                |                |                |                  |                |                |
| New hire rate                                      | 99%            | 95%            | 84%            | 76%              | 95%            | 95%            |
| Retention rate                                     |                |                |                |                  |                |                |
| With retirements                                   | 94%            | 94%            | 92%            | 93%              | 90%            | 90%            |
| Without retirements                                | 96%            | 96%            | 96%            | 96%              | 94%            | 94%            |
| Staff development <sup>b</sup>                     | 79%            | 79%            | 79%            | 80%              | 76%            | 76%            |
| Staff utilization <sup>b,c</sup>                   | 78%            | 77%            | 78%            | 76%              | 75%            | 75%            |
| Effective leadership by supervisors <sup>b,d</sup> | 83%            | 83%            | 83%            | 82%              | 80%            | 80%            |
| Organizational climate <sup>d</sup>                | 79%            | 79%            | 80%            | 78%              | 75%            | 75%            |
| <b>Internal operations<sup>e</sup></b>             |                |                |                |                  |                |                |
| Help to get job done                               | 4.03           | 3.94           | 3.98           | N/A <sup>f</sup> | 4.00           | 4.00           |
| Quality of work life                               | 4.01           | 3.94           | 3.99           | N/A <sup>f</sup> | 4.00           | 4.00           |

<sup>a</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 2012 was 22 percent, and 99 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>b</sup> This measure is derived from GAO's annual agency-wide employee feedback survey. From the staff who expressed an opinion, GAO 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, GAO's 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>c</sup> GAO's 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>d</sup> In fiscal year 2009, GAO changed the name of this measure from "Leadership" to its current nomenclature to clarify that the measure reflects employees' satisfaction with their immediate supervisors' leadership. In fiscal year 2010, GAO changed one of the questions for this measure.

<sup>e</sup> For GAO's internal operations measures, GAO asks staff to rate 30 internal services available to them, indicating on a five-point scale, with 5 being the highest, their satisfaction with each service from "very dissatisfied" to "very satisfied" or to indicate if they did not use the service.

<sup>f</sup> The agency-wide employee feedback survey was not conducted in fiscal year 2012.

## Budgetary Resources by Goal

Table 5 provides an overview of how GAO's human capital and budgetary resources are

allocated among the strategic goals for fiscal years 2010 through 2014.

**Table 5: Budgetary Resources by Strategic Goal (dollars in millions)**

| Strategic Goal  | Fiscal Year 2010<br>Actual |              | Fiscal Year 2011<br>Actual |              | Fiscal Year 2012<br>Actual |              | Fiscal Year 2013<br>Estimate |              | Fiscal Year 2014<br>Request |              |    |
|---|----------------------------|--------------|----------------------------|--------------|----------------------------|--------------|------------------------------|--------------|-----------------------------|--------------|----|
|   | FTE                        | Amount       | FTE                        | Amount       | FTE                        | Amount       | FTE                          | Amount       | FTE                         | Amount       |    |
| <b>Goal 1</b><br>Address current and emerging challenges to the well-being and financial security of the American people                    | 1,186                      | \$208        | 1,352                      | \$245        | 1,251                      | \$209        | 1,171                        | \$210        | 1,219                       | \$218        |    |
| <b>Goal 2</b><br>Respond to changing security threats and the challenges of global interdependence  | 877                        | 171          | 817                        | 145          | 773                        | 128          | 701                          | 121          | 731                         | 124          |    |
| <b>Goal 3</b><br>Help transform the federal government to address national challenges   | 1,166                      | 195          | 944                        | 164          | 892                        | 154          | 810                          | 165          | 843                         | 175          |    |
| <b>Goal 4</b><br>Maximize the value of GAO by enabling quality, timely service to the Congress and being a leading practices federal agency | 116                        | 26           | 99                         | 14           | 81                         | 19           | 76                           | 14           | 79                          | 14           |    |
| <b>Direct Congressional Support<sup>a</sup></b>   |                            |              |                            |              |                            |              | 23                           | 217          | 38                          | 226          | 38 |
| <b>Total budgetary resources</b>  | <b>3,347</b>               | <b>\$599</b> | <b>3,212</b>               | <b>\$568</b> | <b>2,997</b>               | <b>\$533</b> | <b>2,975</b>                 | <b>\$548</b> | <b>3,098</b>                | <b>\$569</b> |    |

<sup>a</sup> In fiscal year 2012 a new cost category was added to present resources which directly support Congress and which represent GAO's fulfillment of its statutory responsibilities which were not engagement specific. Examples of this work include General Counsel statutory procurement activities, follow-up on the status of GAO recommendations, and the Federal Accounting Standards Advisory Board activities. Previously, this work was not separately disclosed but rather was allocated to the other cost categories.

**Performance Plans by Strategic Goal**

*current and emerging challenges affecting the well-being and financial security of the American people.*

The following sections provide more detailed information on GAO's performance results, strategic objectives, and plans for each of the four strategic goals. These objectives, along with the performance goals and key efforts that support them, are discussed fully in GAO's strategic plan, which is available on the web at [www.gao.gov](http://www.gao.gov). Specifically, for Goals 1, 2, and 3—the external goals—GAO presents performance results for the three annual measures assessed at the goal level.

**Primary 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 Teams**

- Applied Research and Methods
- Financial Management and Assurance
- General Counsel
- Information Technology

**Goal 1**

GAO's first strategic goal upholds GAO's mission to support the Congress in carrying out its constitutional responsibilities by focusing on work that helps *address the*

The following table presents selected benefits attributable to Goal 1 in fiscal year 2012.

**Table 6: Selected Goal 1 Benefits in Fiscal Year 2012**

|                                      |  |
|--------------------------------------|--|
| <b>Financial benefits</b>            | <ul style="list-style-type: none"> <li>• Informed legislation aimed at reducing payments to Medicare Advantage Program (\$12.4 billion)</li> <li>• Found that a federal ethanol tax was duplicative with a federal renewable fuel standard (\$4.5 billion)</li> <li>• Prompted elimination of seller-funded down-payment assistance for Federal Housing Administration (FHA) insured mortgages (\$2.5 billion)</li> </ul>  |
| <b>Other (nonfinancial) benefits</b> | <ul style="list-style-type: none"> <li>• Improved Veterans Administration (VA) long-term care strategic planning and budgeting</li> <li>• Triggered Consumer Financial Protection Bureau enforcement action against banking institution for deceptive marketing practices</li> <li>• Found that eight key federal agencies had not fully complied with requirements of the Native American Graves Protection and Reparation Act</li> <li>• Improved reporting in child fatality data to help prevent deaths from maltreatment</li> </ul> |
| <b>Testimonies</b>                   | <ul style="list-style-type: none"> <li>• Retirement security for unemployed older workers</li> <li>• Federal Reserve system's polices and processes for managing emergency assistance</li> <li>• Climate change adaptation</li> <li>• The U.S. Food and Drug Administration's ability to respond to drug shortages</li> </ul>  |

A summary of Goal 1 performance results and targets is shown in the following table.

**Table 7: Strategic Goal 1's Annual Performance Results and Targets (dollars in billions)**

| Performance measures          | 2009 Actual <sup>a</sup> | 2010 Actual <sup>b</sup> | 2011 Actual | 2012 Actual | 2013 Target <sup>c</sup> | 2014 Target |
|-------------------------------|--------------------------|--------------------------|-------------|-------------|--------------------------|-------------|
| Financial benefits            | \$12.1                   | \$17.8                   | \$12.6      | \$25.7      | \$11.5                   | \$12.5      |
| Other (nonfinancial) benefits | 224                      | 233                      | 243         | 275         | 231                      | 231         |
| Testimonies                   | 85                       | 86                       | 84          | 61          | 70                       | 70          |

<sup>a</sup> In fiscal year 2009, GAO did not meet the target for Goal 1 financial benefits. Because financial benefits often result from work completed in prior years, GAO set its fiscal year 2009 target on the basis of GAO's assessment of the progress agencies were making in implementing past recommendations.

<sup>b</sup> In fiscal year 2010, GAO exceeded its target for Goal 1 financial benefits by \$4.4 billion due to higher than estimated savings from work on the Medicare Advantage program and insurance claims for Federal Housing Administration insured mortgages.

<sup>c</sup> Fiscal year 2013 targets for all three performance measures differ from those GAO reported in its fiscal year 2013 performance plan in February 2012. Specifically, GAO has increased the financial benefits target from \$11.0 to \$11.5 billion and the nonfinancial benefits from 225 to 231, and decreased the testimony target from 85 to 70.

Table 8 provides examples of work GAO plans to conduct during fiscal years 2013 and 2014 under Goal 1.

**Table 8: Examples of Planned Work under Goal 1**

**Financial Security**

- Evaluate consumer protection for financial services and products
- Assess the effectiveness of small business assistance programs
- Evaluate the implementation of Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010

**Social Programs**

- Review federal efforts to provide employment and training services to veterans
- Assess the impact of marriage and divorce on retirement security
- Assess Medicare and Medicaid payment methods and program management
- Assess implementation of the Patient Protection and Affordable Care Act

**Effective Systems**

- Assess federal efforts to improve real property acquisition and management
- Review federal farm safety net programs
- Assess USPS financial issues including the results from contract revenue initiatives and the Postal Service's proposal to administer its own health care plan
- Evaluate federal climate change adaptation efforts

**Goal 2**

GAO's 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**

- Applied Research and Methods
- Financial Management and Assurance
- Financial Markets and Community Investment
- General Counsel
- Information Technology
- Natural Resources and Environment

The following table presents selected benefits attributable to Goal 2 in fiscal year 2012.

**Table 9: Selected Goal 2 Benefits in Fiscal Year 2012**

|                                      |  |
|--------------------------------------|--|
| <b>Financial benefits</b>            | <ul style="list-style-type: none"> <li>• Contributed to NASA's decision to cancel the Constellation/Ares I Project (\$8 billion)</li> <li>• Assessed DOD's Tour Initiative in South Korea (\$3.1 billion)</li> <li>• Made recommendations that led to reduced fiscal year 2011 Preparedness Grant funding (\$882 million)</li> <li>• Contributed to DOD's avoidance of excess inventory costs (\$797 million)</li> </ul>   |
| <b>Other (nonfinancial) benefits</b> | <ul style="list-style-type: none"> <li>• Improved the targeting of the Federal Emergency Management Agency's (FEMA's) Bonus Formula for the National Flood Insurance Program</li> <li>• Contributed to the successful reform of DOD's personnel security clearance program</li> <li>• Helped secure national security abroad by recommending improvements to the monitoring of U.S. arms sent to Persian Gulf Countries</li> <li>• Helped secure sensitive federal information by recommending improvements to the encrypting of the federal government's mobile technologies</li> </ul> |
| <b>Testimonies</b>                   | <ul style="list-style-type: none"> <li>• National Nuclear Security Administration management</li> <li>• Border security</li> <li>• Transitioning from a military presence to a diplomatic presence in Iraq</li> <li>• DOD contracting and management challenges</li> <li>• Joint Strike Fighter restructuring</li> </ul>   |

A summary of Goal 2 performance results and targets are shown in the following table.

**Table 10: Strategic Goal 2's Annual Performance Results and Targets (dollars in billions)**

| Performance measures          | 2009 Actual | 2010 Actual <sup>a</sup> | 2011 Actual | 2012 Actual | 2013 Target <sup>b</sup> | 2014 Target |
|-------------------------------|-------------|--------------------------|-------------|-------------|--------------------------|-------------|
| Financial benefits            | \$12.4      | \$20.5                   | \$25.9      | \$13.4      | \$12.7                   | \$12.7      |
| Other (nonfinancial) benefits | 457         | 444                      | 447         | 513         | 338                      | 338         |
| Testimonies                   | 67          | 58                       | 48          | 54          | 45                       | 45          |

<sup>a</sup> In fiscal year 2010, GAO exceeded its target for Goal 2 financial benefits by \$8.7 billion. GAO 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> Fiscal year 2013 targets for all three performance measures differ from those GAO reported in its fiscal year 2013 performance budget in February 2012. Specifically, GAO has increased financial benefits from \$11.4 billion to 12.7 billion, decreased nonfinancial benefits from 450 to 338, and decreased testimonies from 50 to 45.

Table 11 provides examples of work GAO plans to conduct during fiscal years 2013 and 2014 under Goal 2.

**Table 11: Examples of Planned Work under Goal 2**

#### **Weapon Systems Costs**

- Assess the soundness and efficiency of DOD's highest cost weapon acquisition programs
- Evaluate DOD's efforts to ensure its weapon systems investment plans are affordable
- Evaluate efforts to modernize the nuclear security enterprise

#### **Foreign Operations**

- Evaluate the U.S. Export-Import Bank's and other agencies' efforts to promote U.S. exports
- 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 DOD's role in enhancing its cyber capabilities and reducing cyber vulnerabilities

#### **Other Global Threats**

- Assess the U.S. government's implementation of sanctions against Iran
- Review U.S. and foreign efforts to deter, detect, and thwart terrorists aiming to disrupt the international aviation and maritime systems
- Evaluate the effectiveness of government programs designed to protect critical technologies and DOD's actions to identify gaps and vulnerabilities in its global supplier base
- Review proposals and initiatives for reforming the U.S. immigration system

**Goal 3**

GAO's 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. 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.

The following table presents selected benefits attributable to Goal 3 in fiscal year 2012.

**Primary GAO Teams Contributing to Goal 3**

Applied Research and Methods  
 Financial Management and Assurance  
 Forensic Audits and Investigative Service  
 Information Technology  
 Strategic Issues

**Supporting GAO Teams**

Acquisition and Sourcing Management  
 General Counsel  
 Natural Resources and Environment

**Table 12: Selected Goal 3 Benefits in Fiscal Year 2012**

|                                      |  |
|--------------------------------------|--|
| <b>Financial benefits</b>            | <ul style="list-style-type: none"> <li>Increased liquidity of the Treasury Inflation Protected Securities Program (\$2.2 billion)</li> <li>Reduced federal improper payments (\$1.4 billion)</li> <li>Improved reviews of selected federal financial management system modernization projects (\$1.3 billion)</li> </ul>   |
| <b>Other (nonfinancial) benefits</b> | <ul style="list-style-type: none"> <li>Prompted changes in the Federal Acquisition Regulation to better identify and prevent personal conflicts of interest</li> <li>Recommended adopting a crosscutting approach to improve federal government performance</li> <li>Helped to rationalize the number of interagency contracts through the requirement of a business case for any new interagency contracts</li> <li>Identified counterfeit parts that could enter the DOD supply chain</li> <li>Helped prevent fraud in the Head Start Program</li> <li>Improved IRS controls to better prioritize unpaid payroll taxes for collection</li> </ul> |
| <b>Testimonies</b>                   | <ul style="list-style-type: none"> <li>Cyber security vulnerabilities in the electricity grid</li> <li>DOD's acquisition workforce capacity</li> <li>Doctor shopping in Medicare Part D</li> <li>Improved tax information could help pay for college</li> </ul>  |

A summary of Goal 3 performance results and targets is shown in the following table.

**Table 13: Strategic Goal 3's Annual Performance Results and Targets (dollars in billions)**

| Performance measures          | 2009 Actual | 2010 Actual <sup>a</sup> | 2011 Actual <sup>a</sup> | 2012 Actual | 2013 Target <sup>b</sup> | 2014 Target |
|-------------------------------|-------------|--------------------------|--------------------------|-------------|--------------------------|-------------|
| Financial benefits            | \$18.5      | \$11.6                   | \$7.2                    | \$16.7      | \$5.8                    | \$5.8       |
| Other (nonfinancial) benefits | 634         | 684                      | 628                      | 652         | 520                      | 520         |
| Testimonies                   | 49          | 45                       | 39                       | 41          | 29                       | 29          |

<sup>a</sup> GAO's fiscal year 2010 and 2011 Goal 3 financial benefits were less than the target. Because financial benefits often result from work completed in prior years, GAO set its target based on an assessment of the progress agencies make in implementing recommendations.

<sup>b</sup> GAO's fiscal year 2013 targets for all three performance measures differ from those we reported in GAO's fiscal year 2013 performance budget in February 2012. Specifically, GAO decreased financial benefits from \$7.3 to \$5.75 billion, nonfinancial benefits from 525 to 520, and testimonies from 40 to 29.

Table 14 provides examples of work GAO plans to conduct during fiscal years 2012 and 2013 under Goal 3.

**Table 14: Examples of Planned Work under Goal 3**

**Management Challenges/Risks**

- Review DOD's efforts to address long-standing financial management deficiencies
- 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

**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
- Assess efforts to increase transparency of federal spending
- Identify fraud, waste, and abuse in federal programs
- Assess and promote use of program evaluation in program management and policy making government-wide

**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 as deemed necessary by the Congress on topics such as homeland security, information technology, climate change nanotechnology, synthetic biology, and hypersonic aviation

**Goal 4**

GAO's 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 work; maintaining and enhancing a diverse workforce; expanding collaboration to promote professional standards; and being a responsible steward of resources.

The following table presents selected accomplishments attributable to Goal 4 in fiscal year 2012.

**Lead GAO Team for Goal 4**

Chief Administrative Officer (CAO/CFO)

**Primary GAO Teams Contributing to Goal 4**

Field Operations  
 Financial Management and Business Operations  
 Human Capital  
 Information Systems and Technology Services  
 Infrastructure Operations  
 Professional Development Program

**Supporting GAO Teams**

Applied Research and Methods  
 Audit Policy and Quality Assurance  
 Congressional Relations  
 General Counsel  
 Opportunity and Inclusiveness  
 Public Affairs  
 Strategic Planning and External Liaison

**Table 15: Selected Goal 4 Accomplishments in Fiscal Year 2012**

|   |  |
|---|--|
| <b>Enhancing support for reporting on GAO's work</b>                  | <ul style="list-style-type: none"> <li>Transitioned to an electronic report review process for unclassified products to reduce the administrative and environmental burden</li> <li>Deployed phase 1 of a new Engagement Management System (EMS), which will save staff time on engagements and improve access to management information</li> <li>Completed Engagement Efficiency Initiative resulting in 31 recommendations for process improvements across the end-to-end engagement management process</li> <li>Established Continuous Process Improvement Office (CPIO) and CPIO Leadership Board</li> </ul>                           |
| <b>Promoting a fair and unbiased work environment</b>                 | <ul style="list-style-type: none"> <li>Developed new performance competencies, standards, and related management processes to continue GAO's commitment to ensuring fairness and equity in its performance management process</li> <li>Created a Human Capital Governance Board to continue GAO's commitment to ensuring an inclusive and inviting workplace</li> <li>Completed Part II of GAO's diversity training, which focused on diversity and inclusion</li> <li>Established a financial literacy program to improve access to information, raise awareness, and help educate GAO employees on personal financial matters</li> </ul> |
| <b>Enhancing professional standards and collaboration with others</b> | <ul style="list-style-type: none"> <li>Organized and hosted a joint meeting of the INTOSAI Working Group on Public Debt and Global Financial Crisis Task Force that resulted in identifying areas of collaboration</li> <li>GAO's Chief Operating Officer and the Oregon State Auditor are co-chairing the task force responsible for updating the National Intergovernmental Audit Forum's strategic plan</li> </ul>  |

Table 16 provides examples of work GAO plans to conduct during fiscal years 2013 and 2014 under Goal 4.

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**Table 16: Planned Work under Goal 4**

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***Human Capital Management***

- Implementing new performance-management and compensation systems
- Focusing on succession planning
- Shifting the 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***

- Implementing actions to significantly improve efficiency in the end-to-end engagement management process based on recommendations made in fiscal year 2012, while maintaining adherence to essential quality standards
- Analyzing GAO’s staff utilization model and implementing changes to enhance agility and responsiveness
- Continuing pursuit of alternative methods for communicating the results of GAO work including significantly improving GAO’s 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
  - Rollout use of non-contract airfares agency-wide as an additional option for employees after a successful pilot program. The pilot found that the use of non-refundable fares when appropriate circumstances are met resulted in greater flexibility in booking less costly airfares
-

## Management Challenges

The Comptroller General, the Executive Committee, and other senior executives identify management challenges through the agency's strategic planning, management, internal controls, and budgetary processes. Under strategic Goal 4, several performance goals and underlying key efforts focus attention on each of GAO's management challenges. GAO monitors its progress in addressing these challenges through its annual performance and accountability process. Each year GAO also asks its Inspector General to examine management's assessment of the challenges and the agency's progress in addressing them.

For fiscal year 2014, GAO will continue focusing high-level management attention on human capital issues and on the new challenge identified last year related to improving engagement efficiency and delivery of timely and quality information to the Congress.

### Human Capital Challenge

Having a talented, diverse, high-performing, knowledge-based workforce is essential to carrying out GAO's mission. Like other federal agencies, GAO was challenged to address several critical human capital management issues while doing more with less. These issues included preparing for the retirement of executives and other senior managers, creating and maintaining a performance-based culture that helps to motivate and retain talented people, and implementing workplace practices that meet the needs of an ever-changing workforce in a fair and equitable manner. As a result, in fiscal year 2012, GAO focused its efforts on a few top priorities to sustain an agile, well-trained, balanced, and diverse workforce. Specifically, in this period of constrained resources, GAO:

- recruited and hired staff to fill a small number of senior executive positions

and a few critical hires to address succession planning needs;

- identified candidates for the executive development program and provided them a more cost-effective, enhanced leadership training program;
- launched an enhanced telework pilot program in conjunction with a workspace sharing initiative; and
- developed a new performance appraisal system.

Although GAO has made progress, the overarching human capital issue that GAO expects to continue to face for the foreseeable future is ensuring that GAO supports the mission of the agency with the right resources, where and when they are needed, in the face of declining budgets while providing meaningful rewards and recognition needed to retain its highly skilled workforce. For the first time in a long time, GAO has had extremely limited hiring over 2 consecutive years, and as a result, the proportion of entry-level staff is not where it needs to be to ensure a pipeline for the future. GAO will continue to address these human capital issues in fiscal years 2013 and 2014.

**Succession planning** – Succession planning remains critical. By the end of fiscal year 2013, about 40 percent of senior executives and about 26 percent of supervisory analysts will be eligible to retire. Thus, GAO will continue to emphasize the need for senior executives to work closely with less senior staff to ensure that critical knowledge and expertise are not lost. GAO will also continue to develop current employees to take on more responsibility and ensure that employees who are eligible to advance to key positions have the requisite skills and experience to succeed.

**Hiring** – While budgetary constraints have significantly limited GAO's recent hiring to address only critical skills gaps, GAO has developed recruitment plans that are inclusive of all of its workforce needs. To

ensure a pipeline for the future, a high priority will be to attract and hire entry-level staff to the extent that GAO's budget will support it. GAO will also continue to maintain relationships and partnerships with colleges, universities, and professional associations so as not to lose access to well-qualified, diverse, entry-level candidates.

**Training and staff development** – We will continue to align training for its employees based on GAO's learning needs analysis, work demands from the Congress, and the emerging areas of emphasis identified in the strategic plan and by experts. GAO will also continue to enhance its learning delivery methods by using all available technologies, including distance learning and online courses.

**Performance management and rewards** – GAO will implement a new performance appraisal system and finalize a revised system to reward and recognize high-performing staff. Also, GAO plans to continue to support other programs and workplace practices that will help us motivate and retain employees. Such steps are needed particularly in light of budget limitations.

GAO will continue to work with union partners and other employee advisory groups to implement human capital programs in a manner that helps meet the needs of an ever-changing workforce in a fair, equitable, and inclusive manner. GAO will also continue to explore ways to leverage technology to help us improve the accuracy and efficiency of human capital processes and management, and work closely with outside organizations to help stay informed of prevailing and leading human capital practices.

### **Engagement Efficiency Challenge**

In the *Fiscal Year 2011 Performance and Accountability Report*, GAO identified a new management challenge stemming from a continuing high workload in a time of

declining budgets and staff size. The agency made improving the efficiency with which it conducts its mission work a priority and identified three areas of focus—managing and conducting engagements, utilizing resources, and communicating its message. GAO made significant progress in initiating work in these areas in fiscal year 2012. Specifically, in 2012, GAO:

- completed an end-to-end analysis of the engagement process that identified 31 areas of opportunity for improved efficiency;
- established a new Office of Continuous Process Improvement (CPIO) that reports to the Chief Operating Officer to focus exclusively on continuous process improvement and implement projects to improve efficiency; and
- created an executive-level governance structure for prioritizing and directing process improvement initiatives.



*CPIO team works to map and identify efficiency improvements in GAO's engagement process.*

These three steps represent the underlying core organizational commitment to improving engagement processes and efficiency. In addition, GAO completed six projects to help address process inefficiencies and enhance organizational

focus on ensuring efficient outcomes along with quality outcomes. Specifically, GAO:

- streamlined a final report review process by reducing documentation requirements and moving to electronic routing;
- revised report production standards and processes to clarify roles and expectations and improve publication production efficiency
- streamlined the agenda for regular senior-level engagement review meetings by eliminating discussion of non-material topics;
- expanded access to a key engagement system to support improved decision making and management of engagements;
- consolidated results of key management meetings in one place on the agency's internal website to facilitate easy access; and
- incorporated efficiency-oriented behaviors into GAO's new performance appraisal system.

GAO also has a number of projects under way that will deliver results in the near-term while others are longer-term efforts. Specifically, GAO is:

- identifying changes to key steps and decision points in the engagement process to ensure resource investments on individual engagements are in line with client needs and needed scope of work;
- conducting market research to identify possible alternatives for more efficiently creating content, meeting review and

fact-checking procedures, and distributing and publishing reports and content in multiple formats;

- developing guidance and tools to ensure staff and managers are more keenly focused on managing resources committed and expended on engagements;
- identifying project management principles and best practices that will be adopted for all engagements;
- pursuing major enhancements to key engagement support and management systems to reduce rework and improve systems support and management information;
- assessing client needs and the media marketplace to identify new ways of communicating the message;
- assessing ways to more efficiently manage staff on and across engagements; and
- clarifying roles and responsibilities for engagement team members and stakeholders—including their responsibilities for reviewing draft products to reduce redundancies and unneeded work.

In fiscal year 2013 GAO will continue to identify other areas of opportunity for improved efficiency and will continually prioritize how to utilize resources to ensure the most significant efficiency gains. In addition, GAO will develop performance metrics for the process improvement program to show the effect improvement initiatives are having on agency operations.

## Collecting Input from Experts

GAO will continue to gather information and perspectives for 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 the agency works; and GAO's speakers' series. GAO's advisory boards and panels will support strategic and annual work planning by alerting GAO to issues, trends, and lessons learned across the national and international audit community that should be factored into GAO's work. During fiscal years 2013 and 2014, 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 GAO's strategic objectives.

**The Domestic Working Group** 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 affect all levels of government.

The **Global Working Group** 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.

GAO periodically conducts leadership forums and roundtables on topics affecting the federal government's role in meeting national challenges. Selected leaders and experts in various fields from the public, private and not-for-profit sectors are convened at these meetings to discuss certain key issues. The goal of each event is to produce dialogue that stimulates new partnerships and identifies actions designed to address the respective issues. A report summarizing the discussions on a non-

attribution basis and noting the participants who attended is published after each forum and roundtable. In fiscal year 2013, GAO plans to hold forums on nanotechnology and practices in data analytics for fraud prevention. GAO also will continue to work with a number of issue-specific and technical panels to improve strategic and annual work planning, such as the following:

**The Advisory Council on Government Auditing Standards** provides input and recommendations to the Comptroller General in his role of promulgating generally accepted 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 Accountability Advisory Council**, composed of experts from the financial management community, 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, helps GAO to identify high-risk and emerging issues in the IT arena.

**The Comptroller General's Educators' Advisory Panel**, composed of deans, professors, and other academics from prominent universities across the United States, advises GAO 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***

The National Intergovernmental Audit Forum, (NIAF) and 10 regional intergovernmental audit forums through which GAO 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.

In fiscal 2013 and 2014, the NIAF and each regional forum will hold meetings to share best practices and address common issues facing the audit community. In addition, the NIAF will update its Strategic Plan to provide a foundation for the Forum's operations over the next several years.



*Comptroller General Gene Dodaro delivers plenary address at the 19th Biennial Forum of Government Auditors.*

### ***The Council of Inspectors General on Integrity and Efficiency***

The Council of Inspectors General on Integrity and Efficiency is a federal IG coordinating council created by statute in 2008, which combines what was formerly known as the President's Council on Integrity and Efficiency and the Executive Council on Integrity and Efficiency.

GAO collaborates with this council and individual IGs to facilitate GAO's audit work, coordinate to avoid overlap and duplication of effort, and share best practices.

### ***The International Organization of Supreme Audit Institutions (INTOSAI)***

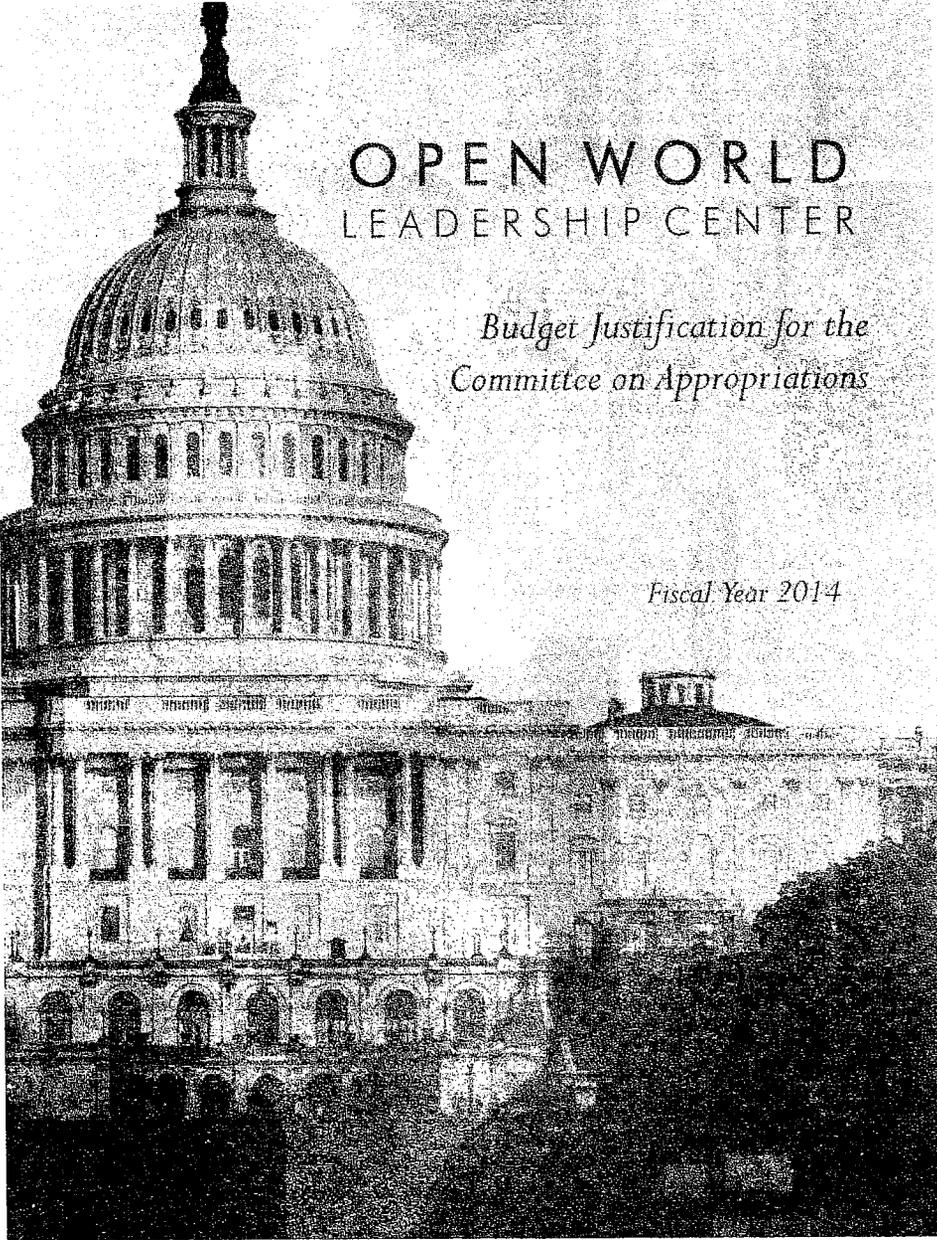
GAO's primary vehicle for collaborating internationally is INTOSAI, the professional organization of the national audit offices of 191 countries, plus the European Court of Auditors and several associate members.

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, GAO participates in INTOSAI's knowledge sharing groups on public debt information technology environmental auditing program evaluation international money laundering and corruption accountability for; and audit of disaster-related aid value and benefit of SAIs and key national indicators.

GAO chairs the newly established working group on financial modernization and regulatory reform of financial markets and institutions that will serve as a forum to share knowledge about the implementation of regulatory reforms and monitor emerging issues related to market conditions. GAO also chairs the Finance and Administration Task Force on Strategic Planning that will be responsible for coordinating the development of the next INTOSAI strategic plan for 2017-2022.

By collaborating with others, GAO plans to continue strengthening professional standards, providing technical assistance, leveraging resources, and developing and disseminating best practices. For example, in fiscal years 2013 and 2014, GAO plans to do the following:

- Participate in the XXI International Congress of Supreme Audit Institutions, which will be held in Beijing, China, and will focus on national audit policy, governance, and the long-term sustainability of finance policies.
- Lead a newly established standing working group to coordinate and strengthen efforts to assess the progress of reforms to regulate financial markets and institutions, as well as to help Supreme Audit Institutions (SAIs) share and access, as appropriate, timely and useful information to help evaluate responses to current market conditions or future financial crises.
- Continue to advance INTOSAI's capacity-building goal through the Comptroller General's Vice Chairmanship through 2013 of the steering committee overseeing implementation of INTOSAI Donor Cooperation. Through a memorandum of understanding (MOU) between INTOSAI and 19 donor organizations, the initiative aims to coordinate efforts to strengthen SAIs in developing countries. GAO will continue to play a significant role in focusing the Donor Cooperation agenda and the dialogue on the most critical issues in 2013, including development of an SAI performance measurement framework and the launch of a multi-donor trust fund to serve as an additional funding mechanism to support the objectives of the MOU.
- Continuing work on a global call for Donor Cooperation proposals, aimed at identifying and obtaining support for demand-led SAI capacity development initiatives. Efforts will also continue in 2013 on the International Standards of Supreme Audit Institutions (ISSAI) Implementation Initiative, a program launched through the INTOSAI-Donor Cooperation that facilitates and supports SAIs in the implementation of INTOSAI Standards.
- Continue to actively participate in development, implementation, and harmonization of 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 GAO's 4-month International Audit Fellowship program. Since the program's inception in 1979, more than 500 officials from over 100 countries have participated. GAO has received more than 40 nominations to participate in the 2013 class.



OPEN WORLD  
LEADERSHIP CENTER

*Budget Justification for the  
Committee on Appropriations*

*Fiscal Year 2014*



# OPEN WORLD

LEADERSHIP CENTER

## Submission of the Budget Justification for Fiscal Year 2014

### TABS

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*All participants in the Open World Program spend two days in an Orientation in Washington before flying to their host city.  
 –Social Issues delegation hosted by CIPUSA in Cleveland, Ohio*

## **I. Introduction**

Since its inception in 1999, Open World has served Members of Congress in both chambers. The Center focuses on responding to priorities of Congress and producing an exchange program that establishes lasting relationships between the up and coming leaders of Open World countries and engaged Americans committed to showing U.S. values. In this capacity, the Center assists Congress in its oversight responsibilities, aids Congress in inter-parliamentary and legislative activities, and supports projects and partnerships of American citizens throughout the United States.

The Open World program was originally designed to bring emerging federal and local Russian political leaders to the United States to meet their American counterparts and gain firsthand knowledge of how American civil society works. Program participants experienced American political life and saw democracy in action, from debates in local city councils to the workings of the U.S. Congress. In 2003, Congress expanded the scope of Open World to include eleven former Soviet countries.

Today the Center operates in thirteen countries and, by the end of 2013, will have brought nearly 20,000 rising leaders to engage their American counterparts in professional exchanges in more than 2,100 American communities in all fifty states. All the countries participating in the Open World program are strategically important to the interests of the U.S. government in areas of growing economies where opportunities for foreign investment

and trade increase yearly. The growing leadership network, where many continue their relationships both with each other and with their American counterparts, gives the Open World program impact far beyond the ten-day program in the United States. With the continued support of Congress, Open World host families will once again open their homes to help sustain this highly successful congressional program.

Open World has served the Congress well, earning strong bipartisan and bicameral support. With the requested funding level of \$10,061,200, the Center will continue this vital work and bring at least 1,200 participants to communities all around the United States in 2014. There are no increases reflected in this request and it is level with the Fiscal Year 2012 appropriation and the Fiscal Year 2013 request.

*By the end of 2012, 7,100 constituents in nearly 2,200 communities in all 50 states had hosted Open World delegates. These local communities not only provide the delegates with the highest level of professional programs, but routinely welcome them into their homes.*



*The investment that the U.S. Congress makes in the Open World program reaps returns in the districts back home. As one local host put it:*

*"Frankly, Ohio most likely receives more in return that is put in fiscally, by proportion. With the Cleveland program, the Cincinnati program and the two Columbus programs, we see our delegates spending every penny they bring with them here in Columbus. And then some."*

*An Accountable Governance Delegation with a focus on Agricultural Diversification was composed of Tajik directors of agricultural associations.*

*--Hosted by the Advisory Commission on International Relationships in Great Falls, Montana*

## II. Budget Overview

### FY 2014 Budget Request: \$10,061,200

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.

In the spring of 2012, the Government Accountability Office (GAO), at the direction of the House Appropriations Subcommittee on the Legislative Branch, began a review of Open World’s progress on GAO’s 2004 recommendations on strengthening the Center’s financial management and performance measurement. The final report is provided in Tab 3. Among the conclusions cited by GAO:

- Open World has taken a number of steps to address our six recommendations regarding its financial management and internal controls
- Open World’s financial management controls generally follow leading practices for financial accountability
- Open World has taken steps to improve its efforts to measure performance
- Open World’s efforts to measure performance are generally consistent with several leading practices

The Center employs generally accepted 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, and regular contact with 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, Ukraine, and Uzbekistan have all joined with the Open World Leadership Center in directly funding a number of our delegations.



*By partnering with USAID, the Open World Leadership Center was able to provide programming for 180 delegates from Serbia beginning in 2012. Due to the Center’s record for fiscal efficiency, this is at least three times the expected level of hosting that USAID requested. Partnerships with this and other U.S. government agencies offer an excellent opportunity to accomplish overlapping and complementary mission goals at half the cost to each agency.*  
 -Serbian prosecutors hosted by the Center for International Understanding in Bluefield, West Virginia.

For example, the U.S. Department of State asked Open World to co-sponsor six innovative Russian scientists who traveled to San Francisco, CA and Washington, DC, for a program designed to foster relationships between U.S. and Russian leaders in a variety of fields including science and technology. These meetings were identified by the 2011 U.S. Delegation to Russia on nanotechnology environmental health and safety and by the U.S. National Nanotechnology Coordination Office as a unique opportunity for scientists from both nations to engage in discussions about a challenging area of research – nanotoxicology.

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 more than twice the supply of available hosting slots.



*Home stays are an integral feature of the Open World program. In addition to the in-kind contributions of the local hosts' time and resources, home stays provide an opportunity to create partnerships beyond the eight-day program.*  
 ~Russian judges with host Harvey Schlesinger, District Judge, Jacksonville, Florida

Open World strongly encourages grantees to cost-share, making it part of our annual competitive proposal process. For example, in 2012, Rotary International hosted 20 Open World delegations (6 participants each) in 19 communities in 15 states through their local Rotary clubs. These local clubs, through volunteers, home stays, and other in-kind contributions contributed an estimated 45% of the total local cost of these delegations. The 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. Indeed, the per-person-cost to bring a delegate to the United States has steadily declined over the past few years as Open World increases its cost-sharing efforts, despite rising transportation and other costs.

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 bring far fewer delegates on this important program.

In 2012, the hosting of Open World participants in homes throughout the United States and significant contributions from the Center's partners saved the Center an estimated \$2 million. To date, almost 7,100 American families in 2,200 communities in all fifty states have hosted Open World delegations.

For a complete list, *by state*, of Open World grantees, local host organizations, and host judges, see Tab 2.

Open World is Congress' 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. Conversely, Open World delegates experience an American from the inside out – an America they did not know existed.

In conclusion, the fiscal year 2014 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 regions of vital importance to the Congress and the nation.



### III. 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 \$10,061,200 is based on bringing 1,200 participants in 2014.

We are pleased that Open World is able to request a level budget for 2014. Coupled with our efforts to remain highly efficient and effective, we have developed strategies for increasing cost-shares with hosting organizations, foreign entities, and other partners that made it possible to increase that target number of 1,200 to 1,372 in 2012 with the same congressional appropriation.

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% for Direct Program  |
| Deputy Executive Director           | — GS 15        | 25% for Direct Program  |
| Public Affairs Officer              | — GS 13        | 15% for Direct Program  |
| Program Managers (3)                | — GS 13        | 100% for Direct Program |
| Administrative Specialist           | — GS 9         | 5% for Direct Program   |
| Foreign Service Nationals (FSN) (2) |                | 100% for Direct Program |

This is the minimum staff level required to manage 1,200 or more 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 Washington, DC orientation agenda and planning and monitoring activities in the host community. The staff in the U.S. Embassy in Moscow is 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 cost-sharing in every grant proposal. We work closely with our logistical contractor to find the best airfares, to keep their staff costs at a minimum, and to find savings wherever possible.

The Center's fiscal year 2014 budget request breaks down as follows:

**A. Direct Program — \$ 9,690,200**

|    |                            |           |
|----|----------------------------|-----------|
| 1. | Logistical Contract        | 5,720,000 |
| 2. | Grants/Other Hosting Costs | 3,285,000 |
| 3. | Salary/Benefits            | 685,200   |

The logistical services contract with a Washington-based NGO is the single largest expenditure at Open World. This contractor is tasked with obtaining visas and other travel documents; arranging and purchasing airfare and Orientation accommodations; 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 International, 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 — \$ 773,400**

|    |                            |         |
|----|----------------------------|---------|
| 1. | Salary/Benefits            | 408,250 |
| 2. | Services of Other Agencies | 182,000 |
| 3. | Professional Services      | 146,650 |
| 4. | Miscellaneous Office       | 36,500  |

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: \$10,463,600<sup>1</sup>**

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<sup>1</sup> The amount over \$10,061,200 shown here will be covered by donations and other offsets.

#### IV. Conclusion

As a Legislative Branch entity, the Open World Leadership Center actively supports the foreign relations efforts of Congress. The Center also links Congress to experienced and enthusiastic constituents throughout the United States who are engaged in projects and programs in Open World countries. The Open World program routinely involves Members in its hosting activities and is responsive to Congressional priorities. In 2012, 83 percent of program participants met with Members of Congress or Congressional staff during their exchanges. These meetings make a significant impact on our delegates. Meeting with a legislative leader is often not possible in their own countries. The accessibility of the U.S. Congress to its constituents and even the concept of constituent services is sometimes a new and astonishing experience for them.

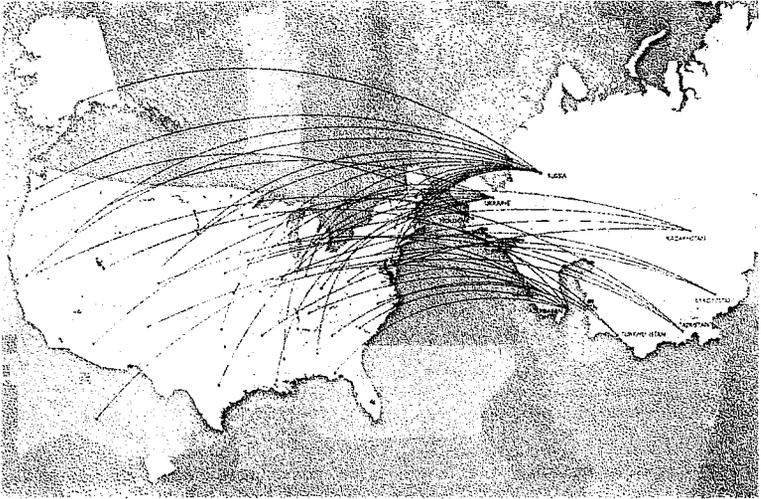


*More than 60% of Open World delegates come from national, regional and local government offices. Meeting with Members of Congress as well as state and local legislators in the United States demonstrates how accountable governance, transparency and accessibility impact the legislative process.*

*~Delegation of environmental managers hosted by GlobalPittsburgh, Pennsylvania*

Despite rising base costs of transportation and contracts, we have not requested any increase in funding for FY 2014. There are several reasons for this. First and foremost, cost-shares from our hosts throughout America have risen steadily. We have also found partners willing to assume some international transportation costs, and we expect that private donations will help sustain our work. In all, 25% of our resources will come from outside our appropriation. It is this broad support, both materially and in spirit, that makes this program incredibly strong while allowing us to keep this request modest.

All of us at Open World deeply appreciate the engagement and support of Congress, and particularly of this sub-committee. We remain a uniquely effective legislative instrument providing the Congress with a resource that promotes "constituent diplomacy." By supporting the Open World program, you allow Americans in every state to make a difference at the grassroots level and effect positive change in communities in these complex and strategically important nations.





United States Government Accountability Office  
Washington, DC 20548

September 21, 2012

The Honorable Ben Nelson  
Chairman  
The Honorable John Hoeven  
Ranking Member  
Subcommittee on Legislative Branch  
Committee on Appropriations  
United States Senate

The Honorable Ander Crenshaw  
Chairman  
The Honorable Michael M. Honda  
Ranking Member  
Subcommittee on Legislative Branch  
Committee on Appropriations  
House of Representatives

**Subject: *Status of Open World Exchange Program's Efforts to Strengthen Financial Management and Performance Measurement***

Since its establishment in 1999,<sup>1</sup> the Open World Leadership Center (Open World) exchange program has brought nearly 18,000 emerging leaders from Russia and 13 other participating countries to the United States to give them firsthand exposure to the U.S. economic system and democratic institutions.<sup>2</sup> Open World is governed by a Board of Trustees<sup>3</sup> and has seven permanent staff, led by an Executive Director, that work with numerous partners to carry out its program. U.S. embassies in participating countries play a key role by nominating many individuals for the program, vetting applicants for final selection, and processing visas for participants. Open World awards grants to U.S. national host organizations that, in conjunction with local partners, develop programs for

<sup>1</sup>The Russian Leadership Program was established in Pub. L. No. 106-31, § 3011 (May 21, 1999). The program was renamed the Open World Leadership Center by Pub. L. No. 108-7, Div. H, §1401 (Feb. 20, 2003).

<sup>2</sup>The Library of Congress served as the administrator of the Open World program during the exchange's pilot phase. The program is now managed by the Open World Leadership Center, a separate entity within the U.S. legislative branch. Although the Center is independent of the Library, it has an interagency agreement with the Library to provide financial management and administrative support services to support Open World's operations.

<sup>3</sup>The Board of Trustees is composed of ten members—a Chairman; the Librarian of Congress; one member of Congress appointed by the Speaker of the House of Representatives and two members appointed by the President Pro Tempore of the Senate; three other individuals appointed by the Librarian of Congress; and the two Chairs of the Appropriations Subcommittees on Legislative Branch.

participants and arrange home stays. Program participants stay in the homes of American host volunteers.

In 2003, Congress asked us to review Open World's progress toward achieving its overall purpose and whether the program had appropriate financial management and accountability mechanisms in place.<sup>4</sup> As a result of our review, we issued a report in 2004 that contained eight recommendations aimed at enhancing Open World's financial management and performance measurement.<sup>5</sup> In 2011, Congress directed us to determine the actions the program had taken to implement our 2004 recommendations.<sup>6</sup> In response to the mandate, we reviewed (1) Open World's actions to address our recommendations on financial management and internal controls, and how the program's current financial management controls compare with leading practices for accountability; and (2) the program's actions to address our recommendations on performance measurement and how its mechanisms for performance measurement compare with leading practices.

### Scope and Methodology

To examine Open World's actions to address our recommendations on financial management and how the program's current financial management controls compare with leading practices for accountability, we met with Open World officials and reviewed relevant policies and procedures. We compared selected financial management controls to GAO's *Standards for Internal Control in the Federal Government*<sup>7</sup> and the *Internal Control Management and Evaluation Tool*.<sup>8</sup> Our assessment focused on whether these policies and procedures were designed to provide an adequate framework for internal controls. We did not conduct an audit of Open World's financial reports or individual transactions.

To examine Open World's actions to address our recommendations on performance measurement and how its mechanisms for performance measurement compare with leading practices, we reviewed the performance measures in Open World's strategic plan and compared them to GAO's Key Attributes of Successful Performance Measures.<sup>9</sup> We also reviewed Open World's organizational structure, operational policies and procedures, and program documentation. In addition, we met with Open World's Executive Director,

<sup>4</sup>In 2003, Congress expanded the scope of the program to include cultural leaders in Russia and extended eligibility to 11 countries of the Newly Independent States of the former Soviet Union and 3 Baltic states.

<sup>5</sup>GAO, *International Exchange Programs: Open World Achieves Broad Participation; Enhanced Planning and Accountability Could Strengthen Program*, GAO-04-436 (Washington, D.C.: Mar. 17, 2004).

<sup>6</sup>See House Conference Report 112-331.

<sup>7</sup>GAO, *Standards for Internal Control in the Federal Government*, AIMD-00-21.3 1 (Washington, D.C.: Nov. 1, 1999).

<sup>8</sup>GAO, *Internal Control Management and Evaluation Tool*, GAO-01-1008G (Washington, D.C.: Aug. 1, 2001).

<sup>9</sup>GAO, *Tax Administration: IRS Needs to Further Refine Its Tax Filing Season Performance Measures*, GAO-03-143 (Washington, D.C.: Nov. 22, 2002). As part of this report, we developed key attributes of successful performance measures for results-based organizations. We have since used these attributes to assess performance measures of entities other than the IRS.

management, and other staff; State Department officials; and international exchange Interagency Working Group (IAWG) officials.

We conducted this performance audit from May 2012 to September 2012 in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

### Results in Brief

Since our 2004 report, Open World has taken a number of steps to address our recommendations on financial management controls, and has also generally followed leading financial management practices. For example, to address our recommendations, Open World (1) contracted with an independent public accountant to perform an assessment of its ability to be audited; (2) developed *Financial Procedures and Directives* guidance that covers key activities such as grants; (3) developed the *Grant Procedures* document, which enhanced accountability for its grantees; (4) submitted its financial statements to an annual financial statement audit since fiscal year 2005, resulting in clean audit opinions since fiscal year 2006; (5) established an audit committee, comprised of independent members that have financial and programmatic knowledge, which also reviews management's annual assessment of its internal controls; and (6) developed guidelines for grantees to calculate and report the estimated value of U.S. volunteers' contributed services, and also disclosed this value as part of its annual budget justification. Open World's financial management controls also generally followed leading practices for financial accountability. For example, Open World (1) developed appropriate policies, procedures, techniques, and mechanisms with respect to each of the agency's activities; (2) developed guidance aimed at ensuring that transactions are properly documented, approved, and processed; and (3) performed ongoing monitoring of its transactions through annual financial audits since fiscal year 2005. Open World has plans to further enhance its financial management controls to better align its grant monitoring with leading practices by performing reviews of grantees' compliance with grant agreement guidelines.

Open World has taken a number of steps that address our 2004 recommendations and reflect several leading practices for performance measurement. For example, to address our recommendations, Open World established its first strategic plan covering fiscal years 2007-2011 and later issued an updated plan covering fiscal years 2012-2016. In addition, it (1) presented to the Board the first comprehensive quantitative analysis of annual achievement on each of its performance measures for fiscal years 2007 through 2011; (2) implemented periodic reports from program participants, hosts, and contractors that provide standardized information about program performance and results; and (3) is currently converting its performance databases to a web-based system intended to reduce time needed to report on program feedback and performance. As of August 2012, Open World's efforts were generally consistent with several of the key attributes that GAO has identified for successful performance measures. For example, most performance measures in Open World's strategic plan were clearly stated and could allow for objective data to be collected. Although Open World had some intended outcomes that did not link to corresponding measures or program activities that contribute to achieving these outcomes, Open World officials stated in September 2012 that they revised their

performance measures to ensure that they directly link the activities of the program to the objectives in their strategic plan. In June 2012, Open World set numerical targets that could allow management to more systematically track its performance against program goals, but Open World had not yet developed an agency performance plan or released annual updates comparing its performance targets to actual results. During August 2012 discussions with us, Open World officials agreed to take the additional steps of preparing an annual performance plan and reporting annual updates publicly to further align their performance measurement efforts with leading practices. In September 2012, Open World officials stated that they had finalized an annual performance plan.

### **Background**

Congress created the precursor of Open World, the Russian Leadership Program, as a pilot project within the Library of Congress in 1999 and, about 2 years later, established it as an independent, permanent entity. The program's founders envisioned it as a way to promote mutual understanding between the United States and Russia and positively influence Russia's development following the collapse of the former Soviet Union. The program aimed to expose emerging political leaders at all levels of government in Russia to the American economic system and democratic institutions through visits to communities across the United States, allowing participants to see how Americans from all walks of life conduct their business and professions and their private, social, and cultural lives. As envisioned by its founders, the overall mission of the program was to develop a cadre of people in Russia committed to democratic and free market principles by reaching out to emerging leaders, similar to the way that young German leaders were targeted by the Marshall Plan after World War II. In 2003, Congress changed the program's name to the Open World Leadership Center, expanded its scope to include cultural leaders from Russia, and extended eligibility to additional countries in the Newly Independent States of the former Soviet Union and the Baltic states.<sup>10</sup>

Open World has awarded hosting grants to 61 organizations headquartered in 25 states and the District of Columbia. By the end of 2011, about 800 local host organizations—including universities, community colleges, service organizations, sister-city associations, local government agencies, and international visitor councils and other nonprofit organizations in all 50 states and the District of Columbia—had conducted exchanges for Open World. About 6,700 American families have hosted participants in 2,000 communities. In addition, Open World has contracts with organizations that provide logistical support and coordinate alumni activities. In fiscal year 2012, Open World's appropriation was \$10 million. In addition, Open World is authorized to seek and accept private donations.

### **Open World Has Taken Actions to Address Our Recommendations on Financial Management Controls and Has Generally Followed Leading Practices**

#### Open World Has Taken Actions to Strengthen Financial Management

Since GAO reported in 2004, Open World has taken a number of steps to address our six recommendations regarding its financial management and internal controls, as outlined in

<sup>10</sup>The expansion of Open World extended eligibility to the remaining 11 countries of the Newly Independent States of the former Soviet Union and 3 in the Baltic states. The countries that have participated in Open World exchanges are Armenia, Azerbaijan, Belarus, Georgia, Kazakhstan, Kyrgyzstan, Lithuania, Moldova, Russia, Serbia, Tajikistan, Turkmenistan, Ukraine, and Uzbekistan.

table 1. Specifically, Open World (1) contracted with an independent public accountant to perform an auditability assessment; (2) developed *Financial Procedures and Directives* guidance; (3) developed the *Grant Procedures* document; (4) submitted its financial statements to an annual financial statement audit since fiscal year 2005, resulting in clean audit opinions since fiscal year 2006; (5) established an audit committee, comprised of independent members that have financial and programmatic knowledge, which also reviews management's annual assessment of its internal controls; and (6) developed guidelines for grantees to calculate and report the value of U.S. volunteers' contributed services, and also disclosed this value as part of its annual budget justification.

**Table 1: Actions Taken by Open World to Address GAO's 2004 Financial Management and Internal Control Recommendations**

| 2004 GAO recommendations on financial management and internal controls   | Open World actions to address recommendations  |
|--|--|
| Assess whether the current procedures provide adequate internal control over expenditures and grantee oversight  | <ul style="list-style-type: none"> <li>• Contracted with an independent public accountant to perform an auditability assessment, which concluded that Open World's financial reporting structure was sufficient to allow a full-scope audit and provided recommendations to improve policies and procedures</li> <li>• Submitted its financial statements since 2005 to an annual financial statement audit, which covers internal controls over expenditures</li> <li>• Created an audit committee in 2008 that is tasked with reviewing management's annual assessment of its internal controls</li> </ul>                     |
| Develop and implement written, management-approved policies, procedures, and internal controls for Open World's resources and expenditures                               | <ul style="list-style-type: none"> <li>• Developed <i>Financial Procedures and Directives</i> guidance, which documented internal controls through policies and procedures for areas such as procurement of supplies and expert services, credit card purchases, reimbursements, travel, training, and grants administration and closure</li> <li>• Communicated and maintained this guidance on an internal shared drive for easy access by its employees</li> <li>• Developed a vulnerability assessment and internal control review tools to strengthen its ability to monitor internal controls</li> </ul>                   |
| Develop and implement controls and requirements for grantees to provide accountability for grant expenditures to ensure that funds are spent for their intended purposes | <ul style="list-style-type: none"> <li>• Developed, in 2005, the <i>Grant Procedures</i> document, which provides grantees with information on the grants process, allowable expenses, and procedures that grantees must follow to be eligible for grants and to ensure accountability</li> <li>• Included in this document specific guidance for the grantees' budget calculation and for documentation that needs to be provided to Open World during grant closing procedures</li> <li>• Required grantees to file a quarterly financial report that identifies the amount of grant funds expended and unobligated</li> </ul> |

|   |   |
|---|---|
|   | <ul style="list-style-type: none"> <li>• Required grantees to submit a variance report identifying differences between actual expenses and the approved grant budget</li> <li>• Prohibited variances of greater than 10 percent without approval by Open World in advance</li> <li>• Required each grantee to submit either an opinion from its most recent financial statement audit or detailed receipts to support its grant expenses</li> <li>• Updated the <i>Grant Procedures</i> document annually and posted it to Open World's website after approval</li> </ul>   |
| <p>Develop and implement plans for routinely preparing financial statements that are annually subject to an independent audit</p>   | <ul style="list-style-type: none"> <li>• Prepared and submitted its financial statements to an annual financial statement audit since fiscal year 2005 <ul style="list-style-type: none"> <li>• Since 2006, these audits have resulted in clean audit opinions with no material weaknesses or significant deficiencies in internal controls, and no instances of noncompliance with laws and regulations</li> </ul> </li> </ul>   |
| <p>Consider establishing an audit committee or financial management advisory committee to provide the Board of Trustees and management with independent advice on financial management, accountability, and internal control issues</p> | <ul style="list-style-type: none"> <li>• Established an audit committee in 2008 that consisted of three members and adopted a charter in 2009 <ul style="list-style-type: none"> <li>• Audit committee meets at least annually to discuss internal controls over financial management and communicate with the independent public accountant and the Library of Congress's Inspector General</li> <li>• Audit committee reports the results of its reviews of internal controls and the financial statement audit to the Board of Trustees</li> <li>• Audit committee currently consists of three members who have the financial and programmatic knowledge necessary to read and understand audit reports and help oversee Open World's activities. For example, two members have financial management experience and one member has grants-related experience.</li> </ul> </li> </ul> |
| <p>Estimate and disclose the value of contributed services from U.S. volunteers to better reflect the total scope of the program</p>  | <ul style="list-style-type: none"> <li>• Developed guidelines for grantees to assess the value of the contributed services in each of their budget category estimates</li> <li>• Required grantees to report the value of contributed services annually</li> <li>• Disclosed the estimated value of contributed services in Open World's Annual Report and Budget Justifications</li> </ul>   |

Source: GAO

### Open World Follows Leading Financial Management Practices and Plans to Enhance Grantee Monitoring

Open World's financial management controls generally follow leading practices for financial accountability. For example, Open World has (1) developed appropriate policies, procedures, techniques, and mechanisms with respect to each of the agency's activities, such as grants; (2) developed guidance aimed at ensuring that transactions are properly documented, approved, and processed; (3) performed ongoing monitoring of its transactions through annual financial audits; and (4) established a three-member independent audit committee with relevant financial management experience to assist in oversight of financial management and internal controls. GAO's *Standards for Internal Control in the Federal Government* state that internal controls should generally be designed to assure that ongoing monitoring occurs in the course of normal operations. In addition, GAO's *Internal Control Management and Evaluation Tool* states that appropriate policies and procedures should exist with respect to each of the agency's activities. Open World's *Financial Procedures and Directives* includes grant procedures for advance payments, reimbursements, general management, and grant closing. However, we advised Open World that additional procedures could further enhance Open World's ability to determine its grantees' compliance with requirements outlined in its *Grant Procedures*, such as the proper use of funds. Such enhanced policies and procedures to monitor and evaluate the grantees' compliance with grant requirements could further increase accountability and help ensure that funds are being used for their intended purpose. These procedures are important to Open World because grant obligations totaled approximately \$3.4 million, or 28 percent of its \$12.3 million total obligations in fiscal year 2011. Open World officials agreed that enhancements can be made to further assure accountability and that they are assessing the best way to provide assurance that the expenditures of grantees are in compliance with grant agreements. Open World officials noted that they would develop a process that is risk-based and also noted a number of activities to augment Open World's effectiveness in this area. For example, they cited plans to (1) obtain signed affidavits from the heads of local hosting organizations, attesting that funds were spent in accordance with the requirements of the grants; (2) obtain signed statements of assurances completed by each grantee; (3) obtain summary reports of planned versus actual grant expenditures; (4) obtain reports evaluating hosting activities; and (5) perform sampling of grant expenditures to monitor and assess grantees' compliance with fund expenditure requirements.

### **Open World Has Taken Steps to Address Our Recommendations on Performance Measurement, and These Actions Reflect Several Leading Practices**

#### Open World Has Taken Actions to Strengthen Performance Measurement

Since our 2004 report, Open World has taken steps to improve its efforts to measure performance. In addition, Open World has taken a number of steps to strengthen its mechanisms for collecting data and reporting on performance, such as reporting to its Board the results achieved for each of its performance measures and requiring periodic reports on performance from program stakeholders (see table 2).

**Table 2: Actions Taken by Open World to Address GAO's 2004 Performance Measurement Recommendations**

| 2004 GAO recommendations on performance measurement  | Open World actions to address recommendations  |
|--|--|
| Establish strategic and performance plans that articulate Open World's direction and set measurable goals and indicators | <ul style="list-style-type: none"> <li>• Established its first Strategic Plan for Fiscal Years 2007-2011. The plan contained:               <ul style="list-style-type: none"> <li>○ mission statement,</li> <li>○ goals, and</li> <li>○ performance indicators</li> </ul> </li> <li>• Developed its second Strategic Plan for Fiscal Years 2012-2016, which also includes the elements that we recommended</li> </ul>   |
| Strengthen the program's mechanisms for collecting data and reporting on program performance                             | <ul style="list-style-type: none"> <li>• Presented at the February 2012 Board meeting Open World's first comprehensive quantitative analysis of annual achievement on each of its performance measures for fiscal years 2007 to 2011</li> <li>• Implemented periodic reports from program hosts, facilitators, and contractors to ensure that management receives standardized information and feedback about program performance and results</li> <li>• Launched efforts to convert Open World's performance databases to a web-based system intended to reduce time needed to find, utilize, and report on program feedback and performance data</li> <li>• Established targets for each performance measure in its Strategic Plan for Fiscal Years 2012-2016</li> </ul> |

Source: GAO.

### Open World's Performance Measurement Efforts Are Generally Consistent with Several Leading Practices

Open World's efforts to measure performance are generally consistent with several leading practices, and it has plans to further strengthen its performance measurement mechanisms to better align them with leading practices. Although not required for Open World, the Government Performance and Results Act's (GPRA) requirement for executive branch agencies to establish measures of performance serves as a leading practice for all federal agencies.<sup>11</sup>

In a previous report, we identified nine key attributes of successful performance measures and used them to assess the indicators agencies use to measure their performance.<sup>12</sup> As

<sup>11</sup>Government Performance and Results Act of 1993, Pub. L. No. 103-62, 107 Stat. 285, as amended by GPRA Modernization Act of 2010, Pub. L. No. 111-352, 124 Stat. 3866 (2011).

<sup>12</sup>GAO-03-143. The key attributes of successful performance measures are (1) objectivity, (2) clarity, (3) linkage between measure and agencywide goals, (4) measurable target, (5) reliability, (6) covering core program activities, (7) limited overlap, (8) balance, and (9) covering governmentwide priorities.

of August 2012, Open World's performance measures were consistent with several of these key attributes, and Open World had plans to further align them with the attributes. For example, most performance measures in Open World's Strategic Plan for 2012-2016 were clearly stated. All of the 23 measures clearly required either a number, percentage, or amount. In addition, Open World's measures allowed the collection of objective data. For example, the measures focused on objective counts, such as number of projects undertaken, number of partnerships sustained or formed, and the value of cost-shares as a percentage of the total appropriation. However, Open World's strategic plan included some intended outcomes that did not link to corresponding measures or program activities that contribute to achieving these outcomes. One such intended outcome was that the "nominations process is transparent and produces delegates with superior professional qualifications." Without a corresponding performance measure, management may be less able to gauge progress and determine whether those outcomes have actually been achieved. When we discussed this finding with Open World officials in August 2012, they stated that they planned to revise their performance measures to ensure that the measures directly link the activities of the program to the objectives in their strategic plan. Commenting on a draft of this report in September 2012, Open World officials stated that they had revised their performance measures to address this issue.<sup>13</sup>

Open World has recently taken steps to report more systematically on its performance and has plans to make further improvements to reflect leading practices. We have previously reported that performance data can have real value only if they are used to identify the gap between an organization's actual performance level and the performance level it has identified as its goal.<sup>14</sup> Once the performance gaps are identified, managers can determine where to target their resources to improve overall mission accomplishment. A leading practice in GPRA directs agencies to release an annual performance update that compares actual performance with goals. Before 2012, Open World did not systematically report the results for its performance measures.<sup>15</sup> In February 2012, Open World shared for the first time with its Board annual numerical results for each of the indicators in its Strategic Plan for Fiscal Years 2007-2011, but it had not previously reported annual performance goals for those years against which it could compare the actual results. In June 2012, Open World finalized both 2011 baseline values for each of its performance measures and annual targets for fiscal years 2012 through 2016 that would allow management to systematically track future performance against program goals. When we shared our preliminary findings with Open World officials in August 2012, Open World did not have a performance plan that explained the basis for comparing results with goals. The officials stated that they planned to use their newly established targets to develop an agency performance plan and publicly report on its annual performance against such goals. They stated that these actions would better align their performance measurement efforts with leading practices. Commenting on a draft of this

<sup>13</sup>Open World revised its performance measures after we completed our audit work. We therefore did not assess the revised measures.

<sup>14</sup>GAO, *Executive Guide: Effectively Implementing the Government Performance and Results Act*, GAO/GGD-96-118 (Washington, D.C.: June 1996).

<sup>15</sup>Open World's annual reports contain anecdotal results of program activities, but do not systematically assess results achieved for each of its performance measures.

report in September 2012, Open World officials stated that they had finalized an annual performance plan for 2012.<sup>16</sup>

#### Agency Comments

Open World provided written comments on a draft of this report (see Enclosure I). Open World generally agreed with our findings. Regarding financial management, Open World stated that the enhancements it will undertake as a result of our observations will strengthen its financial oversight of its grants. Regarding performance measurement, Open World stated that our report provides some useful suggestions on linking strategic plan objectives to measures of performance. Open World also reviewed the draft report for technical accuracy. Its technical comments have been incorporated into this report, as appropriate.

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We are sending copies of this report to appropriate congressional committees and the Executive Director of the Open World Leadership Center. In addition, this report will be available at no charge on the GAO website at <http://www.gao.gov>.

If you or your staff have any questions concerning this report, please contact Michael Courts at (202) 512-8980, or [courtsm@gao.gov](mailto:courtsm@gao.gov), or Beryl H. Davis at (202) 512-2623, or [davisbh@gao.gov](mailto:davisbh@gao.gov). Contact points for our Offices of Congressional Relations and Public Affairs may be found on the last page of this report. GAO staff who made major contributions to this report are listed in enclosure II.



Michael J. Courts  
Acting Director  
International Affairs and Trade

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<sup>16</sup>Open World finalized its new performance plan after we completed our audit work. We therefore did not assess the new performance plan.

Enclosure I

### Comments from the Open World Leadership Center



September 13, 2012

Dear Mr. Courts,

It is my honor to provide the Open World Leadership Center's comments on the draft of the Government Accountability Office (GAO) report entitled "Status of Open World Exchange Program's Efforts to Strengthen Financial Management and Performance Measurement."

The report acknowledges the scope and reach of the Open World exchange program, citing the nearly 18,000 participants from 12 countries hosted since 1999 by 800 local host organizations in 2,000 communities in all 50 states and the District of Columbia.

We appreciate the careful and professional review by GAO staff of our financial management and internal controls and performance measurements. The draft report provides guidance on constructive enhancements to our current controls, and some useful suggestions on linking several of our strategic plan objectives to more precise performance measures, which have now been implemented.

As stated in the report, the Center has received six consecutive clean audit opinions with no material weaknesses or significant deficiencies in internal controls, and no instances of noncompliance with laws and regulations, a record that compares very well with other Federal agencies.

The Center's financial management controls, high quality hosting programs, and cost reduction efforts make Open World a model program in its field. We believe that the enhancements we will undertake as result of the GAO observations will strengthen our already considerable financial oversight of Open World grants.

As the report notes, our performance measures are clear, requiring numbers, percentages, or amounts; and reflect whether the Center is achieving the goals set by the Board of Trustees. Numerical measurements, though useful, have limits in an assessment of exchange programs like Open World where ultimate success lies in the long term changes made by our young leader delegates and requires continued communication and feedback. For example, an alumnus now leads the grass roots movement for more accountability by Russian leadership, a movement that has drawn hundreds of thousands into the streets of major cities in the Russian Federation. A Kyrgyz delegate wrote us that he used his experience in a 2007 Open World program to fashion the provision in their new Constitution structuring the judiciary. There are many other examples of activities that are good indicators of our effectiveness but do not show in our aggregate measurements. In short, both mechanisms, performance measurement and tracking

Open World Leadership Center

Enclosure I

annual successes, are a necessary part of the feedback we need to monitor effectiveness and adjust our program. We do both.

I look forward to sharing this report with our Board of Trustees and to updating GAO on further efforts to refine our financial management and assessment tools. Once again, our thanks to the GAO team for its work with us.

Sincerely,



John O'Keefe  
Executive Director

Enclosure II

**GAO Contacts and Staff Acknowledgments**

**GAO Contacts**

Michael J. Courts, (202) 512-8980

Beryl H. Davis, (202) 512-2623

**Staff Acknowledgments**

In addition to the persons named above, Jeffrey Baldwin-Bott, Elizabeth Curda, Martin De Alteris, Karen Deans, Cole Haase, David Hancock, James Healy, Joy Labez, Grace Lui, and Elizabeth Martinez made key contributions to this report.

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**National Grantees/Local Host Organizations/Host Judges by State****ALABAMA****Local Host Organizations**

American Foreign Policy Council – Birmingham  
 American Foreign Policy Council – Huntsville  
 Birmingham International Center  
 Birmingham Sister Cities Commission – Ukraine Committee  
 Birmingham Southern College  
 Friendship Force – Birmingham  
 Friendship Force – Huntsville  
 Friendship Force – Montgomery  
 International Services Council of Alabama  
 Rotary Club – Montgomery  
 United Methodist Church – Denton Road  
 U.S. District Court for the District of Alabama  
 University of Alabama Huntsville, Office of International  
 Programs and Services

**Federal, District, and State Host Judges**

Karon O. Bowdre, *District Judge*  
 Mark E. Fuller, *District Judge*  
 Myron H. Thompson, *Magistrate Judge*  
 Susan Walker, *Magistrate Judge*

**ALASKA****National Grantee**

Alaska State Legislature

**Local Host Organizations**

Alaska/Khabarovsk Rule of Law Partnership  
 Anchorage International Rotary Club  
 Anchorage Sister Cities Commission  
 City of Homer  
 Pacific Environment  
 Prince William Sound Regional Citizens Advisory Council  
 Rotary Club – Anchorage International  
 Rotary Club - Homer Kachemak Bay  
 Rotary Club – Juneau  
 Rotary Club – Kendallville  
 United Methodist Church – Fairbanks  
 U.S. District Court for the District of Alaska

**Federal, District, and State Host Judges**

Harry Branson, *Magistrate Judge*

## ARIZONA

**Local Host Organizations**

American Association of University Women, East Mesa Branch  
 Arizona Supreme Court  
 Corporate Education Consulting, Inc  
 Flagstaff Sister Cities Organization  
 Friendship Force of Central Arizona  
 Friendship Force - Tucson  
 International Training and Consulting, Inc  
 People for World Change  
 People to People International, Greater Phoenix Chapter  
 Pima Community College  
 Rotary Club – Fountain Hills  
 Rotary Club – Kingman Route 66  
 Rotary Club – Phoenix  
 Rotary Club – Sun City West  
 Rotary Club – Tucson  
 Rotary Club – Yuma  
 Rotary District 5510  
 Tucson-Almaty Sister Cities Committee  
 United Methodist Church – Kingman  
 United Methodist Church – Lake Havasu  
 United Methodist Church – Phoenix  
 U.S. Bankruptcy Court for the District of Arizona  
 U.S. District Court for the District of Arizona

**Federal, District, and State Host Judges**

Eileen Hollowell, *Bankruptcy Judge*  
 John Roll, *District Judge*

## ARKANSAS

### Local Host Organizations

American Association of University Women, North Little Rock  
 Chapter  
 Arkansas Council for International Visitors  
 Arkansas River Valley Regional Library  
 Arkansas State University Mountain Home  
 Garland County Community College  
 League of Women Voters - Washington County  
 Rotary Club - Bentonville  
 Rotary Club - Bella Vista Noon  
 Rotary Club - Little Rock  
 Sebastian County Bar Association  
 The Jonesboro Sun  
 United Methodist Church - Conway  
 United Methodist Church - DeWitt  
 United Methodist Church - Fort Smith  
 United Methodist Church - Little Rock  
 United Methodist Church - Mena  
 United Methodist Church - Searcy  
 University of Arkansas School of Law

### Federal, District, and State Host Judges

Robert T. Dawson, *Bankruptcy Judge*  
 Richard D. Taylor, *Bankruptcy Judge*  
 Susan Webber Wright, *District Judge*

**CALIFORNIA****National Grantees**

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

**Local Host Organizations**

49'er Breakfast Rotary Club - Nevada City  
 Alusha-Santa Cruz Sister County Support  
 American-Azeri Council  
 American Foreign Policy Council – Fresno  
 American Foreign Policy Council – Huntington Beach  
 Brubeck Institute at the University of the Pacific  
 Center for Safe Energy  
 Citizen Diplomacy Council - San Diego  
 City of Livermore  
 City of Santa Cruz Sister Cities Committee  
 Congress of Russian Americans, Stanford University  
 County of Santa Clara/Moscow Sister County Commission  
 Earth Island Institute: Baikal Watch  
 Episcopal Church – Berkeley  
 Estate Financial, Inc  
 Friendship Force – Kern County  
 Friendship Force – Sacramento  
 Hartnell College Foundation  
 Independent Television Services  
 International Visitors Council – San Diego  
 International Visitors Council – Los Angeles  
 Kidsave International  
 League of Women Voters – Claremont  
 League of Women Voters – Los Angeles  
 League of Women Voters – Piedmont  
 League of Women Voters – San Luis Obispo  
 Long Beach/Sochi Sister City Association  
 Los Angeles-Saint Petersburg Sister City Committee  
 Modesto Sister Cities International  
 National Council of International Visitors – Santa Ana  
 National Peace Foundation Escondido Chapter  
 New Bridge Management  
 Northern California World Trade Center  
 Oakland/Nakhodka Sister City Association  
 Pacific Environment  
 Peace Links – Berkeley

Peace Links – San Francisco  
 People to People International – Greater Los Angeles Chapter  
 Rotary Club – Cloverdale  
 Rotary Club – Dominguez-Carson  
 Rotary Club – Del Amo  
 Rotary Club – East Fresno  
 Rotary Club – Hollywood  
 Rotary Club – La Verne  
 Rotary Club – Lamorinda Sunrise  
 Rotary Club – Livermore  
 Rotary Club – Los Altos  
 Rotary Club – Los Angeles - Wilshire  
 Rotary Club – Manhattan Beach  
 Rotary Club – Merced Sunrise  
 Rotary Club – Mid San Fernando Valley  
 Rotary Club – Nevada City  
 Rotary Club – Oakland  
 Rotary Club – Palm Springs  
 Rotary Club – Palos Verdos  
 Rotary Club – Pasadena  
 Rotary Club – Paso Robles  
 Rotary Club – Rancho Cucamonga  
 Rotary Club – Rancho San Diego/Spring Valley  
 Rotary Club – Redlands  
 Rotary Club – San Pedro  
 Rotary Club – Santa Barbara  
 Rotary Club – Santa Cruz  
 Rotary Club – Stockton East  
 Rotary Club – Temecula  
 Rotary Club – the High Desert  
 Rotary Club – Turlock  
 Rotary Club – Walnut Creek  
 Rotary Club – Westlake Village  
 Rotary District 5320  
 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  
 United Methodist Church – La Mesa  
 United Methodist Church – Los Angeles  
 United Methodist Church – Ontario  
 United Methodist Church – Sanger  
 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

**Federal, District, and State Host Judges**

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*  
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Dickran Tevrizian, *District Judge*

**COLORADO****National Grantees**

International Institute of Education/Rocky Mountain Center

**Local Host Organizations**

Boulder-Dushanbe Sister Cities  
 Colorado Springs Sister Cities International  
 CROSSwalk People Helpers  
 Fremont County and Valdai Sister City Association  
 Friendship Force – Greater Denver  
 Friendship Force – Northern Colorado  
 League of Women Voters – Boulder County  
 Research Management Consultants, Inc.  
 Rotary Club – Aspen  
 Rotary Club – Centennial  
 Rotary Club – Denver  
 Rotary Club – the Denver Tech Center  
 Rotary Club – Evergreen  
 Rotary Club – Ft. Collins  
 Rotary Club – Golden  
 Rotary Club – Longmont  
 Rotary Club – Parker  
 Rotary Club – Smoky Hill  
 Rotary Club – Vail  
 Rotary Club – Westminster 7:10  
 Telluride Film Festival  
 United Methodist Church – Towner  
 U.S. Bankruptcy Court for the Northern District of Colorado  
 U.S. Court of Appeals for the Tenth Circuit  
 WorldDenver

**Federal, District, and State Host Judges**

Sidney B. Brooks, *Bankruptcy Judge*  
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 Timothy M. Tymkovich, *Circuit Judge*

**CONNECTICUT****Local Host Organizations**

Connecticut-Pskov Rule of Law Partnership Committee  
 Friendship Force – Connecticut  
 International Visitors Committee of Connecticut  
 League of Women Voters – Canton  
 National Council for International Visitors – Westport  
 Rotary Club – Colchester  
 Rotary Club – New Haven  
 Southern Connecticut Friendship Force  
 State of Connecticut Judicial Branch Court Support Services  
 Division  
 University of Connecticut Global Training and Development  
 Institute  
 University of New Haven  
 Yale School of Drama

**Federal, District, and State Host Judges**

Peter Dorsey, *District Judge*  
 John Walker, *Circuit Judge*

**DELAWARE****Local Host Organizations**

Delaware Justice of the Peace Courts  
 National Council for International Visitors – Wilmington  
 United Methodist Church – Milford  
 University of Delaware Library  
 Vital Voices Global Partnership

**Federal, District, and State Host Judges**

Sue Robinson, *District Judge*

**DISTRICT OF COLUMBIA****National Grantees**

American Foreign Policy Council  
 American International Health Alliance  
 American University – Women and Politics Institute  
 Center for Democracy  
 Coalition for Intellectual Property Rights  
 FHI 360 (formerly Academy of Educational Development)  
 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  
 U.S.-Ukraine Foundation  
 Vital Voices Global Partnership

**Local Host Organizations**

American University  
 Center for Democracy  
 Center for Law and Social Policy  
 Chemonics, Inc  
 George Washington University, Community Legal Clinics  
 Global Arts Network  
 Hillwood Estate Museum and Gardens  
 Historic Preservation Office, District of Columbia Office of  
 Planning  
 International Republican Institute  
 ISAR: Resources for Environmental Activists  
 League of Women Voters of the United States  
 Library of Congress Preservation Directorate  
 National Council for International Visitors  
 National Council for the Traditional Arts  
 National Democratic Institute for International Affairs  
 National Peace Foundation – Urban Schools Program  
 Rotary Club – Washington, DC  
 Valbin's Center for International Programs  
 Vital Voices Global Partnership  
 Wider Opportunities for Women  
 Women in Politics Institute, American University

**FLORIDA****National Grantees**

GlobalJAX (formerly International Visitor Center of Jacksonville)  
Stetson University School of Law

**Local Host Organizations**

American Association of University Women – Sarasota  
American Foreign Policy Council – Melbourne  
American Foreign Policy Council – Sarasota  
Eckerd College  
Eleventh Judicial Circuit of Florida  
Enter-Met Thermochemical Engineers, Inc.  
Florida Suncoast Friendship Force Club  
Friendship Force – Greater Orlando  
Friendship Force – Sarasota  
GlobalJAX (formerly Jacksonville International Visitor Center)  
Gulf Coast Citizen Diplomacy Council  
International Council – Central Florida, Inc  
International Resource Center – Jacksonville  
Jacksonville Sister Cities Association  
Lakeland Sister Cities International, Inc.  
League of Women Voters – Broward County  
Manatee County Sheriff's Office  
Miami Council for International Visitors  
Miami Dade College  
Rotary Club – Brandon South  
Rotary Club – Cantonment  
Rotary Club – Coral Springs  
Rotary Club – John Knox Vlg  
Rotary Club – Largo  
Rotary Club – Panama City  
Rotary Club – Pensacola  
Rotary Club – Sarasota  
Rotary Club – Seminole County South  
Rotary Club – Tallahassee  
Rotary Club – Tampa/Tampa Armature Works  
Rotary Club – Weston, FL  
Rotary District 6970  
Sister City Program – Gainesville, Inc  
St. Petersburg College  
Stetson University College of Law  
Tallahassee Community College  
Tallahassee-Krasnodar Sister City Program  
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

United Methodist Church – Fort Walton Beach  
United Methodist Church – Fruitland  
United Methodist Church – Jacksonville  
United Methodist Church – Lighthouse Point  
United Methodist Church – Orlando  
United Methodist Church – Palm City  
United Methodist Church – Pensacola  
United Methodist Church – Sarasota  
United Methodist Church – Titusville  
University of Miami School of Law  
University of South Florida Health Science Center

**Federal, District, and State Host Judges**

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****National Grantees**

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

**Local Host Organizations**

Addiction Recovery Institute  
 Alston and Bird One Atlantic Center  
 Atlanta-Tbilisi Sister City Committee  
 Blue Ridge Environmental Defense League  
 Citizen Diplomat Corps  
 Columbus-Zugdidi Sister Cities  
 Community Service Board – Dekalb  
 Emory University School of Law  
 Episcopal Church – Columbus  
 Friendship Force – Decatur  
 Friendship Force – Greater Atlanta  
 Friendship Force – Hartwell  
 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  
 Northminster Presbyterian Church  
 Office of International Affairs, Emory University  
 Peace Links – Cleveland  
 Rotary Club – Atlanta  
 Rotary Club – Duluth  
 Rotary Club – Gwinnett County  
 Rotary District 6920  
 Toccoa/Stephens County Chamber of Commerce  
 United Methodist Church – August  
 United Methodist Church – Saint Simons Island  
 World Health Organization Collaborating Center in Reproductive  
 Health, Emory University School of Medicine

**Federal, District, and State Host Judges**

William Duffey, *District Judge*  
 Owen Forrester, *District Judge*

**HAWAII**

**Local Host Organizations**

International Peace and Friendship  
Kapi'olani Community College  
National Peace Foundation – Honolulu  
Rotary Club – Honolulu  
U.S. District Court for the District of Hawaii

**Federal, District, and State Host Judges**

David Ezra, *District Judge*

**IDAHO**

**National Grantee**

Lionel Hampton Center at the University of Idaho

**Local Host Organizations**

Boise State University, International Programs  
Idaho Council for International Visitors  
International Jazz Collections  
Lionel Hampton International Jazz Festival, University of Idaho  
Rotary Club – Boise  
Rotary Club – Idaho Falls

**Federal, District, and State Host Judges**

Lynn B. Winwell, *District Judge*

**ILLINOIS****National Grantees**

Columbia College Chicago  
 Rotary International  
 Vladimir/Canterbury Sister City Association

**Local Host Organizations**

American Association of University Women - Carbondale  
 Chicago Jazz Ensemble, Columbia College  
 Chicago Sister Cities International Program  
 CHP International  
 Citizen Bridges International  
 College of Du Page  
 Columbia College Chicago  
 Council of International Programs – Chicago  
 Episcopal Church – Peoria  
 Friendship Force – Northern Illinois  
 Geneseo International Thanksgiving Fellowship Program  
 Heartland International  
 International Cultural Educational Association  
 International Republican Institute – Glenview  
 International Visitors Center – Chicago  
 League of Women Voters – Lake Forest  
 League of Women Voters – McLean County  
 League of Women Voters – Oak Park  
 Lithuanian American Community, Inc  
 Otto and Associates  
 Rock River Valley International Fellowship Committee  
 Rotary Club – Carbondale  
 Rotary Club – Chicago  
 Rotary Club – Springfield  
 Rotary District 6450  
 Rotary District 6640  
 Russian, East European, and Eurasian Center, University of Illinois  
 at Urbana-Champaign  
 Springfield Commission on International Visitors  
 Springfield Convention and Visitors Bureau  
 Supporters of Civil Society in Russia, Inc  
 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  
 United Methodist Church – Bolingbrook  
 United Methodist Church – Lewistown  
 United Methodist Church – Orion  
 United Methodist Church – Quincy  
 United Methodist Church – Wheaton

Vladimir/Canterbury Sister City Association – Bloomington-  
Normal  
WorldChicago

**Federal, District, and State Host Judges**

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****National Grantee**  
Resource Foundation**Local Host Organizations**

American Foreign Policy Council – Fort Wayne  
 Beyond Borders Global Connections  
 Elkhart Sister Cities Association  
 Indiana Government Center South  
 Indiana Judicial Center  
 Indiana Supreme Court  
 Indiana University School of Public and Environmental Affairs  
 International Center – Indianapolis  
 Marion County Law Library  
 National Peace Foundation - Indianapolis  
 Office of the Indiana Attorney General  
 Peace Links – Elkhart  
 Resource Foundation, Inc  
 Rotary Club – Bedford - District 6580  
 Rotary Club – Bloomington  
 Rotary Club – Carmel  
 Rotary Club – Columbus  
 Rotary Club – Indianapolis  
 Rotary Club – Jeffersonville  
 Rotary Club – Kendallville  
 Rotary Club – Lafayette  
 Rotary Club – Muncie Sunrise  
 Rotary Club – Terra Haute  
 Rotary Club – Vincennes  
 Sigma Theta Tau International Nursing Honor Society  
 Sister Cities of Richmond  
 United Methodist Church – Akron  
 United Methodist Church – Bloomington  
 United Methodist Church – Indianapolis  
 United Methodist Church – South Bend  
 U.S. Court of Appeals for the Seventh Circuit

**Federal, District, and State Host Judges**

Michael Kanne, *District Judge*

**IOWA****National Grantees**

Iowa Sister States  
 United States District for the Southern District of Iowa  
 University of Iowa International Writing Program

**Local Host Organizations**

Community Sister City Organization (Osage)  
 Council Bluffs Tobolsk Sister City Association  
 Council for International Visitors to Iowa Cities  
 Creating Great Places  
 Friendship Force – Central Iowa  
 Friendship Force – Cedar Rapids/Iowa City  
 Friendship Force – Greater Des Moines  
 Friendship Force – Quad Cities  
 Genesis Medical Center  
 Grinnell Renaissance  
 International Training, Education and Business Services and  
 Associates, LLC  
 International Writing Program at the University of Iowa  
 Iowa Central Community College  
 Iowa Council for International Understanding  
 Iowa Sister States  
 ITEBS & Associates LLC  
 League of Women Voters – Ames  
 Marshalltown Medical and Surgical Center  
 Marshalltown Sister Cities  
 Mary Greeley Medical Center  
 Mercy Medical Center  
 Mt. Pleasant Public Library  
 Muscatine Sister Cities, Inc.  
 Myrtue Memorial Hospital  
 National Peace Foundation – Cedar Rapids  
 OPEN (Organization Promoting Everlasting Neighbors)  
 People to People International, Oscaloosa Chapter  
 Rotary Club – Des Moines  
 Rotary Club – Iowa City  
 Siouxland Community Health Center  
 Skiff Medical Center  
 Southeastern Community College  
 St. Luke's Hospital  
 U.S. District Court for the Southern District of Iowa  
 United Methodist Church – Buckingham  
 United Methodist Church – Davenport  
 United Methodist Church – Des Moines  
 United Methodist Church – Harlan  
 United Methodist Church – Shenandoah

United Methodist Church – Van Horne  
 United Methodist Church – Waukee  
 Van Buren County Hospital

**Federal, District, and State Host Judges**  
 Robert Pratt, *District Judge*

## KANSAS

### Local Host Organizations

Center for Russian, East European and Eurasian Studies at the  
 University of Kansas

Dodge City Public Library  
 Emporia State University  
 Friendship Force of Kansas  
 Honors Leadership Academy, Neosho County Community College  
 International Visitors Council – Greater Kansas City  
 Johnson County Library  
 League of Women Voters – Wichita Metro  
 People to People International – Greater Kansas City  
 Rotary Club – Abilene  
 Rotary Club – Andover  
 Rotary Club – El Dorado  
 Rotary Club – Hays  
 Rotary Club – Larned  
 Rotary Club – Leawood  
 Rotary Club – Shawnee  
 Rotary Club – Topeka  
 Rotary Club – West Wichita  
 Rotary Club – Winfield  
 United Methodist Church – Beloit  
 United Methodist Church – Manhattan  
 United Methodist Church – Pratt  
 United Methodist Church – Sawyer  
 United Methodist Church – Stockton  
 United Methodist Church – Topeka  
 United Methodist Church – Washington  
 U.S. District Court for the District of Kansas

**Federal, District, and State Host Judges**  
 Monti L. Belot, *District Judge*  
 John Lungstrum, *District Judge*  
 John Thomas Marten, *District Judge*  
 Kathryn Vratil, *District Judge*

**KENTUCKY****National Grantees**

Louisville International Cultural Center  
 University of Louisville School of Music

**Local Host Organizations**

American Foreign Policy Council – Louisville  
 Bluegrass Community and Technical College  
 Episcopal Church – Richmond  
 Friendship Force – Western Kentucky  
 Kentucky Community and Technical College System  
 Kentucky World Trade Center  
 Louisville International Cultural Center  
 National Peace Foundation – Louisville  
 National Peace Foundation – Maysville  
 Rotary Club – Frankfort  
 Rotary Club – Franklin  
 Rotary Club – Hurstbourne Sunrise  
 Sister Cities of Louisville, Inc  
 University of Kentucky School of Public Health  
 University of Louisville School of Music  
 U.S. District Court for the Western District of Kentucky  
 World Affairs Council of Kentucky & Southern Indiana

**Federal, District, and State Host Judges**

James Moyar, *Magistrate Judge*  
 John Rogers, *Circuit Judge*  
 Thomas Russell, *District Judge*  
 Charles Simpson, *District Judge*

**LOUISIANA****Local Host Organizations**

American Foreign Policy Council – Metairie  
 Contemporary Arts Center – New Orleans  
 Council for International Visitors - Greater New Orleans  
 Louisiana State University, Department of History and Social  
 Sciences  
 National Peace Foundation – Baton Rouge  
 New Orleans Citizen Diplomacy Council  
 Rotary Club – Harahan  
 Rotary Club – Shreveport  
 Shreveport Bar Association  
 Supreme Court of Louisiana  
 Turkmenistan Youth and Civic Values Foundation  
 United Methodist Church – Lake Charles  
 United Methodist Church – Natchitoches  
 United Methodist Church – Shreveport  
 United Methodist Church – Slidell  
 U.S. District Court for the Middle District of Louisiana  
 U.S. District Court for the Western District of Louisiana

**Federal, District, and State Host Judges**

S. Maurice Hicks, *District Judge*  
 Roy Payne, *Magistrate Judge*  
 Donald Walter, *District Judge*

**MAINE****National Grantee**

Arkangelsk Committee of Greater Portland

**Local Host Organizations**

American Association of University Women – Caribou  
 American Foreign Policy Council – Portland  
 Center for Global Opportunities, Southern Maine Technical  
 College  
 Greater Portland Russian Sister City Project (Archangel  
 Committee)  
 Holocaust Human Rights Center of Maine  
 Kotlas-Waterville Area Sister City Connection  
 Maine Supreme Judicial Court  
 Maine/Arkhangelsk Rule of Law Partnership Committee  
 Rotary Club – 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  
 World Affairs Council of Maine

**Federal, District, and State Host Judges**

Margaret Kravchuck, *Magistrate Judge*

**MARYLAND****National Grantee**

Foundation for International Arts and Education

**Local Host Organizations**

American Association of University Women – Rockville  
 American Foreign Policy Council – Frederick  
 American Foreign Policy Council – Greenbelt  
 Baltimore-Odessa 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 – Baltimore County  
 League of Women Voters – Calvert  
 Maryland/IROLC Steering Committee  
 Maryland/Leningrad Oblast Rule of Law Partnership  
 Maryland Sister States Program  
 Montgomery County Sister Cities  
 National Council for the Traditional Arts  
 National Peace Foundation – Potomac  
 Rotary Club – Bethesda-Chevy Chase  
 Rotary Club – Frederick  
 Rotary Club – Parole  
 Rotary Club – Towsontowne  
 Rotary District 7620  
 Peace Links – Sandy Spring  
 Peace Links – Silver Spring  
 United Methodist Church – Bethesda  
 United Methodist Church – Friendship  
 United Methodist Church – Fulton  
 United Methodist Church – Rockville  
 U.S. District Court for the District of Maryland  
 Westminster Branch, Carroll County Public Library  
 World Trade Center Institute, International Visitors Program

**Federal, District, and State Host Judges**

Richard Bennett, *District Judge*  
 Andre David, *District Judge*

**MASSACHUSETTS****National Grantee**

University of Massachusetts-Amherst Institute of Global Health

**Local Host Organizations**

American Foreign Policy Council – Holyoke  
 Berkshire Community College  
 Bristol Community College  
 Cape Cod Community College  
 Cairdes Foundation  
 International Center of Worcester  
 Jacob's Pillow Dance  
 Kanfer Legal LLC  
 Massachusetts RAROLC Rule of Law Committee  
 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  
 Peace Links – Framingham  
 Peace Links – Medford  
 Rotary Club – Scituate  
 Rotary Club – 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  
 University of Massachusetts Amherst Institute for Global Health  
 WorldBoston

**Federal, District, and State Host Judges**

Frank Bailey, *Circuit Judge*  
 Marianne Bowler, *Magistrate Judge*  
 Joan Feeney, *Bankruptcy Judge*

## MICHIGAN

**Local Host Organizations**

American Association of University Women – Dearborn  
 American Foreign Policy Council – Detroit  
 American Foreign Policy Council – Grand Rapids  
 Andrews University  
 Colleagues International, Inc  
 Detroit Metropolitan Bar Association  
 Eastern Michigan University School of Social Work  
 Ellen Thompson Women’s Health Center  
 Friendship Force – Greater Lansing  
 Grand Rapids Public Schools  
 Hillsdale Community Library  
 Interlochen Center for the Arts, Education Department  
 International Sister Cities Flint  
 International Visitors Council – Metropolitan Detroit  
 Kalamazoo-Pushkin Partnership Committee  
 Lithuanian-American Community, Inc  
 National Democratic Institute for International Affairs  
 People to People International – Midland Chapter  
 Pittsfield Charter Township  
 Portage Lake District Library  
 Rotary Club – Downtown Grand Rapids  
 Rotary Club – Livingston Sunrise  
 Rotary Club – Kalamazoo Sunrise  
 Rotary Club – Lynchburg  
 Rotary District 6360  
 Sister Cities of Flint  
 Ukrainian National Women’s League of America Detroit  
 U.S. Attorney’s Office for the Eastern District of Michigan  
 U.S. District Court for the Eastern District of Michigan  
 United Methodist Church – Ewart  
 United Methodist Church – Grand Rapids  
 United Methodist Church – Gwinn  
 United Methodist Church – Houghton  
 United Methodist Church – Kalamazoo  
 United Methodist Church – Kentwood  
 United Methodist Church – Plymouth  
 United Methodist Church – Port Huron  
 University of Michigan  
 Washtenaw County Prosecutor’s Office

**Federal, District, and State Host Judges**

Virginia Morgan, *Magistrate Judge*  
 Gordon Quist, *District Judge*  
 Gerald Rosen, *District Judge*

**MINNESOTA****National Grantee**

Connect US-Russia

**Local Host Organizations**

AIHA – Duluth  
 AIHA – Minneapolis  
 American Foreign Policy Council – Rochester  
 Alliance for Democracy – Minnesota  
 City of Lino Lakes  
 Connect/US-Russia  
 Duluth/Petrozavodsk Committee, Duluth Sister Cities International  
 Friends of Houston Nature Center  
 Friendship Force – Minnesota/Twin Cities  
 Hedburg Public Library  
 International Visitors Center – Jackson  
 La Crosse Dubna Friendship Association  
 Lake Superior Medical Society  
 League of Women Voters – Duluth  
 League of Women Voters – Edina  
 League of Women Voters – Minneapolis  
 League of Women Voters – St. Paul  
 Martin County Library System  
 Minnesota AIDS Project  
 Minnesota Alliance of Peacemakers  
 Minnesota International Center  
 Minnesota State University  
 Minnesota State University – Moorhead  
 Minnesota Supreme Court  
 North Country Health Services  
 North Country Regional Hospital  
 Plymouth Church Global Connections Committee  
 Rainy River Community College  
 Rotary Club – Arden/Shoreview  
 Rotary Club – Hibbing  
 Rotary Club – North St. Paul – Maplewood – Oakdale  
 Rotary Club – White Bear Lake  
 Rural AIDS Action Network (RAAN)  
 United Methodist Church – Owatonna  
 U.S. Bankruptcy Court for the District of Minnesota  
 U.S. District Court for the District of Minnesota  
 Women in Business  
 World Services – Minneapolis

**Federal, District, and State Host Judges**

Michael Davis, *District Judge*  
 Nancy Dreher, *Bankruptcy Judge*  
 Jeanne Graham, *Magistrate Judge*  
 Jeffrey Keyes, *Magistrate Judge*  
 Gregory Kishel, *Bankruptcy Judge*  
 Paul A. Magnuson, *District Judge*  
 John Tunheim, *District Judge*

**MISSISSIPPI****National Grantees**

Mississippi Consortium for International Development  
 Mississippi State University  
 University of Mississippi/PEN

**Local Host Organizations**

American Foreign Policy Council – Tupelo  
 International Visitors Center – Jackson  
 Mississippi Consortium for International Development  
 Mississippi State University  
 National Peace Foundation – Oxford  
 Rotary Club – Hattiesburg  
 Rotary Club – Moss Point  
 Rotary Club – Tupelo  
 United Methodist Church – Greenwood  
 United Methodist Church – Jackson  
 University of Mississippi

**Federal, District, and State Host Judges**

Jerry David, *Magistrate Judge*

**MISSOURI****National Grantee**

Supporters of Civil Society in Russia, Inc

**Local Host Organizations**

All Species Project  
 City of Columbia, Public Communications Office  
 Friendship Force – Missouri-St. Louis  
 Greater St. Louis – Samara Sister City Committee  
 Harry S. Truman School of Public Policy Affairs  
 International Visitors Council – Greater Kansas City  
 League of Women Voters – Kansas City, Mo., Jackson, Clay, and  
 Platte Counties  
 League of Women Voters – Sedalia-Pettis County  
 League of Women Voters – Southwest Missouri  
 Lincoln University of Missouri  
 People to People International – Greater Kansas City Chapter  
 Rotary Club – Kansas City Plaza  
 Rotary Club – Lee’s Summit Sunrise  
 Rotary Club – Webster Groves  
 Rotary District 6060  
 St. Louis Sister Cities  
 Supporters of Civil Society in Russia, Inc  
 United Methodist Church – Carthage  
 United Methodist Church – Hillsboro  
 United Methodist Church – Lambert  
 United Methodist Church – Lee’s Summit  
 United Methodist Church – St. Louis  
 World Affairs Council – St. Louis

**Federal, District, and State Host Judges**

Catherine Perry, *District Judge*  
 Jerry Venters, *Bankruptcy Judge*

**MONTANA****Local Host Organizations**

Advisory Commission on International Relationships for City of  
Great Falls  
Friendship Force – Billings  
Friendship Force – Central Montana  
Friendship Force – Cheyenne  
Montana Center for International Visitors  
National Peace Foundation – Missoula  
Peace Links – Missoula  
Rotary Club – Bentonville and Bella Vista Noon

**Federal, District, and State Host Judges**

Robert Holter, *Magistrate Judge*  
Donald Molloy, *District Judge*

**NEBRASKA****Local Host Organizations**

American Foreign Policy Council – Lincoln  
Arts Industry Coordinator/Nebraska Arts Council  
Friendship Force – Eastern Nebraska  
Friendship Force – Greater Omaha  
Friendship Force – Lincoln  
Friendship Force – Omaha  
Friendship Force – Smithtown  
Grand Island Area Council for International Visitors  
Heartland Family Service  
Kiwanis Club – Omaha  
Omaha Sister Cities Association  
Rotary Club – Omaha  
United Methodist Church – Harvard  
U.S. District Court for the District of Nebraska  
University of Nebraska Medical Center College of Nursing

**Federal, District, and State Host Judges**

Joseph E. Bataillon, *District Judge*  
Laurie Smith Camp, *District Judge*  
Lyle E. Strom, *District Judge*

**NEVADA****National Grantee**

Jewish Community Council

**Local Host Organizations**

International Visitors Council – Northern Nevada

Rotary Club – Elko Desert

Rotary Club – Las Vegas

Rotary Club – Reno Central

Rotary Club – Tahoe-Douglas

Rotary District 5300

U.S. District Court for the District of Nevada

**Federal, District, and State Host Judges**

Lloyd D. George, *District Judge*

Howard McKibben, *District Judge*

**NEW HAMPSHIRE****Local Host Organizations**

Friendship Force – 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 – Bow

World Affairs Council – New Hampshire

## NEW JERSEY

### Local Host Organizations

American Foreign Policy Council – Cherry Hill  
 Camden County Library  
 City of New Brunswick  
 Cross Cultural International Institute  
 Friendship Force – Southern New Jersey  
 Global Education Center at Montclair State University  
 League of Women Voters – Montclair  
 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  
 United Methodist Church – Hackettstown  
 U.S. District Court for the District of New Jersey

### Federal, District, and State Host Judges

John Bissell, *District Judge*  
 Marie Renee Bumb, *District Judge*

## NEW MEXICO

### Local Host Organizations

Albuquerque/Ashgabat Sister Cities Committee  
 Albuquerque Council on International Visitors  
 Episcopal Church – Santa Fe  
 Los Alamos and Sarov Sister Cities Initiative  
 People to People International, New Mexico Chapter  
 Rotary Club – Las Cruces  
 Santa Fe Council on International Relations  
 SRIC Southwest Research and Information Center  
 Thomas Branigan Memorial Library  
 U.S. Bankruptcy Court for the District of New Mexico  
 U.S. District Court for the District of New Mexico  
 United Methodist Church – Los Alamos

### Federal, District, and State Host Judges

Carmen Garza, *Magistrate Judge*  
 Leslie C. Smith, *Magistrate Judge*  
 James S. Starzynski, *Bankruptcy Judge*

**NEW YORK****National Grantees**

Appeal of Conscience  
 CEC ArtsLink  
 Lincoln Center Theater Directors' Lab  
 Linkages of Rochester

**Local Host Organizations**

American Association of University Women – Greater Rochester Area  
 Albany Law School  
 Albany-Tula Alliance  
 American Foreign Policy Council – Albany  
 American Dance Festival  
 Brooklyn College Library  
 Buffalo-Niagara World Connect  
 Buffalo-Tyler Sister Cities, Inc  
 CDS International, Inc.  
 CEC ArtsLink  
 Cornell University  
 Criminal Court for the Seventh Judicial District  
 Doctors of the World-USA  
 Episcopal Church – East Aurora  
 Friendship Force – Long Island  
 Friendship Force – 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 – Oneonta Area  
 League of Women Voters – Rochester Metropolitan Area  
 League of Women Voters – 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  
 Nixon Peabody LLP  
 Peace Links – Interlaken  
 Public Relations Kingsborough Community College  
 Rochester International Council, Inc.  
 Rotary Club District 7120  
 Rotary Club District 7190

Rotary Club District 7230  
 Rotary Club – Fayetteville-Manlius  
 Rotary Club – Locust Valley  
 Rotary Club – Riverdale  
 Rotary Club – Shenendehowa  
 Saratoga Springs Public Library  
 Saratoga Springs/Chekhov Sister City International, Inc  
 State University of New York Plattsburgh  
 Thelonious Monk Institute of Jazz  
 Town of Johnsbury Library  
 United Methodist Church – Bellport  
 United Methodist Church – Davenport  
 United Methodist Church – Rochester  
 United Methodist Church – Wassaic  
 United Methodist Church – Willsboro  
 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  
 Yeshiva University School of Law  
 Western New York/Novgorod Rule of Law Partnership Committee

**Federal, District, and State Host Judges**

Jonathan 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****National Grantees**

Dewitt Wallace Center for Media and Democracy at Duke  
University  
International Affairs Council of North Carolina  
University of North Carolina/PEN

**Local Host Organizations**

Addiction Recovery Institute  
American Dance Festival  
American Foreign Policy Council – Asheville  
Asheville Sister Cities, Inc  
Blue Ridge Environmental Defense League  
The Brown Angel Center  
Charlotte Sister Cities  
Charlotte Council for International Visitors  
DeWitt Wallace Center for Communications and Journalism –  
Duke University  
Durham-Kostroma Sister Cities Association  
Friendship Force – Central North Carolina  
Friendship Force – Charlotte  
Friendship Force – Raleigh  
Friendship Force – Western North Carolina  
GlobalHouse  
Health Equity Inc  
Institute for Global Collaboration, Forsyth Technical Community  
College  
International Affairs Council of North Carolina  
International House of Charlotte (formerly Metrolina)  
League of Women Voters – Charlotte-Mecklenberg  
National Peace Foundation – Asheville  
People for World Change  
Research Triangle International Visitors Council  
Rotary Club – Charlotte East  
Rotary Club – Franklin  
Rotary Club – Greensboro  
Rotary Club – Marion  
Rotary Club – Statesville  
Rotary District 7670  
SCIAN-Institute for Scientific Policy Analysis  
Sister Cities of Durham  
United Methodist Church – Clayton  
United Methodist Church – Greensboro  
United Methodist Church – Lexington  
United Methodist Church – Rutherfordton  
United Methodist Church – Wilkesboro  
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

**Federal, District, and State Host Judges**  
Allyson Kay Duncan, *Circuit Judge*

#### **NORTH DAKOTA**

**Local Host Organizations**  
Minot Area Council for International Visitors  
North Dakota State College of Science  
Peace Lutheran and Our Savior's Lutheran Churches

**Federal, District, and State Host Judges**  
Myron Bright, *Circuit Judge*  
Karen Klein, *Magistrate Judge*

**OHIO****National Grantee**

Council of International Programs USA (CIP/USA)  
 Margaret Mead Film and Video Festival  
 Future of Russia Foundation

**Local Host Organizations**

Akron International Friendship  
 American Foreign Policy Council – Cleveland  
 American Foreign Policy Council – Columbus  
 American Foreign Policy Council – Lakewood  
 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 – Dayton  
 Friendship Force – Greater Cincinnati  
 Great Lakes Consortium for International Training and  
 Development  
 Global Cincinnati  
 Greater Cincinnati World Affairs Council  
 International Visitors Council – Columbus  
 International Visitors Council – Greater Cincinnati  
 League of Women Voters – Clermont County  
 League of Women Voters – Columbus  
 League of Women Voters – the Greater Dayton Area  
 Ohio Employee Ownership Center  
 Rotary Club – Dublin-Worthington  
 Rotary Club – Boardman  
 Rotary Club – Cincinnati  
 Rotary District 6600  
 Sister Cities Committee, Toledo Sister Cities International  
 Supreme Court of Ohio  
 United Methodist Church – Chesterhill  
 United Methodist Church – Cincinnati  
 United Methodist Church – Lisbon  
 United Methodist Church – Wapakoneta  
 U.S. District Court for the Northern District of Ohio  
 U.S. District Court for the Southern District of Ohio

**Federal, District, and State Host Judges**

Christopher Boyko, *District Judge*  
 Paul Matia, *District Judge*  
 Edmund A. Sargus, *District Judge*  
 Jack Zouhary, *District Judge*

**OKLAHOMA****Local Host Organizations**

American Association of University Women – Tahlequah  
 City of Enid  
 Friendship Force – Oklahoma  
 Habitat for Humanity, Tahlequah  
 International Visitors Committee  
 League of Women Voters – Bartlesville  
 National Peace Foundation – Oklahoma City  
 Oklahoma Supreme Court  
 Redlands Community College  
 Rotary Club – Guymon  
 Rotary Club – Oklahoma City  
 Rotary Club – Tahlequah  
 Rotary District 6110  
 Southeastern Public Library System of Oklahoma  
 Tulsa Global Alliance  
 United Methodist Church – Oklahoma City  
 U.S. Environmental Protection Agency Office of Environmental  
 Justice and Tribal Affairs  
 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

**Federal, District, and State Host Judges**

Stephen Friot, *District Judge*  
 Robert Henry, former *District Judge*  
 Vicki Miles-LaGrange, *District Judge*  
 Ronald White, *District Judge*

**OREGON****Local Host Organizations**

American Association of University Women – Beaverton Branch  
 Blooming Hill Vineyard  
 Corvallis Sister Cities Association  
 Eugene-Irkutsk Sister City Committee  
 Grants Pass Sister City Committee  
 League of Women Voters – Lane County  
 League of Women Voters – Portland  
 League of Women Voters – Marion-Polk Counties  
 Oregon Justice Resource Center  
 Oregon Law Commission  
 Oregon/Sakhalin Rule of Law Partnership Committee

Roseburg Area Zonta Club  
Rotary Club – Beaverton  
Rotary Club – Eugene Emerald  
Rotary Club – Kendallville  
Rotary Club – Lewis River  
Rotary Club – Wallowa County  
Tigard Breakfast Rotary Club  
Umpqua Community College  
U.S. Court of Appeals for the Ninth Circuit  
U.S. District Court for the District of Oregon  
World Affairs Council – Oregon

**Federal, District, and State Host Judges**

Michael R. Hogan, *District Judge*  
Diarmuid F. O’Scainnlain, *Circuit Judge*

**PENNSYLVANIA****National Grantees**

Keystone Human Services International  
 Magee Womencare International  
 Russian Ministry Network of the Episcopal Church  
 West Chester University Poetry Center

**Local Host Organizations**

Allegheny College  
 Alvernia College, Nursing Department (NRC 010)  
 American Institute of Finance and Technology  
 American Foreign Policy Council – Lancaster  
 American Foreign Policy Council – Paoli  
 American Foreign Policy Council – Philadelphia  
 American Foreign Policy Council – Pittsburgh  
 Department of Slavic Languages and Literatures at the University  
 of Pennsylvania  
 Friendship Force – Greater Harrisburg  
 GlobalPittsburgh (Pittsburgh Council for International Visitors)  
 Keystone Human Services International  
 MaGee Womancare International  
 Media Sunrisers Rotary Club  
 Mid-Atlantic Russia Business Council  
 Northampton Community College  
 Overseas Strategic Consulting, Ltd  
 Pacific Environment  
 Peace Links – Harrisburg  
 Pennsylvania College of Technology  
 Pennsylvania Commission on Crime and Delinquency  
 Pennsylvania State University College of Agricultural Sciences,  
 International Programs  
 Rotary Club – Altoona  
 Rotary Club – Blue Bell  
 Rotary Club – Emmaus  
 Rotary Club – Greenville  
 Rotary Club – Meadville  
 State College Rotary Evening Club  
 Ukrainian Cultural and Humanitarian Institute  
 Ukrainian Federation of America  
 U.S. Attorney's Office for the Eastern District of Pennsylvania  
 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 – Harrisburg  
 World Affairs Council – Greater Reading

**Federal, District, and State Host Judges**

Harvey Bartle, III, *District Judge*  
 Richard Fehling, *Bankruptcy Judge*  
 D. Brooks Smith, *Circuit Judge*

**RHODE ISLAND**

**Local Host Organizations**

Brown University Library  
 Cape Cod and the Islands and Rhode Island Rotary Club  
 Roger Williams University, Justice System Training & Research  
 Institute, School of Justice Studies  
 Rotary Club – Newport  
 Rotary International District 7950  
 U.S. District Court for the District of Rhode Island  
 World Affairs Council – Rhode Island

**Federal, District, and State Host Judges**

Ernest Torres, *District Judge*

**SOUTH CAROLINA**

**Local Host Organizations**

American Association of University Women – Aiken Branch  
 Clemson University  
 League of Women Voters – Bluffton Area  
 National District Attorneys Association  
 National Peace Foundation – Columbia  
 Richland School District Two  
 Rotary Club – Columbia  
 Rotary Club – Hilton Head Island  
 Rotary Club – East Spartanburg  
 United Methodist Church – Spartanburg  
 Walker Institute for International and Area Studies, University of  
 South Carolina

**SOUTH DAKOTA****Local Host Organizations**

Dacotah Territory International Visitor Program  
 Sioux Falls Downtown Rotary  
 Sioux Falls Promise, Greater Sioux Falls Alliance for Youth  
 South Dakota World Affairs Council  
 U.S. District Court for the District of South Dakota

**Federal, District, and State Host Judges**

Charles B. Kommann, *District Judge*  
 Karen Schreier, *District Judge*

**TENNESSEE****National Grantees**

Nashville Healthcare Council  
 Oak Ridge Sister City Support Organization

**Local Host Organizations**

Blount County Sister City Organization  
 Chattanooga-Nizhni Tagil Sister City Committee- Department of  
 Public Works  
 Friendship Force – Knoxville  
 Friendship Force – Memphis  
 Friendship Force – Southcentral Tennessee  
 Nashville Downtown Rotary  
 Nashville Health Care Council  
 National Peace Foundation – Johnson City  
 Oak Ridge National Laboratory  
 Oak Ridge Sister City Support Organization  
 Rotary Club – Memphis  
 Rotary District 6780  
 Sister City Association – Chattanooga  
 Southwest Tennessee Community College  
 Tullahoma Noon Rotary Club  
 United Methodist Church – Alcoa  
 United Methodist Church – Memphis  
 United Methodist Church – Springfield  
 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

**Federal, District, and State Host Judges**Jennie D. Latta, *Bankruptcy Judge*Jon Phipps McCalla, *District Judge*George Paine, *Bankruptcy Judge*Thomas A. Wiseman, Jr., *District Judge***TEXAS****National Grantees**

El Paso Chapter of the Federal Bar Association

United Methodist Church Russia Initiative Program

**Local Host Organizations**

Alamo Colleges

American Foreign Policy Council – Fort Worth

Baylor College of Medicine Chronic Disease Prevention and  
Control Research Center

Carter Blood Care

Center for Safe Energy – Austin

CMS Emergency

Dallas Committee for Foreign Visitors

El Paso Chapter of the Federal Bar Association

Episcopal Church – Houston

Episcopal Church – San Angelo

Fayette Memorial Hospital

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

Peace Links – Austin

Peace Links – Temple

Plano-Ivanovo Sister City Program

Redeemed Ministries

Richland College

Rotary Club – Burleson

Rotary Club – Friendswood

Rotary Club – Frisco Noon

Rotary Club – Grapevine

Rotary Club – Northwest Austin  
Rotary Club – San Antonio North Central  
Rotary District 4790  
Rotary District 5730  
Rotary District 5830  
Rotary District 5890  
San Antonio Council for International Visitors  
Texas A&M University, Sponsored Student Programs Office  
United Methodist Church – Russia Initiative  
United Methodist Church – Bonham  
United Methodist Church – Carrollton  
United Methodist Church – College Station  
United Methodist Church – Commerce  
United Methodist Church – Dallas  
United Methodist Church – Denton  
United Methodist Church – Eldorado  
United Methodist Church – Fort Worth  
United Methodist Church – Highland Village  
United Methodist Church – Houston  
United Methodist Church – Meridian  
United Methodist Church – Orange  
United Methodist Church – Saint Jo  
United Methodist Church – San Angelo  
United Methodist Church – San Antonio  
United Methodist Church – Terrell  
United Methodist Church – Tomball  
United Methodist Church – Uvalde  
University of Texas at Austin  
World Affairs Council – Dallas/Fort Worth  
YMCA International Services

**Federal, District, and State Host Judges**

Leif M. Clark, *Bankruptcy Judge*  
Frank Montalvo, *District Judge*

**UTAH****National Grantees**

International Hosting  
 Church of Jesus Christ of Latter-Day Saints

**Local Host Organizations**

Brigham Young University Center for Law and Religion Studies  
 Church of the Latter Day Saints – Salt Lake City  
 International Hosting  
 Izhevsk-Salt Lake City Partnership  
 Dawson Institute for Church-State Studies, Baylor University  
 Peace Links – Salt Lake City  
 Salt Lake Chamber of Commerce  
 Salt Lake City Community College  
 Sundance Institute  
 Tooele Sister Cities, Inc  
 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

**Federal, District, and State Host Judges**

Dee V. Benson, *District Judge*  
 Leif M. Clark, *Bankruptcy Judge*  
 David O. Nuffer, *Magistrate Judge*

**VERMONT****National Grantee**

International Rule of Law Consortium

**Local Host Organizations**

Ecologia

Lakenet

Russian American Rule of Law Consortium

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****National Grantees**

National Center for State Courts

National Council for Traditional Arts

Norfolk Sister City Association

Partners for Community Solutions

**Local Host Organizations**

American Association of University Women – Reston/Herndon  
Branch

American Foreign Policy Council – Alexandria

Arlington Sister City Association

Arlington Sister City – Ivano-Frankivsk Committee

Center for International Programs

Eastern Mennonite University Center for Justice and Peacebuilding

Fredericksburg Sister City Association, Inc

Friendship Force – Charlottesville

Friendship Force – National Capitol Area

League of Women Voters – South Hampton Roads

National Council for the Traditional Arts

National Peace Foundation – Fairfax

Norfolk Sister City Association, Inc.

Partners for Community Solutions

Peace Links – Roanoke

Peace Links – Williamsburg

Rotary Club – Alexandria and Mount Vernon

Rotary Club – Bailey's Crossroads

Rotary Club – Blacksburg

Rotary Club – Falls Church

Rotary Club – James City County

Rotary Club – Leesburg

Rotary Club – Lynchburg  
Rotary Club – Rappahannock  
Rotary Club – Richmond  
Rotary Club – Stafford  
Rotary Club – Vienna  
Terrorism, Transnational Crime and Corruption Center at George  
Mason University  
Town of Leesburg, Virginia  
United Methodist Church – Springfield  
United Methodist Church – Fulks Run  
Virginia Commonwealth University  
U.S. District Court for the Eastern District of Virginia  
World Music Folklife Center  
Zonta Club – Alexandria

**Federal, District, and State Host Judges**

Thomas Selby Ellis III, *District Judge*  
Henry Coke Morgan, Jr., *District Judge*  
Anthony J. Trenga, *District Judge*

**WASHINGTON****National Grantees**

Battelle Memorial Institute/Pacific Northwest National Laboratory  
World Affairs Council of Seattle

**Local Host Organizations**

Battelle- Pacific Northwest National Laboratory  
Blooming Hill Vineyard  
Clark College  
EarthCorps  
Episcopal Church – Pasco  
Foundation for Russian American Economic Cooperation  
Global Education Service  
Governor's Interagency Committee of State-Employed Women  
(ICSEW)  
League of Women Voters – Washington  
Lower Columbia College  
Nakhodka Sister City  
Nuclear Oversight Program, Government Accountability Project  
Rotary Club – Anacortes  
Rotary Club – Bremerton  
Rotary Club – Downtown Vancouver  
Rotary Club – Lewis River (Clark County)  
Rotary Club – Lynnwood  
Rotary Club – Sun City West  
Rotary Club – Tacoma #8  
Rotary Club – West Seattle  
Seattle-Tashkent Sister Cities Association  
Spokane Community College  
U.S. District Court for the Western District of Washington  
Whatcom Community College  
World Affairs Council – Seattle  
World Affairs Council/World Trade Center West

**Federal, District, and State Host Judges**

John C. Coughenour, *District Judge*

**WEST VIRGINIA****Local Host Organizations**

Center for International Understanding, Inc  
 Friendship Force – Charleston  
 Grapevine Rotary Club  
 Rotary Club – Cheat Lake  
 Rotary Club – Morgantown  
 Rotary Club – Morgantown North  
 Shepherd College, Robert C. Byrd Center for Legislative Studies  
 United Methodist Church – Fairmont  
 United Methodist Church – Summersville  
 U.S. District Court for the Southern District of West Virginia

**Federal, District, and State Host Judges**

David Faber, *District Judge*

**WISCONSIN****National Grantees**

Northcentral Technical College  
 World Services of La Crosse, Inc

**Local Host Organizations**

American Foreign Policy Council – LaCrosse  
 American Foreign Policy Council – Madison  
 Amigos de Milwaukee Rotary Club  
 Appleton Area School District, Volunteer Services  
 Bellin Health System (AIHA)  
 Center for International Education, St. Norbert College  
 Center for International Understanding, Inc.  
 Economic Development Corporation of Manitowoc County  
 Foundation  
 Fox Cities – Kurgan Sister Cities Program, Inc.  
 Fox Valley Technical College  
 Friends of Chernobyl Centers, U.S. (FOCCUS)  
 Friendship Force – Greater Milwaukee  
 Friendship Force – Madison  
 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 Dubna Friendship Association

League of Women Voters – Door County  
 League of Women Voters – La Crosse Area  
 League of Women Voters – Milwaukee County  
 Marquette University College of Nursing  
 Marshfield Rotary Noon Club  
 National Peace Foundation – Madison  
 New London Medical Center  
 Northcentral Technical College  
 Portage County Health and Human Services  
 Rotary Club – Beloit  
 Rotary Club – Hudson  
 Rotary Club – La Crosse  
 RUS Global Initiatives  
 Shawano Public Health (AIHA)  
 Sigurd Olson Environment Institute, Northland College  
 Stevens Point-Rostov Veliky Sister City Project  
 ThedaCare  
 United Methodist Church – Hudson  
 United Methodist Church – Neenah  
 University of Wisconsin Extension – Juneau County  
 University of Wisconsin at Marinette, Continuing Education and  
 International Students  
 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 – La Crosse, Inc

**Federal, District, and State Host Judges**

Charles N. Clevert, *District Judge*  
 Barbara Crabb, *District Judge*  
 Patricia Gorence, *Magistrate Judge*  
 Rudolph Randa, *District Judge*

**WYOMING**

**National Grantee**

Vista360°

**Local Host Organizations**

Brown, Drew & Massey, LLP  
 Rotary Club - Kemmerer  
 Vista 360°, Inc.  
 U.S. District Court for the District of Wyoming  
 Wyoming Global Leadership Exchange

**Federal, District, and State Host Judges**

William F. Downes, *District Judge*

## Open World in the News

### **Birmingham, ALABAMA**

#### **The Business Empowerment Series | Urbanham.com**

This particular delegation is sponsored by the U.S. Congressional Open World Program, which is one of the most effective U.S. exchange programs with the ...

### **Boulder, COLORADO**

#### **Dessert reception with Tajik delegation scheduled for Wednesday evening**

Daily Camera

The delegation members -- who are here as part of an Open World program -- will be at a dessert reception Wednesday evening at Alfalfa's community room, 1651 Broadway. Dessert and tea will be served from 7 to 8:30 pm. The delegation includes four ...

### **Parker, COLORADO**

#### **Eastern Siberian delegation coming to Parker**

#### **Our Colorado News**

Five leaders from the City of Ulan-Ude in Russia are participating in the Open World program will spend October 26 to November 3 in Parker to examine the governmental structures of the US, Colorado and the Town of Parker. The Rotary Club of Parker will...

### **Gainesville, FLORIDA**

#### **Ukrainian Officials Visit Santa Fe**

Santa Fe College

The officials are in Gainesville experiencing American democracy and the legal system in action through the [Congressional] "Open World" program. Managed by the independent Open World Leadership Center, Open World ...

### **Brookings, MINNESOTA**

#### **Russian leaders to visit Brookings next week**

Brookings Register

... Pipestone, Minn., June 22-30 to learn about accountable governance and environmental management during a U.S. Congress-backed, Open World Program.

### **Eagan, MINNESOTA**

#### **Open World Program - Eagan, MN Patch**

Professor Ivanidze was one of five delegates visiting Minnesota as part of the Open World program sponsored by Congress and hosted by Justice Paul Anderson of the Minnesota Supreme Court...

[eagan.patch.com/topics/Open+World+Program](http://eagan.patch.com/topics/Open+World+Program)

### **New Brunswick, NEW JERSEY**

#### **Chivukula Participates in Open World Program | ICEPN.com English**

(New Brunswick) On Friday, February 17, 2012, Assemblyman Upendra Chivukula (D-17) spoke with a group of Armenian delegates visiting the United States ...

[www.icepn.com/.../chivukula-participates-in-open-world-prog...](http://www.icepn.com/.../chivukula-participates-in-open-world-prog...)

**Cortlandt Manor, NEW YORK****Ukrainian Environmentalists Visit Cortlandt**

The Daily Peekskill

A group of six Ukrainian environmentalists from private and public organizations is touring Westchester as part of the Open World Leadership Center. a Eurasian exchange program initiated by [Congress]...

**Rochester, NEW YORK****Ukrainian Higher Education Specialists Visit Rochester****Rochester YNN**

It's part of the Congressional Open World Program. The delegation will meet with education innovators at local colleges and universities and also learn about our government's role in education. The delegates include specialists from the Ukraine...

**Raleigh, NORTH CAROLINA****Open World Leadership Program | IACNC Blog**

IAC hosted a delegation of parliamentary leaders from Uzbekistan in Raleigh in late April, led by Senator Sodik Solikhovich Safaev, a former ambassador to the...

[iacnc.org/blog/?tag=open-world-leadership-program](http://iacnc.org/blog/?tag=open-world-leadership-program)

**Minot, NORTH DAKOTA****Russian delegates visit Minot Five Russian leaders participating**

U. S. and Russian counterparts share experiences through Open World Program. Five Russian leaders participating in the Open World Program will spend June ...

[www.minotstateu.edu/news/000510.shtml](http://www.minotstateu.edu/news/000510.shtml)

**Akron, OHIO****Akronist - Akron/Ohio - Open World Program**

Six Serbian leaders participating in the Open World Program will spend Feb. 17 through 24 in Akron examining Civil Society organizations and human rights.

[akronist.com/tag/Open-World-Program.html](http://akronist.com/tag/Open-World-Program.html)

**Columbus, OHIO****Serbian delegates welcomed to Bristol Village****The Pike County Daily**

COLUMBUS — Six Serbian delegates participating in the Open World Program will spend November 10th-17th, 2012 in the Columbus area examining asset forfeiture and corruption in the United States, focusing specifically on the laws and procedures that ...

**Fremont, OHIO****Open World delegates visit Fremont | The News-Messenger ...**

Their visit was made possible by the Open World Leadership Center program, which is a non-partisan initiative of Congress designed to build mutual ...

[www.thenews-messenger.com/.../Open-World-delegates-visit-...](http://www.thenews-messenger.com/.../Open-World-delegates-visit-...)

**Rotary Club Radio welcomes 6 Russian delegates from the Open ...**

The Open World Leadership Center administers the Open World program, one of the most effective U.S. exchange programs for countries of the post-Soviet era.

[rotaryclubradio.com/.../rotary-club-radio-welcomes-6-russian-...](http://rotaryclubradio.com/.../rotary-club-radio-welcomes-6-russian-...)

**Portsmouth and Scioto, OHIO****Scioto law enforcement host Serbian delegates**

Portsmouth Daily Times

The U.S. Congress established Open World in 1999 and expanded the program in 2003 to all post-Soviet states. Thanks to Open World, some 14,000 current and future Eurasian leaders have experienced American civil society and have been exposed to...

**Enid, OKLAHOMA****Thumbs up to... Russian visitors**

Enid News & Eagle

Thumbs up to the city of Enid and the delegation of Russian municipal officials who recently visited our community. The Russians toured Enid as part of a national exchange program sponsored by [the Congressional] Open World [Leadership Center], through its affiliate Sister Cities program.

**Exchange program: Russian officials tour Enid****Enid News & Eagle**

A group of Russian municipal officials are touring Enid as part of a national exchange program sponsored by Open World, through its affiliate Sister Cities program. Among the things that impressed the Russians is all the space Americans have, and the...

**Spartanburg, SOUTH CAROLINA****Russian visitors take time out for football while visiting Spartanburg**

Spartanburg Herald Journal

Yury Samorodov, a Russian facilitator with the Open World Program, watches the game during a Super Bowl party held Sunday at Elizabeth Belenchia's home in Spartanburg. Samorodov said this is the first time he has watched the Super Bowl.

**Richmond, VIRGINIA****School hosts delegation from Ukraine » Mass Comm**

The visit was part of the Open World Leadership Program, which is operated by ... The Open World Program is the only citizen diplomacy program funded by the legislative branch of the U.S. government... [masscomm.vcu.edu/.../school-hosts-delegation-from-ukraine/](http://masscomm.vcu.edu/.../school-hosts-delegation-from-ukraine/)

**Washington, DC****Chief Justice Roberts and Sandra Day O'Connor meet with ...**

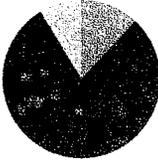
... judges from the Constitutional Court of Ukraine on an Open World Program... U.S. congressionally funded initiative... After welcoming the Ukrainian delegation, Chief Justice Roberts ...

# Open World by the Numbers



Over **19,000** Eurasian leaders have been hosted in the United States since 1999.

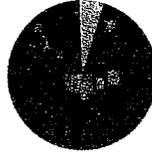
2012 OW Delegates



■ Central Asia  
 ■ Caucasus  
 ■ Russia  
 ■ Eastern Europe  
 ■ Serbia

Total OW Delegates

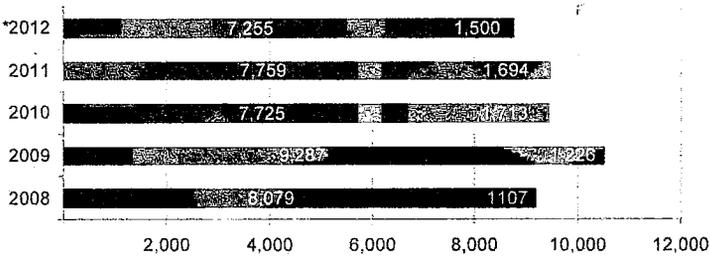
(1999-2012)



Over **83%** of delegates met with Members of Congress or their staff in 2012.

**7,200** families in over **2,200** communities in all **50** states have hosted our delegates.

Per Person Cost



■ OW Cost ■ Cost Share

\*2012 numbers are estimated

More than **80%** of the Open World annual appropriation is spent in the United States, much of it at the local level.

Grantee and hosting demand for Open World delegates is usually **3x** the slots available.

### Open World Participating Countries

|            |            |            |              |                      |
|------------|------------|------------|--------------|----------------------|
| Armenia    | Kazakhstan | Russia     | Turkmenistan | To be added in 2013: |
| Azerbaijan | Kyrgyzstan | Serbia     | Ukraine      | Egypt                |
| Georgia    | Moldova    | Tajikistan | Uzbekistan   | Mongolia             |

# Open World by the Numbers



The average age of all Open World participants is 37

## Rule of Law

**1,866** Eurasian judges have been hosted by **150** U.S. federal judges.

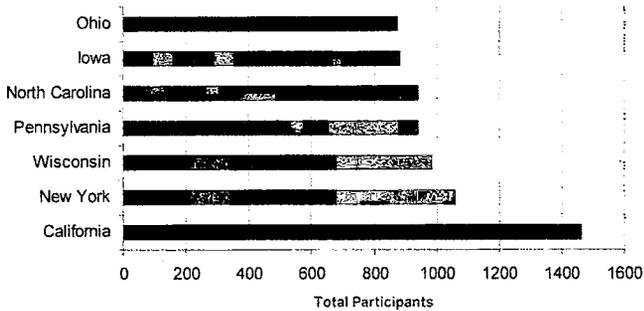
## Accountable Governance

**60%** of participants are government officials.

## Partnerships

**54** American-Eurasian partnerships are currently being sustained by Open World.

## Top Host States



## About Open World

Open World is an exchange and partnership program designed to enhance mutual understanding and cooperation between Eurasian and American leaders. It builds the groundwork for such cooperation by bringing emerging Eurasian civic and political leaders to the United States to work with their American counterparts during 10-day professional visits. Open World then facilitates ongoing partnerships among its Eurasian and American participants through virtual networking and post-visit activities. The program is managed by the Open World Leadership Center, a U.S. legislative branch agency.



**OPEN WORLD**  
LEADERSHIP CENTER

**Ambassador John O'Keefe**  
Executive Director

101 Independence Ave, LA 144  
Washington, DC 20540-9980  
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